

# Procedure: Academic promotion

## Purpose

To outline the procedures underpinning the University's holistic recognition of academic staff achievements in research/creative activity, education, service and leadership.

## Definitions

**Achievements relative to opportunity:** Assessing achievements relative to opportunity involves giving consideration to the particular circumstances and experiences of the staff member. This supports appropriate evaluation of achievements in relation to productivity; the ability to participate in certain types of activities, and the consistency of activities or output over the period of consideration. The circumstances and experiences may include:

- family responsibilities (e.g. child rearing, elder care, illness of a partner/dependent);
- a temporary or permanent disability;
- periods of part time work;
- relevant cultural expectations or circumstances; and
- absences due to ill-health or injury.

**Procedural irregularity:** refers to where the University has not followed a process that is articulated in this procedure.

**Research-intensive applicant:** is a candidate for promotion who is employed on a research-intensive contract of employment and who is appointed to undertake predominately research and research-related activities.

## Procedure

### Eligibility

1. Application for academic promotion is available to academic staff who:
  - hold a full or part-time position, whether continuing or fixed term, who will normally have been employed at the University for at least one calendar

year;

- have evidence to demonstrate that they have consistently exceeded College and University minimum standards at the present level of employment and at least meet minimum College and University standards at the level to which promotion is sought; and
- in exceptional cases, academic staff with employment at the University of less than one calendar year may submit a case for exemption of this requirement to the relevant promotion committee Chair. This exemption should be obtained in advance of the promotion round opening. It is expected that both supervisor and Research School Director endorsement and College Dean acknowledgement will be obtained prior to submitting a case to the promotion committee Chair.

### **Preparation for academic promotion**

2. Applicants, supervisors, College Deans and promotion committee members will be familiar with University policy, procedures, [education, research and service indicators](#) and approved proformas for academic promotion and attend information sessions as appropriate.

### **Submission of academic promotion application**

3. Applications for promotion will be submitted by the published deadlines to the relevant promotions committee.
4. Applications for promotion for academic staff not employed in a College will be submitted to the promotions committee affiliated with their cognate discipline. It is expected that this affiliation will be at the School level.
5. Applicants will discuss their proposed application with their supervisor, and inform their Research School Director or equivalent.
6. Applicants will discuss their proposed application for promotion to level E1 with their College Dean.
7. Applications for promotion will be submitted on the current, approved University proforma, comprising:
  - a. Part 1: Staff member details, weightings, statement relative to opportunity (where appropriate) and declaration;
  - b. Part 2: Supervisor and Research School Director endorsement and College Dean acknowledgement (for levels B to E1);
  - c. Part 3: Applicant's case for promotion;

- d. Part 4: Details of referees nominated by the supervisor, ranked in order of priority, comprising:
- Level B – the need for referees is at the discretion of the College Dean;
  - Level C – a minimum of 2 referees, with a maximum of one referee internal to ANU, and at least one referee who has an international reputation;
  - Level D – a minimum of 3 referees, with a maximum of one referee internal to ANU, and at least 2 referees who have an international reputation; or
  - Level E1 – a minimum of 4 referees external to ANU, with at least 2 referees who have an international reputation.
- The applicant may identify up to two referees that they do not wish to be contacted.
- Referees will be forwarded the full promotion application, including Supervisor and Research School Director endorsement and College Dean acknowledgement, but excluding the statement relative to opportunity.
- The committee reserves the right to appoint additional or alternative referees to ensure international diversity, manage declared conflicts of interest and to ensure the holistic appraisal of the applicant's achievements. The applicant and their supervisor will be notified if additional or alternative referees are requested.
- e. Part 5: Curriculum vitae that includes as a minimum:
- formal qualifications and any prizes, awards, honours and other esteem indicators;
  - a list of the six best or most significant research publications/creative works and two of the best or most significant education achievements (research and education staff);
  - appointments, including consultancies;
  - research/creative activity outputs, including bibliographic details, year of publication, individual contribution by percentage; and evidence of impact;
  - research/creative activity funding, including title of grant, funding body, grant category, individual contribution and role in the grant, year, total grant value, any patents and evidence of impact;
  - Higher Degree Research Student Supervision, including name of student, role, years of enrolment, completions and student achievements post-graduation (where appropriate); and

- education activities (where appropriate), including course or program development and review; courses taught, nature of teaching contribution and enrolments and evidence of impact; and
  - service to the School/Department, College and University, the academic discipline, and the community, including names of committees and/or boards, year(s) of service and role.
- f. Applicants may also attach a maximum of five pages of supporting evidence that demonstrate the quality, productivity and impact their contributions to research/creative activity, education, service or leadership.
8. Applicants are provided the [education, research and service indicators](#) in order to assist putting forward their case for promotion, including evidence of the outcomes and impact of the academic work.
9. Applicants will ensure that the application is complete and accurate.

### Applicant activity weightings

10. Applicants will allocate weightings to each of the categories of research, education and service, reflecting the average contribution over the period since last promotion or appointment to ANU, to a total of 100%, and meet the maximum and minimum requirements for each category below.

Contract Type	Research	Education	Service
Research and education	15% minimum	15% minimum	5% minimum
Research intensive	95% maximum	Not required to assign a weighting but may do so if relevant, with a maximum of 15%	5% minimum

11. Applicants will ensure that the allocation of weightings:
- reflects their case for promotion, based on their average contribution since last promotion or appointment to ANU; and
  - is consistent with their current contract with the University and if applicable, the relevant research funding rules governing their contract.

12. It is noted that weightings in the case for promotion may be different from those set in the annual Performance and Development Review.
13. Contributions to Higher Degree Supervision should be included in the research section of the application. Any contributions to Higher Degree Research coursework teaching may be included in the education section of the application.

### **Determination of promotion: level B to E1**

14. Outcomes for promotion are determined on the basis of the holistic recognition of the quality, productivity and impact of staff achievements in research/creative activity, education and service, with reference to the education, research and service indicators, as demonstrated through various forms of evidence.
15. Outcomes for promotion to level D and E1 will also be determined on the basis of the quality, productivity and impact of the applicant's demonstrated and sustained collegial and collaborative leadership within the areas of research/creative activity, education (optional in research intensive applications) and service to the ANU and the wider community. For promotion to level D and E1, demonstrated leadership is a mandatory requirement at a level commensurate with the level of promotion being applied for.
16. Promotion committees will place primary emphasis on demonstrated achievements, performance and activities since the applicant's last promotion or appointment to the University.
17. Interviews may be required for applicants for promotion to levels B to D, and are compulsory for level E1. Where an interview is undertaken, it forms part of the holistic assessment of the promotion case. Applicants may request that their supervisor or alternate support person attend their interview to observe proceedings and to provide comment if so requested by the College Dean or promotion committee.
18. Deans will meet with the University promotion committee to provide comment on E1 applications from their College.
19. Promotion committees must receive the minimum number of references as below, in accordance with requirements in clause 7;
  - Level B – at the discretion of the College Dean;
  - Level C – no fewer than 2;

- Level D – no fewer than 3; or
  - Level E1 – no fewer than 4.
20. Additional information may be required before a decision can be made. The additional information required may be obtained from the applicant; supervisor; College Dean; nominated or additional referees; or research and teaching data available from the University enterprise systems\* or external databases. The applicant and their supervisor will be notified if additional or alternate references are required. *\*Due to Union Court construction, SELT data for the period June 2017 to June 2019 will not be considered for applicants with class sizes above the 200 headcount threshold.*
  21. For clinical applications, additional information will be obtained from the ANU Medical School Appointments and Renewal Committee regarding clinical contributions and performance.
  22. The College Dean approves, or, the local promotion committee endorses and the relevant College Dean approves promotion to level B.
  23. The local promotion committee endorses, and the relevant College Dean approves promotion to levels C and D.
  24. The University promotion committee endorses, and the Vice-Chancellor approves promotion to level E1.

### **Determination of out of round promotion: level B to E1**

25. An application for promotion to levels B through to E1 may be considered outside of the usual promotion round upon request of the relevant College Dean for a staff member who has been offered an appointment at another institution.
26. Out of round applications for promotion to level B may be approved by the relevant College Dean on the basis of the holistic recognition of the quality, productivity and impact of staff achievements in research/creative activity, education and service.
27. Out of round applications will be constituted by:
  - a. a brief evidence-based case (two A4 pages maximum) recommending promotion on the basis of a holistic appraisal of the quality, productivity and impact of staff achievements in research/creative activity, education and service, with reference to the [education, research and service indicators](#), as demonstrated through various forms of evidence, prepared by the staff

- member's supervisor and supported by the College Dean;
- b. curriculum vitae; and
  - c. documentary evidence of the offer of employment.
28. The promotion committee may require further information, including, but not limited to data that is available on the Statement of Academic Activity; research and teaching data from the University enterprise systems\* or external databases; or written documents from discipline peers. The promotion committee might also require an applicant interview. *\*Due to Union Court construction, SELT data for the period June 2017 to June 2019 will not be considered for applicants with class sizes above the 200 headcount threshold.*
29. For clinical applications, additional information will be obtained from the ANU Medical School Appointments and Renewal Committee regarding clinical contributions and performance.
30. The Vice-Chancellor, on the recommendation of the relevant College Dean, may consider and approve an accelerated out of round application, including cases that may not meet the standard eligibility criteria for promotion. In such cases, the Vice-Chancellor may call on input from the promotion committee.

### **Determination of promotion: level E2**

31. Eligibility and outcomes for promotion to level E2 are determined on the basis of an evidence-based, holistic recognition of the quality, productivity and impact of staff achievement and demonstrated collegial and collaborative leadership in research/creative activity, education (optional in research intensive applications) and service to the ANU and wider community, which is commensurate with level E1, as well as demonstrated pre-eminence in one or more of the areas highlighted below:
- demonstrated pre-eminence in education, as evidenced for example, in distinguished national or international awards or fellowships or outstanding national or international leadership in education innovation or quality assurance as acknowledged by peers in the field (noting that the receipt of an award or Fellowship is not a guarantee of promotion); or
  - demonstrated pre-eminence in research or creative activity, as evidenced for example, in election to a distinguished learned academy or some equivalent form of recognition; distinguished national or international awards or fellowships or outstanding national or international leadership in research

innovation, as acknowledged by peers in the field (noting that the receipt of an award or Fellowship or election to an Academy is not a guarantee of promotion); or

- demonstrated pre-eminence in service to the university and wider community as evidenced for example, in distinguished national or international awards or outstanding national or international leadership in governance, management, contribution to the discipline or to public commentary or policy, as acknowledged by peers in the field (noting that the receipt of an award or appointment to a leadership role is not a guarantee of promotion).
32. The College Dean will consult with the chair of the promotion committee in anticipation of a case being made for promotion to E2.
  33. The College Dean will submit a nomination to the promotion committee which will include:
    - a. an evidence-based case recommending promotion on the basis of a holistic appraisal of the quality, productivity and impact of staff achievement and demonstrated leadership in research/creative activity, education (optional in research intensive applications) and service to the ANU and wider community, which is commensurate with level E1, as well as demonstrated pre-eminence in the nominated area(s);
    - b. supervisor endorsement;
    - c. current curriculum vitae,
    - d. four references external to ANU from persons of eminent international standing, commenting specifically on the eligibility criteria; any case for reduction in the number of referees should be discussed with the chair of the promotion committee; and
    - e. maximum of five pages of supporting evidence that demonstrates the quality, productivity and impact of contribution to research/creative activity, education, service and leadership.
  34. The promotion committee will invite the relevant College Dean to attend an interview (if required) to apprise the committee of any additional information relating to the application.
  35. For clinical applications, additional information will be obtained from the ANU Medical School Appointments and Review Committee regarding clinical contributions and performance.
  36. The promotion committee will make a recommendation to the Vice-



Chancellor, who will make a determination for promotion to Level E2.

37. Professor E2 positions are remunerated in accordance with the [Academic Staff Salary Scales](#) in the Enterprise Agreement.

### **Determination of promotion: Distinguished Professor level E3**

38. Eligibility and outcomes for promotion to level E3 are determined in exceptional cases on the basis of the evidence-based, holistic recognition of the quality, productivity and impact of staff achievement and demonstrated collegial and collaborative leadership in research/creative activity, education (optional in research intensive applications) and service to the ANU and wider community, which is commensurate with level E2, as well as demonstrated international distinction in an area highlighted below:

- demonstrated international distinction in education, on the basis of evidence such as prestigious international awards or equivalent peak awards; or
- demonstrated international distinction in research or creative activity, on the basis of evidence such as prestigious international awards, multiple fellowships or equivalent peak awards in the cognate discipline. Examples include but are not limited to; election to the Fellowship of the Royal Society of London, Fellowship of the British Academy, Fellowship of the US National Academy of Sciences or US Academy of Engineering Fellowship (noting that the receipt of an award or election to a Fellowship or Academy is not a guarantee of promotion).

39. The College Dean will consult with the Vice-Chancellor and the chair of the promotion committee in anticipation of a case being made for promotion to level E3.

40. The College Dean will submit a nomination for promotion to Distinguished Professor level E3 to the promotion committee, which will include:

- a. an evidence-based case recommending promotion on the basis of a holistic appraisal of the quality, productivity and impact of staff achievement and demonstrated leadership in research/creative activity, education (optional in research intensive applications) and service to the ANU and wider community, which is commensurate with level E2, as well as demonstrated pre-eminence in the nominated area;
- b. supervisor endorsement;
- c. current curriculum vitae;

- d. four references external to ANU from persons of eminent international standing, commenting specifically on the eligibility criteria; any case for reduction in the number of referees should be discussed with the chair of the promotion committee; and
  - e. maximum of five pages of supporting evidence that demonstrate the quality, productivity and impact their contributions to research/creative activity, education, service and leadership.
41. The promotion committee will invite the relevant College Dean to attend an interview (if required) to apprise the committee of any additional information relating to the application.
42. For clinical applications, additional information will be obtained from the ANU Medical School Appointments and Review Committee regarding clinical contributions and performance.
43. The promotion committee will make a recommendation to the Vice-Chancellor, who will make a determination for promotion to Distinguished Professor level E3.
44. Distinguished Professor level E3 carries a remuneration of level E2 plus a superannuable loading of \$25,000 per annum.

### **Constitution and activities of promotion committees**

45. Promotion committees will:
- have a balanced gender composition;
  - respect the confidentiality of promotion documentation and deliberation activities and communication of outcomes;
  - respect the request of applicants that particular referees not be contacted;
  - declare any conflict of interest, as soon as they become aware of it, and refer to the chair to implement any mitigation actions;
  - endorse for the College Dean or Vice-Chancellor a written description of the factors used to determine the outcomes of cases; and
  - have a quorum such that if the chair and the external member participate, and a gender balance is present, one member may be absent from any particular assessment.
46. The membership of local and University promotion committees is published for the benefit of applicants.

## Local promotions committees

47. The local promotion committee endorses promotion applications to level B at the request of the College Dean, and all promotion applications to levels C and D, is constituted by:
- College Dean (chair);
  - Associate or Deputy Dean;
  - four to seven academic staff members at level D or above from with the College or Colleges with expertise broadly representative of the disciplines in the College; and
  - at least two members external to the College.
  - At least one member of the committee will have the appropriate skills in equity consideration or an additional member with these skills may be co-opted by the chair.
48. The constitution of local promotions committees is approved by the relevant College Dean(s).
49. Colleges may have more than one local promotion committee, with appropriate cross-representation.

## University promotion committee

50. The University promotion committee that endorses promotion applications to level E1 is constituted by:
- a Deputy Vice-Chancellor (chair);
  - a Deputy Vice-Chancellor or Pro Vice-Chancellor that is not the chair;
  - chair of the Academic Board;
  - four Professors, broadly representative of the discipline groupings across the University; and
  - a Professor, Deputy or Pro Vice-Chancellor that is external to the University.
  - At least one member of the committee will have the appropriate skills in equity consideration or an additional member with these skills may be co-opted by the chair.
51. The constitution of the University promotion committee is approved by the Vice-Chancellor.

## **Out of round promotion committee: level B to E1**

52. The promotion committee that endorses out of round promotion applications to levels B to E1 is constituted by:
- a Deputy Vice-Chancellor (chair);
  - a Deputy Vice-Chancellor or Pro Vice-Chancellor that is not the chair;
  - a Pro Vice-Chancellor; and
  - two College Deans.
53. The constitution of the level B to E1 out of round promotion committee is approved by the Vice-Chancellor.

## **Level E2 and E3 promotion committee**

54. The promotion committee that endorses promotion applications to levels E2 and E3 is constituted by:
- a Deputy Vice-Chancellor (chair);
  - a Deputy Vice-Chancellor or Pro Vice-Chancellor that is not the chair;
  - a Pro Vice-Chancellor; and
  - Director, Human Resources.
55. The constitution of the level E2 and E3 promotion committee is approved by the Vice-Chancellor.

## **Communication of outcomes**

56. Applicants will receive written notification of outcome from the chair of the relevant committee.
57. Copies of the notification will be provided to the applicant's supervisor and College Dean.
58. Verbal feedback will be offered to unsuccessful candidates by the chair of the relevant promotion committee. That feedback will focus on factors determined by the committee as being key to the outcome and advice on future activities that might be undertaken to strengthen the case.
59. Unsuccessful applicants will not apply for promotion in the following calendar year unless given written permission by the chair of the relevant promotion committee to do so.

## Appeals

60. Applicants who are unsuccessful may lodge an appeal on the basis that there has been a procedural irregularity resulting in material disadvantage.
61. Appeals are made in writing to the Vice-Chancellor within twenty working days of written notification of outcome via the Director, Human Resources.
62. The Vice-Chancellor will seek advice as to whether or not there has been a breach of procedure including, but not limited to; reference to the chair and/or the original decision-making committee, and on the basis of that advice:
  - a. confirm the original committee's determination to deny promotion;
  - b. uphold the appeal and approve promotion;
  - c. refer the matter to an appeal committee; or
  - d. refer the matter to the local promotions committee.
63. The appeal committee will comprise at least three chairs from local promotion committees or the University promotion committee, with at least one male and one female, all drawn from past or present committees.
64. The appeal committee will recommend to the Vice-Chancellor either that the original determination should be upheld, or that the appeal is upheld and that promotion should be granted.
65. Appellants will receive written notification of the outcome of their appeal.
66. Copies of the notification will be provided to the applicant's Supervisor and College Dean.
67. The effective date of promotion arising from an upheld appeal will be consistent with the timetable for the annual round in which the application was originally received.