Promotion of Academic Staff Procedure

Section 1 - Purpose and Scope

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

(2) This Procedure provides a practical context to the processes, key controls and responsibilities with regard to academic promotion which is underpinned by the principles as outlined in the Confirmation and Promotions (Academic Staff) Policy.

Scope

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

Section 2 - Process and Key Controls

Eligibility to Apply for Promotion

(4) Level A applicants may only apply once for promotion per calendar year.

(5) Staff may submit an application for promotion to Level C, D or E not earlier than two years from either of the following:

a. the date of appointment to their current level; or
b. the application date of their last promotion application, whether successful or unsuccessful.

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

(7) Applicants must have completed both the most recent Annual Performance and Development (APD) process and any outstanding mandatory training and disclosures prior to submitting an application for promotion.

Readiness

(8) While the decision to apply for promotion rests entirely with the applicant, applicants must discuss their readiness to apply for promotion with their academic supervisor and Head of School/Director.

(9) The Criteria for Academic Performance is the principal document used to assess readiness for promotion. Applicants must be able to demonstrate that they have reached the required standards for the academic level to which they seek promotion. In some instances, recognition of trajectory, based on available evidence, may be appropriate.

(10) Promotion is dependent on demonstrated ability and achievement since the applicant's appointment to their

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current position and level. Secondary evidence supporting promotion may be derived from work undertaken during earlier career stages that has underpinned the achievement of the relevant standard for promotion.

Particular Circumstances

Promotion to any Academic Level

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

(12) However, in rare and exceptional circumstances, the Committee may determine that an applicant has demonstrated that they have met the criteria for the academic level above the level applied for to such an extent that promotion to the next academic level may be offered. If an applicant would prefer to be promoted to the academic level initially applied for, they should indicate this to the Chair.

Early Application

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

(14) In circumstances where the staff member was unsuccessful in their application for promotion in the previous year, the staff member's application must demonstrate a substantial and significant change to warrant approval of a request for early application.

(15) In exceptional circumstances and with permission of the Committee Chair, out-of-cycle promotion applications to Academic Levels C-E can be considered by the Committee, where an appropriate case is provided in writing from the Head of the applicant's Organisational Unit. In circumstances where an out-of-cycle promotion application is approved, the effective date of the promotion will typically be 1 January the following year but is subject to the discretion of the Committee Chair.

Fellowship Award Recipients

(16) Where a staff member is awarded a high-standing fellowship at a higher level than their substantive position, the staff member may apply for promotion in the next promotion round following the fellowship commencement date. Where promoted, the promotion will apply to the substantive appointment. In evaluating the strength of the case presented by a fellowship award recipient, members of the relevant promotions Committee will also need to consider the applicant's achievements relative to their substantive role.

(17) With the exception of Australian Research Council (ARC) and National Health and Medical Research Council (NHMRC) Fellowships (which are high-standing), the Deputy Vice-Chancellor (Research and Innovation) will be responsible for determining whether a fellowship meets the definition of high-standing. Requests to consider whether a fellowship is a high-standing one must be made in writing to the Deputy Vice-Chancellor (Research and Innovation), ensuring all relevant and associated information is provided to enable an informed decision.

Externally or Grant Funded Research-Focused Academics

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

Change of Academic Category

(19) When an applicant applies for promotion, the Committee will assess the application with regard to the applicant's current academic category. For example, where the applicant has spent two years as Research Focused, and one year as Teaching & Research (their current category), the assessment will be against the criteria for a Teaching & Research

academic.

(20) The Committee may, however, in an effort to ensure that an applicant is not disadvantaged by a change in academic category, give consideration to the overall contribution of the applicant since their appointment or promotion to their current academic level.

Promotion/Probation Relationships

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

(22) Level B-D staff on probation who make a successful application for promotion will also be considered to have been successful in achieving early confirmation of continuing appointment.

Application and Timetable

(23) Eligible staff at Level A may apply for promotion to Level B at any time throughout the year.

(24) For promotion to Levels C, D and E, one promotion round will be held each year, with applications being called between 1 April and 31 May. Heads of School, Directors and Executive Deans (where relevant) will be required to complete their assessment and recommendations for promotion applications before 30 June.

(25) All applications are to be submitted via Workday using the relevant Promotion Application Form.

Date of Effect

(26) Promotions to Level B will take effect on the first day of the month following the promotion decision.

(27) Promotions to Levels C, D and E will take effect on 1 January of the year following successful application.

Section 3 - Key Requirements

Documentation Submission

Promotion Applicant

(28) The applicant must ensure that the following items are correct, complete and submitted as part of their promotion application:

a. Promotion Application Form
   The Promotion Application Form can be accessed by applicants within Workday during the application window outlined under clauses 23 and 24. The form includes:
   i. The Summary of Case for Promotion (800 words maximum) – summary of key achievements since appointment/promotion to current level.
   ii. Performance Relative to Opportunity considerations (300 words maximum) – summary of any factors the applicant would like to be taken into consideration by the Head of School/Director and Promotions Committee.
   iii. Reflection on Performance against Academic Criteria – reflection against each domain (i.e., Teaching, Research, Supervision & Researcher Development and Citizenship & Services) outlining how performance has met the Criteria for Academic Performance for the promotion level being sought.

iv. Additional Documentation – optional section which allows the submission of relevant supporting material.

b. Individual Activity Profile (IAP)
Promotion applicants must ensure that their Individual Activity Profile is updated prior to the submission of the Promotion Application Form.

(29) Once the Promotion Application Form is submitted by the applicant, it will progress to the relevant Head of School/Director to provide their review and recommendation.

Head of School/Faculty-level Director

(30) Upon receipt of the Promotion Application Form, the Head of School/Faculty-level Director is required to provide their assessment and recommendation.

(31) This involves providing an assessment and commentary against each academic domain, as well as an overall recommendation.

(32) Where the Head of School/Faculty-level Director has consulted with relevant staff to inform the assessment, including the applicant's supervisor, the names of these staff members must be included.

University-level Institute Director/Pro-Vice-Chancellor (Research Infrastructure)

(33) For University-level Institute staff seeking promotion to Academic Level C-E, the University-level Institute Director will be required to provide their assessment and recommendation for consideration by the relevant LPC or PCPC. Promotion applications for Academic Level B can be approved by the University-level Institute Director.

(34) For staff in a Collaborative Research Platform (CRP) within the Pro-Vice-Chancellor (Research Infrastructure) (PVCRI) portfolio seeking promotion to Academic Level C-E, the PVCRI will be required to provide their assessment and recommendation for consideration by the relevant LPC or PCPC. Promotion applications for Academic Level B can be approved by the PVCRI.

Executive Dean (Professorial Applications Only)

(35) For staff who have an appointment within a Faculty and who are seeking promotion to Professor (Level E), the Executive Dean will be required to provide their assessment and recommendation in addition to that from the Head/Director.

Acknowledgement and Response

(36) Once submitted by the Head/Director/Executive Dean, the completed Promotion Application Form will be provided to the promotion applicant for formal acknowledgement within Workday.

(37) Should the applicant wish to provide a written response to the ratings, comments or reflections provided by the Head/Director/Executive Dean, this can be done as part of the Acknowledgement process. Any comments provided through the Acknowledgement process will be provided to the Promotions Committee.

Referees

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

Conflict of Interest Considerations

(39) If a perceived or potential conflict of interest exists, the referee must declare this to the person seeking the

reference. This may include:

a. being a mentor, relative or friend;
b. having held a grant or published with the person in the preceding five years;
c. having participated in the same research group in the preceding five years;
d. having ongoing and close collaboration links; or
e. being a current member of the relevant Confirmation and Promotions Committee.

(40) A referee must not have an actual conflict of interest with the applicant.

Adverse Comments

(41) Applicants will have the opportunity to respond to adverse referee comments.

Committee Interview

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

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

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

Appeals

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

(46) Prior to appealing, it is expected that unsuccessful applicants would have sought and received feedback on their application and the Committee's reasons for the decision to not promote.

(47) An appeal must be lodged in writing to the Chief Human Resources Officer at cap@uq.edu.au within 10 days following the feedback meeting with the Committee Chair. In order for an appeal to be upheld, the Provost or Vice-Chancellor as Authorised Officer must be satisfied that the procedural error had a real and significant impact on the decision. The decision of the Authorised Officer is final.

Section 4 - Roles, Responsibilities and Accountabilities

Local Promotions Committee (LPC)

(48) The relevant LPC is responsible for considering promotion applications to Levels C and D within the relevant Faculty and/or Institute.

Professorial Confirmation and Promotions Committee (PCPC)

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

Vice-Chancellor

(50) The Vice-Chancellor (or nominee) must:

a. Determine the outcome of promotion applications, on recommendation from the PCPC; and
b. Consider and determine appeals (Level E).

Provost

(51) The Provost (or nominee) must:

a. Lead and oversee the Professorial promotions process by:
    i. Chairing the Professorial Confirmation and Promotions Committee;
    ii. Presenting recommendations for promotion to the Vice-Chancellor;
    iii. Advising Executive Deans/University-level Institute Directors of outcomes for their respective areas;
    iv. Ensuring all applicants are notified of promotion outcomes in writing;
    v. Providing constructive and developmental feedback to applicants as appropriate, including meeting with unsuccessful promotion applicants; and
b. Consider and determine appeals (Levels A-D).

Executive Dean

(52) The Executive Dean (or approved delegate) must:

a. Chair the relevant Local Promotions Committee;
b. Assess whether any conflict of interest may exist between themselves and an applicant for promotion. If so, discuss the conflict with the Provost and, if so directed, remove themselves from any involvement in the application;
c. Determine the outcome of a promotion application, on recommendation from the Head of School/Faculty-level Director, and advise the applicant (Level B);
d. Provide constructive and developmental feedback to applicants as appropriate (Levels B-D), including meeting with unsuccessful promotion applicants;
e. Complete the relevant sections of the Promotion Application Form for staff applying for promotion to Professor (Level E);
f. Determine alternative arrangements for applications where a Head/Director is applying for promotion in the same round (Level E); and
g. Attend Professorial Confirmation and Promotions Committee meetings where invited (Level E).

University-level Institute Director/Pro-Vice-Chancellor (Research Infrastructure)

(53) The University-level Institute Director/PVCRI must:

a. Determine the outcome of a promotion application, on recommendation from the applicant’s academic supervisor, and advise the applicant (Level B);
b. Complete the relevant sections of the Promotion Application Form, including seeking feedback from the applicant’s academic supervisor and other relevant staff, within the appropriate timeframe (Levels C-E);
c. Formally meet with each promotion applicant to discuss their application and advise how they completed the assessment and recommendations section in the Promotion Application Form (Levels C-E);
d. Provide input to Committee deliberations for applicants from their organisational unit. The University-level Institute Director/PVCRI would be expected to clarify points of fact and provide other relevant information,

noting that this information must be consistent with the written report provided (Levels C-E); and

e. Meet with applicants to provide constructive and developmental feedback at the request of the Committee Chair (Levels C-E).

Head of School/Faculty-level Director

(54) The Head of School/Faculty-level Director must:

a. Complete the relevant sections of the Promotion Application Form, including seeking feedback from the applicant's academic supervisor and other relevant staff, within reasonable timeframes;
b. Formally meet with each promotion applicant to discuss their application and advise how they completed the assessment and recommendations section in the Promotion Application Form (Levels C-E);
c. Provide input to Committee deliberations for applicants from their organisational unit. The Head/Director would be expected to clarify points of fact and provide other relevant information, noting that this information must be consistent with the written report provided (Levels C-E);
d. Following the promotions process, meet with applicants to provide constructive and developmental feedback at the request of the Committee Chair (Levels B-E); and
e. Remove themselves from making recommendations for other applicants applying for promotion to Professor if they also are making an application for promotion to Professor (Level E).

(55) Where an applicant has a joint appointment, the Head/Director of each Organisational Unit should complete the Head/Director Assessment and Recommendation report collaboratively.

Supervisor

(56) The applicant's academic supervisor is required to provide input where requested by the Head/Director. Once the Promotion Application Form is completed and has been formally acknowledged by the applicant, the supervisor will also receive a copy of the form for acknowledgement.

Academic Staff

(57) Academic staff must:

a. Meet with their Head/Director to discuss readiness to submit an application for promotion (Levels B-E);
b. Ensure that their Individual Activity Profile (IAP) is complete and up to date, and that all information within the Promotion Application Form is correct and submitted by the due date;
c. Submit a brief update (optional) up to one week prior to committee interview on any substantial new achievements or developments since submission of the application;
d. Submit a written response (optional) to comments, ratings and recommendations made by the Head, Director or Executive Dean within the Promotion Application Form via the formal Acknowledgement step;
e. Submit a written response (optional) to adverse referee comments, within 14 days of receipt; and
f. Seek assistance if support is required throughout the promotion process.

Committee Secretariat

(58) The Committee secretariat is responsible for supporting the Committee to undertake its obligations and responsibilities effectively in accordance with University policy, procedure, and associated standards. This includes:

a. Assisting the Committee and applicants where required;
b. Ensuring that promotion application outcomes are recorded in Workday and providing outcomes to the University's Central CAP team; and

c. In conjunction with the Committee Chair, ensuring that applicants are advised of outcomes in writing as soon as reasonably practicable.

Section 5 - Monitoring, Review and Assurance

(59) The Chief Human Resources Officer (or delegated authority) has responsibility for ensuring compliance with this Procedure and ensuring it is monitored and reviewed appropriately, including providing an annual report on promotions outcomes to be considered by USET and Academic Board.

Section 6 - Definitions, Terms and Acronyms

Term	Definition
Academic Category	Teaching and Research (T&R) Teaching Focused (TF) Research Focused (RF) Clinical Academic (CA) Teaching Associate (TA)
Academic Performance and Development (APD) process	The APD process refers to the annual appraisal and development conversation.
Authorised Officer	The officer authorised to exercise certain powers and functions as outlined in the Human Resources Sub-delegations Schedules.
Committee Chair	Faculty Executive Dean (for LPC). Provost (for PCPC).
Committee	The relevant Local Promotions Committee (LPC); or the Professorial Confirmation and Promotions Committee (PCPC) for Level E.
Enterprise Agreement	The University of Queensland Enterprise Agreement 2021-2026, or as amended or replaced.

Status and Details

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