Academic Staff Promotions Procedure

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1 Objective

The purpose of this document is to specify the procedures for applying for promotion to academic Levels B, C, D and E. This document operationalises the principles contained in the Academic Staff Promotions Policy and should be read in conjunction with that policy.

2 Scope

These are University-wide procedures. They apply to all academic staff employed in any part of the University of Tasmania who are applying for academic promotion to any point of the academic scale from Level B to Level E. They also apply to the applicant’s Head of School or equivalent, Executive Dean/Pro Vice-Chancellor/Head of Division, Independent Assessors and to members of the Academic Staff Promotions Committee (ASPC).

3 Procedures and Actions

3.1 Announcement of Annual Promotions Round

Each year, the Chair of the ASPC will announce the opening of that year’s academic promotion round. This announcement will include the closing date for both Expressions of Intent to Apply for Promotion and the submission of applications, and formal notice of any changes to the relevant policy and procedures since the prior year’s round.

Each year, the Chair of the ASPC will publish a Promotions Timetable for that year. The timetable will be provided to each College and Division, and will be available from the Human Resources website.

3.2 Applications

3.2.1 Expression of Intent

All academic staff members intending to apply for promotion in the upcoming round are required to submit to their Head of School or equivalent and Executive Dean/Pro Vice-Chancellor/Head of Division a completed form expressing their intent to apply for promotion. This form (Expression of Intent to Apply for Promotion) is available from the Human Resources website and must be submitted prior to the published deadline. A promotion application will not be considered if the applicant has not submitted an Expression of Intent to Apply for Promotion.

3.2.2 Format for Applications for Promotion

All application documents must be in 12 point font size, be on A4 paper (single sided) with margins of at least 2.5cm on all sides, and be paginated consecutively.

3.2.3 Content

The following documents must be included in all applications:

- Document Checklist
- Application Cover Page
- Applicant’s 200 word summary of the case for promotion
- Independent Assessor’s nomination forms (for application for promotion to Levels D and E only)
- Academic qualifications and career history
• Head of School or equivalent’s written report
• Executive Dean/Pro Vice-Chancellor/Head of Division’s written report (for applications to Levels D and E only)
• Case for promotion (maximum 6 pages for applications to Levels B and C, and 8 pages for Levels D and E)
• Supporting materials (maximum 6 pages for applications to Levels B and C, and 8 pages for Levels D and E)
• Student evaluation, WARP reports must be included
• Non mandated materials which will also be accepted as additional information are the RPE report and the TPE rubric (signed by the Head) if used, these will not be included in the page count for supporting information.

Each of these components is described below. Further advice on how to make the best case for promotion through these documents can be found in the accompanying Academic Staff Promotions Guidance for Applicants and Heads. In addition, formal information sessions for potential applicants and for Heads are offered at the start of each promotion round.

Applications not adhering to the prescribed length limits or format requirements will not be considered by the ASPC.

3.2.4 Document Checklist

The promotion application must be submitted in a standard format and sequence.

The Document Checklist outlines all the required documents and expectations.

This Checklist must be included on the front of all applications as a part of the submission.

3.2.5 Application Cover Page

The Application Cover Page must be completed and attached at the front of the application. The Cover Page is available from the Human Resources website.

Please note that when making the case for promotion, the majority of the case must be made around a combination of achievements in the categories of research and learning and teaching.

Academic staff with a strong work emphasis on community engagement and professional service or internal service to the University should demonstrate the ways in which the outcomes of these activities contribute to research and/or learning and teaching. Advice on how to do this can be found in Academic Staff Promotions Guidance for Applicants and Heads.

Applicants must specify the agreed workload allocation of each of the categories of activity. The ASPC will use the workload allocation to help it understand the nature of the applicant’s responsibilities. Where there is variance to the agreed workload allocation, the Head of School or equivalent must provide narrative in their report both explaining and endorsing the variance.

The workload allocation should reflect the period since appointment, since last promotion or over the last five years, whichever is shortest.

The Head of School or equivalent must sign the Cover Page to signify:

a) their agreement with the workload allocation indicated by the applicant
b) the accuracy of the student evaluation summaries and any other summaries provided where the full evidence is not contained in the main application, and
c) the appropriateness of the applicant’s claims about contributions to collaborative and team-based activities (including percentage contributions to publications and grants).

In addition, all applications to Level B or C must be signed by the relevant Executive Dean/Pro Vice-Chancellor/Head of Division to signify that they have sighted the application and have had the opportunity to provide advice. This responsibility cannot be delegated by the Executive Dean/Pro Vice-Chancellor/Head of Division to another member of senior staff.

3.2.6 Applicant’s 200 Word Summary of the Case for Promotion

This statement summarises the case for promotion and the ways in which the applicant satisfies the promotion criteria.

3.2.7 Independent Assessors

Applicants for promotion to Level B and C are not required to nominate Independent Assessors.

Independent Assessors are expected to be impartial and objective advisors to the ASPC. They are expected to provide a balanced view of the applicant’s achievements and worthiness for promotion, and not merely act as advocates for the applicant.

Advice on selecting Independent Assessors can be found in the accompanying document Academic Staff Promotions Guidance for Applicants and Heads.

The applicant/Head should not seek comments from Independent Assessors. The Chair (or delegate) of the ASPC will seek Independent Assessors’ reports for the applicants. The Independent Assessors will be contacted at the same time, whenever practicable. All Independent Assessors will receive a request to provide a report using the Independent Assessor Report Template and will be provided with a copy of the relevant application, the Academic Staff Promotions Policy and Procedure and advice on providing impartial and objective assessments.

The ASPC may ask an applicant/Head to reconsider the nomination of a particular Independent Assessor in order to better reflect balance (geographical, by institution or discipline) amongst all Independent Assessors.

The ASPC has the right to identify the need for, and solicit, further written advice from any persons with relevant expertise who may be internal or external to the University. Applicants should be aware that sometimes circumstances (such as a leave of absence) might mean that those Independent Assessors initially nominated are unavailable. In such circumstances further nominations may be solicited from the applicant. In addition, the ASPC may decide to exclude an Independent Assessor’s report if, when the report is received, it is determined that a conflict of interest does exist between them and the applicant.

3.2.7 a) Independent Assessors Nominated by Applicants

Applicants for promotion to Level D or Level E must nominate two Independent Assessors that are not employed at the University of Tasmania and that the applicant can declare have no conflict of interest. Applicants are required to check with their Head to make sure that their recommendations for Independent Assessors do not involve conflicts of interest.

The Independent Assessors are to be nominated using the Independent Assessor Nomination Forms. Two separate forms must be submitted by the
applicant with their application.

**3.2.7 b) Independent Assessors Nominated by Heads**

In addition to the Independent Assessors nominated by the applicant, the relevant Head must nominate two Independent Assessors, who are not employed at the University of Tasmania. These nominations may be identified after discussion with senior colleagues in the discipline. The nominations must not be discussed with, or made known to, the applicant and are therefore submitted separately. The nominations must be made using the *Independent Assessor Nomination Form* and be sent directly to Academic.Promotions@utas.edu.au.

**3.2.8 Academic Qualifications and Career History**

In one page (maximum), provide details of academic and professional qualifications, professional appointments, major administrative responsibilities and offices held within the relevant discipline/profession beyond the University, membership of academies or other learned societies etc.

**3.2.9 Head of School or Equivalent’s Written Report**

The full application should be given to the Head of School or equivalent in order that they can include their written report.

It should indicate how, in the Head’s view, the applicant satisfies the criteria for promotion and provide any contextual material (e.g. particular types of work or outputs characteristic of the discipline), to help the ASPC evaluate the application.

The written report should include comments on the:

- applicant’s current responsibilities
- applicant’s progression over time
- applicant’s contributions to the overall effort of the academic organisational unit
- applicant’s performance, including the significance and impact of specific outcomes in the category or categories of activities used as grounds for promotion
- applicant’s level of contribution relative to specific disciplinary norms, and
- appropriateness of the Independent Assessors nominated by the applicant and their standing in the field (if applicable).

The Head will also be required to provide narrative confirming the workload allocation and provide specific detail where:

- a claim for promotion is based on a non-standard academic workload allocation;
- there is a significant variance between the agreed workload allocation and the claims made by the applicant; and/or
- there has been any informal variance to an applicant’s workload.

The Head should disclose their report to the applicant before the application is lodged. Applicants may provide written comment on the Head's statement to the ASPC.

Although performance management documentation is not required to be submitted as part of applications, the ASPC strongly encourages the use of this documentation (objectives, self-assessments and supervisor’s reports) in the preparation of applications and Head’s reports.

The Head should also declare, in their report, any professional relationships with the
applicant, such as collaboration on joint research projects.

Advice for Heads on preparing these comments and selecting Independent Assessors can be found in the accompanying document Academic Staff Promotions Guidance for Applicants and Heads. In addition, formal information sessions for Heads are offered at the start of each promotions round.

3.2.10 Executive Dean/Pro Vice-Chancellor/Head of Division’s Written Report

For applicants to levels D or E, in addition to the Head’s report, the Executive Dean/Pro Vice-Chancellor/Head of Division should provide their own independent written report. The full application and the Head’s report should be provided to the Executive Dean/Pro Vice-Chancellor/Head of Division in order that they can include their own report.

The Executive Dean/Pro Vice-Chancellor/Head of Division’s report should independently cover the same material as specified for the Head’s report, but may also include a commentary on the Head’s report and other information on the applicant’s contributions to the College, University, discipline, profession etc.

3.2.11 Case for Promotion

Provide a statement on each of the categories of activity that is relevant to your application:

- Research
- Learning and teaching
- Community engagement and professional service
- Internal service to the University.

The ASPC will consider the performance expectations outlined in Opening UTAS to Talent: the UTAS Academic as a key reference point in assessing an application. An applicant’s case for promotion should be framed around these performance expectations. However, the ASPC will consider the quality and impact of outcomes, and not merely the achievement of quantitative thresholds: the Committee is interested in the total case for promotion, and not only the attainment of the performance metrics alone. The ASPC will also consider evidence of the applicant’s performance trajectory over time. However it should be noted that promotions are based on achievements, not promise. The ASPC will give consideration to the performance expectations for the level to which the applicant is applying. The applicant will be required to give the ASPC confidence that they have the capacity to sustain this level of performance.

The document must not exceed 6 pages for applications to Level B or Level C, or 8 pages for applications to Level D or Level E. Applications exceeding these limits will not be considered by the ASPC.

Applications to Level D or Level E should ensure sufficient focus and clarity is provided around leadership, referring to the document, “The Role of the Professor at UTAS”.

Attach a copy of your current WARP report (not included in the page limit) from https://rmdb.research.utas.edu.au/public/warp/index.htm. This provides the only acceptable evidence (unless otherwise agreed in advance by the Chair of the ASPC) for the following research activities:

- Research income
• Consultancies
• HDR supervision
• HDR completions¹

The Research Office will provide applicants with a copy of their RPE spreadsheet on request.

Attach a summary of all student evaluation results for the last two years (not included in the page limit).

Further advice on each of these components can be found in the accompanying document Academic Staff Promotions Guidance for Applicants and Heads.

3.2.12 Supporting Materials

Applicants may include supporting materials that illustrate or provide evidence for statements included in the case for promotion. The total length of supporting materials submitted should not exceed 6 pages for applications to Level B or Level C, or 8 pages for applications to Level D or Level E (excluding mandated material such as student evaluation and WARP reports). Applications exceeding this limit will not be considered by the ASPC.

While applicants may choose to include material such as extracts from student feedback or peer assessment of teaching, statements of support and referee reports that explicitly advocate the promotion must not be submitted. It is sometimes difficult to differentiate between acceptable and unacceptable supporting material. Generally, acceptable materials include third party statements of what the applicant has done or contributed (e.g. a letter thanking the applicant for service on a committee) or independent comments or assessments (e.g. student or peer comments on the applicant’s teaching, reviews of the applicant’s books, or comments on the effectiveness of the applicant’s service on a committee). Items not permitted include statements advocating the applicant’s promotion (or other forms of career advancement), whether in the form of references or similar documents.

It is not mandated, however you may include a copy of your RPE report and a completed Learning and Teaching rubric that has been signed by the Head. This additional information will not be included in the page limit of supporting materials.

3.3 Lodgement

One copy of the application must be submitted by the closing date by email to Academic.Promotions@utas.edu.au.

Should you have any queries in relation to procedural matters please contact the Secretary of ASPC, by emailing Academic.Promotions@utas.edu.au.

3.4 Updating Applications

Applicants are entitled to update their applications with information about new activities and achievements up until an annual date to be determined by the ASPC and publicised by Human Resources as part of the promotions timetable. Outcomes of key award and

¹ Note that non-University of Tasmania HDR supervisions and completions should be documented separately. Non-University of Tasmania publications and grant income must be reported through WARP
grant programs such as the annual ARC and NH&MRC grant application rounds will be taken into account by the Committee up until the last ASPC meeting in each annual promotion round.

Such updates must be in writing and be no longer than 2 pages and must be submitted to the ASPC via email by the due date to Academic.Promotions@utas.edu.au.

For applicants to Level D and E, the update may also be brought to the interview where the applicant will be asked at the commencement of the interview if they would like to provide a verbal overview of their submitted written update.

3.5 Assessment of Applications

The task of ASPC is to determine whether, in its view, an applicant has satisfied the criteria for promotion to the particular level. To do so, it will adhere to the provisions of the Academic Staff Promotions Policy.

Proceedings of ASPC and all material provided to the committee are strictly confidential. Members of the ASPC must not act as advocates for applicants from their College, or Division.

Where a member of ASPC is the supervisor/performance manager of an applicant they will not take part in the deliberations concerning the applicant.

3.6 Recommendations of the ASPC

The ASPC will forward its recommendations to the Vice-Chancellor for approval.

3.7 Notification and Feedback

Formal notice of the Vice-Chancellor’s decision will be conveyed to all applicants. Unsuccessful applicants will have the opportunity for individual feedback from a member of the ASPC at the conclusion of the round. To assist the staff member, their supervisor will also be present so as to ensure a consistent understanding as to the reasons why and to enable a consolidated approach for any future applications. The Secretary of the ASPC will also be present.

3.8 Review of the Recommendation of the ASPC

Unsuccessful applicants for promotion may seek a review of the ASPC’s recommendation. The review process is specified in the Academic Staff Promotions Policy.

3.9 Exclusion Period

Unsuccessful applicants will not be eligible to apply for promotion for a full promotion cycle following an unsuccessful application round. In special circumstances, the Chair of the ASPC may grant an exemption to this provision, following submission of a detailed case as to why eligibility should be granted.

4 Submissions for “out of cycle” Promotion

4.1 Head and Executive Dean/Pro Vice-Chancellor/Head of Division support

Where a submission is prepared by the relevant Head of School or equivalent it must be endorsed by the relevant Executive Dean/Pro Vice-Chancellor/Head of Division and submitted to the Chair of the ASPC.
The Head must indicate the urgency of the circumstances.

4.2 Out of Cycle Submission content

Any out of cycle submission will require the following:
- Statement outlining the reasons and justifications for the out of cycle promotion request by the Head, co-signed by the Executive Dean/Pro Vice-Chancellor/Head of Division
- Current CV of applicant
- Current WARP report
- Current available student eValuate reports
- If the submission is on the basis of retention due to an offer from an alternate institute, a copy of employment contract being offered.

4.3 Convening a Sub-Committee

If the Chair is satisfied there is a genuine reason for an “out of cycle” submission, the Chair will give approval for an “out of cycle” Sub-committee to be convened.

The Sub-committee will evaluate the application and Executive Dean/Pro Vice-Chancellor/Head of Division, Head and the employee will be advised of the outcome formally and the date of application of the promotion (if successful).

The employee’s name will be included in the final listing of public acknowledgement by the Vice-Chancellor at the completion of the normal annual process.

4.4. Request for Review based on process

There is no review process for out of cycle applications.

5 Definitions and Acronyms

<table>
<thead>
<tr>
<th>ASPC</th>
<th>Academic Staff Promotions Committee</th>
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<tr>
<td>Category of activity</td>
<td>One of: research; learning and teaching; community engagement and professional service; internal service to the University</td>
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<td>eValuate</td>
<td>University of Tasmania online student feedback system</td>
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<td>Head</td>
<td>The applicant’s Head of School or equivalent Head of Faculty, Centre or Institute</td>
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<td>HDR</td>
<td>Higher Degree by Research</td>
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<td>WARP</td>
<td>Web Access Research Portal</td>
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6 Supporting Documentation

- Academic Staff Promotions Policy
- Academic Staff Promotions Guidance for Applicants and Heads
7 Versioning

<table>
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<tr>
<th>Former Version(s)</th>
<th>Version 1 – <em>Academic Promotions Procedure</em> (approved by Council 11/04/2008 resolution no. 08/2/29)</th>
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<td>Version 3 – <em>Academic Promotions Procedure</em> (approved by Council 16/04/2010 resolution no. 10/2/35)</td>
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<td>Version 4 – <em>Academic Promotions Procedure</em> (approved by Responsible Officer, Deputy Vice-Chancellor (Academic) and Provost, May 2011)</td>
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<td>Version 8 – Academic Staff Promotions Procedure (approved by Responsible Officer, Deputy Vice Chancellor (Students and Education), May 2015</td>
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<td>Version 9 - Academic Staff Promotions Procedure (minor amendments approved by University Secretary, July 2017)</td>
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| Current version   | Version 10 - *Academic Staff Promotions Procedure* (approved by Responsible Officer, minor amendments approved by University Secretary, June 2018) |