

Academic Promotion Procedures

Section 1 - Overview

(1) These procedures provide guidance on the application of the UNE Academic Promotion Policy.

Section 2 - Procedures

Information Sessions for candidates and supervisors

(2) It is highly recommended that prospective candidates attend a promotion information session in the year prior to applying for promotion as well as the year an application is to be submitted.

(3) Supervisors of staff applying for promotion are expected to attend the Supervisor's Information Session.

Candidates register their intention to apply

(4) Prospective candidates must discuss their intention to apply for academic promotion with their supervisor. Further, this intent would normally have been stipulated through the Performance Planning Development and Review process.

(5) Where the supervisor is not the Head of School (HoS), the supervisor will ensure the HoS is informed of the candidate's intention to apply for promotion (prior to the key date provided by Human Resource Services for registration)

(6) The HoS provides the list of staff in their school who are intending to apply for promotion to Human Resource Services. This will occur in the manner and by the key date indicated at the Academic Promotion section of the Human Resource Services web site.

(7) Where an application is considered to be premature, the supervisor will provide advice to assist in a future application and develop an action plan with the staff member.

Promotion round opens

(8) The University will normally adhere to the Schedule and Timeline for Academic Promotion Process at Annexure A of these Procedures.

(9) All relevant documentation and key dates for candidates and supervisors will be available on the Human Resource Services Academic Promotion web site.

(10) Candidates are encouraged to seek advice early in the promotion round with their supervisor to discuss timely completion of the Application for Promotion form.

(11) Candidates must not consult or discuss their application with Promotion Committee members (published on the Academic Promotion web site) and if applying for Level D or E, with any person identified on their list of potential assessors, once submitted to the Head of School (HoS). It is assumed candidates will confirm the assessors are willing to write the report, before submitting the nominated assessors form to the HoS.

(12) The University recognises that unforeseen or exceptional circumstances may arise from time to time, preventing candidates from adhering to submission dates. In such circumstances a candidate may, with the support of the HoS, apply to the Chair for consideration of an extension to the submission date.

(13) A request for extension of the application closing date must be made to Human Resource Services by the candidate, and accompanied by a draft application of their submission. The request must be received no later than five (5) days prior to the closing date for applications. In the event that the request is successful, an extension of up to two weeks may be granted.

Candidates prepare their case for academic promotion

(14) Academic promotion is based upon merit, and as such, cases should reflect meritorious achievements and service undertaken since a candidate's appointment, or promotion, to their current level.

(15) Cases for promotion must include:

- a. Evidence of the candidate's capacity to perform at the level to which they are seeking promotion; and
- b. Clear evidence of a performance trajectory that would warrant advancement to the next level.

(16) Candidates are required to complete an Application for Promotion form, available from the Academic Promotions section of the Human Resource Services website. More specific details regarding the requirements for the completion of an application are provided as Guidelines to these procedures.

(17) Weightings:

- a. Candidates are required to allocate weightings to each of the categories of research, teaching and service based on their demonstrated workload.
- b. Weightings as indicated by candidates will be confirmed by their HoS/Supervisor. If the specified weightings are not aligned to the balance of teaching, research and services in their demonstrated workload, this will be indicated by the Supervisor in the Supervisor's report.
- c. Candidates applying for promotion to Level D and E are expected to demonstrate leadership.

Candidates lodge applications — academic promotion round closes

(18) All candidates must lodge their completed and signed application by 5pm on the closing date of the promotion round.

HRS source assessors and collect supervisor's reports

(19) Assessors will be required for Level D and Level E candidates only:

- a. For promotion to Level D: the candidate must nominate five (5) potential assessors where the supervisor will select two (2).
- b. For promotion to Level E: the candidate must nominate six (6) potential assessors where the supervisor will select three (3).

(20) Nominated assessors should be recognised at a national or international level in the candidate's discipline. They must also be at or above the Academic level to which the candidate is applying. It is advisable to include assessors, external to UNE.

(21) The relevant form for nomination of assessors is available at the Academic Promotions section of the Human Resource Services web site.

(22) The HoS will select assessors and confirm that they are willing to assess the application. Assessors will be able to submit their reports to Human Resource Services as per the key date on the Academic Promotions section of the Human Resource Services website.

(23) The identity of assessors chosen by the HoS is confidential.

(24) Supervisor's reports:

- a. A Supervisor's report will provide an evidenced-based assessment of the application against the criteria provided. Submission of the supervisor's report to HRS by the key date indicated will include verification that the candidate has met with the supervisor prior to submission of application for promotion.
- b. The supervisor's report will indicate whether or not the supervisor supports the application for promotion.
- c. Where there are special circumstances, for example a recent change to a HoS, the [Undefined Division/Position]Provost and Deputy Vice-Chancellor may assign an alternate supervisor, either at the request of the candidate or after consultation with the candidate.
- d. Supervisor reports are due for submission to Human Resource Services as per the Key Date on the Academic Promotion section of the Human Resource Services website.

(25) The candidate may submit a rebuttal of an adverse comment contained in a supervisor's report, within five (5) days of receiving the supervisor's report. A copy of the rebuttal must be provided to the supervisor with the signed supervisor's report.

(26) The supervisor must email a pdf of these report(s), with all relevant signatures, to Human Resource Services by the key date indicated.

(27) Additional Information:

- a. Candidates may provide additional information that may have become available following the lodgement of their application.
- b. The nature of the additional information is to:
 - i. clarify or update information referred to in their original application, such as the success of a grant application previously listed as 'pending'; or
 - ii. provide new information about a fact or event that significantly strengthens their case for promotion, such as the receipt of an award.
- c. Additional information (no more than two (2) pages) must be submitted to HRS in accordance with the key dates provided at the Academic Promotions section of the Human Resource Services website.

Academic Promotion Committees review candidates' applications

(28) Academic Promotion Committee membership will be in accordance with the Section 19 of the Academic Enterprise Agreement.

(29) More specific details regarding Academic Promotion Committees and their processes are provided as Academic Promotion Committees Guidelines. These are available at the Academic Promotions section of the Human Resource Services website.

Interviews conducted for candidates seeking promotion to Academic Level E

(30) All candidates applying for promotion to Academic Level E (Professor) will be interviewed by the Level E Academic Promotion Committee. The interview allows the committee to further explore areas such as leadership and the future contribution of candidates and for candidates to respond to relevant questions.

(31) It is the candidate's responsibility to be available to attend the relevant committee meeting at the date published on the Academic Promotions section of the Human Resource Services web site. Candidates unable to attend an interview in person may arrange an alternative option with the Chair of the Promotion Committee.

Candidates notified of outcome

(32) All candidates will be advised in writing of the outcome of their application:

- a. Where a candidate's application has been unsuccessful, they will receive a report approved by the Chair providing the reasons for the Committee's decision. The report will highlight both the strengths and the weaknesses of the candidate's application.
- b. A brief report will also be provided to successful candidates.

(33) All candidates will be offered an opportunity to meet with the Chair to discuss the outcome of their application. The candidate's supervisor may be present and, in exceptional circumstances, permission may be sought from the Chair for the candidate to nominate another person to be present.

(34) The purpose of such a meeting will be to provide feedback and guidance for future applications and is therefore strongly encouraged. Discussion at this meeting may not be used as grounds for appeal. Explicit advice as to when the candidate should next apply for promotion will not be provided.

(35) To assist candidates in addressing the feedback provided by the Committee, supervisors will meet with unsuccessful candidates to develop an action plan, where appropriate, in accordance with the Performance Planning and Review Policy.

Appeals

(36) Candidates not recommended for promotion may lodge an appeal on the basis there has been a procedural breach substantive enough to result in material disadvantage to them with regards to the Committee's decision.

(37) Appeals may be lodged electronically via the formal appeals template/s provided at the Academic Promotions section of the Human Resource Services website.

(38) An appeal must be lodged with Human Resource Services within fifteen (15) working days of the date on the letter providing the feedback from the Promotions Committee.

(39) More specific details regarding the Appeals Committee and processes are provided as Academic Promotion Appeals Procedures.

Section 3 - Definitions

(40) Academic Enterprise Agreement means the UNE Academic and ELC Teaching Staff Collective Agreement 2014-2017 as extended or varied from time to time, and is taken to include any Enterprise Agreement that replaces or varies one or more of these documents.

(41) Academic Staff means employees covered under the UNE Academic and ELC Teaching Staff Collective Agreement 2014-2017 or the replacement Enterprise Agreement, with the exception of English Language Teaching Staff.

(42) Exceptional circumstances are normally those that are considered unusual, uncommon or abnormal and are beyond a staff member's control. Examples include serious illness or injury; death of an immediate family member, partner or close relative; acute or substantive illness or injury of a partner, immediate family member or close relative.

(43) Head of Cost Centre normally means the Head of School or Director (as the case may be) of the relevant School or Directorate. Where it is not appropriate for the Head of School or Director to act, or where the circumstances relate to a position reporting directly to a Senior Executive, the Head of Cost Centre will be taken to mean the relevant Senior Executive. Where the matter relates to a Senior Executive, the Head of Cost Centre will be the Vice- Chancellor.

(44) Head of School also means Director of Centre, Head of Cost Centre or equivalent.

(45) Deputy Vice-Chancellor (DVC) means the DVC or nominee.

(46) School means School and other organisational units such as Oorala, Teaching and Learning Support and UNE research centres.

(47) Supervisor means the role to whom a position reports to.

(48) Where the word "normally" is used, it means that it is the default position that must be followed unless exceptional circumstances exist that require a departure from the default position, as determined by the Policy Administrator acting reasonably.

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