Operational Procedure

Promotion of Academic Staff

1.0 Purpose and Scope

The University of Queensland (UQ) is committed to ensuring that a robust career and performance development approach exists for academic staff which provides a foundation for the achievement of academic excellence.

This procedure provides a practical context to the processes, key controls and responsibilities with regard to academic promotion which is underpinned by the principles as outlined in the overarching Policy.

1.1 Scope

This procedure applies to all academic staff applying for promotion across all academic levels and categories, conjoint staff and academic secondees where UQ is lead employer, and health professional academic title holders (non-clinical pathway).

2.0 Key Controls

2.1 Impact of changes to the Criteria for Academic Performance

Due to the introduction of changes to the Criteria for Academic Performance Policy (PPL 5.70.17) on 7 October 2021, a transitionary approach will be implemented to determine which Criteria will be used for assessment in Promotion processes. For the purpose of this procedure, the previous Criteria for Academic Performance will be referred to as the ‘legacy criteria’.

1. Academic staff applying for promotion in 2022.

In 2022, the promotion process will continue to use the legacy criteria, process and forms to ensure applicants who may have commenced their applications for 2022 are not unduly disadvantaged.


From 2023, the promotion process will use the current Criteria for Academic Performance and updated performance documentation.

2.2 Eligibility to apply for Promotion

Eligible staff at Level A may apply for promotion to Level B at any time throughout the year. Level A applicants may only apply once for promotion per calendar year.

Staff may submit an application for promotion to Level C, D or E two years from one of the following:

(1) The date of appointment to their current level, or
(2) The application date of their last promotion application, whether successful or unsuccessful.

Fixed-term staff are eligible to apply for promotion provided their employment contract extends (or is expected to extend) beyond the date on which the promotion takes effect.
2.3 Readiness

While the decision to apply for promotion rests entirely with the applicant, applicants are required to discuss their readiness to apply for promotion with their Academic Supervisor and Head/Director.

The Criteria for Academic Performance is the principal document used to assess readiness for promotion. Applicants must be able to demonstrate that they have reached the required standards for the academic level to which they seek promotion.

Promotion is dependent on demonstrated ability and achievement since the applicant's appointment to their current position and level. Secondary evidence supporting promotion may be derived from work undertaken during earlier career stages that has underpinned the achievement of the relevant standard for promotion.

2.4 Particular Circumstances

2.4.1 Promotion to any Academic Level

An eligible academic may only apply for promotion to the next academic level.

However, in rare and exceptional circumstances, the Committee may determine that an applicant has demonstrated that they have met the criteria for the academic level above the level applied for to such an extent that promotion to the next academic level may be granted. This will only apply up to academic level D.

2.4.2 Early Application

Permission to apply for promotion prior to the eligibility dates may only be approved by the relevant Committee Chair in exceptional circumstances. The staff member must apply in writing to the Head and outline the exceptional circumstances that apply. The Head (or equivalent) must support the request in writing.

In circumstances where the staff member was unsuccessful in their application for promotion in the previous year, the staff member's application must demonstrate a substantial and significant change to warrant reconsideration by the Committee.

In exceptional circumstances and with permission of the Committee Chair, out-of-cycle promotion applications to level C-E can be considered by the Committee, where an appropriate case is provided in writing from the Head of the applicant’s organisational unit.

2.4.3 Fellowship Award Recipients

Where a staff member is awarded a high standing fellowship at a higher level than their substantive position, the staff member may apply for promotion in the next promotion round following the Fellowship commencement date. Where promoted, the promotion will apply to the substantive appointment.

With the exception of ARC and NHMRC Fellowships (which are high-standing), the DVC (Research and Innovation) will be responsible for determining whether a Fellowship meets the definition of high-standing. Requests to consider whether a Fellowship is high-standing are made in writing to the DVC (Research and Innovation), ensuring all relevant and associated information is provided to enable an informed decision.

2.4.4 Externally or Grant funded Research Focused Academics

For an externally or grant funded research focused academic to be considered for promotion, the terms of the research grant funding must permit the promotion.

2.4.5 Change of Academic Category

When an applicant applies for promotion, the Committee will assess the application with regard to the applicant's current academic category. For example, where the applicant has spent two years as Research Focused, and one year as Teaching & Research (their current category), the assessment will be against the criteria for a Teaching & Research academic.
The Committee may however, in an effort to ensure that an applicant is not disadvantaged by a change in academic category, give consideration to the overall contribution of an applicant since their appointment or promotion to their current academic level.

2.5 Promotion/Probation Relationships

Where a Level A academic is on probation and is successful in gaining promotion to Level B, confirmation of continuing appointment will be considered against the academic criteria for Level B. Confirmation of continuing appointment will be determined by the relevant LCPC in accordance with the standard final review process.

Level B – E staff on probation who make a successful application for promotion, will also be considered by the relevant Committee for early confirmation of continuing appointment, if they have been employed by the University for two years or more at the time of the promotion submission date.

2.6 Application and Timetable

Eligible Staff at Level A may apply for promotion to Level B at any time throughout the year.

For promotion to levels C, D and E, one promotion round will be held each year, with applications being called between 1 April and 30 June. Applications are required to be submitted via the online application system.

2.7 Date of Effect

Promotion to Level B: the first day of the month following the promotion decision.

Promotion to Level C, D, E: 1 January of the year following successful application.

3.0 Key Process Requirements

3.1 Academic Documentation Submission

The Applicant must ensure that that the following items are completed and submitted as part of their online application:

<table>
<thead>
<tr>
<th>Item</th>
<th>Level B – D</th>
<th>Level E</th>
</tr>
</thead>
<tbody>
<tr>
<td>Case for Promotion (800 words maximum)</td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td>Summary of key achievements since appointment/promotion to current level.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Form A, B and complete set of at least three most recent semesters of SECaTs)</td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td>Head/Director Assessment &amp; Recommendation</td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td>Case for Promotion to Professor</td>
<td></td>
<td>✓</td>
</tr>
<tr>
<td>Executive Dean/Director Report</td>
<td></td>
<td>✓</td>
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</table>
3.2 Referees

In circumstances where clarification is needed on a specific aspect of an applicant’s case, referees may be sought at the discretion of the Committee Chair. Referees must be able to attest to the applicant’s contribution and impact and it is expected that referees will be at, or above, the academic level of the applicant.

3.2.1 Conflict of Interest Considerations

If a conflict of interest exists (perceived or otherwise), the referee must declare this to the person seeking the reference.

A referee must not have a personal, financial, business or professional conflict of interest with the applicant. This may include:

- Being a mentor, relative or friend, or
- Having held a grant or published with the person in the preceding five years, or
- Having participated in the same research group in the preceding five years, or
- Having ongoing and close collaboration links, or
- Being a current member of the relevant Local Confirmation and Promotions Committee.

3.2.2 Adverse Comments

Applicants will have the opportunity to respond to adverse referee comments.

3.3 Committee Interview

The relevant Committee will invite applicants (except promotion to Level B) to a promotion interview.

The applicant may submit a brief update around one week prior to interview on any substantial new achievements since the date of submission.

The interview process provides an opportunity for applicants to present their case for promotion and enables the Committee to seek clarification on any aspects of the application.

3.4 Appeals

An applicant who is unsuccessful in their promotion application may appeal the decision only on procedural grounds.

Prior to appealing, it is expected that unsuccessful applicants will seek feedback on their application and reasons for the decision to not promote.

An appeal must be lodged in writing to the Chief Human Resource Officer at cap@uq.edu.au within 21 days of the date of the written outcome notification. In order for an appeal to be upheld, the Authorised Officer must be satisfied that the procedural error had a substantial and significant impact on the decision. The decision of the Authorised Officer is final.

4.0 Roles, Responsibilities and Accountabilities

4.1 Local Confirmation and Promotions Committee (LCPC)

The relevant LCPC is responsible for considering promotion applications to Level C and D, within the relevant Faculty and/or Institute.
4.2 Professorial Confirmation and Promotions Committee (PCPC)

The PCPC is responsible for considering Professorial promotion applications and making recommendations to the Vice-Chancellor for approval.

4.3 Provost

The Provost (or nominee) is required to:

- Chair the Professorial Confirmation and Promotions Committee.
- Present recommendations for promotion to the Vice-Chancellor.
- Advise Executive Deans/Institute Directors of outcomes for their respective areas.
- Ensure all applicants are notified of promotion outcomes in writing at the same time.
- Provide constructive and developmental feedback to applicants as appropriate.

4.4 Executive Dean

The Executive Dean is required to:

- Chair the relevant Local Confirmation and Promotions Committee (LCPC) and hold decision making responsibility.
- Assess whether any conflict of interest may exist between themselves and an applicant for promotion. If so, discuss the conflict with the Provost, and if so directed, remove themselves from any involvement in the applicant's application for promotion.
- Determine the outcome of a promotion application, on recommendation from the Head/Director, and advise the applicant (Level B).
- Provide constructive and developmental feedback to applicants as appropriate (Level B – D).
- Complete the Executive Dean/Institute Director Report for staff applying for promotion to Professor (Level E).
- Determine alternative arrangements for applications within a School/Centre, where a Head/Director is applying for promotion in the same round (Level E).
- Attend PCPC meetings where invited (Level E).

4.5 Institute Director

The Institute Director is required to:

- Determine the outcome of a promotion application, on recommendation from the supervisor, and advise the applicant (Level B within their Institute).
- Complete the Executive Dean/Institute Director Report for staff applying for promotion to Professor (Level E).
- Provide all necessary documentation to the applicant within reasonable timeframes, having consulted with other relevant staff as appropriate (Level B - E).
- Hold a formal meeting with each promotion applicant to discuss their application and advice of the formal recommendation and rationale provided for consideration by the Committee. (Level C – E).
• Provide the Head/Director Assessment and Recommendation report to the applicant at least two weeks from the submission closing date (Level C - D).

• Provide input and/or attend Committee deliberations as requested. The Institute Director would be expected to clarify points of fact and provide other relevant information, noting that this information must be consistent with the written report (Level C – E).

• Meet with applicants to provide constructive and developmental feedback at the request of the Committee Chair (Level B – E).

4.6 Head of School

The Head of School is required to:

• Provide all necessary documentation to the applicant within reasonable timeframes, having consulted with other relevant staff as appropriate.

• Hold a formal meeting with each promotion applicant to discuss their application and advice of the formal recommendation and rationale provided for consideration by the Committee. (Level C – E).

• Provide the Head/Director Assessment and Recommendation report to the applicant at least two weeks from the submission closing date (Level C - E).

• Provide input to Committee deliberations as requested. The Head would be expected to clarify points of fact and provide other relevant information, noting that this information must be consistent with the written report (Level C – E).

• Meet with applicants to provide constructive and developmental feedback at the request of the Committee Chair (Level B – E).

• Remove themselves from making recommendations for other applicants applying for promotion to Professor if they also are making an application for promotion to Professor (Level E).

Where an applicant has a joint appointment, the Head/Institute Director of each organisational unit should complete the Head/Institute Director Assessment and Recommendation report collaboratively.

4.7 Supervisor

The academic supervisor is required to undertake the Annual Performance and Development process as articulated in 5.70.15 Academic Annual Performance and Development Procedures and provide all necessary documentation to the applicant within reasonable timeframes.

4.8 Academic Staff

Academic staff have a responsibility to:

• Meet with their Head/Director to discuss readiness to submit an application for promotion (Level B - E).

• Ensure all required documentation is factually correct and submitted via the online system by the due date.

• Submit a brief update (optional) up to one week prior to committee interview on any substantial new achievements since submission of the application.

• Seek assistance if support is required throughout the promotion process.
4.9 Committee Secretariat

The Committee secretariat is responsible for supporting the Committee to undertake its obligations and responsibilities effectively in line with University Policy, Procedure, and associated standards. This includes:

- Assisting the Committee and applicants where required.
- Ensuring promotion application outcomes are recorded in Workday and providing outcomes to the University’s Central CAP team.
- In conjunction with the Committee Chair, ensuring that applicants are advised of outcomes in writing as soon as reasonably practicable.

5.0 Monitoring, Review and Assurance

The Chief Human Resources Officer has responsibility for ensuring compliance with this procedure and ensuring it is monitored and reviewed appropriately.

6.0 Key Processes

Refer Process Maps for applying for promotion processes.

7.0 Definitions, Terms and Acronyms

<table>
<thead>
<tr>
<th>Academic Category</th>
<th>Teaching and Research (T&amp;R)</th>
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<tbody>
<tr>
<td></td>
<td>Teaching Focused (TF)</td>
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<td>Research Focused (RF)</td>
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<td>Clinical Academic (CA)</td>
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<tr>
<th>Academic Performance and Development (APD) process</th>
<th>The APD process refers to the annual appraisal and development conversation.</th>
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<tbody>
<tr>
<td>Authorised Officer</td>
<td>The officer authorised to exercise certain HR powers and functions as outlined in the HR Sub-delegations Instrument.</td>
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<tr>
<td>Committee Chair</td>
<td>The Faculty Executive Dean for LCPCs or the Provost for the PCPC.</td>
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<tr>
<td>Committee</td>
<td>The Faculty Local Confirmation and Promotions Committee (LCPC), or The Professorial Confirmation and Promotions Committee (PCPC) for Level E</td>
</tr>
<tr>
<td>DVC (Research and Innovation)</td>
<td>Deputy Vice- Chancellor (Research and Innovation)</td>
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<tr>
<td>Head</td>
<td>Head of School (or equivalent), which for purposes of this process, refers to a Director of a University or Faculty Institute or Centre but not School-level.</td>
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<tr>
<td>High Standing Fellowship</td>
<td>Usually, National Health and Medical Research Council (NHMRC) or Australian Research Council (ARC).</td>
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<tr>
<td>Enterprise Agreement</td>
<td>The University of Queensland Enterprise Agreement 2018 – 2021, or as amended or replaced.</td>
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<tr>
<td>SECaT</td>
<td>Student Evaluation of Course and Teacher</td>
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8.0 Meta Data for Document Management

<table>
<thead>
<tr>
<th>Web Links</th>
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<tbody>
<tr>
<td></td>
<td>1.50.01 Code of Conduct</td>
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<td>Conflict of Interest</td>
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<td>Enterprise Agreement 2018-2021</td>
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<td>HR Authorisation Schedule</td>
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<td>Policy 5.70.17 Criteria for Academic Performance</td>
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<td>Guidelines for Evidencing Academic Achievement</td>
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<th>Approval Authority</th>
<th>Vice-Chancellor</th>
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<tr>
<td>Last Approval Date</td>
<td>5.80.12 Promotion of Academic Staff (Levels A – D), 2 May 2019</td>
</tr>
<tr>
<td></td>
<td>5.80.14 Promotion to Professor, 5 June 2018</td>
</tr>
<tr>
<td>Next Review Date</td>
<td>Five years from approval date</td>
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<tr>
<td>Audience / Users</td>
<td>Academic staff applying for Promotion</td>
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<tr>
<td>Notes</td>
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</tr>
<tr>
<td></td>
<td>5.80.12 Promotion of Academic Staff Levels A-D</td>
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<tr>
<td></td>
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