



# University Procedure

## Academic Promotion (Higher Education)

### 1. Purpose

The Procedure exists to ensure that the University's Academic Promotion Policy is implemented in a consistent, equitable and effective manner.

### 2. Scope

#### A

Higher education academic employees of the University of Ballarat who hold full-time, fractional (0.5 and above), continuing and contract appointments and who have completed at least one full year's service at the University of Ballarat at the date of call for applications are eligible to apply for promotion to Levels B, C and D.

Higher education academic employees of the University of Ballarat who have applied unsuccessfully for promotion in two consecutive years will not be eligible to apply in the year after his/her last unsuccessful application (i.e. in the third year).

#### B

The procedure covers all stages of the process from calls for applications for promotion, submission of applications, written evaluation by Head of School, response by applicants to written evaluation, Promotions Committees, consideration of applications by the relevant Promotions Committee, recommendations to the Vice-Chancellor, feedback to applicants, and appeals.

### 3. Definitions

#### Four Scholarships:

The University of Ballarat promotes Boyer's model of the Four Scholarships<sup>1</sup> to define the range of scholarly activity pursued in the University. To this model the University has added a fifth dimension, Leadership, Management and Administration, to create a framework of areas of academic achievement.

See Procedure [Attachment A](#).

#### Areas of Achievement:

This refers to the Scholarship of Discovery; Scholarship of Teaching; Scholarship of Application; Scholarship of Integration; Leadership, Management and Administration.

#### Levels of Attainment:

In the application documentation, the applicant must indicate the level of attainment being claimed in each Area of Achievement (Discovery, Teaching, Application, Integration, and Leadership, Management and Administration), according to the criteria of:

- **Satisfactory** – requires evidence of effective engagement in activities associated with Areas of Achievement (Teaching, Discovery, Integration, Application and Leadership, Management and Administration).
- **Meritorious** – requires evidence that you at least have met requirements for 'satisfactory' attainment and with the addition that the level of attainment is recognised/acknowledged by peers/clients to be noteworthy.

<sup>1</sup> Boyer, E.L. (1990), Scholarship Reconsidered: Priorities of the Professoriate, Carnegie Foundation, Princeton, NJ.

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### Levels of Attainment continued.../

- **Distinguished** – requires evidence that the requirements for ‘meritorious’ attainment have been met and with the addition that a clear and major impact and influence in the relevant field/discipline or profession is recognised and acknowledged as significant by leaders in the area. It also includes achievement of national and/or international prominence.
- Supporting documentation regarding attainment required in the areas of achievement for each academic level is provided in **Procedure [Attachment B](#)**.

### Academic Profiles/ Minimum Standards for Academic Levels (MSALs):

- The Academic Profiles for each School are the standards and/or expectations of an academic at each Level customised within the context of the disciplines/areas of the School. The Profile has been endorsed by the Academic Board and complements the Minimum Standards for Academic Levels.
- The [Minimum Standards for Academic Levels](#) are a generic listing of standards and/or expectations of an academic at each level.

### Equivalent accreditation or standing:

For various reasons applicants may not have higher degree qualifications but may make a case for equivalent accreditation and/or standing in their profession/discipline. As an indicator, the types of supporting documentation to demonstrate such claims for equivalent accreditation or standing are listed in **Procedure [Attachment C](#)**.

## 4. Actions

### A Call for Applications for Promotion to Levels B, C and D

- a) Applications for promotion to Levels B, C and D will normally be called for each year. The Head of School, after appropriate consultation within the School, may decide not to call for applications in any given year. However, applications must be called for in each School at least every second year.
  - i) If a School decides not to call for applications in any given year, all staff in the School will be advised in writing, as will the Director, Human Resources, by the 30<sup>th</sup> of April.
- b) The call for applications by Schools will:
  - i) include a summary of the Statement of Strategic Intent by the Head of School which articulates the strategic directions and priorities for future development of the School; and
  - ii) have attached a “profile” of the standards and/or expectations of an academic at each Level within the context of the disciplines/areas of the School which has been endorsed by the Academic Board (Academic Profile). The Academic Profile will be developed through a consultative process within each School and be benchmarked against those established at other like and reputable universities for the same level and in similar disciplines. The standards/expectations must complement the minimum standards for academic levels (MSALs).
- c) Heads of Schools will forward a copy of any call for applications for promotion to the Director, Human Resources.

### Timeline

- a) Heads of Schools will call for applications for promotion to Levels B, C and D in the last week of May.

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- b) Applications, including all five components, must be forwarded to the Director, Human Resources by 5.00 p.m. on the last Thursday in July. Late applications will not be accepted.
- c) The Director, Human Resources will allocate appropriate secretarial support for each University Promotions Committee.
- d) The Secretary of each Promotions Committee will seek and collect confidential references during the month of August.
- e) The deliberations of each Promotions Committee will take place during September and October.
- f) The Director, Human Resources (or nominee) will co-ordinate the proceedings of Promotions Committees considering applications to Levels B, C and D, and coordinate and forward all recommendations for promotion to the Vice-Chancellor.
- g) The Director, Human Resources will advise each applicant whether or not their application has been successful before the end of November.
- h) Promotions take effect from 1 January the following year and will be made on a continuing appointment basis.

### B Submission of Applications

- a) The onus is on the applicant to provide adequate information and evidence to convince the relevant Committee that they meet the criteria defining merit for promotion to the level to which the applicant is applying.
- b) Applicants are strongly advised to consult with their Head of School prior to submission of an application.
- c) An application will contain the following **five** components:

A detailed case for promotion which explicitly addresses the two criteria for promotion - **qualifications** (or, where appropriate, a case for equivalent accreditation or standing) and **performance**. The applicant should methodically address the two elements of performance – areas of achievement and levels of attainment as defined by the Policy.

The case should be concise and persuasive, and not exceed twenty A4 pages. It should specify the levels of attainment for each of the areas of achievement in accordance with the promotion being sought and indicate precisely how the applicant's qualifications, experience and contribution qualify her/him for promotion in relation to the criteria. Applicants should not use the one piece of evidence to demonstrate achievement in more than one area of achievement.

The applicant is responsible for providing material evidence to substantiate her/his claims. For example, a listing of items such as committee memberships is unlikely to be persuasive without a demonstration of significant contribution and/or outcomes.

#### Personal information:

- full name, present position and classification, a brief summary of work-related experience prior to joining the University and a summary of service with the University including any relevant higher duties and professional development programs undertaken, honours and awards; and
- academic qualifications held, further study being undertaken towards additional qualifications (if any), or where appropriate, a detailed case for equivalent accreditation or standing.

#### Performance in the areas of achievement to demonstrate levels of attainment:

##### ▪ **The Scholarship of Teaching:**

Applicants need to provide specific details which substantiate teaching performance and outcomes in support of the level of attainment. This includes evidence which demonstrates the level and effectiveness of teaching, particularly over the past three years.

Applicants must provide a summary of student evaluation/feedback which:

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- demonstrates that they have consistently sought student feedback/evaluation of their teaching performance; and
- outlines the action they have taken in response to student feedback to continuously improve their teaching.

The selection of feedback used as evidence must be generated by a reliable and valid evaluation instrument and be representative of all feedback. The relevant Head of School/DVC should, in evaluating an application for promotion, comment on any claim made in relation to student feedback and confirm the reliability and validity of the evaluation instrument used.

Other evidence could include:

- Feedback from peers;
- evidence of innovations in or changes to methods of teaching or assessment of student performance and evidence of leadership in setting standards, eg. through publication of teaching materials including recognised texts or the development of recognised applications of technology or teaching/assessment methods;
- evidence of initiatives contributing to improved teaching practices;
- reputation and recognition for excellence and/or innovation in teaching;
- scholarship in teaching and learning;
- innovative curriculum design, development and implementation, including evaluation of effectiveness of curricula;
- commitment to self development and professional improvement of teaching;
- teaching, designing, promoting and/or conducting continuing education or professional development courses.

### ▪ **The Scholarship of Discovery:**

The application should clearly demonstrate past and present activity, particularly over the past three years, and evidence of external recognition of scholarly achievement. Details could include evidence of:

- publications such as books, monographs, book chapters, creative works, refereed and non-refereed journal articles, refereed and non-refereed conference papers and other publications. The source, dates of publication and page numbers must be given. Applicants should state in each case whether they are the sole or a joint author, and in the case of joint authorship, the extent of their responsibility for the work. Publications should be listed in coherent groupings (rather than a chronological list) based on:
  - books, monographs: sole author, joint author, editor
  - chapters in books: sole author, joint author, editor
  - creative work: publications, exhibition or performance details
  - articles/conference papers: refereed journals - sole author, joint author  
non refereed journals - sole author, joint author
  - reports: reports commissioned by international, government, commercial and other agencies
  - reviews: review of others' works written by applicant  
reviews of applicant's works written by others.
- creative and professional scholarship undertaken in other media or non-print forms such as film, television, radio broadcasts, exhibitions and performances, creative achievements and software;
- attraction of funds from granting agencies for scholarly or research projects indicating the amount of such grants, whether principal or co-investigator, and referencing resulting publications or other tangible outcomes;

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- demonstrated outcomes of research and achievements in scholarly activity in the form of transfer of results of research and development to industry, the professions and the wider community;
- testimonials such as significant public critiques/reviews/acknowledgments of work by others and citations of work made by others in their publications;
- other related information such as involvement in joint research projects, leadership of research teams and citations in the media.

Applicants should note that work in progress will be considered as evidence of current interest rather than evidence of scholarship and will therefore be given a lower “weighting” than completed scholarly work. Also, publications or creative works not eligible for listing in the University’s audited data for research quantum will be given a lower “weighting” for the purpose of an application for promotion, unless the form of such work has been approved by the Academic Board, in the School Academic Profile, as bona fide evidence of the Scholarship of Discovery for that discipline or professional area.

#### ▪ **The Scholarship of Integration:**

In many ways, the Scholarship of Integration spans and integrates all other aspects of scholarly work. Accordingly, evidence of integration may involve aspects of other scholarly activities with however, the added element of extending beyond the narrow field of specialisation. Evidence of integration might include:

- publications which are explicitly cross-disciplinary in their focus or which use methodologies derived from one field to elucidate a different field;
- integrative reviews, surveys and commentaries which draw together insights or findings from different research traditions, different historical periods or different intellectual traditions;
- participating in cross-disciplinary problem-solving or teaching teams;
- invitations to contribute to conferences, consultancies, think-tanks or research teams in a discipline area other than the applicant’s own;
- acknowledgment by professional associations outside of the applicant’s usual area of expertise of his or her novel and valued contribution;
- informed high level critique of social trends, programs or innovations from an interdisciplinary or multidisciplinary perspective;
- active participation and leadership in the development, teaching and evaluating of courses, programs of study and subjects intended to integrate entire domains of study or different disciplinary perspectives, or to introduce students in one field of study to major themes and issues in other domains;
- active participation in and contribution to multidisciplinary teaching, research or consulting teams or projects;
- lectures, performances, exhibitions or publications which draw on and contribute to different disciplines or fields of study;
- keynote and other invited presentations to audiences or groups from outside the applicant’s normal range of professional colleagues;
- documented innovations to courses and programs based on insights gained from research, consulting or other applied work in the field;
- other recognised scholarly activity which derives from or contributes to perspectives and methods not normally associated with the applicant’s customary area of expertise.

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#### ▪ **The Scholarship of Application:**

Applicants would normally provide evidence of:

- major consulting projects undertaken through the University including details such as the agency utilising the applicant's services, nature and significance of assignments, topic area/s and duration;
- past and current professional practice showing the nature and level, extent and duration, type/s of clientele, relationship of the practice to University duties and any professional development programs undertaken for this purpose;
- specialised scholarly work undertaken within the community;
- professional commentary on issues in the general media and within the wider community which involves bringing specialist expertise to bear on issues of general public interest in a range of fora;
- creating opportunities for discussion of intellectual, social, economic and cultural issues of importance to the well-being of the community;
- leadership, not merely membership, of professional bodies and/or learned societies demonstrated by the nature of contributions and outcomes, and evidence of how these have been recognised or acknowledged;
- editorship of journals and membership of review panels;
- contributions to education in the wider community, including professional associations;
- submissions to government inquiries, membership and activity on boards or councils and offices held with unions or community groups where they are relevant to professional leadership and support the level of attainment claimed in this area;
- other professional involvement which adds to an understanding of the level of professional contribution and status such as government committees or task forces.

#### ▪ **Leadership, Management and Administration:**

Applicants must demonstrate leadership, management and administration within the context of the University's Mission, Goals and strategic directions. This would normally include evidence of:

- leadership of teaching teams or course development teams, promoting and being a role model for continuous improvement and innovation in teaching, and assisting other staff with teaching, for example, by allowing less experienced staff to observe their teaching and discussing their approach to teaching with colleagues;
- managerial and administrative responsibility including, for example, significant contributions to development of policies, fundraising for academic programs and assistance to senior academic staff;
- having initiated and led others effectively through change;
- leadership of other staff, coordination of work, supervision of staff and preparation of unit review or accreditation documentation;
- contributions to and innovation in the design, administration and improvement of new and existing courses, subject areas or units;
- playing a leadership role to achieve goals and strategic outcomes through service on University committees, working parties, boards etc, indicating the significance of the role played and outcomes achieved.

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### Any supporting evidence

If an applicant has supporting evidence such as books, recent journal articles, software, works of art, photographs, audio-visual or digital materials which they believe add value to their application and would be beneficial for members of the Promotions Committee to peruse, these items should be placed in a receptacle, e.g. a box or folder, with a summary list of contents, and submitted with the application. The items will be returned after the relevant Committee's proceedings are complete.

### The names, addresses and contact details of two referees

- Two referees, at least one of whom must be external to the University, will be nominated by the applicant.
- Applicants are advised to select referees whose seniority and/or close knowledge of the applicant and their work enables them to provide informed comment on the application which can be deemed by the Promotions Committee to be reliable and valid. They should be people of standing in relevant academic and professional fields whose judgements can be relied upon by the Promotions Committee.
- Referees should be consulted by applicants in advance to ensure they are willing and available to act as referees. The applicant is responsible for supplying a copy of their application to their referees and specifying the areas on which they require the referee to comment.
- The applicant must advise the Committee of the specific areas on which each referee will be able to comment. Confidential references will be sought by the Executive Officer of the relevant Committee on behalf of the Committee. Referees will be asked to comment on performance in the areas of achievement and levels of attainment appropriate to the academic level to which the applicant is applying.
- In view of the importance of references, applicants are advised to pay particular attention to this matter in the preparation of their applications.

## **C Written evaluation of applications and response to written evaluation**

Applicants must provide a copy of their application to their Head of School, at least four weeks before the closing date for applications.

The Head of School will prepare a written evaluation of the suitability for promotion of any applicant from within their School. Within a framework of the criteria defining merit, the Head of School's written evaluation should appraise an applicant against the levels of attainment, including comment on/endorsement of any claim made in relation to student feedback. Comment can be made on matters which are relevant to the case for promotion which have not been included in the application.

A summative statement by the Head of School will determine whether each application has:

- Strong support
- Support
- Support with reservations
- Not supported

When the applicant is a Head of School, the Vice-Chancellor will nominate an appropriate person to prepare a written evaluation of the applicant's suitability for promotion.

The applicant will submit the written evaluation as part of their application.

### Response to Written Evaluation

The written evaluation must be given directly to the applicant at least two weeks before the closing date for applications to enable them to prepare a written response if they so choose, and to submit a complete application in a timely manner. Any such response by the applicant will be included with the application.

The applicant will forward a copy of any response to a written evaluation to the Head of School//nominated person who wrote the evaluation.

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### D Promotions Committees

#### Composition - General:

- a) Any person who is an applicant shall not be a member of the Committee to which s/he has applied.
- b) Any member of a Committee shall not act as a referee for any applicant to the Committee of which s/he is a member.
- c) In accordance with the University's [Conflict of Interest](#) Policy, Committee members shall declare the existence of any relationship with an applicant that may influence their evaluation of a promotion application.
- d) Affirmative Action guidelines of at least thirty per cent representation of either gender on any Committee shall be adhered to. The membership of a Committee may be augmented through co-option to meet this requirement.
- e) Members of Committees and observers shall maintain confidentiality. The proceedings and all records of meetings of Committees shall be confidential to the members, observers and Executive Officer of the relevant Committee.
- f) The membership of a Promotions Committee will not include more than one representative from any School.

#### Composition of Promotions Committee to Consider Applications to Levels B and C:

The Promotions Committee that considers applications to Levels B and C and recommends candidates to the Vice-Chancellor will comprise:

- a Deputy Vice-Chancellor or nominee as Chairperson;
- two academic staff at Level C or above, external to the University, and nominated by the Vice-Chancellor in consultation with the Chair;
- five academic staff from within the University; and
- a representative of staff drawn from the elected staff pool as an observer.

To select the five academic staff from within the University:

Each School will hold an election for a position on the Committee in accordance with [Regulation 7.1](#), except that a Head of School is not eligible to be nominated for a School position; and

The Returning Officer from each School will forward the name of their elected representative to the Director, Human Resources.

The five elected School representatives to participate on the Promotions Committee will be selected by a Committee comprising:

- the Chair of the Promotions Committee that considers applications to Levels B and C;
- the Chair of Academic Board (or nominee); and
- the Pro-Vice-Chancellor (Administrative and Academic Support) (or nominee).

The Committee will aim to select members such that a broad and representative range of disciplines, academic levels and experience is available, and appropriate gender representation is achieved.

Elected School representatives will hold their position for two years.

At the Vice-Chancellor's discretion, the composition of Promotions Committees can be augmented by co-option to redress any imbalance, e.g. in academic levels represented.

The Deputy Vice-Chancellor (or nominee) will monitor and advise on the implementation of Equal Employment Opportunity principles and of this Policy.

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### Composition of Promotions Committee to Consider Applications to Level D:

The Promotions Committee that considers applications for promotion to Level D and recommends candidates to the Vice-Chancellor will comprise:

- a Deputy Vice-Chancellor as Chair;
- Chair of Academic Board (or nominee);
- two professors or associate professors of the University who are not Heads of Schools nominated by the Vice-Chancellor in consultation with the Chair;
- two senior academics external to the University and nominated by the Vice-Chancellor in consultation with the Chair; and
- a representative of staff drawn from the elected staff pool as an observer.
- The Deputy Vice-Chancellor (or nominee) will monitor and advise on the implementation of Equal Employment Opportunity principles and of this Policy.

All internal members of Promotions Committees, elected School representatives will participate in appropriate training coordinated by Human Resources. University staff cannot participate as a member of a Promotions Committee unless trained.

### **E Consideration of Applications for Promotion**

Applications will be considered within the context of:

- the needs and strategic directions of the School of which the applicant is a member of staff and of the University, and
- the profile of expectations/standards for academic levels in the disciplines/areas of endeavour of the relevant School

Having taken advice from the Head of School, a Promotions Committee can nominate up to two confidential reviewers with expertise in the discipline area, one of whom must be external to the University. The applicant will be advised when a Committee is to seek information from a reviewer and will be given an opportunity to comment on the nomination of the reviewer/s. A Promotions Committee, upon consideration of any written comments from an applicant, will evaluate the information from the reviewer(s) and may or may not nominate further reviewer/s.

In their deliberations, Promotions Committees will apply the criteria defining merit rigorously and fairly. Decision-making processes within Committees will be open and transparent and recommendations will be based on:

- a) the case and any supporting evidence provided by an applicant;
- b) the Head of School's evaluation, including the summative statement of degree of support;
- c) the applicant's response to the Head of School's evaluation, if provided;
- d) referees' reports; and
- e) reports of external experts (if sought).

A Promotions Committee reserves the right to seek clarification on any point in an application from the applicant or Head of School. The Chair of the Committee will determine how such clarification will be sought<sup>2</sup>.

Although applicants aim to provide evidence of satisfactory, meritorious or distinguished levels of attainment in the areas of achievement, a Promotions Committee can decide that an applicant has not achieved or not fully achieved<sup>3</sup> a satisfactory level of attainment in any given area.

<sup>2</sup> May include meeting with candidate.

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A Promotions Committee can make a recommendation to promote an applicant who exceeds the level/s of attainment in one/some areas of achievement for promotion to a particular level, but does not meet an/other level/s of attainment in one or more of the areas of achievement. This will be deemed to be a "special circumstances" recommendation. The reasons why the Committee believes a "special circumstances" recommendation is warranted will be provided in writing to the Vice-Chancellor.

The minutes of meetings of Promotions Committees will be the only official record of the Committee's deliberations. Within a framework of the criteria defining merit, a summary of reasons for recommending or not recommending any applicant for promotion will be recorded.

The Director, Human Resources (or nominee) will coordinate and forward all recommendations for promotion to Levels B, C and D to the Vice-Chancellor.

### F Recommendations to Promote

- a) The Vice-Chancellor may seek advice and/or clarification on any recommendation to promote from the Chair of a Promotions Committee.
- b) The Vice-Chancellor can approve or not approve any recommendation for promotion. Should the Vice-Chancellor decide not to promote, s/he will provide a written statement setting out the reasons to the Chair of the relevant Promotions Committee.
- c) All costs resulting from academics being promoted to Levels B, C and D must be borne by the School.

### G Feedback to Applicants

- a) The Director, Human Resources will advise all applicants in writing whether their application for promotion has been successful. A copy of the advice will also be sent to the relevant Head of School.
- b) All applicants for promotion to Levels B, C and D will be encouraged to meet with their Head of School and the Chair or nominee of the relevant Promotions Committee to obtain feedback on their application in relation to the promotion criteria. Advice to assist applicants with subsequent applications and/or their future development may also be requested.

### H Appeals

- a) The only ground for appeal is failure by the Committee to observe the procedures set out in this Policy.
- b) A written appeal must be lodged with the Director, Human Resources within ten working days of formal advice on the outcome of an application.
- c) Within three working days of receipt of an appeal, the Director, Human Resources will advise, in writing, the Chair of the relevant Promotions Committee and the appellant's Head of School that an appeal has been lodged.
- d) The appeal will be dealt with as expeditiously as possible.
- e) The Appeals Committee will comprise:
  - a senior member of academic staff appointed by the Vice-Chancellor, and
  - the Secretary of Council (or nominee).
- f) The Appeals Committee will review the process that was followed by the relevant Promotions Committee in respect of the appellant's application. The principles of natural justice will be applied to any such review.
- g) Should the Appeals Committee conclude that there has been no breach of process, the Appeals Committee will advise the appellant accordingly in writing. There will be no further right of appeal.

<sup>3</sup> Not fully achieved = "qualified satisfactory"

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- h) Should the Appeals Committee conclude that there has been a breach of process, the Appeals Committee will refer all relevant documentation to the Chair of the relevant Promotions Committee with a recommendation that the application be reconsidered. The relevant Promotions Committee will then reconsider the application.

### 5. Responsibilities

- The Deputy Vice-Chancellor and the Director, Human Resources are responsible for ensuring compliance with the policy and for ensuring that appropriate procedures and other systems are in place where relevant.
- The Deputy Vice-Chancellor (or nominee) will monitor and advise on the implementation of Equal Employment Opportunity principles and of this Policy.
- The Director, Human Resources, has specific responsibilities for the maintenance of this procedure which are detailed in Section 4.

### 6. Policy Base

- [Regulation 7.1 Election Procedures.](#)
- [Academic Promotion Policy.](#)
- [Equal Opportunity and Valuing Diversity Policy.](#)
- [Conflict of Interest Policy.](#)

### 7. Associated Documents

- [Academic Promotion Procedure Attachment A – The Four Scholarships and Leadership, Management and Administration.](#)
- [Academic Promotion Procedure Attachment B – Attainment in the Areas of Achievement](#)
- [Academic Promotion Procedure Attachment C - Equivalent Accreditation or Standing](#)

### 8. Forms/Record Keeping

Title	Location	Responsible Officer	Minimum Retention Period
Application documents	Human Resources Directorate	Executive Officer (Human Resources) to the Committees	To the end of the promotion period for that year
Referee documents	Human Resources Directorate	Executive Officer (Human Resources) to the Committees	To the end of the promotion period for that year
Minutes of Promotion Committees	Human Resources Archive	Director, Human Resources	ongoing
Advising outcome of Promotion	Human Resources personal file of applicant	Director, Human Resources	ongoing

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