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## Purpose

This procedure outlines the process to promote academic staff to Levels B, C, D and E including:

- application requirements;
- conflicts of interest and unconscious bias;
- committees constituted to assess applications for promotion;
- assessment of applications;
- recommendations for promotion;
- review of recommendations for promotion; and
- roles and responsibilities associated with academic promotion applications.

This procedure applies to:

- all academic staff who are applying for promotion to academic Levels B, C, D or E, whether tenured, fixed term contracted, full-time or fractional;

- the applicant's Executive Dean/ Deputy Vice-Chancellor/ Head of Division, Head of School or equivalent, and Head of Discipline or equivalent;
- Independent External Assessors; and
- members of the committees constituted to assess applications for promotion.

This procedure does not apply to casual or sessional academic staff.

### Applicable governance instruments

<b>Instrument</b>	<b>Section</b>	<b>Principles</b>
<i>General Delegations Ordinance</i>	8. Delegations for appointment, remuneration and termination of University staff	
<i>Academic Promotions, Honorary and Adjunct Titles Policy</i>	1. Academic Promotion	1.1-1.6
<i>Compliance Policy</i>	2. Conflicts of Interest	2.1-2.2
<i>Behaviour Policy</i>	All sections	
<i>University of Tasmania Staff Agreement -2021-2025</i>		7.2
<i>University of Tasmania People Strategy</i>		
<i>Academic Workload Principles</i>		
<i>Individual College Workload Guidelines</i>		

## Procedure

### 1. Timetable for promotions

In November, or as near as practicable, the Chair of the University Academic Promotions Committee will announce the timetable for academic staff promotions applications for the following year. This will include the closing dates for specific stages of the promotion process such as submission of applications, the dates of briefing sessions and formal notice of any changes to the relevant policy and procedure since the previous year.

The timetable for promotions will be published on the University's Academic Promotions intranet site and be provided to each College and Division.

There will typically be two rounds of promotions in any given calendar year.

### 2. Eligibility

To be eligible to apply for promotion, a staff member must:

- discuss their interest and readiness to apply for promotion with their Head of School and seek feedback;
- inform their Head of School subsequently if they intend applying, so the Head of School can submit Independent External Assessor information by the required due date; and
- submit their application online by the closing date.

Fixed-term staff are eligible to apply for promotion and should seek the advice of their Head of School.

Staff on probation are not prohibited from applying for promotion, although normally, staff will complete their academic probation process through which their suitability is confirmed, prior to applying for promotion. In any circumstances where a staff member seeks promotion prior to their confirmation through probation, they must notify their Head of School and seek feedback.

In no circumstances should academic promotion be viewed as confirmatory of probation, or as a basis for conversion from fixed term to continuing status: these are separate processes.

### 3. Briefing sessions

Prior to the deadline for submission of applications, the Chair of the University Academic Promotion Committee will hold briefing sessions to provide guidance and information (including in relation to respective roles and responsibilities) to potential applicants and Heads of School.

### 4. Promotion to Level B

Promotion to Level B will take place on the recommendation of the relevant Head of School (or Divisional Head of Section) and Head of Discipline or equivalent, approved by the relevant Executive Dean and notified to People and Wellbeing and the Deputy Vice-Chancellor (Academic). A template for making the recommendation is on the University's Academic Promotions intranet site.

### 5. Preparing an application for promotion to Levels C, D and E

- Application forms are available from the Promotions intranet site. Applicants must follow the directions in the guidance information on the intranet site to ensure their applications have the required format and length and include all mandatory documents.
- Applications provide evidence that the applicant has sustained a high level of performance commensurate with the level to which they seek promotion. It must provide evidence of the

applicant's excellence, scholarship, and leadership, as well as demonstrating the significance and impact of applicant's achievements in these four areas of academic activity:

- a) teaching;
  - b) research, scholarship and innovation<sup>1</sup>;
  - c) leadership and internal engagement; and
  - d) community engagement.
- The same activity will generally not be accepted as evidence under more than one area of academic activity.
  - Guidance on the types of evidence that might be used in an application to demonstrate the quality of an applicant's activities in these four areas is published on the University's Academic Promotions intranet site. The examples of evidence are, however, neither exhaustive nor prescriptive. Applicants are not expected to include every evidence type listed and may include other relevant evidence.
  - Academic staff holding fractional appointments will satisfy promotion criteria to the same level as full-time staff but at a volume which reflects the fraction of their appointment.
  - Applicants for promotion to all levels are encouraged to provide evidence of leadership appropriate to that level, whether of a formal or informal kind, which enhances teaching, research, community and stakeholder engagement, student outcomes and the strategic priorities of the University.
  - Applicants should also explain the impact of factors which have affected their career trajectory such as an interrupted work history, diverse career pathways or relevant personal circumstances.

Achievement of minimum expectations alone will not justify promotion.

Applicants may update their applications with new evidence about outcomes, achievement and impact up until a date determined by the relevant promotions committees and published by People and Wellbeing as part of the annual promotions timetable.

It is the responsibility of the applicant to ensure that their application is submitted in the correct format and is complete. Incomplete applications will not be considered by the relevant promotions committee unless there are exceptional circumstances, beyond the control of the applicant. Applicants who are unable to provide all mandatory documents must inform the Secretariat to the University Academic Promotions Committee prior to the closing date, otherwise applications with missing documentation will not be assessed.

## 6. Promotion to Levels C, D and E – reports relating to applications

Advice for Heads of School/Divisional Section Heads is contained in the guidance information published on the Academic Promotions intranet site.

### 6.1. Head of School written report to accompany an application

The relevant Head of School (or Divisional Head of Section) will provide a written report objectively assessing the applicant's performance, including progression over time, and evaluating their activities and achievements relative to disciplinary norms. The report will:

- confirm the applicant's workload allocation;
- comment on the accuracy and quality of their stated levels of excellence, achievement and impact in the areas of academic activity;
- outline the mentoring provided to the applicant to ready themselves for promotion and prepare their application;

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<sup>1</sup> 'innovation' refers to innovation and enterprise creation activities, for more information see the *Table of Potential Activities to Evidence* on the University's Academic Promotions intranet site.

- detail the extent to which the applicant exhibits behaviours consistent with the University's values (<http://www.utas.edu.au/ourvalues>);
- gauge the applicant's ability to perform at the academic level to which they are seeking promotion; and
- include information on the applicant's contributions to the College/Division, University and School.

The Head of School is able to seek input from the Head of Discipline or equivalent if necessary to complete the report.

If the Head of School is the applicant for promotion, the Executive Dean will provide the written report. If the Divisional Head of Section is the applicant, the Head of Division will write the report.

For applications for promotion to Levels D and E only, the Executive Dean will provide short statement of support (or lack of support) to accompany the Head of School report. This will be no longer than 200 words and signed by the Executive Dean.

The Head of School should disclose their report (as well as the Executive Dean's statement for Level D and E applications) to the applicant before the application is submitted. In the rare case it is necessary, applicants may provide written clarification on the reports.

## 6.2. Independent External Assessors reports to promotions committees

The relevant promotions committee seeks impartial and objective advice and a balanced view of the applicant's achievements and worthiness for promotion from Independent External Assessors (IEAs).

- It is not the role of Assessors to advocate for the applicant; rather, they provide a report on the applicant's performance across the relevant areas of academic activity, based on disciplinary norms for the level to which the applicant is seeking promotion.
- Assessors will be asked to provide the committee with contextual advice to assist in evaluating an applicant's performance against disciplinary and national and international sector norms.
- For applicants for promotion to Level C, the Head of School, in consultation with the Head of Discipline or equivalent, will nominate the names of two Independent External Assessors who are not employed at the University of Tasmania and declare that they have no conflicts of interest with the applicant. If possible, one of those nominated should be located internationally.
- For applicants for promotion to Levels D and E, the Head of School, in consultation with the Head of Discipline or equivalent, will nominate the names of three Independent External Assessors who are not employed by the University of Tasmania and declare that they have no conflicts of interest with the applicant. At this level, it is expected that all Assessors will be of international standing. For Level E, at least one of those nominated must be located internationally.
- For applicants in the Academic and Research Divisions, the relevant Head of Section will nominate Assessors.
- Gender diversity is encouraged in the mix of nominated Assessors.
- Assessors are nominated on a form available on the Academic Promotions intranet site.

Independent External Assessor nominations should not be discussed or shared with the applicant. The promotions committee will contact Assessors directly for reports – Heads of School/Divisional Section Heads and applicants must not seek their comments.

Applicants for promotion to Levels C, D and E in initial discussions with a Head of School about their intention to apply, may indicate when and why any specific potential Assessor constitutes a conflict of interest, or where, based on specific previous experience, an assessment from them may raise concerns of apprehended bias or undue prejudice. The request of disqualification of any potential Assessor must be based only on direct experience. Applicants should also record their request of disqualification in their submitted application.

- The Chair of the relevant promotions committee may identify additional nominations for Assessors, after discussion with senior colleagues in the discipline, if required to better reflect balance

(geographical, by institution or discipline) amongst all Assessors or to ensure the Assessors do not have a conflict of interest with the applicant.

- Advice for Heads of School and Divisional Heads of Section on selecting and nominating Assessors is contained in the guidance information published on the Academic Promotions intranet site.
- A member of a promotions committee cannot act as an Independent External Assessor for an applicant.
- Promotions committees have the right to solicit further written advice from any persons with relevant expertise who may be internal or external to the University.

## 7. Committees constituted to assess applications for promotion

Applications for promotion to Level C will be assessed by a College level committee.

Applications for promotion to Levels D and E will be assessed by the University Academic Promotions Committee (UAPC).

### 7.1. University Academic Promotions Committee

The University Academic Promotions Committee is responsible for:

- seeking reports from Independent External Assessors for Level D and E applicants;
- considering all relevant evidence, including written information from any source it deems appropriate;
- making recommendations for the Vice-Chancellor's approval as to who to promote and to what level; and
- formulating feedback to unsuccessful applicants.

The University Academic Promotions Committee is comprised of Level E academic staff members and has the following membership:

Deputy Vice-Chancellor (Academic) or nominee	<i>Ex officio – Chair</i>
Chair of Academic Senate	<i>Ex officio</i>
Deputy Vice-Chancellor (Education)	<i>Ex officio – Deputy Chair</i>
Deputy Vice-Chancellor (Research)	<i>Ex officio</i>
A Professor from each of the University's Colleges who is not the Executive Dean	
Additional members co-opted for periods of up to three years at the discretion of the Chair, to ensure an appropriate balance of gender and expertise among members	
Vice-Chancellor	May choose to sit as a full member of the committee for consideration of applications for promotion to Level E
Secretariat	From People and Wellbeing

The Committee should:

- have stable membership across each round of promotions;

- be comprised of members with expertise in learning and teaching, research, and community engagement; and
- base membership on the organisational units established by the Vice-Chancellor.

Membership of the Committee for those not *ex officio* will be for three years and renewable. College-based members are nominated by the relevant Executive Dean. To ensure continuity of experience and expertise, half the College-based membership will be considered for renewal in rotation, every eighteen months.

Five members of the University Academic Promotions Committee, including at least one of the Deputy Vice-Chancellor (Academic), Chair of Academic Senate, Deputy Vice-Chancellor (Education) or Deputy Vice-Chancellor (Research), constitutes a quorum.

## 7.2. College Promotions Committees

Each of the University's Colleges will have a promotions committee to consider applications for promotion to Level C.

These committees are responsible for:

- considering all relevant evidence, including written evidence from any source it deems appropriate;
- making recommendations for the Vice-Chancellor's approval as to who to promote and to what level; and
- formulating feedback to unsuccessful applicants.

College promotions committees have the following membership:

Executive Dean	<i>Ex officio (Chair)</i>
The College's Associate Deans	<i>Ex officio</i>
A Level E academic from outside the College who is a current College-based member of the University Academic Promotions Committee.	
Secretariat	From People and Wellbeing

Should a College promotions committee be unable to achieve a minimum 40/60 gender balance, additional members may be co-opted from the College to achieve that outcome.

Applications for promotion to Level C from the Academic and Research Divisions will be assessed by the most appropriate College committee.

The College committees should:

- have stable membership across the year's rounds of promotions;
- be comprised of members with expertise in learning and teaching, research, and leadership and engagement;
- base membership on the organisational units established by the Vice-Chancellor; and
- have a term of membership of three years for those not *ex officio*.

Three members of a College promotions committee, including at least the Executive Dean, constitutes a quorum.

## 8. Conflicts of interest and unconscious bias

Members of promotions committees will act fairly and without bias. In accordance with the University Council's resolution on gender balance on committees, promotions committees will have a minimum 40/60 gender balance.

All members on a promotions committee will have undergone appropriate training within the previous five years as recommended by People and Wellbeing to mitigate any risk of bias or apprehension of bias in their deliberations. People and Wellbeing will arrange both initial and refresher training sessions as required.

Applicants and members of a promotions committee should bring to the attention of the Chair any instances where they believe that a conflict of interest, discrimination or bias may affect the assessment of applications, so the Chair may determine the appropriate action.

In all circumstances, promotions committees will adhere to the 40/60 gender balance and where conflicts may impact this, the Chair may excuse an additional member of the committee of the differing gender.

Where there is a significant conflict of interest, including where a member of a promotions committee is the supervisor/performance manager of an applicant, the relevant member(s) of the promotions committee will absent themselves from the discussion and determination of that application.

## 9. Assessment of applications for promotion

Promotions committees will base their decisions on the evidence provided in the application and the report of the relevant Head of School/Division or equivalent and, where applicable, at interview.

Promotions committees are not constituted as committees of discipline experts. It is the role of the applicant, the relevant Heads and Executive Deans or their equivalents and where required, and Independent External Assessors, to provide the committees with sufficient information and evidence on disciplinary norms and expectations to allow the application to be assessed against them.

Submitted workload allocation information will be used by the committees to help them understand the nature of the applicant's responsibilities. Workload information should reflect the period since appointment, since last promotion or over the last five years, whichever is the shortest.

## 10. Interviews

Applicants for promotion to academic Level D and E will be interviewed by the University Academic Promotions Committee. This is an opportunity for applicants to add richness to their case for promotion and demonstrate their capacity to communicate meaningfully about their work and articulate their vision for their role and contribution to the University as an Associate Professor or Professor. The interview supplements the written application and is an opportunity for interaction between the committee members and the applicant.

Applicants who will be interviewed will be offered appropriate advice and support to develop the skills required at interview.

The relevant Head of School or equivalent will attend in person while the applicant is being interviewed. If the Head of School is the applicant for promotion, the Executive Dean or equivalent will attend.

The Chair may, in exceptional circumstances only, elect to conduct interviews via videoconference or similar technology.

## 11. Recommendations for promotion

The promotions committees recommend for the Vice-Chancellor's approval which applicants should be promoted to Levels C-E and to which academic level the staff member should move. As an alternative to promotion, the committees may recommend accelerated progression within the current level.



In exceptional circumstances, the committees may recommend accelerated promotion of an applicant beyond the first step of the next academic level.

## 12. Notification of outcomes

Applicants will receive formal notice of the outcome of their application. It is intended that promotions and accelerated progressions will be effective from the formal notification to the applicant from the Vice-Chancellor.

Unsuccessful applicants will be offered an opportunity to receive feedback from the Chair (or delegated member/s) of the relevant promotions committee. The applicant's Head of School or equivalent will be present to ensure a consistent understanding of the committee's reasons and be able to support the applicant making a future application for promotion. The Secretary of the relevant promotions committee will also attend.

## 13. Review of recommendations for promotion

- Unsuccessful applicants may request that the promotion committee's recommendation is reconsidered on the basis of procedural error; that is failure to comply with the *Academic Promotions, Honorary and Adjunct Titles Policy* or the *Academic Staff Promotions Procedure*.
- Procedural error is the only grounds for review.
- Written requests for review must be submitted to the Vice-Chancellor through People and Wellbeing within 14 days of the applicant being formally advised that their application has been unsuccessful. The request must clearly specify the details of the alleged procedural error and provide any available evidence to support the allegation.
- The unsuccessful applicant and the Chair of the relevant promotions committee will confer before the applicant seeks a review.

An independent senior academic staff member will be appointed to assess if a procedural error is at question before requesting any further advice from the Chair of the relevant promotions committee or applicant. For applications for promotion to:

- Levels D and E this will be an academic leader;
- Level C this will be a member of the University Academic Promotions Committee.

If there is a procedural error at question a review committee will be constituted. If there is no procedural error at question, the applicant will be notified, and no further action will be taken.

### 13.1. Academic Staff Promotions Review Committee

Applications under review will be heard by the University Academic Promotions Review Committee (UAPRC). The UAPRC is constituted as follows:

- a chairperson appointed by the Vice-Chancellor;
- a nominee of the Vice-Chancellor; and
- an employee elected by the academic staff of the University.

The Review Committee will seek a written report from the Chair of the relevant promotions committee on matters relevant to the application under review and relating to the alleged procedural error. The Review Committee will also invite the applicant to respond in writing to its summary assessment of the appeal.

Following its review, the Review Committee will provide a written report to the Vice-Chancellor outlining its findings and recommendations, with copies of that report being provided simultaneously to the applicant and to the Chair of the relevant promotions committee.

In reviewing a recommendation of the relevant promotions committee, it is open to the Review Committee to recommend that the Vice-Chancellor accept or overturn the original recommendation or, alternatively,

remit the application for promotion to the relevant promotions committee to address any procedural errors.

The decision of the Vice-Chancellor arising from a review is final.

#### 14. Out of cycle applications for promotion

In exceptional circumstances an 'out of cycle' application may be considered as a University strategy to retain exceptional staff who have been offered an appointment elsewhere.

A Head of School may request the Chair of the University Academic Promotions Committee to urgently consider an out of cycle application. The relevant Executive Dean/ Deputy Vice-Chancellor/ Head of Division must endorse the request.

Further information about the documents required for an out of cycle application is contained in the guidance information published on the Academic Promotions intranet site.

If the Chair is satisfied the exceptional circumstances warrant an out of cycle application, a sub-committee of the University Academic Promotions Committee will be formed to assess the applicant.

The relevant Executive Dean/ Deputy Vice-Chancellor / Head of Division, Head of School and member of academic staff will be formally advised of the outcome and the promoted staff member listed in the appropriate public acknowledgement by the Vice-Chancellor.

There is no review process for promotions decisions made on out of cycle applications.

#### 15. Roles and key responsibilities

##### 15.1. The Applicant

- Discuss plans and readiness for applying for promotion with the relevant supervisor, Head of Discipline or equivalent and Head of School as early as possible. Those seeking promotion to academic Levels D and E should also discuss plans with the relevant Executive Dean/ Deputy Vice-Chancellor / Head of Division as early as possible.
- Work with the relevant Heads to establish a mentor to assist in developing the application.
- Seek appropriate advice, guidance, support, and feedback in preparing to apply for promotion, including attending a briefing session for potential applicants.
- Follow the *Academic Promotions, Honorary and Adjunct Titles Policy* and *Academic Staff Promotions Procedure* and the advice published on the Academic Promotions intranet site when writing the application to ensure it complies with all requirements.

##### 15.2. Head of School or Divisional Head of Section, and Head or Professor of Discipline or equivalent

- Identify qualified staff and encourage them to apply for promotion.
- Provide clear and consistent guidance, information, and feedback to staff in relation to their preparedness for promotion and assist them to plan for making an application.
- Ensure applicants are actively mentored and coached in relation to readiness for promotion and preparing their application.
- Consult appropriately with senior colleagues in relation to supporting applicants and providing the written report on their application.
- Attest in the written report to the accuracy of the applicant's claims and to what extent the applicant satisfies the requirements for promotion.
- Follow the *Academic Promotions, Honorary and Adjunct Titles Policy* and *Academic Staff Promotions Procedure* and the advice published on the Academic Promotions intranet site when writing their report.

- Support unsuccessful applicants if they seek feedback from the promotions committee and attend the meeting with them. Provide them with subsequent advice and assistance to overcome the reasons for their lack of success.

#### 15.3. Heads of School or Divisional Section head in addition:

- For applicants seeking promotion to Levels C, D and E, nominate Independent External Assessors in accordance with the advice published on the Academic Promotions intranet site.
- Clearly identify any past or present connection between the applicant and the nominated Independent External Assessors.
- Attend promotions committee interviews with College/Division applicants seeking promotion to Level E and any interviews with applicants for promotion to Level D.

#### 15.4. Executive Dean

- Chair the relevant College promotions committee in accordance with the University's values of equal opportunity, integrity, transparency, and procedural fairness.
- Encourage qualified academic staff, from all disciplines of the College to seek promotion.

### 16. Periodic review

Periodically, and at least every two years, the University Academic Promotions Committee (UAPC) will consider data collated by People and Wellbeing relating to applications and their outcomes, in the context of evidence-based University and sector norms, to ensure that key principles of transparency, consistency and equity have been achieved in practice.

In the interests of continuous improvement, the Chair of the UAPC will consider similar data collated annually by People and Wellbeing for each College to assure the University of the broad comparability and fairness of devolved processes.

A short report on these reviews will be provided to the Vice-Chancellor. In addition, the Deputy Vice-Chancellor (Academic) may provide comment in a broad overview to Academic Senate about trends over time, ensuring de-identification of disciplines and individuals.

### Related procedures

N/A

### Versions

<b>Version</b>	<b>Action</b>	<b>Approved By</b>	<b>Business Owner/s</b>	<b>Approval Date</b>
Version 1	Approved	Provost	Provost	16 December 2020
Version 2	Approved	Provost	Provost	10 June 2021
Version 3	Minor amendment approved (position title changes)	Director Governance and Compliance	Deputy Vice-Chancellor (Academic)	16 May 2022
Version 4	Approved	Deputy Vice-Chancellor (Academic)	Deputy Vice-Chancellor (Academic)	27 February 2023