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ACADEMIC PROMOTIONS

2017 POLICY & PROCEDURES

LODGEMENT DATES

ONE copy of the application must be lodged with the Dean's Unit by:

LECTURER

21 August 2017

SENIOR LECTURER

24 April 2017

ASSOCIATE PROFESSOR

15 May 2017

PROFESSOR

17 July 2017

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INTRODUCTION

This policy details how academic staff who can demonstrate sustained excellence in the strategic priorities of UNSW through research, education, social engagement, global impact and leadership may be promoted.

As academic staff progress through the promotion levels there is an expectation that:

- there will be an increase in the quality and impact of their core research outputs and/or core educational practices;
- their role in the promotion of scholarship will expand;
- their engagement with, and contribution to, their discipline will increase;
- they will demonstrate increasing leadership within the University, nationally and internationally; and
- their engagement with the social justice, thought leadership, knowledge transfer, partnership and global impact agendas of the UNSW strategy will expand.

Principles

The academic promotion policy is designed to align with the vision and priorities set out in the UNSW 2025 Strategy. In pursuing our vision and objectives, all staff are expected to demonstrate the following values:

- Integrity, professionalism, transparency and ethical decision making, inspiring openness, courage and trust;
- Respect − listening to and engaging with each other and with our communities;
- Embracing Diversity – promoting inclusion and valuing the contribution of all people; and
- Partnership − working in teams and collaborating to best serve our communities.

Further information on the values and behaviours we expect in our staff can be found at:

https://www.hr.unsw.edu.au/services/peopleandculture/UNSWBehaviours.html.

The values underpin EXCELLENCE which is the main driver for all that we do.

- The Deputy Vice-Chancellor Academic (for promotions up to the level of Associate Professor) and the Vice-Chancellor (for promotion to the level of Professor) will ensure that all applicants recommended for promotion have worked in a way that is consistent with the values of the University and that they have adhered at all times to the University's Code of Conduct. This assessment will normally be based on advice from the Head of School and Dean.
- Academic promotion is based solely on the merit of the case presented.
- Assessment of applications for promotion is made by a committee of peers through a process designed to enable a fair and consistent application of standards.

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- The University is committed to the principles of equity and a process conducted in a manner that upholds the principles of fairness and is free from direct and indirect discrimination.
- At all levels of promotion, the University may take into consideration performance and disciplinary matters before approving a promotion.
- The academic promotions policy and procedures apply to all academic staff who are eligible to apply for promotion.

ELIGIBILITY

- A promotion round will normally be conducted every year for all four promotion levels (Lecturer, Senior Lecturer, Associate Professor and Professor).
- There are no minimum time limits on employment at UNSW for an application for promotion.
- Each application for promotion is considered on its own merits - the outcome of any previous applications for promotion has no relevance in a current promotion round.
- An academic staff member whose application for promotion is unsuccessful can apply again in the subsequent year if there has been substantial progress against the promotion criteria.
- The Vice-President, Human Resources, will submit an annual Academic Promotion Timetable to the Deputy Vice-Chancellor Academic for approval. The timetable for academic promotion will be available on the HR web site at: http://www.hr.unsw.edu.au/employee/acad/acadprom.html
- Late academic promotion applications (after the published deadlines) will not be accepted.
- Applicants may withdraw their application at any time prior to the convening of the Faculty Promotions Committee.
- Academic staff may, under special circumstances, be promoted via the Out- of-Rounds promotion mechanism (refer to the Out-of-Rounds web link)

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DEFINITIONS

The following definitions apply for the purpose of this policy.

There are 3 categories of performance referred to in the documentation:

1. **Current performance (C)** – performing at a standard that is expected at the current level of appointment (1 point).
2. **Superior performance (Sup)** – performing clearly within the standard expected at the level above the current level of appointment (2 points).
3. **Outstanding performance (Out)** – performing well above the midpoint of the standard expected at the level above current level of appointment (3 points).

For each of these categories, performance at a particular level will reflect:

(a) comparison of the performance of the applicant with that expected of a member of the academic staff in like disciplines and at a similar career stage; and

(b) both overall performance over a number of years and recent trajectory.

Performance Relative to Opportunity

In line with UNSW's commitment to equality of progression for all staff and recognising that the traditional of full-time work and uninterrupted linear career trajectory no longer matches the profile of many staff, the principle of performance relative to opportunity will be taken into consideration in the promotion procedure. Such an approach acknowledges what has been achieved by an applicant, given the opportunities that have been available to them.

The consideration of achievement relative to opportunity supports UNSW's goal to attract and retain the best staff with a diverse range of personal characteristics, employment arrangements and career histories.

Assessing achievement relative to opportunity means that productivity is assessed relative to the actual time and specific opportunities available to the individual, while still maintaining a clear focus on the relevant performance standards, especially those relating to the quality and impact of the work. Candidates are assessed individually and not purely on a head-to-head comparative basis with other individuals in the pool.

Circumstances where the principle of performance relative to opportunity may be relevant include:

- ill health, disability or medical conditions;
- caring responsibilities for children, elderly parents or ill family members;
- part-time or flexible working arrangements; or
- career interruptions such as parental leave, work in a different field or late entry to academia.

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CRITERIA FOR ACADEMIC PROMOTION

- The application will be assessed on a portfolio of evidence presented by the applicant describing their **performance in each of three pillars of academic performance**;
    1. Research;
    2. Education; and
    3. Social Engagement, Global Impact and Leadership.
- A core area for assessment is where the applicant believes that he/she has made a significant contribution.
- In many instances, applicants will have made some contribution under each of the three pillars of academic performance. However applicants may also be promoted on the basis of an outstanding contribution in any two of the three pillars of academic performance.
- In terms of research performance there is an expectation that the applicant's research performance will be consistent with that expected amongst the top universities in Australia (adjusted for the discipline where relevant).
- In terms of contributions to Social Engagement, Global Impact and Leadership the applicant must demonstrate clearly how their contributions have added value to the institution, to the discipline, sector or community in the context of the UNSW 2025 Strategy.
- Applications for promotion at all levels should highlight any leadership contributions they have made. Particularly for the higher levels of promotion (Level D and Level E), there is a requirement for increasing external recognition and demonstrated leadership in the discipline extending beyond UNSW.
- Although promotion depends primarily on demonstrated ability and achievement since the applicant's appointment to their current position, total career performance (including at other institutions) is also considered.
- Applicants are strongly encouraged to present clear and concise data to support their claims for promotion, for example, a graphical representation of research productivity or some measure of research quality over time.
- Evidence should be provided to substantiate claims of the quality and impact of the contributions made.
- In all areas of assessment, applicants are encouraged to focus on two or three important examples that best illustrate what they have achieved and its impact rather than catalogue every possible example.
- Applicants should appropriately cross-reference linkages in the application rather than repeat evidence.

Specific Standards of Contribution

- Applicants should refer to Schedule 3 of the *UNSW (Academic Staff) Enterprise Agreement (2015)* which specifies position classification standards.

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PRINCIPLES OF ASSESSMENT AGAINST EACH OF THE PILLARS OF ACADEMIC PERFORMANCE

The process of promotion is fundamentally based upon peer review of performance. The peers include the Head of School, the Referees, the Faculty Promotion Committee and, for promotion to Associate Professor and Professor, the University Promotion Committee.

The process is designed to make a holistic judgement as to whether the portfolio of performance justifies promotion within UNSW. Performance with respect to the three pillars of Education, Research, Social Engagement, Global Impact & Leadership will be considered against expectations of both the academic level and the balance of the individual's responsibilities.

The promotion process should neither favour nor disadvantage individuals who have a balanced Education, Research, Social Engagement, Global Impact & Leadership portfolio compared with those who are primarily focused in one or two areas. The process will assess performance in each of the three pillars and make a determination adjusted for academic level for Education, Research, Engagement & Leadership and assign one of 3 determinations;

- In each of the 3 areas for assessment (Education, Research, Social Engagement, Global Impact & Leadership), performance will be assessed as "outstanding", superior "current" or "less than current.
- **Below current performance** – performing at a standard that is less than expected at the current level of appointment (0 points).
- **Current performance** – performing at a standard that is expected at the current level of appointment (1 point).
- **Superior performance** – performing clearly within the standard expected at the level above the current level of appointment (2 points).
- **Outstanding performance** – performing well above the midpoint of the standard expected at the level above current level of appointment (3 points).

Applicants may also be promoted on the basis of an outstanding contribution in any two of the three pillars of academic performance. Applications will be considered as a whole and outstanding performance in one pillar can be balanced against a lower performance in another.

Expected levels of performance reflect both performance over a number of years and recent trajectory.

For a promotion to be successful, an applicant must achieve at least 6 points. This can be achieved by a combination of the following:

1. by achieving at least a superior rating in all three areas (2+2+2=6);
2. by achieving an outstanding rating in at least two areas (3+3=6);
3. by achieving an outstanding rating in one area, a superior rating in one area and a current rating in the third area (3+2+1=6).

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The following tables provide examples of possible combinations.

Table 1 A pattern of performance for a promotable member of the academic staff where there have been core contributions in all three pillars of performance

	Education	Research	Social Engagement, Global Impact & Leadership	Points
Outstanding (3 points)				**0**
Superior (2 points)	**X**	**X**	**X**	**6**
Current (1 point)				**0**
Below Current (0 points)				**0**
			Total	**6**
			Outcome	**Promote**

Table 2 A pattern of performance for a promotable member of the academic staff where Education is identified as the core area for assessment

	Education	Research	Social Engagement, Global Impact & Leadership	Points
Outstanding (3 points)	**X**			3
Superior (2 points)			**X**	**2**
Current (1 point)		**X**		**1**
Below Current (0 points)				**0**
			Total	**6**
			Outcome	**Promote**

Table 3 A pattern of performance for a promotable member of the academic staff where Education is identified as the core area for assessment

	Education	Research	Social Engagement, Global Impact & Leadership	Points
Outstanding (3 points)	**X**		**X**	6
Superior (2 points)				**0**
Current (1 point)				**0**
Below Current (0 points)		**X**		**0**
			Total	**6**
			Outcome	**Promote**

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Table 4 A pattern of performance for a promotable member of the academic staff where Research is identified as the core area for assessment

	Education	Research	Social Engagement, Global Impact & Leadership	Points
Outstanding (3 points)		X		3
Superior (2 points)			X	**2**
Current (1 point)	X			**1**
Below Current (0 points)				**0**
			Total	**6**
			Outcome	**Promote**

Table 5 Another pattern of performance for a promotable member of the academic staff where Research is identified as the core area for assessment

	Education	Research	Social Engagement, Global Impact & Leadership	Points
Outstanding (3 points)		X	X	6
Superior (2 points)				**0**
Current (1 point)				**0**
Below Current (0 points)	X			**0**
			Total	**6**
			Outcome	**Promote**

Table 6 A pattern of performance for a promotable member of the academic staff where Social Engagement, Global Impact and Leadership is identified as the core area for assessment

	Education	Research	Social Engagement, Global Impact & Leadership	Points
Outstanding (3 points)			X	3
Superior (2 points)		X		**2**
Current (1 point)	X			**1**
Below Current (0 points)				**0**
			Total	**6**
			Outcome	**Promote**

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Table 7 An example of a member of the academic staff where Research is identified as the core area for assessment BUT who would not be promoted

	Education	Research	Social Engagement, Global Impact & Leadership	Points
Outstanding (3 points)		**X**		3
Superior (2 points)				**0**
Current (1 point)	**X**		**X**	**2**
Below Current (0 points)				**0**
			Total	**5**
			Outcome	**Do Not Promote**

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PROCEDURES

This document sets out the application procedure to be followed in relation to academic promotion at UNSW.

Consultation with the Dean and Head of School

Staff should seek advice from their Head of School before initiating an application for promotion. Deans and Heads of School cannot withhold an application for promotion.

Applicants should consult with the Dean if they believe that special circumstances are relevant for a fair assessment of their application.

Head of School Report

It is the responsibility of the applicant to ensure that a copy of the application is given to the Head of School with sufficient time to allow the Head of School to complete their report before the application is submitted. In unusual circumstances (*e.g.* the applicant is the Head of School, or the Head of School is a recent appointee), it may be more appropriate for someone else (such as the previous Head of School) to write the report.

The applicant has the right to view and sign the Head of School report. An applicant may provide written comments to the Head of School report. Any such comments must be signed by both the applicant and the Head of School and attached to the initial report. The Head of School should not provide a counter response to the applicant's comments.

The applicant may choose to waive the right to view the Head of School's report. The Faculty Promotions Committee (and the University Promotions Committee if relevant) will be informed as to whether the Head of School report has or has not been viewed by the applicant.

The Head of School report will not be made available to referees.

Heads of School are required to use the Head of School report template that can be accessed on the HR website. The report is expected to address the following areas:

Research

- what would be expected in the discipline in terms of quality and quantity of publications and how the applicant has performed within the context of the nature of the role (the expected core activities);
- what would be expected in the discipline in terms of HDR supervision and how the applicant has performed;
- what would be expected in the discipline in terms of research grant funding and how the applicant has performed;
- information concerning an applicant's role in joint publications, research grants and postgraduate supervision and if relevant an applicant's individual contribution to collaborative team efforts;
- for applicants with a core educational focus, peer reviewed scholarly educational outputs and grants may be included under research;

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- for applicants with a core research focus applying for promotion at the Associate Professor level there is an expectation that applicants would have evidence of impact, recognition and leadership outside of UNSW;
- for applicants with a core research focus applying for promotion to Professor there is an expectation for evidence of impact, recognition and leadership at the national and international level.

Education

- what would be expected within the School in terms of teaching and how does the applicant compare – this might include the range and amount of teaching including, whether they are teaching courses judged to be difficult or challenging;
- what is the standard of the applicant's teaching? – this might include comments about course design and assessment, innovation, use of technology;
- the effectiveness of the applicant's teaching for example as shown through student feedback, peer review, and in terms of student achievement;
- what action the applicant has taken to develop their teaching in response to this feedback, as well as through involvement in development activities;
- for applicants with a core education focus applying for promotion at the Associate Professor level, there is an expectation that applicants would have evidence of impact, recognition and leadership outside of UNSW;
- for applicants with a core education focus applying for promotion to Professor, there is an expectation for evidence of impact, recognition and leadership at the national and international level.

Social Engagement, Global Impact & Leadership

- the applicant's achievements and contributions in social engagement, global impact and leadership roles;
- there is an expectation that all applicants for promotion (irrespective of the level) have made a contribution to the governance, strategic direction and planning, capacity building and/or development of inclusive cultures within UNSW;
- community engagement through contributions to local, national or global communities and/or through building partnerships with industries, with Government or with other organisations;
- contribution to the profession and or discipline through engagement in the governance of professional bodies; editing, refereeing, evaluation of research or other activities and/or through contribution of professional or disciplinary expertise to the community;
- contribution to the learning and teaching environment within UNSW, nationally and internationally;
- contribution to the knowledge transfer agenda of the UNSW 2025 Strategy;

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- contribution to the thought leadership agenda of the UNSW 2025 Strategy;
- contribution to the social justice agenda of the UNSW 2025 Strategy;
- contribution to the partnership agenda of the UNSW 2025 Strategy.
- contributions to school, faculty and university "citizenship" through committee membership, taking on executive roles, contributions to working parties, contributing to and driving Open Days and outreach activities; industry engagement; community engagement *etc.*

The Standing of the Referees

As part of the Head of School report, the Head of School is asked to provide a brief written summary on the standing of the referees nominated by both the applicant and those provided to the Dean (the list of independent referees).

Supplementary Head of School Report (optional)

Having read confidential referee reports solicited by Human Resources, the Head of School may present a written supplementary report to the Faculty Promotions Committee if they wish to comment on any issues raised in the confidential referee reports.

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Referee reports

Applicant Referees

- Applicants should discuss with their Head of School the referees that they propose to nominate;
- Applicants should seek the concurrence of referees before confirming the nomination of referees and should provide their nominated referees with a copy of their application;
- The Head of School, Dean or anyone directly involved in the assessment process may not be nominated as a referee;
- Applicants for promotion to Lecturer and Senior Lecturer should provide the names and contact details of two (2) people who may act as referees;
- Applicants for promotion to Associate Professor should provide the names of two (2) people who may act as referees and all referees nominated by the applicant must be external to the University;
- Applicants for promotion to Professor should provide the names of three (3) people who may act as referees. All referees nominated by the applicant must be external to the University.

Independent Referees nominated by the University

- For an application for promotion to Lecturer and Senior Lecturer, the University, on the recommendation of the Dean, will invite one additional referee who would be able to provide independent and authoritative advice on the application;
- For an application for promotion to Associate Professor, the University, on the recommendation of the Dean, will invite two additional referees who would be able to provide independent and authoritative advice on the application;
- For an application for promotion to Professor, the University, on the recommendation of the Dean, will invite three additional referees who would be able to provide independent and authoritative advice on the application;
- The Head of School will prepare, for the Dean's consideration, a panel of suitable referees. The panel should include a minimum of two referees for promotion to Lecturer and Senior Lecturer, a minimum of four referees for promotion to Associate Professor and a minimum of five referees for promotion to the level of Professor.
- The Head of School should contact potential independent referees prior to the submission of a panel list to the Dean to determine whether those on the list are prepared to act as an independent referee if contacted by the university.
- The applicant should have the right to comment on the suitability of the referees that have been provided to the Dean by the Head of School.
- The Dean will determine which referees are chosen from the list provided by the Head of School and will ensure that appropriate referees are selected in terms of providing an independent assessment of an application.

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- The emphasis is on ensuring that appropriate and suitably qualified independent referees are obtained (usually not former supervisors or co-authors) with the greatest weight given to those independent referees from highly recognised peer universities or equivalent institutions.
- All independent referees for promotion to both level D and E must be external to the University.
- The Dean will advise the Academic Promotions Manager of the name and contact details of the referee/s selected from the panel.
- The applicant should not be advised of the Dean's final selection/selections.

Viewing of Referees Reports

- Reports from referees will be requested in confidence;
- The Head of School and applicant's observer may view all referee reports prior to attending a Faculty Promotion Committee meeting;
- The referee reports will be made available to such appropriate people by the Academic Promotions Manager;
- Copies of the reports will again be made available to the Head of School and applicant's observer at the interview;
- Referee Reports are strictly confidential and members of promotion committees, as well as others who have the right to view such reports are bound by confidentiality. Under no circumstances should the contents of confidential referee reports be discussed or made available to applicants.

Testimonials

Unsolicited personal references and letters of support, aside from those references specifically requested by the University, will not be considered. Including additional unsolicited letters of support in an application may detract from the overall assessment of the portfolio and is not recommended.

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Format of the application

The application should be presented in the following sequence:

1. Completed Application for Academic Promotion Summary form (Form A);
2. The *pro-forma* executive summary page that highlights the key areas of contribution that best illustrate the quality and impact of the applicants' research, education, social engagement, global impact and leadership contributions;
3. The case for promotion (9 page maximum);
    - The case for promotion will include a research, education, social engagement, global impact and leadership case;
    - Applicants should clearly outline the context in which they work and the balance of their contributions across the three key pillars of research, education, social engagement, global impact and leadership;
    - The case for promotion must be typed in size 11 or larger font, presented as single sided A4 paper with pages numbered; the application should not be bound but held together by a fold back clip or paper binder;
    - Evidence should be provided within the body of the application to substantiate claims of quality and impact of contributions made;
    - It is not necessary for applicants to provide a folder of supporting documentation or materials, however, applicants may be called upon at the time of their interview to provide a particular source of evidence or supporting material, for example, a particular research publication or teaching evaluations;
    - Applicants will be informed in advance of the Faculty Promotions Committee meeting if such supporting evidence is required.
4. Completed Research and Educational Activities Form (Forms B) – Both Form A and B are not included in the case for promotion page limit.
    - The Head of School report and the confidential referee reports are added to the application by the Academic Promotions Manager.

Submitting the application

Academic promotion applications must be submitted in hard copy to the relevant Dean's unit by the due date.

Applicants are also required to send an electronic copy of their application (the 9 page application along with Form B only) to the Academic Promotions Manager in Human Resources.

It is the responsibility of the Dean's unit to ensure that the application has been signed by the Dean and that the appropriate number of independent referees (depending on the level of promotion) has been provided.

The Dean's unit will ensure that all applications that have been received are submitted to the Academic Promotions Manager within two working days after the official closing date.

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DECISION-MAKING PROCESS

This section sets out the Faculty and University decision-making process followed in relation to academic promotions at UNSW.

Faculty Promotion Committees (FPC)

In the case of applications for promotion to Lecturer and Senior Lecturer, the FPC is required to make recommendations, with justification, to the Deputy Vice-Chancellor Academic as to which applicants should be promoted and which applicants should not be promoted.

In the case of applications for promotion to Associate Professor and Professor, the FPC is required to make recommendations which will be further considered by a University Promotions Committee that will make recommendations, with justification, to the Deputy Vice-Chancellor Academic in the case of Associate Professor and to the Vice-Chancellor in the case of Professor as to which applicants should be promoted and which applicants should not be promoted.

Composition

- Faculty Promotion Committees (FPC) shall have the following membership:
  - Dean (Presiding Member) *ex officio.*
  - Up to five (5) committee members from the Faculty nominated by the Dean.

  The term of office for these members is three (3) years.
  - At least two members should have expertise in reviewing contributions to education.
  - At least one (1) member from another Faculty or from another University and approved by the Deputy Vice-Chancellor Academic, whose term of office is for a maximum of two (2) years.
- All members must hold at least the same rank as that for which candidates are being considered. With the exception of *ex-officio* members, the Dean should make every effort to ensure that representation is included from an applicant's broad subject area.

  The Presiding Member may co-opt to the committee one further member to ensure representation from the applicant's broad subject area, where this is not achieved through the normal membership.
- It may not be possible to constitute a faculty committee where all applicants' broad subject areas are represented, but in special cases where an applicant believes that this is necessary, then prior consultation with the Dean should be undertaken.
- All committees must include male and female members. At least one-third of the FPC should be female and at least one-third of the FPC should be male.
- No member of an FPC, other than the Dean, may serve consecutive terms. However, at the discretion of the Dean, a member (or members) may be appointed to serve an additional term in order to maintain a degree of continuity within the committee membership.

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- The Presiding member of the FPC must identify if any FPC member has a real or perceived conflict of interest with any applicant. The Presiding Member must appropriately manage that conflict of interest and document how the conflict of interest is managed.
- A quorum for an FPC is five (5).

Terms of Reference

The FPC will take into account:

- the application documents and any additional materials referred to and made available by the applicant;
- the Head of School report; and
- confidential reports from referees.

Process

- All applicants are provided with the opportunity to be interviewed by the FPC.
- Members of FPC must provide advance notice of the need to view evidence or specific questions that they may have for candidates.
    - This is particularly important when some facts in the application need to be clarified e.g. the number of citations or number of students in a course.
    - Both the Head of School and the applicant will receive these questions at least one day prior to the interview.
- Applicants may nominate another member of the academic staff of the University, who has knowledge and expertise relevant to the application, to attend the interview with the Head of School as an observer.
    - a nominated referee is not permitted to act as an observer. The Head of School and observer are not advocates; they are not permitted to introduce new information nor make personal comments on the application;
    - The Head of School and the observer will meet with the Faculty Promotions Committee before, during and after the interview and may take part in the committee discussion but must not be present when voting on applicants is conducted.
- Where an applicant has nominated a colleague to attend the interview, then the nominated colleague must be available to attend the applicant's scheduled interview in person. No provision will be made for a nominated colleague to be involved in the interview process other than face-to-face in person.
- The interview provides applicants with an opportunity to further their claims for promotion and for members of the promotion committees with an opportunity to seek explanations or clarifications on matters within a promotion application from the applicant and /or Head of School.

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- In the event that applicants receive significant information that they believe is relevant to their application, after they have submitted their application but before the Faculty Promotion Committee convenes, they may present an update of no more than one page to the Presiding Member of the promotion committee at the time of the interview.
- Applicants who are unable to attend a prearranged interview have the option of:
    - agreeing to be considered *in absentia*;
    - returning to UNSW for the interview at their own expense;
    - being interviewed by conference telephone or video conference at the expense of the Faculty;
    - deferring their application until a new round when they are available for interview.
- All FPC members must vote either for or against a promotion for each applicant. The vote is by secret ballot but the outcome must be known and recorded.
    - For applicants to Lecturer and Senior Lecturer, no more than one member of the FPC may vote against promotion for the FPC to recommend promotion.
- For applicants to Associate professor or Professor, no more than two members may vote against promotion if the FPC is to recommend promotion.
- The FPC reserves the right to consider other data or relevant information beyond the application, such as, the outcome of grant applications, recent teaching evaluations or the assessment of a relevant Faculty Tenure Appointment Committee.

The FPC Report

- The Presiding Member, on behalf of the FPC, must prepare a list of applicants and indicate those recommended for promotion and those not recommended for promotion with the voting numbers included.
    - It is the responsibility of the Presiding Member to provide a justification for the recommendations, with reference to the relevant criteria.
    - The FPC report should clearly spell out the perceived strengths and weaknesses of the application to justify the FPC recommendation;
    - Particularly if the vote is not unanimous, the reason(s) for the divided opinions should be made clear.
    - The report must be signed by all members of the FPC. Members may have a dissenting report attached if they wish.

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University Promotion Committee (UPC)

The primary role of the UPC is to consider the applications for promotion to Associate Professor and to Professor, together with the recommendations from the corresponding FPCs, and to make a recommendation to the Deputy Vice-Chancellor Academic for promotion to the level of Associate Professor and to the Vice-Chancellor for promotion to the level of Professor as to which applicants should be promoted and which applicants should not be promoted.

There is an expectation that the standards required for promotion to Associate Professor and Professor are applied uniformly across the University.

Composition

- The University Promotion Committee (UPC) shall have the following membership:
  - A Deputy Vice-Chancellor, nominated by the Vice-Chancellor – Presiding Member (*ex officio*).
  - President, or a Deputy President, Academic Board (*ex officio*).
  - Eight (8) members appointed by the Vice-Chancellor including two (2) members of the professoriate chosen in consultation with the President of the Academic Board.
  - One member who is a senior member of the academic staff from another university.
- All members of the UPC must be at least at the level for which applications are under consideration. However, members of the academic staff from outside the University whose rank may be below that of the level for which candidates are being considered, but who possess relevant special knowledge, may be included in the Committee membership.
- Except for *ex officio* and external members, the term of office of members of the UPC is three (3) years.
- The term of office of the external member is two (2) years.
- All committees must include male and female members. At least one-third of the FPC should be female and at least one-third of the FPC should be male.
- Except for *ex officio* members, no member of the UPC may serve for two (2) consecutive terms. However, at the discretion of the Vice-Chancellor or the Deputy Vice-Chancellor Academic, a member or members may be appointed for to serve an additional term in order to maintain a degree of continuity within the committee membership.
- A staff member may not be a member of an FPC and a UPC for the same promotion level.
- Deans are not eligible for membership for the UPC.
- A quorum for a UPC is ten (10).
- The Presiding member of the UPC must identify if any UPC member has a real or perceived conflict of interest with any applicant. The Presiding Member must appropriately manage that conflict of interest and document how the conflict of interest is managed.

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Terms of Reference

There will be two (2) UPC meetings each year: One to consider applications for promotion to Associate Professor, and a second to consider applications for promotion to Professor. The UPC will take into account:

- the application;
- documents and materials referred to and made available by the applicant;
- the Head of School report; and
- confidential reports from referees.

Process

- Deans may be interviewed by the committee, individually. The purpose is specifically to clarify issues and respond to questions by the Committee members.
- Applicants are not interviewed by the Committee.
- A vote will be taken as to whether each applicant should be promoted. If there are more than three negative votes amongst the UPC members, the applicant will not be promoted.
- If the UPC's resolutions differ from the recommendations of a Faculty Promotion Committee, the Presiding Member of the UPC will provide feedback to the Presiding Member of the FPC.
- The University Promotions Committee reserves the right to consider other data or relevant information from sources beyond the application *e.g.* the outcomes of recent competitive grant applications.

Approvals and Effective Date of Promotion

All promotions up to the level of Associate Professor will be approved by the Deputy Vice-Chancellor Academic and promotions to the level of Professor will be approved by the Vice-Chancellor. The effective dates of promotions are set out below:

Lecturer, Associate Professor and Professor: 1 January of the following year.

Senior Lecturer: 1 July of the current year.

Feedback to Unsuccessful Candidates

If requested, feedback will be provided by the Presiding Member of the FPC to applicants who unsuccessfully applied for promotion to Lecturer or Senior Lecturer, and by the Presiding Member of the UPC to applicants who unsuccessfully applied for promotion to Associate Professor or Professor. Such feedback normally would be conveyed to the Head of School (for applicants for Lecturer and Senior Lecturer and to Deans for applicants for Associate Professor and Professor).

Feedback to unsuccessful candidates is for professional development purposes and may not be used as grounds for appeal.

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Appeals

There is no provision for an appeal against unsuccessful application other than in cases where the applicant has reason to believe there has been a significant procedural irregularity.

An appeal on procedural grounds must be made within ten (10) working days of the notification of the results of an application for promotion.

Appeals must be in writing and directed to the Vice-President, Human Resources. The appeal must specify the alleged breach of procedures and indicate how it is perceived that the alleged breach may have influenced the promotion outcome.

The Vice-President, Human Resources, in consultation with the relevant Dean and the Deputy Vice-Chancellor Academic or Vice-Chancellor, will ensure that the appeal is investigated and on the basis of that investigation, may determine either:

- that there was no procedural irregularity and that the appeal has been dismissed; or
- that there was procedural irregularity but that there is no evidence to suggest that it would have materially affected the outcome of the application; or
- that there was procedural irregularity and that it may have materially affected the outcome of the application. In such cases, the application will be referred back to the appropriate Promotion Committee for reconsideration, or alternative and appropriate action taken.

The Vice-President, Human Resources shall advise the appellant of the outcome of the appeal in writing.

There is no further avenue of appeal within the University.

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Faculty Specific Guidelines for promotion.

A number of Faculties have provided additional discipline-specific guides to promotion and these are available on the HR website at:

https://www.hr.unsw.edu.au/employee/acad/acadprom.html

1. **Faculty of Law** - Faculty specific guidelines for promotion.
2. **Faculty of Medicine** - Faculty specific guidelines for Applied Biostatisticians.

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