

# Academic Promotion Procedure

## Section 1 - Introduction

(1) This procedure supports the implementation of the [Academic Promotion Policy](#) and must be read in conjunction with that document.

## Section 2 - General Procedural Principles

### Timing

(2) A promotion round for eligible candidates will take place annually, with all four (4) promotion levels conducted concurrently.

(3) Where a promotions round is completed prior to 30 June, promotion will be effective from 1 July of that year. Where a promotions round is completed between 1 July and 31 December, promotion will be effective from 1 January of the following year.

(4) At the discretion of the Deputy Vice-Chancellor (Academic) and Vice President, an application may, in exceptional circumstances, be considered at any time. Such a decision must be consistent with the principles of the [Academic Promotion Policy](#) and this Procedure (see section 12).

(5) The Chief People and Culture Officer will be responsible for submitting proposed timeframes for academic promotion each year to the Deputy Vice-Chancellor (Academic) and Vice President for consideration and approval.

(6) Once approved, the full schedule of dates including information sessions will be announced and communicated on the University's website.

### Eligibility

(7) All full-time or part-time academic staff with continuing, or consecutive fixed-term appointments of no less than three (3) years, will be eligible to apply for promotion to the next level.

(8) In all cases the candidate's current level on the salary scale will be irrelevant.

(9) Candidates for promotion are generally required to hold the award of PhD (or equivalent) to be considered for promotion to Level B academic and above.

(10) In exceptional circumstances a Pro Vice-Chancellor (or equivalent within a Division or other Academic area) may present a case to the Deputy Vice-Chancellor (Academic) and Vice President for submission to and determination by the Vice-Chancellor where the candidate's industry, experience or qualification provides a compelling case for exemption from the requirements of Clause 9.

### Minimum Period of Service Following Appointment, Promotion or Unsuccessful applications

(11) Candidates for promotion must have completed two (2) years of service since their appointment at the University

of Newcastle, or the date of their most recent promotion at the University of Newcastle, before they become eligible to apply for promotion.

(12) Candidates must generally complete two (2) years consecutive service following the end of a Research Fellowship, before they become eligible to apply for promotion, in order to demonstrate sustained excellence.

(13) Candidates must have completed probation prior to submitting an application.

(14) Unsuccessful candidates for promotion will be required to wait two (2) years from their last application submission before submitting a further application.

(15) Intending candidates who have not met the minimum period of service requirement or the two year wait rule may make a written submission to the Head of School and the Pro Vice-Chancellor (or equivalent within a Division or other Academic area) requesting an exemption.

(16) If the Pro Vice-Chancellor (or equivalent within a Division or other Academic area) is satisfied there are compelling reasons to support the case for an exemption, the Pro Vice-Chancellor will forward the candidate's request, and a written recommendation for the application to proceed, to the Deputy Vice-Chancellor (Academic) and Vice President for determination.

## **Criteria for Promotion**

(17) Candidates for promotion are expected to make a contribution in three (3) broad areas:

- a. teaching and learning;
- b. research and innovation; and
- c. service and engagement.

(18) The promotion process will take account of the candidate's contribution to these areas at the school, college, University, and community level, and will note national and international contributions that may be appropriate to the level of promotion sought.

(19) Candidates will be expected to demonstrate their activities, impact and engagement in each of the areas outlined in Clause 17 with sustained excellence to be evident in at least two (2) areas. Research only academic applications will be judged solely on their contribution to research and innovation. Research and innovation includes scholarship related to teaching and learning.

(20) Candidates will be expected to demonstrate that they meet the promotion criteria based on their activities in their current position at the University of Newcastle, or on their activities in the period since their last promotion at the University of Newcastle.

(21) Evidence to support "service and engagement" must demonstrate the candidate actively contributing to a range of aspects of service both internally and externally to the University as appropriate. These may include the governance, capacity building and development of positive and inclusive cultures within the University of Newcastle, through citizenship behaviours and formal leadership roles. It may also include contributions made externally such as to business, government, professional and community organisations to the mutual benefit of all parties.

(22) Candidates applying for promotion to Level D academic and Level E academic, where 'service and engagement' is not an area chosen for demonstrating sustained excellence are still required to demonstrate that expectations have been fully met and will continue.

# Section 3 - The Application

## Consultation with the Head of School and Pro Vice-Chancellor

(23) Candidates must consult their Head of School and Pro Vice-Chancellor (or equivalent within a Division or other Academic area) through involvement in PRD conversations, before initiating an application for promotion.

(24) Effective for the 2020 promotion round and all subsequent rounds, candidates planning on submitting an application for promotion to Level D academic and Level E academic are required to submit an 'Intent to Apply' form, available on the Academic Promotions webpage, by 31 March. The 'Intent to Apply' is intended to align with PRD (Performance Review and Development) discussions and allow appropriate time to source independent assessors.

(25) The Head of School (or equivalent within a Division or other Academic area) will provide comments on the candidate application form, with consideration of the following:

- a. the candidate's standing in her/his field;
- b. the candidate's contributions to the overall effort of the School/College (or equivalent within a Division or other Academic area), including any significant changes in duties since appointment or the last promotion;
- c. the candidate's contributions to teaching and curriculum development activities;
- d. the impact of the candidate's teaching on student learning and the overall student experience;
- e. the impact of the candidate's teaching on the teaching and learning environment of the School (or equivalent within a Division or other Academic area);
- f. the candidate's research involvement and output;
- g. the quality of the publications and the standing of journals in which the candidate's publications appear;
- h. the candidate's service to the School, College (or equivalent within a Division or other Academic area), University, discipline/profession and the broader community; and
- i. the candidate's contributions compared with the norms in the School (or equivalent within a Division or other Academic area) .

(26) In some circumstances (e.g. where the candidate is the Head of School, or the Head of School is a recent appointment), it may be appropriate for the previous Head of School to comment on the application. In cases such as this, a request for approval for another person to provide the Head of School comments must be made to the Deputy Vice-Chancellor (Academic) and Vice President through the Pro Vice-Chancellor.

(27) The Head of School (or equivalent within a Division or other Academic area) may consult other relevant members of staff about aspects of an application, subject to the consent of the candidate.

(28) Heads of School and Pro Vice-Chancellors (or equivalent within a Division or other Academic area) may not withhold an application. However, they should offer advice to the candidate as to the readiness of their candidature of their promotion track.

## Preparation of Application

(29) The application is to be completed on the form published on the Academic Promotions webpage, which requires:

- a. a Curriculum Vitae (CV) to be completed on the form;
- b. a portfolio of teaching and learning, research and innovation, and service and engagement to be completed on the form;
- c. candidates for Level B academic and Level C academic to provide a short statement demonstrating leadership behaviours appropriate to the promotion level being applied for. Examples should include increasing leadership

in the discipline/profession, the University and the community; and

- d. candidates for Level D academic and Level E academic to provide a one-page leadership statement as part of the portfolio section of the promotion application.

### **Additional Support Materials**

(30) Candidates may provide supporting evidence in the form of books, course materials or other items relevant to the application.

(31) Any such materials will be made available for inspection by members of the relevant Promotions Committee.

(32) A reference to additional support materials may be included in the application. However, the application should stand alone, and there should be no expectation of reliance on additional support materials.

### **Performance Expectation Framework (PEF)**

(33) A PEF Report that provides a verified data capture of research outputs, grants, supervisions and student evaluation of teaching, will be provided to the relevant promotion committee as part of the evidence that can be considered. The report is produced by the University's Strategy, Planning and Performance (SPP) team.

(34) Candidates will be provided with an initial report which provides an opportunity for candidates to check the data and make any relevant updates in University systems. A final report is provided to the relevant Promotions committee closer to the meeting convene.

## **Section 4 - Independent Assessment**

### **External Independent Assessments**

(35) For all levels, the Head of School (or equivalent within a Division or other Academic area), in consultation with the Head of Discipline and/or relevant staff (in consideration of the candidate's nominated assessors) will provide:

- a. the College Pro Vice-Chancellor Chair with a selection of potential external independent assessors, at least two (2) for Level B academic and Level C academic and four (4) for Level D academic and Level E academic, who are highly regarded in the area where the candidate claims to demonstrate sustained excellence; and are, preferably, also familiar with the candidate's recent work;
- b. reasons as to why they are regarded as suitable; and
- c. the names and contact details of the potential independent assessors.

(36) Candidates for promotion to Level D academic and Level E academic must have a minimum of four (4) independent assessments. At least two (2) of the assessments must be from person(s) of international standing who are external to the University .

(37) Candidate's for all levels can provide a list of external assessor's or other individuals the candidate prefers not to be contacted, to their Head of School (or equivalent within a Division or other Academic area), with a brief explanation as to the reasons these individuals should not be contacted for an external independent assessment.

### **Requests for Independent Assessments**

(38) For Level B academic and Level C academic, the College Pro Vice-Chancellor Chair will:

- a. write to the nominated independent assessors;
- b. invite them to provide an assessment; and

c. attach the Promotions Independent Assessment pro forma to the request.

(39) For Level D academic and Level E academic, the Deputy Vice-Chancellor (Academic) and Vice President will:

- a. write to the nominated independent assessors;
- b. invite them to provide an assessment; and
- c. attach the Promotions Independent Assessment pro forma to the request.

(40) Independent assessments for all levels will be returned directly to the Promotions Officer in Human Resource Services by the Independent Assessors.

(41) Candidates must not request their own independent assessments.

### **Viewing of Independent Assessment Reports**

(42) Reports from assessors will be requested in confidence and only Committee members directly concerned with the processing and assessment of applications may view the assessments.

(43) Independent assessments will not be made available to the candidate, unless required by law.

(44) The application for Level B academic and Level C academic will be provided to members of the College Promotion Committee and, in the case of promotion to Level D academic and Level E academic, applications and independent assessments will be provided to members of the University Promotion Committee.

(45) Independent assessments will be provided to appropriate Committee members as soon as they are available.

### **Testimonials**

(46) Testimonials and references, aside from those requested by the University with respect to an application, should not be included, and will not be considered in any application.

## **Section 5 - The Application Process**

### **Lodgement**

(47) Candidates will be responsible for ensuring their complete application is submitted before the nominated closing date.

### **Late Applications**

(48) Late applications will only be accepted:

- a. in exceptional circumstances; and
- b. with the written approval of the Deputy Vice-Chancellor (Academic) and Vice President.

### **Withdrawal of Application**

(49) Candidates may withdraw their application for promotion at any time prior to the convening of the relevant Promotions Committee.

# Section 6 - Approval Process

## Promotion to Level B academic and Level C academic

(50) All applications for promotion to Level B academic and Level C academic will be considered by their College Promotion Committee.

(51) Applications from candidates outside of one of the University's established Colleges will be considered by an appropriate College Committee, in relation to the discipline area of the candidate, as determined by the Deputy Vice-Chancellor (Academic) and Vice President.

(52) Applications from UON Singapore candidates will be considered by the most relevant College Promotion Committee in relation to the discipline area of the candidate, as determined by the Deputy Vice-Chancellor (Academic).

(53) The Promotions Officer, Human Resource Services will distribute the applications, including the independent assessments, to the College Promotion Committee members.

(54) The HR Business Partner will provide a signed report on behalf of the Chair, with the Committee members recommendations, as a record that the process was conducted in a fair and objective way.

(55) The Chair will provide the Deputy Vice-Chancellor (Academic) and Vice President with the recommendations of the College Promotion Committee no more than two (2) weeks after the Committee meeting.

(56) The Deputy Vice-Chancellor (Academic) and Vice President will advise both successful and unsuccessful candidates in writing when outcomes have been reached for all levels.

(57) Candidates will be invited to discuss their application with their Pro Vice-Chancellor (or equivalent within a Division or other Academic area) to gain specific feedback, from the Promotions Committee, in relation to the academic activities requiring further development, and ways to address these development needs will be facilitated through PRD (Performance Review and Development).

## Promotion to Level D academic and Level E academic

(58) All applications for promotion to Level D academic and Level E academic will be considered by the University Promotion Committee.

(59) The Deputy Vice-Chancellor (Academic) and Vice President will be the Chair of the University Promotion Committee.

(60) The Promotions Officer, Human Resource Services will distribute the applications, including the independent assessments, to the University Promotion Committee members.

(61) All Level E academics will be invited for an interview.

(62) The University Promotion Committee will provide recommendations for Level E academics to the Vice-Chancellor for endorsement.

(63) The University Promotion Committee will meet as many times as the Chair deems necessary to discuss and consider the applications. Candidates may be interviewed by the University Promotion Committee should the Committee feel any portion of the candidate's application requires further discussion and/or clarification.

(64) Outstanding candidates, except in the case of Level E academic where all candidates will be interviewed, may

have their application for promotion approved by the University Promotion Committee without being required to attend an interview.

(65) The University Promotion Committee may invite the Head of School (or equivalent within a Division or other Academic area) to be present for all or part of a meeting to discuss applications. Heads of School may be asked to comment on applications or independent assessments, but they may not introduce new information or material.

(66) The Deputy Vice-Chancellor (Academic) and Vice President will advise both successful and unsuccessful candidates for Level D academic in writing when outcomes have been reached for all levels.

(67) The Vice-Chancellor will advise both successful and unsuccessful candidates for Level E academic in writing when outcomes have been reached for all levels.

(68) Candidates will be invited to discuss their application with their Pro Vice-Chancellor (or equivalent within a Division or other Academic area) to gain specific feedback, from the Promotions Committee, in relation to the academic activities requiring further development, and ways to address these development needs will be facilitated through PRD (Performance Review and Development).

## **Section 7 - Promotion Committees**

(69) Staff who have a conflict of interest that has the potential to influence the promotion outcome should not accept membership of a Promotion Committee (refer Section 8).

(70) Academic Promotions training is mandatory for committee members. The Deputy Vice-Chancellor (Academic) and Vice President will not approve membership of a Promotion Committee unless training has occurred.

(71) A Promotion Committee must adhere to the [Gender Inclusive Membership of University Committees Policy](#).

(72) If ex officio or other committee members are unavailable to serve on the committee, the Chair may nominate a suitable replacement member.

(73) Replacement committee members or additional committee members may be sought at the discretion of the Chair to address issues of gender equity or other relevant equity matters, regardless of the term of members.

### **College Promotion Committee**

(74) There will be one (1) College Promotion Committee established in each College to consider applications for promotion to Level B academic and Level C academic.

#### **Composition of College Promotion Committees**

(75) College Promotion Committees will have the following composition:

- a. Pro Vice-Chancellor of the College (Chair) ex officio;
- b. five (5) committee members from the College, nominated by the Pro Vice-Chancellor of the College after consultation with the College Executive, and approved by the Deputy Vice-Chancellor (Academic) and Vice President. The term of office of these members is three (3) years;
- c. one (1) member of another College at Level E, nominated by the Pro Vice-Chancellor of the College and approved by the Deputy Vice-Chancellor (Academic) and Vice President, whose term of office is a maximum of two (2) years; and
- d. one (1) Equity Observer and one (1) HR Business Partner.

(76) The majority of members of the College Promotion Committee must be at least at the same academic level as that for which candidates are being considered.

(77) A Head of School cannot be a member of a College Promotion Committee.

(78) The HR Business Partner will attend the College Promotion Committee meeting; offer advice on matters relating to policy and procedure when required; not advocate or introduce new material for a candidate; is not a voting member and will prepare a College Promotion Report with recommendations from the Committee, signed by all members, for consideration of the Deputy Vice-Chancellor (Academic) and Vice President.

(79) The Pro Vice-Chancellor of the College, must make every effort to ensure that the candidate's broad discipline/professional area is understood. Where this is not achieved through the normal membership the Chair may, with the approval of the Deputy Vice-Chancellor (Academic) and Vice President, co-opt one (1) further member to the Committee for a particular candidate.

(80) No member of a College Promotion Committee, other than the Pro Vice-Chancellor of the College, may serve consecutive terms.

### **Faculty Promotion Committee Interviews**

(81) The Pro Vice-Chancellor of the College will schedule and advise all candidates of interview details.

(82) Candidates who are away from the University at the indicated time of interview will have the option of:

- a. agreeing (in writing) to be considered in absentia;
- b. returning for the interview at their own expense; or
- c. being interviewed remotely by telephone, video conference or other means at the expense of the College.

### **Process for Faculty Promotion Committee**

(83) Feedback from previous applications for promotion will not be considered by the College Promotion Committee.

(84) The College Promotion Committee will take into account the application, documents and materials referred to and distributed by the Promotions Officer, Human Resource Services.

(85) All candidates for promotion will be interviewed individually by the appropriate College Promotion Committee. If a candidate does not wish to be interviewed they must indicate this in their application form.

(86) Heads of School (or equivalent within a Division or other Academic area), or in certain circumstances a nominated delegate if the Head of School is not available due to absence or a potential conflict of interest, should accompany a candidate from their School at their interview and should remain for a brief period following the interview in case clarification is required. Heads of School are not present when the vote on whether to recommend a promotion is made.

(87) The Heads of School and the Equity Observer must not advocate for the candidates and must not introduce new material or make personal comments on any application. All College Promotion Committee members must vote to promote or not promote each candidate.

(88) The College Promotion Committee will make a recommendation to "promote" or "not promote" and provide reasons for or against the recommendation.

(89) Within two (2) weeks of the Committee's meeting the Chair will provide the Deputy Vice-Chancellor (Academic) and Vice President with:



- a. a report of the Committee's proceedings;
- b. a list of the candidates indicating those candidates who are recommended for promotion, and those not recommended; and
- c. detailed reasons for supporting or not supporting each application using the report template.

(90) The Deputy Vice-Chancellor (Academic) and Vice President will approve candidates to be promoted and will advise both the successful candidates and unsuccessful candidates in writing. Copies of this advice will be sent to the candidate's Head of School and Pro Vice-Chancellor (or equivalent within a Division or other Academic area).

(91) All candidates will receive specific feedback from comments made by the College Promotion Committee in relation to the academic activities requiring further development, and ways to address these development needs will be facilitated through PRD. Feedback should not be considered as prescriptive advice for future applications.

## **University Promotion Committee**

(92) The primary role of the University Promotion Committee is to:

- a. consider and determine applications for promotion to Level D academic and Level E academic;
- b. ensure there is equity across Colleges; and
- c. ensure the standards expected for promotion are applied uniformly across the University.

## **Composition of University Promotion Committee**

(93) The University Promotion Committee shall have the following composition:

- a. the Deputy Vice-Chancellor (Academic) and Vice President (Chair) ex officio;
- b. the Deputy Vice-Chancellor (Research and Innovation) ex officio;
- c. the President of Academic Senate ex officio;
- d. the Pro Vice-Chancellor Academic Excellence ex officio;
- e. the Pro Vice-Chancellor from each College ex officio;
- f. two (2) internal Level E academics, appointed by the Deputy Vice-Chancellor (Academic) and Vice President;
- g. one (1) external Level E academic, appointed by the Deputy Vice-Chancellor (Academic) and Vice President;
- h. the Chief People and Culture Officer, or senior delegate ex officio; and
- i. an Equity observer and the Promotions Officer (Human Resource Services).

(94) Except for ex officio and external members, the term of office for members of the University Promotion Committee is two (2) years.

(95) Except for ex officio members, no member of the University Promotion Committee may serve for two (2) consecutive terms.

## **Process for University Promotion Committee**

(96) The University Promotion Committee will take into account:

- a. the application, documents and materials referred to and made available by the candidate; and
- b. reports from independent assessors.

(97) The University Promotion Committee will meet initially to assess all Level D academic applications and make a determination of those candidates needing to attend for interview. The Committee will then meet to conduct the

interview process and make a final determination. For Level E academic candidates the Committee will meet to assess applications and conduct interviews of all candidates before making final determinations.

(98) Where the University Promotion Committee considers a candidate for Level D academic is outstanding, the Committee may agree to progress that candidate directly to promotion without requiring an interview process.

(99) Where an outstanding candidate is progressed to promotion without requiring an interview, they will be notified directly by the relevant College Pro Vice-Chancellor via a telephone call that will remain confidential until all successful promotions are announced.

(100) The purpose of interviews for Level D academic will be on a discretionary basis to:

- a. to clarify information in the application; and
- b. respond to questions from Committee members.

(101) Only Level D academic candidates that require further clarification and discussion will be interviewed by the University Promotion Committee.

(102) The University Promotion Committee may, at its discretion, invite the Head of School (or equivalent within a Division or other Academic area) to attend an interview to discuss a candidate's application.

(103) All Level E academic candidates are invited for an interview.

(104) A vote will be taken as to whether or not each candidate should be recommended for promotion.

(105) The University Promotion Committee will provide recommendations for Level E academic to the Vice-Chancellor for endorsement.

(106) The Deputy Vice-Chancellor (Academic) and Vice President will advise both successful and unsuccessful candidates for Level D academic in writing when outcomes have been reached for all levels.

(107) The Vice-Chancellor will advise both successful and unsuccessful candidates for Level E academic in writing when outcomes have been reached for all levels.

(108) Feedback will be given on the basis of comments made by the University Promotion Committee. Feedback should not be considered as prescriptive advice for future applications.

(109) All candidates will be invited to discuss specific feedback from comments made by the University Promotion Committee, with their Pro Vice-Chancellor (or nominated committee member) to gain specific feedback in relation to the academic activities requiring further development, and ways to address these development needs will be facilitated through PRD.

## **Section 8 - Conflict of Interest**

(110) Staff who may have a conflict of interest that has the potential to influence the promotion outcome should not accept membership of a College Promotion Committee or the University Promotion Committee.

(111) If the staff member is in some doubt as to the degree of potential influence, they should approach the Pro Vice-Chancellor in the case of College Promotion Committees; or the Deputy Vice-Chancellor (Academic) and Vice President in the case of University Promotion Committees, for a decision as to whether membership should be accepted or declined.

(112) If the candidate identifies a potential conflict of interest they should disclose this to the Chair prior to the

Committee convening. The Chair will determine the appropriate course of action as defined in the University's [Conflict of Interest Policy](#).

## Section 9 - Equity Observer

(113) An Equity Observer nominated by the Chief People and Culture Officer, will attend College Promotion Committee meetings and the University Promotion Committee meetings, and may speak on matters pertinent to equity and diversity.

(114) The Equity Observer will:

- a. be present throughout the interview and discussion process;
- b. document proceedings; and
- c. ensure all promotions processes are strictly in accordance with the [Academic Promotion Policy](#) and Procedure.

(115) The Equity Observer will not advocate for a candidate and must not introduce new material or make personal comments on any application.

(116) The Equity Observer is present when votes are taken, but cannot vote or participate in the voting.

## Section 10 - Training

(117) Academic Promotions training is mandatory for committee members and Heads of School annually, and will be delivered by the Deputy Vice-Chancellor (Academic) and Vice President.

(118) Any newly appointed Head of School and Pro Vice-Chancellor will receive promotions training during their induction.

(119) Promotions Preparation Workshops will be run for candidates for Level B academic, Level C academic, Level D academic and Level E academic.

(120) Separate Promotion Preparation Workshops for female candidates will be offered.

(121) Workshops will be offered at Callaghan, Newcastle City Campus, and Ourimbah campuses.

## Section 11 - Appeals

(122) A candidate will have the right to appeal against a decision in relation to their application on the grounds that the Policy or Procedures were not adhered to, and should provide evidence of the breach which the candidate believes has had a material effect on the decision not to promote.

(123) An appeal must be lodged with the Chief People and Culture Officer within 14 days of notification of the result of the application.

(124) An appeal on the grounds of outcome of application alone will not be considered.

(125) An appeal will be determined by a Promotions Appeals Committee of the Vice-Chancellor comprising:

- a. Vice-Chancellor (or nominee) as chair;
- b. a member of Academic Senate;

- c. a member of academic staff from a pool of staff nominated by staff representatives on the Academic staff Consultative Committee; and
- d. two (2) members of academic staff appointed by the Vice-Chancellor.

(126) In considering an appeal the Promotions Appeals Committee:

- a. will obtain and consider a report from the Deputy Vice-Chancellor (Academic) and Vice President on the alleged breach of procedures;
- b. may obtain and consider any other material that in its opinion is relevant to the process, including but not limited to notes taken by the Equity Observer, Promotions Officer, and/or HR Business Partner; and
- c. will compare the actual procedures followed in the candidate's case with the University Academic Promotions Procedure and determine whether the University has failed to comply with its own procedures.

(127) Where the Promotions Appeals Committee finds that a breach of procedure has occurred and has had a material effect on the decision not to promote, they shall direct action that is necessary to remedy the breach.

(128) The Promotions Appeals Committee has the authority to direct action in relation to procedural matters only and this action must be consistent with University policies and procedures.

(129) The proceedings of a Promotions Appeal Committee will be confidential.

## **Section 12 - Exceptional Circumstances**

(130) Promotion outside the normal promotions process will only be considered in the following exceptional circumstances:

- a. where the retention of an academic staff member is important to the strategic direction of the University and the academic is considered to be critical to the strategic plan of the relevant College or Division; or
- b. when an academic staff member is to be re-appointed to the same or an alternative position within the University on a new contract at a higher academic level.

(131) The Head of School or Chief Investigator must make a recommendation to the College Pro Vice-Chancellor where a re-appointment at a higher level is being considered. The College Pro Vice-Chancellor will then make a recommendation to the Deputy Vice-Chancellor (Academic) and Vice President for the candidate to be promoted under the exceptional circumstances of Clause 130.

(132) The recommendation should include:

- a. a statement by the College Pro Vice-Chancellor to confirm the staff member's critical importance to the strategic plan of the College or the reason(s) the staff member is being offered a new contract at a higher academic level;
- b. an Academic Promotions application form including the Head of School or Chief Investigator comments and recommendation;
- c. the staff member's CV;
- d. a statement of up to four (4) pages outlining the candidate's activities and achievements in teaching and learning, research and innovation and service and engagement; and
- e. the most current Performance Expectation Report (PEF) report that provides a verified data capture of research outputs, grants, supervisions and student evaluation of teaching. The report is produced by the University's Strategy, Planning and Performance (SPP) team.

(133) The Deputy Vice-Chancellor (Academic) and Vice President will consider the documentation and will either approve or not approve the request for the exceptional circumstances to apply and advise the College Pro Vice-Chancellor of the decision.

(134) The College Pro Vice-Chancellor will provide the application and supporting documents to the Pro Vice-Chancellor (Academic Excellence) for quantitative benchmarking and to make a recommendation, regarding the candidate's standing in relation to the level of appointment sought, to the Deputy Vice-Chancellor (Academic) and Vice President.

(135) The Deputy Vice-Chancellor (Academic) and Vice President will either approve or not approve Level B, Level C and Level D Academic applications and will provide a recommendation to the Vice-Chancellor for Level E academic applications.

(136) The Deputy Vice-Chancellor (Academic) and Vice President will advise all candidates considered under exceptional circumstances in writing once outcomes have been determined.

(137) Staff being considered under the exceptional circumstances promotions process do not have a right of appeal.

## **Section 13 - Roles and Responsibilities**

### **Candidate**

(138) Candidates will:

- a. discuss with their Head of School and Pro Vice-Chancellor (or equivalent within a Division or other Academic area) their intention to apply for promotion;
- b. provide their Head of School (or equivalent within a Division or other Academic area) with a copy of their application at least two (2) weeks before the closing date for receipt for applications; and
- c. submit an application on or before the closing date ensuring all the requirements as per this procedure and its associated documents have been met.

### **Head of School**

(139) Heads of School will:

- a. meet with and counsel all academic staff within the School who indicate an intention to apply for promotion;
- b. prepare a selection of possible independent assessors for their Pro Vice-Chancellor, for all levels;
- c. accompany each candidate at their interview with the College Promotion Committee; and
- d. attend an interview with the University Promotion Committee where required.

### **Pro Vice-Chancellor**

(140) Pro Vice-Chancellors will:

- a. meet with and counsel all academic staff within the College who indicate an intention to apply for promotion;
- b. select at least two (2) independent assessors for candidates for promotion to Level B academic and Level C academic and at least four (4) independent assessors for candidates for promotion to Level D academic and Level E academic, from a list prepared by the Head of School;
- c. submit to the Deputy Vice-Chancellor (Academic) and Vice President for consideration, the recommended composition of all College Promotion Committees;
- d. chair the College Promotion Committee, for their College;

- e. within two (2) weeks of the interviews, prepare a report that includes:
  - i. comments on the committee's proceedings;
  - ii. a table showing the voting for each candidate;
  - iii. a schedule indicating the candidates recommended for promotion, with comprehensive reasons for recommending promotion; and
  - iv. a schedule indicating the candidates not recommended for promotion with comprehensive reasons for not recommending promotion;
- f. ensure all committee members sign the completed report;
- g. ensure that any member who disagrees with one or more of the recommendations, and wants that disagreement noted, provides a written statement to that effect which is then attached to the report; and
- h. send the report together with associated documents to the Promotions Officer, Human Resource Services.

## **Deputy Vice-Chancellor (Academic) and Vice President**

(141) The Deputy Vice-Chancellor (Academic) and Vice President will:

- a. make any necessary determination on whether applications are accepted within a period of less than two (2) years since:
  - i. appointment;
  - ii. most recent promotion; or
  - iii. an unsuccessful application for promotion;
- b. approve the composition of College Promotion Committee;
- c. chair the University Promotion Committee for applications for promotion to Level D academic and Level E academic;
- d. approve applications for promotion; and
- e. undertake any other activities or determinations necessary for the interpretation or implementation of the policy and procedure on academic promotion.

## **Chief People and Culture Officer**

(142) The Chief People and Culture Officer, or nominee, will:

- a. prepare an annual academic promotion timetable and Promotion Committee compositions and publish on the University's webpage;
- b. undertake regular reviews of the academic policy and procedures, and submit recommendations for the consideration of the Deputy Vice-Chancellor (Academic) and Vice President;
- c. acknowledge receipt of all applications for promotion and ensure candidates are eligible to apply;
- d. receive all independent assessments following an invitation from the Pro Vice-Chancellor and Deputy Vice-Chancellor (Academic) and Vice President to the independent assessors;
- e. ensure all College Promotion Committee and the University Promotion Committee members receive applications with accompanying reports in a timely fashion;
- f. nominate a staff member to act as secretary to the University Promotion Committee and, where possible, College Promotion Committees;
- g. act as a voting member of the University Promotion Committee;
- h. ensure the confidentiality and integrity of the promotion process; and
- i. provide advice to candidates, Heads of School, Pro Vice-Chancellors, members of promotion committees, and the Deputy Vice-Chancellor (Academic) and Vice President on procedural matters as required.



## Status and Details

<b>Status</b>	Historic
<b>Effective Date</b>	10th August 2020
<b>Review Date</b>	10th August 2023
<b>Approval Authority</b>	Chief People and Culture Officer
<b>Approval Date</b>	6th August 2020
<b>Expiry Date</b>	23rd June 2021
<b>Responsible Executive</b>	Mark Hoffman Deputy Vice-Chancellor (Academic) and Vice President
<b>Enquiries Contact</b>	Martin Sainsbury Chief People and Culture Officer martin.sainsbury@newcastle.edu.au <hr/> HR Support 4033 9999

## Glossary Terms and Definitions

**"Academic Senate"** - The Academic Senate of the University as described in the University of Newcastle Act 1989.

**"University"** - The University of Newcastle, a body corporate established under sections 4 and 5 of the University of Newcastle Act 1989.

**"Academic staff"** - An academic employee holding a substantive academic position of 0.5 full-time equivalent or above where the contract length is twelve months or longer.

**"Course"** - When referring to a course offered by the University, a course is a set of learning activities or learning opportunities with defined, assessed and recorded learning outcomes. A course will be identified by an alphanumeric course code and course title. Course types include core courses, compulsory courses, directed courses, capstone courses and electives. For all other uses of this term, the generic definition applies.

**"Student"** - A person formally enrolled in a course or active in a program offered by the University or affiliated entity.

**"Candidate"** - With regard to Higher Degree by Research it has the same meaning as student. For all other instances it is a person considered for appointment to a position.

**"Exemption"** - When referring to a student's learning pathway, exemption means being excused from undertaking preparatory subjects, units, modules or competencies in a course or program, while still being required to undertake the same number of subjects, units, modules or competencies as would be completed if an exemption had not been granted. For all other uses of this term, the generic definition applies.

**"Level B academic"** - Lecturer

**"Level C academic"** - Senior Lecturer.

**"Level D academic"** - Associate Professor.

**"Level E academic"** - Professor.

**"PhD"** - Is a Doctor of Philosophy degree, referred to as a Doctoral Degree (Research) by the Australian Qualifications



Framework.

**"School"** - An organisational unit forming part of a College or Division, responsible for offering a particular course.

**"Staff"** - Means a person who was at the relevant time employed by the University and includes professional and academic staff of the University, by contract or ongoing, as well as conjoint staff but does not include visitors to the University.

**"College"** - An organisational unit established within the University by the Council.