

# Promotion to Levels C, D and E for Academic Employees Procedure



## 1 Purpose

To outline the process for promotion to Levels C, D and E through the University's annual academic promotion round.

## 2 Scope

This Procedure applies to all full-time or fractional Employees in academic positions who hold a continuing, contingent funded or fixed-term appointment (of more than 12 months duration) and who are applying for promotion to Levels C, D or E.

The process for Academic Employees applying for promotion to Level B is contained within the Promotion to Level B for Academic Employees Procedure.

This Procedure should be read in conjunction with the University Code of Conduct Policy, USQ Academic Employee Expectation Framework, and the Guide for Applicants - Levels C to E.

## 3 Procedure Overview

This Procedure outlines the process for academic promotion and addresses the topics of confidentiality, eligibility, applying for promotion, criteria for promotion, application assessment, outcomes and feedback, and Appeals.

Any departure from this Procedure and/or subordinate Schedules may only be made with the approval of the Vice-Chancellor.

## 4 Procedures

### 4.1 Confidentiality

Other than material required for feedback to an applicant or required for consideration of Appeals, all materials and deliberations relating to promotion applications will be treated in the strictest confidence by all participants in, and observers of, the promotion process. Members of the University Promotion Committee and observers will not discuss applications, recommendations or deliberations outside of committee meetings. This section does not apply to applicants.

### 4.2 Eligibility

Academic Employees are eligible to apply for promotion when they have completed a minimum of 12 months service at the University in a full-time or fractional academic appointment as at the closing date for applications.

An unsuccessful applicant in one year is not eligible to apply again the following year, except where:

- the application in the previous year was a first application for promotion to that level; or
- in exceptional circumstances, as approved in writing by the Vice-Chancellor (for applications to Level E), the Provost (for applications to Level D) or the Deputy Vice-Chancellor (Academic Affairs) (for applications to Level C). In such instances, it is the responsibility of the Academic Employee to obtain written approval and include the written approval in their application.

Where an applicant for promotion tenders their resignation from the University prior to the promotion being decided, their application will be regarded as withdrawn.

### **4.3 Applying for promotion**

It is strongly recommended that prior to submitting an application for promotion, Academic Employees seek advice from Supervisors, mentors, discipline experts, and/or heads of organisational unit on whether they are ready.

Applications for promotion will normally be called in the first half of the year and at least eight weeks before the closing date.

Applicants are required to submit their application to the Executive Officer in the prescribed format by the specified closing time and date. Applications received after the closing date will not be accepted.

Applications must contain the following:

- confirmation of the applicant's qualifications or evidence of Equivalent Standing;
- a case for promotion with supporting evidence that addresses the promotion criteria (with a focus on achievements in the period since last promotion or appointment to the University);
- an academic portfolio in the prescribed format; and
- a head of organisational unit statement.

When relevant, applications must also include:

- evidence of Equivalent Standing (for Academic Employees that do not possess the required academic qualification for the level being sought);
- written approval from the Vice-Chancellor to apply (for Academic Employees who were unsuccessful for promotion in the previous year and/or applying over more than one level).

Up until five working days prior to the assessment of applications, applicants may provide a one page summary of post-submission achievements that have resulted since their application was submitted, in the prescribed format.

#### **4.3.1 Applications over more than one level**

An Academic Employee may apply for promotion over more than one level in exceptional circumstances, as approved in writing by the Vice-Chancellor. In such instances, it is the responsibility of the Academic Employee to obtain written approval from the Vice-Chancellor, prior to submitting the promotion application, and include the written approval in their application.

#### **4.3.2 Head of organisational unit statement**

The role of an applicant's head of organisational unit (typically a Head of School or Centre Director) is to assist applicants in determining readiness for promotion by providing ongoing feedback about achievement across the three core areas of academic work, relative to opportunity.

As part of the promotion process, the head of organisational unit will be responsible for providing a written statement to be submitted with the application. The statement should contain a description of the applicant's achievements against each of the core areas of academic work, relative to opportunity, with a specific focus on verifying the stated achievements of the applicant. The head of organisational unit may consult with other Employees whose judgements they believe may be helpful in completing this statement.

The head of organisational unit statement is not confidential and will be viewed by both the applicant and the committee as part of the promotion process.

#### **4.3.3 Achievement relative to opportunity**

Applicants may outline their achievement relative to opportunity, taking into account factors such as career breaks, gender, family or other factors which may have resulted in an alternative profile in one or more of the criteria, or limited their career progression. Applicants should refer to the Application of the Principle of Achievement Relative to Opportunity to Academic Promotion - Guidelines for further Information/guidance.

## 4.4 Criteria for promotion

### 4.4.1 Academic qualification or Equivalent Standing

For promotion to Levels C, D and E, applicants must have a doctoral qualification in the relevant discipline area, or provide evidence that Equivalent Standing has been obtained. Obtaining Equivalent Standing is a separate process that must be completed by the applicant prior to academic promotion. The process to apply for Equivalent Standing is outlined in the Determining Equivalent Standing for Academic Promotion Schedule.

### 4.4.2 Achievement in core areas of academic work

Applicants will be assessed on their performance, achievement, and impact across the following core areas of academic work: Teaching; Research; and Service. Each core area of academic work is defined as:

- **Teaching** (includes Teaching and the Scholarship of Learning and Teaching)

Teaching is a creative activity designed to foster Student's learning, their ability and desire to undertake scholarly work, and their personal development and creativity. Teaching draws upon the professional and disciplinary expertise of Employees and is continually revitalised by research, scholarship, consultancy or professional practice. Teaching includes the design, implementation and evaluation of curriculum materials for all modes of delivery.

Scholarship of Learning and Teaching refers to scholarly inquiry into Student learning which advances the practice of teaching by making research findings public.

Teaching and the Scholarship of Learning and Teaching includes face-to-face classroom teaching; the various modes of distance education teaching (including online mode, the preparation of print, voice, visual or electronic materials and contact with Students directly or by telephone, computer link, or video link); the teaching or groups other than Award Students (including fellow Employees); postgraduate supervision; curriculum, Course and instructional design; education leadership and scholarship associated with learning and teaching.

- **Research** (includes Research and Original Achievement)

Research refers to activities that result in the creation of new knowledge and/or the use of existing knowledge in a new and creative way so as to generate new concepts, methodologies and understandings. This could include synthesis and analysis of previous research to the extent that it leads to new and creative outcomes.

Research and original achievement encompasses all forms of original intellectual or

cultural achievement including: research, exhibitions, performance, unique consultancy and the leadership, scholarship, publication, commercialisation and Information/technology transfer associated with these activities.

- **Service** (includes to the University, Community and Profession, including Engagement)

Service relates to the need for Academic Employees to contribute in an appropriate and sustained way to the corporate life of the University, the community good and the development of their profession in domains such as; contribution to the formulation and implementation of academic Policy; the initiation (or active maintenance) of linkages between the University and the community, employers of graduates and professional institutions.

Applicants, in consultation with their Supervisor, will nominate the percentage weight they wish to be given in each core area of academic work for consideration by the University Promotion Committee in assessing their application. Applicants should focus their application on their achievements over the last five years, or since their last promotion or appointment to the University (if occurred within the last five years).

Weightings assigned by an applicant must have a minimum of 20% in each core area of academic work (unless an applicant applies for promotion as 'research-focused' or 'teaching-focused'), and must total 100%. In determining the weightings, applicants must take into consideration areas of strength and achievements in each category. The ranges for each are:

Core Area of Academic Work	Teaching and Research	Research-focused	Teaching-focused
Teaching	20-70%	0-70%	20-90%
Research	20-70%	20-90%	0-70%
Service	10-40%*	10-40%*	10-40%*

\* = Academic Employees employed in leadership positions (Dean, Associate Dean, Head of School/College, Deputy Head of School/College, Associate Head, Institute Executive Director, Centre Director) at the time of submitting their application may weight service up to 80%.

## 4.5 Application Assessment

### 4.5.1 University Promotion Committee

A University Promotion Committee will be formed as per the applicable Terms of Reference to assess all applications for promotion. The committee will consider all applications before recommendations for promotion are made to the Vice-Chancellor.

## 4.5.2 Guidelines for assessment

The committee will review each application to determine whether the academic qualification or Equivalent Standing requirements have been met for the level of promotion sought, as per the criteria outlined in 4.4.1.

The committee will also assess each application and rate each core area of academic work based on the evidence provided in the application and any supporting documentation against the criteria outlined in 4.4.2. While the committee will consider the applicant's achievements over their entire career, the emphasis will be on achievements over the last five years, or since their last promotion or appointment to the University.

Each core area of academic work will be rated according to the following performance descriptors.

Description	Definition
Distinguished	Outstanding performance by national or international standards, placing the applicant in the top echelon of their professional peer group*.
Meritorious	High level of performance denoting the applicant clearly as a leader among their peers*.
Highly Commendable	Performance at the level sought, or that consistently demonstrates potential to perform at the level sought.
Commendable	Commendable performance above routine at the applicant's present level, but does not consistently demonstrate potential to perform at the level sought.
Satisfactory	Satisfactory performance at a level necessary for the performance of professional activity at the applicant's present level.
Less than Satisfactory	Less than satisfactory performance at a level necessary for the performance of professional activity at the applicant's present level.

Each applicant will be given a numerical equivalent score according to the following:

Performance Descriptor	Numerical Equivalent	Teaching (weighting%)	Research (weighting%)	Service (weighting%)
Distinguished	9			

Meritorious	8			
Highly Commendable	7			
Commendable	6			
Satisfactory	5			
Less than Satisfactory	4			
Total (WPA)*				

*\* WPA here means Weighted Performance Average, being the weighted aggregate of performance across the core areas of academic work. Each numerical equivalent score will be multiplied by the percentage weighting given by the applicant to each core area of academic work to form a Weighted Performance Average. Applicants must be awarded a WPA of 7 (and meet the academic qualification or Equivalent Standing requirements) in order to be promotable.*

\* For the purposes of this Procedure the peer group of an applicant is defined as those Academic Employees of Australian universities in the same discipline at the present level of the applicant, and with the same area of focus.

The academic performance and achievements of each applicant, as presented in the application, are to be evaluated in relation to the norms that prevail in the applicant's particular discipline or field, and relative to opportunity.

This means that in terms of expectations for activity and output, consideration will be given to the fraction at which an applicant is employed, periods of absence, and/or personal circumstances. Where Information about an applicant's personal circumstances is provided, that Information will remain confidential to the assessing committee.

During the assessment, the committee will assess the application having regard to:

- actual performance and achievement at the applicant's current level relative to opportunity;
- performance and achievement at the level being sought AND demonstrated potential to perform at the level being sought;
- position classification standards for their current level of appointment and the level of appointment sought; and
- the USQ Academic Employee Expectation Framework.

Inherent in this approach is the expectation that, as the level of promotion being sought

increases, the nature of the performance, impact and achievement shifts from the conduct of an activity to the leadership, supervision and management of the activity.

Further consideration should be given to the relativity of teaching and research achievements in situations where employees have been substantively employed in roles that are heavily focused on service, for example, Heads of School, Centre Director.

Following the completion of the assessment, the University Promotion Committee will review the applicant outcomes, formulate an overall ranking, and forward their recommendations to the Vice-Chancellor for a Decision.

The committee may recommend that an applicant be promoted over more than one level. In such cases, additional Information including external referee reports may be sought.

The Vice-Chancellor's Decision is final.

### **4.5.3 Interviews**

The purpose of interviewing promotion applicants is to gather more Information in support of their application for promotion; interviews may provide an additional source of Information in the Decision-making process.

#### **4.5.3.1 Promotion to Level C**

Interviews will be at the Committee's discretion. Applicants may be interviewed when further clarification is required on selected matters within the application. The chair of the committee will make the final Decision as to whether an applicant is required to attend an interview.

#### **4.5.3.2 Promotion to Levels D and E**

Applicants for promotion to levels D and E may be interviewed at the discretion of the panel.

<b>Initial Weighted Performance Average</b>	<b>Interview</b>
Below 6.5	No interview
6.5 to less than 7	Interview
7 and above	No interview

The initial Weighted Performance Average will be calculated via a desktop assessment of the application by all members of the University Promotion Committee. All applications will be assessed according to section 4.5 of this Procedure.

Regardless of the initial Weighted Performance Average of an application, the committee may interview any applicant to clarify any aspect of their application.

For those applicants invited to attend an interview, interviews will be conducted, as far as is practicable, during the time period outlined in the assessment schedule. Interview dates and times will be conveyed to applicants as early as possible to ensure availability. All Level D and



Level E applicants must be available for face-to-face interviews unless there are unavoidable and extraordinary circumstances.

The Chair of the committee may allow a phone or video interview in exceptional circumstances only.

#### **4.5.4 Outcomes and notification**

Promotion Decisions will be made by the Vice-Chancellor, on behalf of Council, with due regard to recommendations of the University Promotion Committee. Applicants will be informed of the Decision in writing.

All applicants may request a meeting with the Chair of the University Promotion Committee to discuss feedback. An applicant's Supervisor may also be present at the feedback meeting.

It is strongly recommended that applicants share their feedback with their Supervisor in order to develop a plan to address the topics raised in the feedback for progress towards future promotion applications.

Successful applicants will be appointed at Step 1 of the salary classification to which they are promoted. Successful promotions take effect on 1 January of the following year. However, a successful applicant may begin using their new title as of the date of the formal written advice informing them that their application has been successful.

## **4.6 Appeals**

An applicant may Appeal only on the grounds of process. The Appeal process is subject to the same expectations of confidentiality as the promotion round itself.

The Appeal must be in writing and forwarded to the Chief People Officer within four weeks of notification of the outcome of the application for promotion.

The Chief People Officer will refer the Appeal to the University Promotion Appeals Committee as defined in the Terms of Reference.

The recommendations of the University Promotion Appeals Committee will go to the Vice-Chancellor for Decision.

Where an Appeal results in an appellant being promoted, that promotion will take effect from the date at which it would have occurred if the University Promotion Committee had decided to recommend promotion.

The Vice-Chancellor or nominee's Decision is final and there will be no right of Appeal on the Appeal Outcome.

## **5 References**

Nil.

## 6 Delegated Responsibilities

Approver	Level of Delegation
Vice-Chancellor	Approval of promotion outcomes.

## 7 Schedules

This procedure must be read in conjunction with its subordinate schedules as provided in the table below.

## 8 Procedure Information

<b>Accountable Officer</b>	Chief People Officer
<b>Responsible Officer</b>	Chief People Officer
<b>Policy Type</b>	University Procedure
<b>Policy Suite</b>	<a href="#">Performance, Development and Recognition Policy</a>
<b>Subordinate Schedules</b>	<a href="#">Determining Equivalent Standing for Academic Promotion Schedule</a>
<b>Approved Date</b>	13/4/2022
<b>Effective Date</b>	13/4/2022
<b>Review Date</b>	13/4/2025
<b>Relevant Legislation</b>	<a href="#">USQ Enterprise Agreement</a>
<b>Related Policies</b>	
<b>Related Procedures</b>	<a href="#">Performance Planning and Review Procedure</a> <a href="#">Position Descriptions and Position Classification Standards Procedure</a> <a href="#">Promotion to Level B for Academic Employees Procedure</a>
<b>Related forms, publications and websites</b>	<a href="#">Guide for Applicants - Level A to B</a> <a href="#">Guide for Applicants - Levels C to E</a> <a href="#">People Portfolio Website</a>

[Performance Planning and Review](#)

[Terms of Reference - University Promotion Committee](#)

[Terms of Reference - University Promotion Appeals Committee](#)

## Definitions

### Terms defined in the Definitions Dictionary

#### [Appeal](#)

A formal, written request made by a Student or Employee to a higher authority to have a Decision overturned.

#### [Award](#)

The qualification conferred upon a Student following the successful completion of an Academic Program. The categories of Award are listed in the Program Nomenclature Schedule.

#### [Course](#)

A discrete element of a program, normally undertaken over a single Teaching Period, in which the Student enrolls, and on completion of which the Student is awarded a grade.

#### [Decision](#)

A determination made by an Employee, contractor or other authorised delegate in the course of their duties on behalf of the University.

#### [Employee](#)

A person employed by the University and whose conditions of employment are covered by the USQ Enterprise Agreement and includes persons employed on a continuing, fixed term or casual basis. Employees also include senior Employees whose conditions of employment are covered by a written agreement or contract with the University.

#### [Information](#)

Any collection of data that is processed, analysed, interpreted, organised, classified or communicated in order to serve a useful purpose, present facts or represent knowledge in any medium or form. This includes presentation in electronic (digital), print, audio, video, image, graphical, cartographic, physical sample, textual or numerical form.

#### [Policy](#)

A high level strategic directive that establishes a principle based approach on a subject. Policy is operationalised through Procedures that give instructions and set out processes to implement a Policy.

### Procedure

An operational instruction that sets out the process to operationalise a Policy.

### Research Activities

Refers to activities that result in the creation of new knowledge and/or the use of existing knowledge in a new and creative way so as to generate new concepts, methodologies and understandings. This could include synthesis and analysis of previous research to the extent that it leads to new and creative outcomes.

### Scholarship of Learning and Teaching

Scholarly inquiry into Student learning which advances the practice of teaching by making research findings public.

### Student

A person who is admitted to an Award Program or Non-Award Program offered by the University and is: currently enrolled in one or more Courses or study units; or not currently enrolled but is on an approved Leave of Absence or whose admission has not been cancelled.

### University

The term 'University' or 'USQ' means the University of Southern Queensland.

## **Definitions that relate to this procedure only**

### **Academic Employee**

Academic Employee means a person employed by the University of Southern Queensland to undertake academic work, and who is classified by the position classification standards in accordance with Clause 4.2.3 of the USQ Enterprise Agreement.

### **Supervisor**

Any person responsible for leading the activities of others. In the context of this Procedure, a Supervisor includes Employees at any classification level or title who have responsibilities for leading,

	managing or supervising work teams and/or individual Employees.
<b>Keywords</b>	Promotion, Appeals
<b>Record No</b>	15/38PL