

Recruitment, Selection and Appointment of Senior Staff Procedure

Section 1 - Introduction

(1) This procedure outlines the University's processes to appoint a:

- a. Deputy Vice-Chancellor
- b. Pro Vice-Chancellor
- c. Global Innovation Chair
- d. Global Innovation Professorial Fellow
- e. Head of School
- f. Director (or other comparable role such as Chief Information Officer, Chief Financial Officer or University Librarian)
- g. or equivalent

Section 2 - Procedure

Recruitment of Roles

(2) The roles of Deputy Vice-Chancellor, Chief Operating Officer, Pro Vice-Chancellor, Global Innovation Chair, Global Innovation Professorial Fellow, Head of School, and Director will be employed on fixed-term contracts of up to 5 years unless otherwise approved by the Vice-Chancellor.

(3) External competitive recruitment via a Recruitment Agency will be used for selection, unless an exception is approved by the Vice-Chancellor to proceed to appointment under exceptional circumstances.

Deputy Vice-Chancellor or Chief Operating Officer

(4) The recruitment of a Deputy Vice-Chancellor or Chief Operating Officer will be initiated by the Vice-Chancellor due to a vacancy, impending vacancy or the creation of a new position.

(5) The Vice-Chancellor can make recommendations in relation to the creation (or disestablishment) of a Deputy Vice-Chancellor position or Chief Operating Officer position to the Chancellor's Committee of Council which may approve these recommendations by resolution.

(6) The Vice-Chancellor, in consultation with HRServices, will consider and determine the recruitment strategy and selection techniques to be utilised.

(7) A summary of the recruitment process that is undertaken will form part of the report to the Council.

Pro Vice-Chancellor

(8) The recruitment of a Pro Vice-Chancellor will be initiated by the Vice-Chancellor due to a vacancy, impending vacancy or creation of a new position.

(9) The Vice-Chancellor can approve the creation (or disestablishment) of a Pro Vice-Chancellor position.

(10) The Vice-Chancellor, in consultation with HRServices, will consider and determine the recruitment strategy and selection techniques to be utilised.

(11) A summary of the recruitment process that is undertaken will form part of the report to the Council.

Global Innovation Chair and Global Innovation Professorial Fellow

(12) The recruitment of a Global Innovation Chair may be instigated by a member of the Executive Committee who may identify a world-leading academic likely to meet the University's criteria for appointment as a Global Innovation Chair.

(13) The Executive Committee member will inform the Vice-Chancellor that a candidate has been identified and request the approval for the nomination to proceed.

(14) If the Vice-Chancellor is satisfied that the candidate meets the University's criteria, the relevant Deputy Vice-Chancellor will be consulted to determine whether to proceed to make an appointment under exceptional circumstances or to convene a Selection Committee.

(15) As an alternative to identifying individual candidates, the Vice-Chancellor or relevant Deputy Vice-Chancellor may identify a priority academic field in which a Global Innovation Chair would be a transformational asset. In this case the Vice-Chancellor would ask the relevant Deputy Vice-Chancellor to approach external partners to scope possibilities for co-funding the Chair, and engage a Recruitment Agency to conduct a global search within the field.

Head of School

(16) The recruitment of a Head of School will be initiated by the relevant Pro Vice-Chancellor due to a vacancy, impending vacancy or the creation of a new position.

(17) The Vice-Chancellor may approve the creation (or disestablishment) of a Head of School position. The Vice-Chancellor may approve the use of the title "Dean" in relation to a Head of School role.

(18) Any determination to recruit a Head of School will be informed by a strategic analysis of the School, its staff and performance against the current vision, strategic priorities and key performance indicators. This analysis will be undertaken by the Pro Vice-Chancellor and reported to the Vice-Chancellor who will determine if a recruitment process will commence.

(19) The Pro Vice-Chancellor will be accountable to the Vice-Chancellor for the oversight and the completion of the recruitment process.

Director

(20) The recruitment of a Director will be initiated by the Hiring Manager due to a vacancy, impending vacancy or creation of a new position.

(21) Any determination to recruit a Director will be informed by a strategic analysis of the business unit, its staff and performance against the current vision and long-term requirements for the business unit. The analysis will be undertaken by the Hiring Manager and reported to the Vice-Chancellor who will determine if a recruitment process will commence.

(22) The Hiring Manager will be accountable to the Vice-Chancellor for the oversight and the completion of the recruitment process.

Position Description and Selection Criteria

(23) A position description which includes information about the position, the selection criteria, leadership behaviours, qualifications and skills required for a role described in this procedure will be created and approved by the Vice-Chancellor.

(24) The Pro Vice-Chancellor will provide advice in regards to a Head of School position description.

(25) The Hiring Manager will provide advice in regards to a Director position description.

(26) The Vice-Chancellor will provide advice in regards to a Global Innovation Chair position description.

(27) The selection criteria for the identification of a candidate for a Global Innovation Chair are:-

- a. A leader who works in a field of global significance which will enhance, complement or interface with existing or emerging areas of research or education strength at the University;
- b. A record of developing new research areas and ideas or facilitating creative and novel solutions to address major interdisciplinary problems;
- c. An outstanding international research and/or innovation profile as may be evidenced by one or more of the following:-
 - i. an established track record of success in attracting significant research funding;
 - ii. significant collaborations with the international research leaders in their field and/or with international centres of research excellence;
 - iii. research publications demonstrated through a diverse array of publication indices including (where relevant) the volume of publications, number of citations, the relative citation index and h-index or creative outputs of the highest order;
 - iv. delivery or potential delivery of global impact through connection of research to industry
- d. The demonstrated capacity to build large productive teams and to support the careers of staff through effective mentorship;
- e. A commitment and capacity to facilitate or drive the translation of research outcomes through active engagement and productive collaboration with partners to ensure that the research outcomes add value through innovation – with likely long term economic, social or environmental impact; and
- f. A commitment to engage with undergraduate student, to supervise PhD students and to be a visible and engaged member of the University and broader community.

(28) The criteria for identifying a candidate for a Global Innovation Professorial Fellowship are those listed from 27(a) to 27(c).

Selection Process

(29) The minimum recruitment strategy and selection techniques are shown below in Table A. In general, the selection process will be more comprehensive than the minimum requirement in order to ensure the best selection decision is made and that there is a high level of confidence in the capability of the selected candidate. Selection processes may include an initial screening interview, additional interviews, seminars, site visits, pre-employment medical assessments or any other element considered appropriate to the circumstance.

(30) The Vice-Chancellor may approve appointment without the minimum selection process where it is determined that this is not required to ensure a strong appointment.

Table A

Type of Role	Minimum Recruitment Strategy and Selection Techniques
Deputy Vice-Chancellor, Chief Operating Officer, Pro Vice-Chancellor, Head of School and Director	<ul style="list-style-type: none"> - External competitive recruitment via a Recruitment Agency - Interview - Leadership Assessment (recommended) - Reference Checks
Global Innovation Chair	<ul style="list-style-type: none"> - Interview - Leadership Assessment (recommended) - Reference Checks
Global Innovation Professorial Fellow	<ul style="list-style-type: none"> - Direct appointment - Reference checks

Selection Committees

(31) If a competitive recruitment process is the recruitment strategy selected, a Selection Committee will be convened.

(32) Selection Committees are responsible for validating and assessing information about candidates and making a recommendation to appoint or not appoint a candidate.

(33) Selection Committee members are also responsible for ensuring:-

- a. Confidentiality - Selection Committee members are to observe confidentiality in regard to all aspects of staff selection and must not disclose any details of candidates or discuss aspects of the selection process with any person within or external to the University, other than a fellow Selection Committee member. Unless expressly authorised by the Selection Committee Chair, Selection Committee members are not authorised to contact applicants or referees, or seek information on applicants from current or former employers or work colleagues.
- b. Appropriate management of conflicts of interest - If a Selection Committee member has a direct or personal interest in a recruitment process they must declare such interest to the Selection Committee Chair as soon as they become aware of it. This will mean a declaration of any financial, family, or other close personal relationships with any candidate for the position. The Selection Committee Chair will determine if there is an actual conflict of interest, or if there could be a perceived conflict of interest. If it is determined that there is a conflict, the Selection Committee member will be asked to stand down from the Selection Committee. If the Selection Committee Chair perceives that they may have a conflict of interest they will consult with the Chief People and Culture Officer.

(34) Selection Committee should be composed of:-

- a. Appropriate Aboriginal or Torres Strait Islander representation where candidates have identified themselves as an Aboriginal or Torres Strait Islander and request representation;
- b. Membership that is gender inclusive (a minimum of one third of the Committee should be female) or in particular circumstances as close to a third as possible;
- c. Further requirements regarding the composition of the Selection Committee specific to the role being recruited, are specified in Table B.

Table B

Role	Selection Committee Establishment Requirements
Deputy Vice-Chancellor or Chief Operating Officer	<p>The Vice-Chancellor will convene a Selection Committee which will usually comprise:</p> <ul style="list-style-type: none"> - the Vice-Chancellor (Chair); - the Chancellor (or Deputy Chancellor); - a member of the Council nominated by the Chancellor; - the President of Academic Senate; - up to 2 senior members of staff appointed by the Vice-Chancellor, one of whom will usually be a Deputy Vice-Chancellor or Pro Vice-Chancellor; - up to 2 external persons appointed by the Vice-Chancellor; - Chief People and Culture Officer.
Pro Vice-Chancellor	<p>The Vice-Chancellor will convene a Selection Committee which will usually comprise:</p> <ul style="list-style-type: none"> - the Vice-Chancellor (Chair); - up to 2 Deputy Vice-Chancellors; - the President of Academic Senate; - up to 3 senior members of staff appointed by the Vice-Chancellor; - up to 2 external persons appointed by the Vice-Chancellor; and - Chief People and Culture Officer
Global Innovation Chair	<p>The Vice-Chancellor will convene a Selection Committee which will usually comprise:</p> <ul style="list-style-type: none"> - the Vice-Chancellor (Chair); - Deputy Vice-Chancellor (Research and Innovation) or Deputy Vice-Chancellor (Academic) and Vice President; - College Pro Vice-Chancellors (as appropriate); - up to 2 senior members of staff appointed by the Vice-Chancellor, including where appropriate an academic in the relevant field of research; - up to 2 external persons appointed by the Vice-Chancellor; and - Chief People and Culture Officer
Head of School	<p>The Vice-Chancellor will convene a Selection Committee which will usually comprise:</p> <ul style="list-style-type: none"> - the Vice-Chancellor (Chair); - Pro Vice-Chancellor (of relevant College); - a Deputy Vice-Chancellor; - the President Academic Senate; - up to 2 senior members of staff appointed by the Vice-Chancellor, including where appropriate a Director of a Priority Research Centre - up to 2 external persons appointed by the Vice-Chancellor on advice of the Pro Vice-Chancellor; and - Chief People and Culture Officer.
Director	<p>The Vice-Chancellor will convene a Selection Committee which will usually comprise:</p> <ul style="list-style-type: none"> - the Vice-Chancellor (Chair); - a Deputy Vice-Chancellor or Chief Operating Officer; - up to 2 members of staff appointed by the Vice-Chancellor, - Chief People and Culture Officer; - Additional member or members as determined to be appropriate by the Vice-Chancellor

Shortlisting

(35) Shortlisting is the process of selecting candidates for interview from among those who best meet the selection criteria. Not all candidates who meet the selection criteria are required to be invited for interview.

(36) Selection Committee members will independently assess the applications provided to them by the Recruitment Agency and forward their preferred shortlist to HRServices.

(37) A Selection Committee may choose to shortlist a candidate from an under-represented group (eg. Aboriginal and Torres Strait Island people, women, people with a disability or people from non-English speaking or ethnic backgrounds) who meets the selection criteria but who may not be one of the strongest candidates.

(38) After the shortlisting meeting, HRServices will notify the shortlisted candidates of interview arrangements and will coordinate the logistics of the interviews and candidates' travel/ accommodation.

Interviews

(39) An interview will be arranged by HRServices or the Recruitment Agency for the shortlisted candidates.

(40) The interview should allow the Selection Committee members to ask questions and seek clarification to gather information from candidates about their skills, attributes and experience in terms of the selection criteria and duties of the position.

(41) At the conclusion of the interview, the Selection Committee may have enough information to determine the ranking of interviewed candidates. However, the Selection Committee may need to gather further information in order to make a final decision.

Deliberations

(42) During deliberations, the Selection Committee Chair should generally offer their ranking and comments after hearing the ranking and comments from other Selection Committee members. All information gathered by the Selection Committee during the selection process should be considered in the deliberations, such as leadership assessment information, additional interview information, seminars, site visits, any reference checks already conducted or any other selection element used.

(43) The Selection Committee will also determine if any candidates were deemed 'not appointable'. Interviewees should be deemed not appointable if there are specific skills that they could not demonstrate with regards to the selection criteria and inherent requirements of the job.

(44) If no candidate of sufficient capability is found, the recruitment process should recommence.

Reference Checks

(45) The purpose of a reference check is to seek information relevant to the selection criteria which may confirm (or otherwise) the candidate's suitability for the role.

(46) Reference checks should be conducted before an offer of employment is made.

(47) Reference checks may be conducted by the Recruitment Agency or by the Selection Committee Chair (or representative nominated by the Chair).

(48) Unless expressly authorised by the Selection Committee Chair, Selection Committee members are not authorised to contact applicants or referees, or seek information on applicants from current or former employers or work colleagues.

(49) A Selection Committee member cannot be a referee, unless otherwise approved by the Chair.

(50) A written summary of reference checks should be prepared by the person conducting the reference check.

Obtaining Approval

(51) Where a competitive recruitment strategy has been used, the Selection Committee is an advisory committee to the Vice-Chancellor. The approval process is outlined in Table C.

Table C

Role	Approval Process
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Role	Approval Process
Deputy Vice-Chancellor, Chief Operating Officer	The Vice-Chancellor will make a recommendation to the Chancellor's Committee of Council, which will approve or otherwise the appointment of the candidate. The Vice-Chancellor will determine the terms and conditions of employment.
Pro Vice-Chancellor	The Vice-Chancellor will approve or otherwise the appointment of the candidate and will determine the terms and conditions of employment. The Vice-Chancellor will prepare a report to the Council for noting via the Chancellor's Committee on the recruitment process and appointment.
Global Innovation Chair, Global Innovation Professorial Fellow or Equivalent	The Vice-Chancellor will approve or otherwise the appointment of the candidate and will determine the terms and conditions of employment.
Head of School	The Vice-Chancellor, in consultation with the Pro Vice-Chancellor, will approve, or otherwise, the appointment of the candidate. The Vice-Chancellor will determine the terms and conditions of employment following a recommendation from the Pro Vice-Chancellor.
Director	The Vice-Chancellor, in consultation with the Hiring Manager, will approve, or otherwise, the appointment of the candidate. The Vice-Chancellor will determine the terms and conditions of employment following a recommendation from the Hiring Manager.

Re-Appointment

Deputy Vice-Chancellor and Chief Operating Officer

(52) The Vice-Chancellor will make a determination on the re-appointment of the Deputy Vice-Chancellor and Chief Operating Officer in consultation with the Chancellor. The process for making this determination is at the discretion of the Vice-Chancellor and should include consideration of the incumbent's performance, their contribution to the broader University objectives and the University's strategic direction.

(53) The Vice-Chancellor will provide a report to the Chancellor's Committee of Council on the process for consideration of re-appointment and the Vice-Chancellor's recommendation in relation to the re-appointment (or otherwise) of the Deputy Vice-Chancellor.

Pro Vice-Chancellor

(54) The Vice-Chancellor will make a determination on the re-appointment of the Pro Vice-Chancellor. The process for making this determination is at the discretion of the Vice-Chancellor and should include consideration of the Pro Vice-Chancellor's performance, their contribution to the broader University objectives and the University's strategic direction.

(55) The Vice-Chancellor will provide a report to the Council for noting via the Chancellor's Committee on the process for consideration of re-appointment and the Vice-Chancellor's determination in relation to the re-appointment (or otherwise) of the Pro Vice-Chancellor.

Global Innovation Chair

(56) The Vice-Chancellor will make a determination on the re-appointment of a Global Innovation Chair. The process for making this determination is at the discretion of the Vice-Chancellor and should include consideration of the Global Innovation Chair's performance, their contribution to the broader University objectives and the University's strategic direction.

Head of School

(57) The Vice-Chancellor will make a determination on the re-appointment of the Head of School upon recommendation from the Pro Vice-Chancellor. The process for making this determination is at the discretion of the

Pro Vice-Chancellor and will include consideration of the Head of School's performance in the role, their contribution to the broader University objectives as evidenced through Performance Review and Development feedback, School achievement against Key Performance Indicator targets and the University's strategic direction.

Director

(58) The Vice-Chancellor will make a determination on the re-appointment of the Director upon recommendation from the Hiring Manager. The process for making this determination is at the discretion of the Hiring Manager and will include consideration of the Director's performance in the role, their contribution to the broader University objectives as evidenced through Performance Review and Development feedback, business unit achievement against Key Performance Indicator targets and the University's strategic direction.

Record Keeping

(59) Records relating to the filling of vacancies must be retained for a minimum of two years after the recruitment process is finalised and then destroyed, per the [State Records Act 1998 \(NSW\)](#). This includes:-

- a. applications to fill a vacancy;
- b. advertisements and details of position, duty statements, selection criteria;
- c. selection committee records and reports;
- d. applications received;
- e. associated checks and approvals (Note: does not include criminal records checks and working with children checks);
- f. reference checks;
- g. eligibility lists; and
- h. notification to unsuccessful applicants.

Status and Details

Status	Historic
Effective Date	25th May 2016
Review Date	31st December 2019
Approval Authority	Director, People and Workforce Strategy
Approval Date	25th May 2016
Expiry Date	11th October 2022
Responsible Executive	Martin Sainsbury Chief People and Culture Officer martin.sainsbury@newcastle.edu.au
Enquiries Contact	Recruitment 4033 9999

Glossary Terms and Definitions

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

"Council" - The governing authority of the University established under section 8A of the University of Newcastle Act 1989.

"External person" - Has the same meaning as set out in section 8 of 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.

"Applicant" - Where referring to a student, an applicant is an individual seeking entry to a program or course offered by the University or its partner organisation/s. For all other uses of this term, the generic definition applies.

"Asset" - Any tangible or intangible item (or group of items) that the University owns or has a legal or other right to control and exploit to obtain financial or other economic benefits.

"Competitive recruitment" - A process which requires that the role be advertised and/or various search strategies used to attract an appropriate pool of candidates. This may be an internal process.

"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.

"Direct appointment" - An appointment which is created without going through the Competitive Recruitment Process. Research staff appointed to these roles will be appointed on merit.

"Disability" - As defined by the Disability Discrimination Act 1992 (Cth) (as amended from time to time, or as per any replacing legislation).

"Global Innovation Chair" - Is an acknowledged leader working in a field of global significance, engaging with the first tier of international research and/or industry collaborators, building high-performing research teams, and driving or directly supporting the translation of research outcomes through engagement and productive collaboration with partners.

"Global Innovation Professorial Fellow" - Will have equivalent scholarly credentials to a Global Innovation Chair, but will normally be attached to the University for a temporary, time-limited period, generally not less than three weeks and may receive an allowance to support their travel and accommodation costs. A contribution to salary expenses may also be paid at the discretion of the Vice-Chancellor. A Fellowship is generally offered if a world-leading researcher is unable to take up a full-time appointment as a Global Innovation Chair or the University is establishing a relationship with a globally-significant academic/ industry researcher.

"Hiring Manager" - The staff member who is facilitating the recruitment on behalf of the School/Unit/Division/College. This is typically the supervisor of the vacant position. For sessional academic staff, this is typically the Head of School or their nominee.

"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.

"Selection Committee" - A committee convened to assess candidates under consideration through competitive recruitment.

"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.

"Term" - When referring to an academic period, term means a period of time aligned to an academic year for the delivery of a course in which students enrol and for which they are usually charged fees for example semesters, trimesters, summer, winter or full-year term. The academic year for a term is determined by the academic year in which the course commences, not concludes. For all other uses of this term, the generic definition applies.

"Undergraduate" - Refers to any qualification up to and including the level of a Bachelor Honours degree.

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