# Attachment F

# Ken McAlpine

| Name of Policy | **Academic Workload Policy** |
|---|---|
| **Description of Policy** | This Policy provides information about the University's expectations of academic availability and academic work in the context of Academic Career Pathways (ACP), and, it includes details of academic workload allocation that implements the [relevant] provisions of the ACU Staff Enterprise Agreement 2013 – 2017. |
| **Policy applies to** | ☒  University-wide <br><br> ☐  Specific (*outline location, campus, organisational unit etc.*) <br> _____ |
| | ☒  Staff Only          ☐  Students Only          ☐  Staff and Students |
| **Policy Status** | ☐  New Policy          ☒  Revision of Existing Policy |
| **Description of Revision** | |


| **Approval Authority** | Vice-Chancellor |
|---|---|
| **Governing Authority** | |
| **Responsible Officer** | Director, Human Resources |


| **Approval Date** | 9 April 2014 |
|---|---|
| **Effective Date** | 1 January 2015 |
| **Date of Last Revision** | |
| **Date of Policy Review*** | |

*\* Unless otherwise indicated, this policy will still apply beyond the review date.*

| **Related Policies, Procedures, Guidelines and Local Protocols** | |
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**Table of Contents**

## 1. Introduction

This Policy provides information about the University's expectations of academic availability and academic work in the context of Academic Career Pathways (ACP), and, it includes details of academic workload allocation that implements the [relevant] provisions of the ACU Staff Enterprise Agreement 2013 – 2017. These support the University's achievement of a 'Culture of Performance'.

## 2. Policy Purpose

The purpose of the Policy is to align workload allocation for academic activities with the entitlements and conditions in the ACU Staff Enterprise Agreement, and in the context of the University's strategic priorities.

The application of this Policy provides transparency of workload allocations enables overall equity of load across all Academic Staff and provides mechanisms for consultation in the allocation of academic workload.

## 3. Application of Policy

The Academic Workload Policy applies to all Academic Staff who are employed and/or assigned and/or engaged as an Academic Staff member, Level A to Level E and includes Academic Staff who hold concurrent assignments as Deputy Dean, National Head of School, Associate Dean, State Head, Deputy Head of School, and all other equivalent academic assignments.

## 4. Academic Availability

In ensuring that the needs of University students and other relevant stakeholders are effectively met, Heads of School / nominated supervisors expect Academic Staff generally to be available during the University's normal operating hours for student and other consultation and meetings concerning teaching, research, administration and other activities (see also the Academic Availability Policy).

## 5. Broad Definition of Academic Work

**5.1** Teaching, Research, Academic Leadership and Service, and other activities of an academic nature are either considered together as a group under the broad headings above or inserted in the relevant sections of Workload Allocations (see below) as described which details the allocation of hours.

**5.1.1 Teaching and Scholarship of Teaching may include:**
- preparing teaching materials for face-to-face, online and other modes of delivery;
- developing units and courses, including online, off-campus and off-shore learning materials and obtaining professional accreditations;
- conducting lectures, laboratory classes, tutorials, seminars, workshops, field or practicum supervision or clinical education;
- developing and/or delivering online learning;
- supervising honours year and postgraduate coursework students' projects;
- scholarly activity to maintain professional currency in the discipline area;
- designing and preparing of student assessment;
- developing innovations including the use of new technologies;
- developing and implementing updated pedagogical methods;
- preparing and submitting learning and teaching grant applications;
- marking and student feedback; and
- student consultation.

**5.1.2 Research may include:**
- supervising research higher degree students;
- undertaking a master's qualification (normally an initial master's in an approved area of expertise when required by the role);
- undertaking a Doctor of Philosophy (or equivalent);

- undertaking and publishing research;
- writing articles and other works for publication;
- preparing and submitting research grant applications;
- conducting research activities following a successful grant;
- presenting scholarly papers, addresses to conferences and the like and their subsequent publication;
- scholarly activity to maintain professional currency in the discipline area;
- editing journals;
- curating exhibitions and directing performances other than those related to teaching responsibilities; and
- relevant and approved professional development.

**5.1.3    Other Activities including administration and/or University service may include:**
- undertaking a role with formal staff supervision including of continuing, fixed-term, sessional and casual teaching and/or research staff and professional staff in a University-assigned role (e.g. Deputy Dean, National Head of School, State Head, Deputy Head of School, Associate Dean or Director of a Centre/Academy/Institute);
- undertaking a role such as:
    - Course Coordinator or Course Advisor;
    - Timetable Liaison Officer;
    - Chair of a Course Implementation Committee, Faculty or School Standing Committee, University Committee, Course Development/Review Committee (other than as a Deputy Dean, National Head of School, State Head, Deputy Head of School or Associate Dean);
- contributing to committees such as course development and review committees;
- organising and/or attending meetings, forums and/or seminars;
- peer review and quality assurance activities;
- independent moderation of assessment;
- mentoring;
- mandatory professional learning;
- attending graduations, orientation, open days and the like;
- other administrative and relevant activities that occur from time to time;
- contributing to and involvement with professional associations, business, industry and unions;
- contributing to and involvement with relevant government and community bodies and associations, consistent with  the University's engagement strategy; and
- promoting of the University in the community.

**5.1.3.1** University service is defined as an appropriate and sustained contribution both to the corporate and general life of the University in the community, where this is not covered in other areas.

**5.1.4**    In circumstances where the University introduces a Policy that creates new academic activity in addition to these Teaching and Scholarship of Teaching Workload allocations, for example through the Learning and Teaching Framework, the components in Table 1-3 will be reviewed to include workload allocation for the new activities.

**6.    Academic Career Pathways**

**6.1**    ACU has five Academic Career Pathways:
- Teaching-focussed;
- Teaching and Research;
- Research-focussed;
- Research-only; and
- Academic Leadership and Service.

The University recognises that a staff member's academic career pathway may vary from time to time based on individual and/or University requirements.  Each academic career pathway

has a continuum of academic activity to enable the staff member to reach full participation, and allocation of an annual workload.

**6.1.1** The Teaching and Research academic career pathway includes roles that involve teaching and scholarship of teaching, research, administration academic leadership/ service to the University as outlined in the Minimum Standards for Academic Levels (MSALS) and described in this Policy.

**6.1.2** The Teaching-focussed academic career pathway involves a more significant focus on teaching and scholarship of teaching, and may also include contributions in research, administration and academic leadership/service. In this career pathway, staff will undertake a higher proportion of teaching related activities, as outlined in this Policy.

**6.1.3** The Research-focussed career pathway involves a significant focus on research, and also includes contributions in teaching and academic leadership/service to the University; as specified in the MSALS and described in this Policy.

**6.1.4** The Research-only career pathway involves a more significant focus on research, and also includes contribution to administration, academic leadership/service to the University; as specified in the MSALS and described in this Policy. Research-only academics are expected to undertake teaching and in this regard supervision/ training of research students will normally be a priority for Research-only staff members.

**6.1.5** The Leadership and Service career pathway involves a focus on leadership/service to the University and also requires contributions in the areas of teaching and scholarship of teaching and/or research. Leadership in the University's context includes roles that are responsible for the supervision and or management of staff, such as Heads of School. Leadership is also critical for those positions that do not manage staff but are considered to have critical roles in influencing outcomes and/or the behaviour of others; for example, Course Coordinator or Associate Dean.

**7.** **Principles for allocating academic workload**

The following principles provide the basis for workload allocation:

a) In the determination of workload allocation, Australian Catholic University needs to be mindful of its mission, local and national structures, and the proportion of its resources committed annually to Academic Staffing;
b) Academic workload must be deployed so as to facilitate the meeting of Australian Catholic University's institutional, regular, statutory and financial obligations;
c) The teaching requirements of all courses, and therefore the academic workload allocations, must be met within the resources allocated to the Faculties, therefore workload allocation for teaching activities must be considered and allocated following automatic allocations in line with this policy.
d) National, Heads of School must consider the impact of a workload allocation with regard to actual weekly allocation, daily allocation with respect to the University timetable, and spread of allocation across the calendar year;
e) Australian Catholic University focuses its community engagement on staff expertise in teaching and research. Thus, community engagement will normally be embedded within a staff member's teaching and/or research workload. In special circumstances, it may be reflected in the other activities;
f) Workload does not include private practice or personal community service. Those staff members who have less than a full load (i.e. less than 1515 hours allocated per annum) will not accept Paid Inside Work and will not normally be granted approval for Private Paid Outside Work; and,
g) New initiatives or changes in academic processes should be given a fair and proper consideration of impact on academic workload.

## 8. Broad Workload Activity by Academic Career Pathway

### 8.1 Teaching and Research Academic Career Pathway
A Teaching and Research Academic undertakes teaching and scholarship of teaching including scholarly activities, research and other activities. In the workload allocation for teaching, the number of face-to-face hours will not exceed 336 hours. The research component will not normally be less than 20% of the total workload allocation and will normally not exceed 50% of the total workload allocation. Other activities will not normally exceed 30% of the total workload allocation.

### 8.2 Teaching-focussed Academic Career Pathway
A Teaching-focussed Academic undertakes teaching and scholarship of teaching including scholarly activities and other activities. In the workload allocation for teaching, the number of face-to-face hours will not exceed 480 hours. Other activities will not normally exceed 30% of the total workload allocation.

### 8.3 Research-focussed Academic Career Pathway
A Research-focussed Academic undertakes research, teaching and scholarship of teaching including scholarly activities and other activities. The research component will not normally be less than of 60% of the total workload allocation. In the workload allocation for teaching, the number of face-to-face hours will not exceed 168 hours. Other activities will not normally exceed 30% of the total workload allocation.

### 8.4 Research-Only Academic Career Pathway
A Research-only Academic undertakes research, other activities and may undertake some teaching and scholarship of teaching including scholarly activities. The research component will not be less than 80% of the total workload allocation. Other activities will not normally exceed 30% of the total workload allocation. Where teaching is allocated, the number of face-to-face hours will not exceed 96 hours.

### 8.5 Academic Leadership/Service Academic Career Pathway
An Academic Leadership/Service Academic undertakes leadership and service (under Other Activities) and may contribute to teaching and scholarship of teaching including scholarly activities and/or research. In the workload allocation for teaching, the number of face-to-face hours will not exceed 168 hours. The research component will not normally exceed 30% of the total workload allocation. Other activities will not normally exceed 80% of the total workload allocation.

**8.6** The following table shows how the annual academic workload allocation occurs by Academic Career Pathway and how the continuum should be used to achieve a full annual workload.

| | Teaching and Scholarship of Teaching | | Research | | Other Activities | |
|---|---|---|---|---|---|---|
| **Teaching and Research** | Range 40% - 70% | Range 638-1117 hours [up to 336 hours face-to-face (or equivalent) contact time] | Range 20% - 50% | Range 319-797 hours | Range 10% - 30% | Range 159-478 hours |
| **Teaching-focussed** | Range 50% - 80% | Range 797-1276 hours [up to 480 hours face-to-face (or equivalent) contact time] | Not expected for Career Pathway | | Range 10% - 30% | Range 159-478 hours |
| **Research-focussed** | Up to 30% | Up to 478 hours [up to 168 hours face-to-face (or equivalent) contact time] | Range 60% - 80% | Range 957-1276 hours | Range 10% - 30% | Range 159-478 hours |
| **Research-only** | Up to 20% | Up to 319 hours [up to 96 hours face-to-face (or equivalent) contact time] | Range 80%-100% | Range 1276 - 1595 hours | Range 10% - 30% | Range 159- 478 hours |
| **Academic Leadership/ Service** | Range 20% - 40% | Range 319 – 638 hours [up to 168 hours face-to-face (or equivalent) contact time] | Range 20% - 40% | Range 319-638 hours | Range 60% - 80% | Range 957-1276 hours |

## 9. Workload Activity Calculations and/or Tolerances

The maximum academic workload allocation is 1,595 hours per annum. Supervisors and staff will make all reasonable efforts to allocate a 100% workload. However, in some years and in some circumstances a full annual 1595 hours workload may not be allocated, or, may be exceeded in any year.

In circumstances where a full annual 1595 hours workload is not achieved a discussion will occur to explore workload management options including:

- projects which a staff member can competently perform and contribute to a strategic need; and/or
- Teaching into other programs; and/or
- A temporary reduction of fraction; and/or
- Utilisation of leave entitlements.

In circumstances where a full annual 1595 hours workload is exceeded a discussion will occur to explore workload management options and may include paid inside work for teaching delivery and where maximum teaching requirements have been met for the academic career pathway.

The University expects that, where the full allocation of 140 hours of annual leave is not taken in a calendar year, these are available hours for additional workload to be allocated.

A part-time and/or fractional Academic Staff member will normally undertake the same range of duties as a full-time academic on a pro rata basis having regard to their fraction of employment.

Academic work not specifically assigned a value in the workload model may be given a workload value by the National Head of School which is recommended for approval by the Executive Dean and, following approval, is recorded in the Academic Workload Planning System.

Where professional staff members are providing significant administrative support for aspects of a course coordinator role allocation, for example, 0.5 hours per student allowance should be allocated for D9 (see Table 3) instead of 1 hour.

## 10. Workload Allocation

### 10.1 Teaching and Scholarship of Teaching Workload Allocations

a) Hours allocated for delivery of lectures and tutorials (A1, A3, A4, and A5 in Table 1) include preparation time, equivalent contact time (delivery), and associated in-class/online feedback.

b) Teaching hours for delivery of a unit will be calculated as A1 plus the per-student rate in A6.

c) Hours allocated as marking time can be shared between the Academic Staff in the unit as per A7.

d) Special consideration for additional hours for new unit development and/or revision (A14 and A15) may be made by the National Head of School.

e) In circumstances where more than one person is developing or revising the unit, the workload allocation should be distributed on a pro-rata basis according to the contribution of each developer.

f) The National Head of School may identify a Special Project – Teaching and Scholarship of Teaching and recommend a workload allocation for approval by the Executive Dean.

g) A staff member may discuss Teaching and Scholarship of Teaching project/s with the National Head of School for consideration of a workload allocation. The project/s must align with key organisational strategies, have stated objectives with key deliverables. The staff member would need to have the capacity to undertake the project demonstrated through past performance.

h) In circumstances where a National Head of School allocates additional hours, or special project, these are recommended to the Executive Dean for approval.

**TABLE 1**

| | Preparation, Teaching and Assessment | |
|---|---|---|
| **A1.** | Time for 1 hour lecture – including preparation, delivery, with all resources uploaded and available, and associated in-class/online feedback) | 2.50 hours |
| **A2.** | Time for first time taught unit (existing staff member) | 1 hour per 1 hour lecture |
| **A3.** | Time for 1 hour repeat lecture | 1.25 hour |
| **A4.** | Time for first 1 hour tutorial – including preparation, delivery, with all resources uploaded and available, and associated in-class/online feedback | 2.50 hours |
| **A5.** | Time for 1 hour repeat tutorial | 1.25 hour |
| **A6.** | Student Consultation – time per student enrolled at each Semester Census date | 0.25 hour |
| **A7.** | Assessment - time per student per unit | 1 hour |
| **A8.** | Lecturer-in-Charge – with up to 3 tutors [the upper range would be allocated depending on the size and complexity of student enrolments and by approval by the Executive Dean] | 18 – 27 hours per unit |
| **A9.** | Lecturer-in-Charge – with up to 6 tutors [the upper range would be allocated depending on the size and complexity of student enrolments and by approval by the Executive Dean] | 26 – 35 hours per unit |
| **A10.** | Lecturer-in-Charge – with up to 10 tutors [the upper range would be allocated depending on the size and complexity of student enrolments and by approval by the Executive Dean] | 35 – 44 hours per unit |
| **A11.** | Lecturer-in-Charge – with greater than 10 tutors [the upper range would be allocated depending on the size and complexity of student enrolments and by approval by the Executive Dean] | 35 – 53 hours per unit |
| **A12.** | Lecturer-in-Charge <u>and</u> Cross-campus Unit Coordinator (multiple Lecturers-in-Charge) [the upper range would be allocated depending on the size and complexity of student enrolments and by approval by the Executive Dean] | 35 - 44 hours per unit |
| **A13.** | Lecturer-in-Charge <u>and</u> Cross-campus Unit Coordinator (multiple Lecturers-in-Charge) – with multiple tutors [the upper range would be allocated depending on the size and complexity of student enrolments and by approval by the Executive Dean] | 53 - 62 hours per unit |
| | Teaching-related Workload | |
| **A14.** | Development of new[1] unit – with all resources uploaded and available[2] | Normally up to 70 hours |
| **A15.** | Revision[3] of a unit – with all resources uploaded and available (minor or major updating) | Normally between 18 - 53 hours |
| **A16.** | One-off time allowance for a new academic in his/her first year of teaching or pro-rata for fractional staff | 140 hours |

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[1] A new unit is a unit identified as a new unit in the New Course Proposal Template considered by the relevant Faculty Board and subsequently approved by Academic Board.

[2] Time for development of a new unit will only be allocated once per unit across the University. If more than one person is developing the unit, the time should be allocated on a pro-rata basis according to the contribution of each developer.

[3] Revision of a unit is a unit identified as a revision unit and approved as such by either the relevant Faculty Board or Academic Board. The Executive Dean on recommendation from the National Head of School may also approve a workload allocation due to other significant unit revision.

| | **Preparation, Teaching and Assessment** | |
|---|---|---|
| **A17.** | One-off time allowance for an academic new to ACU in his/her first year of teaching at ACU or pro-rata for fractional staff | 35 hours |
| **A18.** | Annual time allowance to support scholarship of teaching and scholarly activity to maintain professional currency in the discipline area for staff with a teaching load | **Teaching-focussed staff** Up to 168 hours face-to-face or equivalent contact time – 100 hours per year 169 -336 hours face-to-face or equivalent contact time – 140 hours per year 337 - 480 hours face-to-face or equivalent contact time – 159 hours per year **Teaching and Research staff** 169 -336 hours face-to-face or equivalent contact time – 35 hours per year 337 - 480 hours face-to-face or equivalent contact time – 70 hours per year |
| **A19.** | Teaching and Scholarship of Teaching  Project | Approved by Executive Dean |
| | **Honours Theses, Minor Theses and Projects Supervision for Postgraduate Courses[4]** | |
| **A20.** | 10 credit point project or research thesis/thesis proposal unit – per student | 9 hours |
| **A21.** | 20 credit point project or research thesis/thesis proposal unit – per student | 18 hours |
| **A22.** | 30 credit point research thesis unit – per student | 26 hours |
| **A23.** | 40 credit point research thesis unit – per student | 35 hours |
| **A24.** | Examination of theses – internal marking allocation for  Honours, Graduate Diploma in and Master of Psychology theses | 6 hours |

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[4]    The allocation for supervision of projects should be shared pro-rata, normally in the following distribution (principal [75%], co- [25%] or joint [50%] supervisor).

Normally units will only be run if there are more than 20 students enrolled. Where there are less than 20 students enrolled, options for the School include:

- Alternative mode of delivery;
- Only offering the unit every second or third year; or
- Not offering the unit.

In cases where the unit is required and there are less than 20 students enrolled the following applies:

- The total number of calculated hours for A1-A5 will normally be reduced to a percentage of 75 per cent of the total.
- The National Head of School may modify hours based on the organisation of the unit.

### 10.2 Research Workload Allocations

**10.2.1** Research workload allocations for all staff will be allocated for activities that impact on the amount of funding the University receives externally for research.

**10.2.2** A Research workload allocation will occur in line with the following procedures:

a) A staff member will submit a three year plan (pro forma to be developed), endorsed by the staff member's supervisor, detailing the staff member's publications, grants, and HDR supervision in the last five years as recorded in Research Master (unless another period of time has been approved). This submission will also include a statement from the staff member (max. 2 pages) addressing the quality of their research achievements.

b) The submission will enable a determination of whether the Academic Staff member meets the University's requirements for classification as "research-active"[5] to be accepted as the supervisor of a research higher degree candidate.

c) Research workload allocations will be based on the quality as well as the quantity of publications.

d) In determining the research allocation account will be taken of the research opportunities and workload allocations afforded to staff members, especially in relation to early-career researchers and those on part-time or fractional appointments.

e) Senior staff will be expected to have achieved stronger outcomes, especially in terms of quality and impact, than Academic Staff in the earlier stages of their careers.

f) Academic Staff seeking higher research workload allocations (greater than 40% of total workload) will be expected to have achieved quality research outcomes in the previous five years, moderated by level of seniority and by the norms of their disciplines, in publication and grants. The moderation of achievement will include an assessment of an individual's achievement in comparison with sector data on performance by discipline. This data will be used as a benchmark for ACU performance.

g) The National Head of School may identify a Special Project – Other and recommend a workload allocation for approval by the Executive Dean.

**10.2.3** All submissions for a Research workload allocation will be assessed by a Faculty Research Workload Review Panel. The Executive Dean of the Faculty will convene a Faculty Research Workload Review Panel, normally once per year, and make recommendations on research workload allocations. These will be recommended to the Deputy Vice Chancellor, Research who will review the Faculty Panel's recommendations to ensure consistent interpretations of

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[5] The definition of research-active is in line with the policy on research-active as approved by Academic Board and amended from time to time. Research-active status will be determined by the relevant Executive Dean as part of the three year Research Plan.

research achievement and either confirm or adjust the research workload allocations. Where an adjustment occurs the Deputy Vice-Chancellor will provide the reasons to the Executive Dean for the information of the Faculty Research Workload Panel. An appropriate equivalent process should occur for new commencing staff.

**10.2.4**  A staff member will need to submit an annual progress report (pro forma to be developed) of their research plan. This provides the Faculty Research Workload Review Panel to recommend amendments to workload allocations.

**10.2.5**  As a guide, where a staff member's submission is assessed by the Faculty Research Review Panel as:

- Below benchmark comparison with the data on sector performance, which is publicly available in the latest ERA report – up to 180 hours
- Meets benchmark comparison with the data on sector performance, which is publicly available in the latest ERA report - range 200 – 640 hours
- Exceeds benchmark comparison with the data on sector performance, which is publicly available in the latest ERA report - range 680 – 800 hours
- Outstanding benchmark comparison with the data on sector performance, which is publicly available in the latest ERA report - greater than 800 hours

**10.2.6**  An outcome from this process may result in a change in Academic Career Pathway consistent with achieving the minimum research workload outlined in the table at 8.6 of this policy.

| Table 2:  Research | | |
|---|---|---|
| **Research Study and enabling research activity** | | |
| **C1.** | Undertaking a Doctor of Philosophy (or equivalent) where it is a Probationary criteria and with evidence of satisfactory progression from doctoral supervisor.<br><br>Staff employed prior to 1 January 2014 where the completion of a Doctor of Philosophy (or equivalent) was a probationary requirement, are entitled to 350 hours per annum (pro-rated to fraction of appointment) for a maximum of 6 years.<br><br>This allocation does not apply if it is replaced by an approved Research Study Program. | Normally 200 hours per annum (pro-rated to fraction of appointment) capped at a maximum of 1000 hours |
| **C2.** | One-off enabling research activity workload allocation (pro-rated to fraction of appointment) for identified Early Career Researchers[6]. This allocation is for up to two years (year two allocation is dependent upon one HERDC recognised output either individually or collaboratively in year one). Year three and thereafter is based on actual research output.<br>In circumstances where HERDC recognised output exceeds this allocation, the actual allocation applies only. | 200 hours |
| **C3.** | Individual staff Research allocation – 3 Year Plan submitted through the Faculty Research Workload Panel | Approved by Deputy Vice-Chancellor, Research |

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[6]  Early Career Researcher is defined by the ARC as a researcher who is within five years of the start of their research careers when they submit their applications.  This normally means that they have to be awarded a PhD or equivalent research doctorate within five years; however, an extension to this limit may be approved owing to significant career interruptions.

| Table 2:  Research | | |
|---|---|---|
| **Supervision of Research Students**[7] | | |
| **C4.** | Master of Philosophy or other research master's degree – per year (4 research terms) | 100 hours (pro rata for student's enrolment status) |
| **C5.** | Doctor of Philosophy or other research doctoral degree – per year (4 research terms) | 100 hours (pro rata for student's enrolment status) |
| **Research Project** | | |
| **C6.** | Project - Other | Approved by Executive Dean |

### 10.3   Other Activities (including Academic Leadership/ Service) Workload Allocations

**10.3.1   Allocations for academic administrative duties are shown in the Tables below.**

The roles of Deputy Dean, National Head of School, State Head, Deputy Head of School, Associate Dean, Course Coordinator and Course Advisor or equivalents are specified in the position descriptions.  The Executive Dean may modify and/or create new academic leadership roles to meet organisational requirements and with the approval of the Provost.  Where new or modified academic leadership roles are created, the relevant Executive Dean will identify the appropriate workload allocation/s consistent with those listed in table and seek approval of the Provost.

Deputy Deans, Associate Deans, National Head of School, State Head and Deputy Heads of School should consult with their Executive Dean annually to confirm their workload for teaching and scholarship of teaching, and/or research (as relevant) to reach a full workload.

The National Head of School may identify a Special Project – Other Activities and recommend a workload allocation for approval by the Executive Dean.

Course Coordinators will be allocated workload between 53 - 210 hours depending on the complexity of the courses in addition to an allocation per student (D9) capped at a maximum of 525 hours. Course Coordinators of large courses should not be allocated more than 525 hours in total for course coordination.  If more than 525 hours in total are required for a course, then a Course Advisor must be allocated. The per-student allocation may be shared with an Academic Course Advisor.

An allocated amount of 10% of workload (159 hours refer D13) is provided to  Academic Staff to participate in, for example, a range of School and/or Faculty committees; organise and/or attend all meetings, forums and seminars (as approved); contribute to professional associations relevant to the discipline; participate in moderation (where required); prepare and assess deferred exams or supplementary assessment; mentor early career staff; complete mandatory performance learning; attend graduation/graduation mass; and participate in orientation and open day activities. Evidence of this participation will be required for the annual Performance Review and Planning Program.

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[7]   Hours split by supervision role (normally principal supervisor 75% and co-supervisor 25%) and allocated by National Head of School.

| Table 3: Other Activities including Administration/ University Service Assigned Roles | | |
|---|---|---|
| D1. | National Head of School [depending on the size and complexity of the School activities including context of support roles such as State Head, Deputy, and other administrative support]. The workload allocation is confirmed by the Executive Dean following discussion with the Provost | Range 1 Minimum 638 hours<br><br>Range 2 638 – 718 hours<br><br>Range 3 718 – 957 hours<br><br>Range 4 957 – 1115 hours |
| D2. | State Head [depending on the size and complexity of the School]. The workload allocation is confirmed by the Executive Dean following discussion with the Provost | Range 1 Minimum 558 hours<br><br>Range 2 558 – 638 hours<br><br>Range 3 638 – 718 hours<br><br>Range 4 718 – 957 hours |
| D3. | Deputy Head of School [depending on the size and complexity of the School]. The workload allocation is confirmed by the Executive Dean following discussion with the Provost | Range 1 Minimum 319 hours<br><br>Range 2 319 – 478 hours<br><br>Range 3 479 – 558 hours<br><br>Range 4 558 – 718 hours |
| D4 | Associate Deans [depending on the size and complexity of the Faculty]. The workload allocation is confirmed by the Executive Dean following discussion with the Provost | 800 hours |
| D5. | Deputy Dean | 1115 hours |

| Administrative Roles | | |
|---|---|---|
| D6. | National Course Coordinator (hours may be between 105 and 210 depending on the size, complexity and administrative support provided to the National Course Coordinator of the course(s) and with the approval of the Executive Dean or nominee) | 105-210 hours per year |
| D7. | Course Coordinator (hours may be between 53 and 210 depending on the size, complexity and administrative support provided to the Course Coordinator of the course(s) and with the approval of the Executive Dean or nominee) | 53 - 210 hours per year |
| D8. | Course Advisor on another campus to Course Coordinator | 18 - 53 hours per year |
| D9. | Course coordination/academic advising (hours may be shared between the Course Coordinator and any Course Advisors; the amount allocated will depend on the degree of administrative support provided) | Up to 1 hour per year per student (minimum 15 minutes per student) |
| D10. | Timetable Liaison Officer by School. Normally undertaken by professional staff, workload allocation to be approved by Executive Dean. | 105-210 hours per year |
| D11. | Chair, cross-campus Course Implementation Committee or Faculty or School Standing Committee (and not Associate Dean, Head or Assistant/Deputy Head of School) with approval of Executive Dean or nominee<br>Chair, University committee with approval of the Provost | Normally 35 hours per year |
| D12. | Chair, Course Development/Review Committee (hours may be modified by the Executive Dean for a very small or large role) | 35 - 70 hours per development/review committee |
| Other University Activity | | |
| D13. | Annual (pro-rated to fraction of appointment) workload allocation for all staff to participate in and undertake other University activities and as required to be reported as part of the annual Performance Review.<br><br>The annual Performance Review and Planning process will record the staff member's listed University activities. In circumstances where a staff member does not demonstrate participation in and undertaking University activities, the staff member may be managed in line with the process for Managing Unsatisfactory Performance. | 159 hours |
| D14. | Studying Graduate Certificate in Higher Education and this is a Probationary criteria and/or for teaching-focussed pathway staff. | 50 hours per 10 credit points |
| D15. | Project – Other | Approved by Executive Dean |

### 10.3.2 Travel

Allocation of hours for travel only applies for Academic Staff who are required to travel for teaching purposes. Travel time will be calculated by multiplying the number of trips by the hours travelled according to the allocations in Table 4.

| Table 4: | Travel Time | |
|---|---|---|
| **E1.** | Travel time Ballarat/Melbourne return | 3 hours |
| **E2.** | Travel time interstate | 6 hours |
| **E3** | Travel between Strathfield/North Sydney where there is a requirement to teach on both campuses on any one day | 30 minutes |

### 10.3.3 Field Experience

Workload for field experience will differ depending on the level of involvement in finding placements, whether there is administrative support and whether the academic is expected to undertake on-site visits.    The maximum number of hours for an academic field experience coordinator will be 525 hours.

Five types of field experience are identified in Table 5 below.   In all cases where there are site visits, the amount of time allocated is 1 hour for the site visit plus the number of hours allocated per student at the site.

| Table 5: | Field Experience | |
|---|---|---|
| **F1.** | Lecturer in Charge | 20 hours |
| **F2.** | Class contact time including case conferences, information sessions, seminars and focus groups | 2 hours per hour of face-to-face contact |
| **Zero Credit Point Units including Volunteer Experience and Community Engagement** Pass/Fail units, students largely finding their own placements, no on-site visits, assessment of student reports and reflective journals | | |
| **F3.** | Assessment, problem-solving and consulting with students | 0.25 hours per student |
| **F4.** | Administration – coordination, administration, helping students find placements, and consultation (only allocated if there is NO administrative support) | 0.25 hours per student |
| **Internships – Finding Placements for Students (with or without on-site visits) including ARTS326, BIPX301, BIPX302, TECO307 and THCP207** Placements are found for students.  This role usually includes site visits, class contact time for seminars, focus groups and information meetings, students undertaking projects within placements, and assessment of proposals, interim and final reports. | | |
| **F5.** | Assessment, problem-solving and consulting with students | 0.5 hours per student |
| **F6.** | Administration – coordination, administration, helping students find placements, and consultation (only allocated if there is NO administrative support) | 0.5 hours per student |
| **F7.** | Site visits, including travel | 1 hour per site |
| **F8.** | On-site student supervision | 1 hour per student on-site |
| **Psychology, Counselling, Social Work and Youth Studies including Psychology Practicum and Casework, Counselling Practicum, Social Work Field Placements and Youth Work Field Placements** Placements are found for students.  This role also involves site visits that may include clinical supervision of the student, class contact time for seminars, case conferences and information meetings, and assessment of proposals, presentations and portfolios. | | |
| **F9.** | Assessment, problem-solving and consulting with students | 1 hour per |

**Table 5:   Field Experience**

|  |  | student |
|---|---|---|
| **F10.** | Administration – coordination, administration, helping students find placements and consultation (only allocated if there is NO administrative support) | 0.5 hours per student |
| **F11.** | Site visit, including travel | 1 hour per site |
| **F12.** | On-site student supervision (Note that the amount allocated will depend on the staff member's involvement with clients and the number of site visits.    Where supervision of postgraduate Psychology students is undertaken in the ACU clinic or Social Work students require one-to-one supervision, the actual hours of supervision should be allocated) | Between 1 and 8 hours per semester per student |

**Professional Experience – Education**

Coordinator will liaise with schools and systems, liaise with administrative assistants, prepare documentation, monitor and evaluate placements, monitor quality processes, implement strategies for students at risk, and ensure students receive appropriate preparation prior to placements.

|  |  |  |
|---|---|---|
| **F13.** | Administration and consultation | 0.25 hours per student per year |
| **F14.** | Site visit to school, including travel | 1hour per site |
| **F15.** | On-site visit – classroom observation and troubleshooting | 1.5 hours per student |
| **F16.** | On-site visit – discussion with staff and pre-service teacher or Telephone follow up | 0.25 hours per student |
| **F17.** | Professional Experience coordination<br><br>Where Professional Experience coordination is undertaken by different people for different years, the practicum coordination rate should be divided among the coordinators at a rate of 52.5 hours each per year level.  A rate of up to 175 hours for large cohorts may be allocated with the approval of the Executive Dean | 140 hours per year |

**Field Experience – Health**

Coordinator will assess and approve placements, appoint and prepare Clinical Facilitator / Teacher, monitor and evaluate placements, liaise with health agencies and Lecturers-in-Charge, and monitor quality processes.

Lecturers-in-Charge will liaise with Clinical Facilitator / Teacher and health facilities, monitor student progress in collaboration with clinical facilitator / teacher, monitor student completion of required hours and assessment, and review assessments and submit final grades.

Clinical Facilitator/Teacher completes the assessment of students and provides most of the support to them.

|  |  |  |
|---|---|---|
| **F18.** | On-site, hospital or equivalent, clinical teaching | 1 hour per student per day |
| **F19.** | Assessment monitoring and review | 0.25 hours per student |
| **F20.** | Administration and liaison | 0.125 hours per student |
| **F21.** | Field Experience Coordinator (may be increased to 500 hours in the case of complex courses with the approval of the Executive Dean) | 280 hours per year |

**Field Experience – Theology**

Lecturer-in-Charge will assess the tasks for this unit on a pass or fail basis.  Students for this unit find their own placements after consultation with the Lecturer-in-Charge.  Supervising lecturer

| Table 5: Field Experience | | |
|---|---|---|
| meets regularly with the students as a group during the semester of the placement to undertake formal reflection on practice. The supervisor (or local nominee) also visits each student once in the placement setting. Lecturer-in-Charge will discuss an appropriate workload allocation with the National Head of School. | | |
| **F22.** | Supervision | Up to 12 hours for group supervision |
| **F23.** | Assessment | 1 hour per student for assessment |
| **F24.** | Placement visit | Up to 1 hour per student for placement visit |

## 11. Consultation (plus Reasonable adjustment)

**11.1** In the normal course of Performance Review and Planning discussions, National, Heads of School or their nominees (the supervisor) will consult with Academic Staff on an individual basis about their Academic Career Pathway and the associated workload allocation.

The University's definition of consultation is in clause 1.3 of the Australian Catholic University Staff Enterprise Agreement, 2013 – 2017.[8]

**11.2 Initial Consultation**

Once an Academic Career Pathway is confirmed workload allocation can occur for Teaching and Scholarship of Teaching, Research and Other activities including Administration/University Service as outlined in this Policy.

The consultation between the supervisor and staff member includes all reasonable efforts to allocate a 100% workload.

Automatic workload allocations occur for:
**A18.** Annual time allowance to support scholarship of teaching and scholarly activity to maintain professional currency in the discipline area for staff with a teaching load,
**C3.** Individual staff Research allocation – 3 Year Plan submitted through the Faculty Research Workload Review Panel,
**D13**. Annual (pro-rated to fraction of appointment) workload allocation for all staff to participate in and undertake other University activities and as required to be reported as part of the Annual Performance Review.

Following these workload allocations the balance of the annual workload hours should be allocated using the workload allocations by activity identified in this Policy.

In circumstances where a full annual 1595 hours workload is not achieved a discussion will occur to explore workload management options including:
• projects which a staff member can competently perform and contribute to a strategic need; and/or
• Teaching into other programs; and/or
• A temporary reduction of fraction; and/or
• Utilisation of leave entitlements.

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[8] "Consultation" means providing the individual staff member or other relevant persons(s) with a bona fide opportunity to influence the decision maker. Consultation is not perfunctory advice on what is to happen, this is a common misconception. Consultation is not a joint decision making process or even a negative or frustrating barrier to the prerogative of management to make decisions. Consultation allows the decision, making process to be informed.

The overall consultation on academic workload should include the staff member's progress towards achieving her or his performance objectives, including acknowledging their successes and identifying any issues that may be hindering the staff member from achieving the expected outcomes.  Where such issues are identified, including issues that have impacted on the staff member's workload, the supervisor and the staff member should take action to remedy the issues/support the staff member as appropriate.

**11.3 Evaluation of Consultation Outcomes**

Staff members and supervisors should agree on the outcomes from the meeting and that actions are implemented.

**11.4 Allocation of Workloads**

Following consideration of any issues raised by the staff member and confirmation of the career pathway, the supervisor will allocate the staff member's load for the following year.  This will normally involve loading and updating the relevant details for the staff member on the University's Academic Workload Planning system.

The supervisor will also consult with the staff member if there are any changes that need to be made to the staff member's load during the following year (eg. as a result of changes to the number of students enrolled in a unit).

**11.5 Discussion at Performance Review and Planning meetings**

The discussions about workload allocation are part of Performance Review and Planning (PRP) meeting/s where staff and supervisors will also discuss performance and career development.  Staff members should prepare for the discussion with their supervisor by reviewing the University's Academic Performance Review and Planning Conversation Guide for Staff, including the Career Conversation Model.   In particular staff should reflect on how to use the discussion to share information about their key activities, priorities, achievements, and their short and long-term career goals, including possible changes to their Academic Career Pathway.

12. **Dispute resolution (including an explanation of what are the grounds for the dispute to be considered, the information required to progress the dispute, and the consideration to date)**

Disputes that arise out of the implementation of the ACU Staff Enterprise Agreement 2013 – 2017 shall be dealt with in accordance with Clause 5.2.7 of the Agreement and this section of the Policy.

**12.1 WAC Review**

Matters arising from the implementation of the Working Arrangements – Academic Staff Clause (refer to clause 5.2) and matters pertaining to a dispute around reasonable hours of work (refer to clause 5.2.7.4) are subject to the Individual Workload Issues / Review mechanisms described in Clause 5.2.7 of the Agreement.

Disputes that arise out of the implementation or the application of the ACU Academic Workload Policy shall be dealt with in accordance with this section of the Policy.

**12.2 Workplace Grievance Policy and Procedure**

If a staff member disputes the application of the Academic Workload Policy (ie: they disagree with a relevant and specific workload allocation) they are entitled to lodge a grievance in accordance with the University's Workplace Grievance Policy and Procedure.  These matters are not subject to the application of clause 5.2.7 of the ACU Staff Enterprise Agreement 2013 – 2017.

Under the University's Workplace Grievance Policy and Procedure a grievance means "a complaint from a staff member concerning treatment in a particular workplace that is inequitable or procedurally

unfair; or a complaint that arises from perceived personal concerns relating to one or more work-related interpersonal relationships."

A disputed workload allocation will be resolved and, if relevant, investigated in accordance with the University's Grievance Policy and will not be subject to review of the Workload Advisory Committee or any other University process or procedure.

## 13. Privacy

Academic workload allocations are transparent (having regard to Privacy requirements) and include full disclosure of academic workloads by staff to staff within the work unit and broader National School (system permitting), the Executive Dean, the Provost and relevant Deputy Vice-Chancellors, and Human Resources to support reporting requirements and decision making by the University.

## 14. Policy Review

This Policy will remain in place until the nominal expiry date of the ACU Staff Enterprise Agreement 2013 – 2017. Notwithstanding that this Policy at sub-clause 5.1.4 provides for the circumstance of the creation of new academic activity.

Any changes to this Policy will be agreed between the parties to the ACU Staff Enterprise Agreement 2013 – 2017.

Any staff member who wishes to make any comments about this Policy and Procedures may forward their suggestions to the Director, Human Resources.

## 15. Further Assistance

Any staff member who requires assistance in understanding this Policy should first consult their nominated supervisor who is responsible for the implementation and operation of these arrangements in their work area. If further advice is needed, the staff member should contact the Human Resources Consultant responsible for their campus.

## 16. Associated Policies
- Classification Standards for Academic and Professional Staff
- Managing Performance Policy
- Mentoring of Academic Staff Policy
- Probation for Academic Staff Policy
- Workplace Grievance Policy and Procedure
- Performance Review and Planning Policy for Academic Staff Policy

What we do - ACU (Australian Catholic University)    file:///F:/Universities' Academic Staff Performance Management & ...

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# ACU
AUSTRALIAN CATHOLIC UNIVERSITY

# What we do

The University is committed to quality research in the following areas:

- **common good and social justice** – cross-disciplinary research in the liberal arts and social sciences that enhances the social and cultural well-being of communities

- **health** – research that progresses the quality of health care, especially for the vulnerable

- **education** – research concerned with quality, equity and diversity in education with emphases on leadership, numeracy, literacy, Indigenous and religious education

- **theology and philosophy** – research concerned with the elucidation, development and expression of Catholic intellectual thought.

You can see the results of ACU's research from 2002 onwards at the **ACU Research Bank** (http://dlibrary.acu.edu.au/researchbank/aboutresbank.html). This digital collection includes:

- journal articles
- books and book chapters
- conference papers
- creative works.

Short url: http://www.acu.edu.au/445419

## RACISM. IT STOPS WITH ME

Page last updated: 11 Sep 2014

| Name of Guidelines | Research Performance Review and Plan Guidelines | |
|---|---|---|
| Description of Guidelines | *These guidelines outline the practical implementation and application of the research workload allocation process incorporated in the Academic Workload Policy.* | |
| ☑ New guidelines | | ☐ Revision |
| Description of Revision | *Insert description* | |
| | | |

| Original Effective Date | 23 June 2014 |
|---|---|
| Review Due Date | May 2015 |
| Revision Effective Date | |
| Vice Chancellor's Approval Date | 23 June 2014 |

# Table of Contents

## Introduction

These guidelines support the application of the research workload allocation processes described in the **Academic Workload Policy** (the Policy) and should be read in conjunction with the Policy. Consistent with the Policy, these guidelines apply to Academic Staff (Level A to Level E) in a Teaching and Research, Research Focussed, Research Only or Academic Leadership/Service Academic Career Pathway (ACP) who are seeking a research workload allocation.

These guidelines provide an overview of the process to assign a research workload to Academic Staff from 1 January 2015 and cover the following key elements:

- the Research Performance Review and Plan and research workload allocation process;
- the membership and role of the Faculty Research Workload Review Panel; and
- the process for recommending a research workload for a new staff member who commences with ACU following the annual research workload allocation process.

## Overview

The purpose of the **Academic Workload Policy** is to align workload allocation for academic activities within the entitlements and conditions of the ACU Staff Enterprise Agreement 2013-2017, and in the context of the University's strategic priorities.

The application of these guidelines provides transparency for research workload allocations via a panel review of the staff member's past research performance and their future research plans.

# Research Performance Review and Plan and Research Workload Allocation Process

As identified in the Policy, effective from 1 January 2015, any Academic Staff member seeking a research workload will normally need to submit a three (3) year research plan. The Research Performance Review and Plan (RPRP) has been developed to meet the requirements of the Policy.

Commencing in 2014 for research workload allocation from 2015 onwards, an annual call will occur for the submission of a three (3) year RPRP. Following the initial year of operation, staff will need to submit an annual review of the plan (on the template to be developed), reporting against the plan milestones and on the overall status of the plan.

Academic Staff members seeking a research workload allocation should discuss their research plans with their nominated supervisor (or National Head of School or Associate Dean Research where appropriate) and then prepare and submit their RPRP to their supervisor.

The Academic Staff member's nominated supervisor (or National Head of School or Associate Dean Research where appropriate) will review the RPRP and provide factual and objective comments on the research plan taking into consideration:

- the staff member's career history against a timeline of years since graduation from highest educational qualification;

- any research opportunities and experience in the context of employment situations including those outside academia and the research component of employment conditions;

- any periods of unemployment, or any career interruptions for child birth, carers' responsibilities, misadventure, or debilitating illness will be taken into account; and

- access to research mentoring and other research support facilities and any other relevant aspects of career experience or opportunities for research.

With reference to the annual review (following the first year of operation), the staff member will report on their achievement against the plan and outline any changes proposed for existing project outcomes and milestones and add additional projects as required.

The staff member must sight and sign that they have sighted their supervisor's comments before the RPRP is forwarded for review by the Faculty Research Workload Review Panel (FRWRP).

Due date for submission to the relevant FRWRP would normally be mid-July each year.

## Research Performance Review and Plan

The RPRP essentially consists of two components – a review of the Academic staff member's research performance and the Academic staff member's research plan for the next three (3) years.

**Research Performance Review**

The research performance review will consider the previous five (5) years or another specified review period if the Academic Staff member is an Early Career Researcher (ECR). The review consists of four (4) components:

1. the Academic Staff member's research opportunity statement;

2. the Academic Staff member's Orion reports:

    2.1. the Orion ACU Research Profile Report which provides information on:

    - Funded projects;

    - Student/s supervised[1];

    - Publications[2] that the staff member was a contributor to or their Non-Traditional Research Outputs[3];

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[1] Note that workload allocation for HDR supervision is allocated independently of the Research Performance Review and Plan process in accordance with the Academic Workload Policy 2015 C4 and C5.

[2] HERDC publications

[3] Non-Traditional Research Outputs (NTROs) are to be submitted, verified and assessed in accordance with the relevant Faculty Policy on NTROs. Submissions are to be recorded in ResearchMaster but verification must be at

2.2. the Orion Research Performance Benchmark Report which provides information on:

- Annual and average annual income[4] compared to ERA benchmarks[5] for the staff member's academic level and Field of Research ( FoR) code[6] (please refer to Appendix 1);

- Annual and average annual publications (weighted[7]) compared to ERA discipline benchmarks for the staff member's academic level and FoR;

3. other recognised research achievements;

4. a self-assessment of the quality of the staff member's research (the quality of outputs and outlets compared to the criteria provided – please refer to Appendix 2) and other evidence of research quality.

**Research Plan**

The second component of the RPRP is the research plan. Using the template provided, an Academic Staff member can outline the current and proposed research project/s that they plan to undertake in the next three (3) year period. The plan describes the expected outcomes and milestones for each project.

# Faculty Research Workload Review Panel

Each Faculty will establish a Faculty Research Workload Review Panel (FRWRP) to consider the RPRPs and make research workload recommendations to the Deputy Vice-Chancellor, Research for approval.

## FRWRP Membership

Each FRWRP will consist of the following members:

- Executive Dean (Chair);

- Associate Dean, Research;

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*Faculty and Research Services levels.  In addition to submitting an Orion report, a copy of the assessor's comments on each successful NTRO should be included in the submission.*

[4] *Annual grant income refers to your individual expended income managed by ACU.  External grants managed by ACU received during the review period are included for the purpose of the Research Performance Benchmark report. Competitive grants achieved and/or managed through other Universities or external agencies should be noted under Section 2.4.2 of the RPRP template. ACU grants and Faculty grants are not included. Note that only the years at ACU are used to determine the actual average annual income.*

[5] *Derived from ERA 2012 report on average Income and weighted publication points by FTE for each FoR.*

[6] *For the purpose of the assessment, the most relevant two (2) or four (4) digit FoR code for the staff member's income and publications are selected.*

[7] *Weighted HERDC publications (A1 weight 5; B1; C1; D1; E1 weight 1; divided by the number of authors/contributors).  For academic levels A and B, E1 publications are included for the purposes of this assessment. For academic Levels C, D and E, E1 publications will be excluded.  Note that the actual average annual publications are determined over five years or other specified time period.*

- For the Faculty of Education and Arts, the Faculty of Law and Business and the Faculty of Theology and Philosophy, both National Heads of School, or a delegated representative of the National Head of School. For the Faculty of Health Sciences, two (2) National Heads of Schools (or a delegated representative of the National Head of School), of which one (1) must be relevant to the disciplines being considered;

- Two (2) senior academic staff members from the *ACU Panel of Research Excellence* – one from the reviewing Faculty and one from another Faculty;

- HR nominee; and

- an Administrative support person for the review panel to be provided from within the Faculty.

**ACU Panel of Research Excellence**

The ACU Panel of Research Excellence is an internal panel of ACU senior Academic Staff who have a demonstrated record or experience in reviewing national competitive grant applications/submissions. Each Executive Dean will identify and nominate relevant senior Academic Staff members at academic Level D or above to serve on the ACU Panel of Research Excellence.

# FRWRP Consideration and Research Workload Recommendation

Each FRWRP will normally meet in July or August annually to review/consider the submitted RPRPs. RPRPs will be assessed against the relevant discipline based quantity/quality benchmarks provided by the Office of the Deputy Vice-Chancellor, Research.

In addition, the FRWRP will consider the Academic Staff member's career history against a timeline of years since graduation from highest educational qualification. The FRWRP will consider any research opportunities and experience in the context of employment situations including those outside academia and the research component of employment conditions. Periods of unemployment, or any career interruptions for child birth, carers' responsibilities, misadventure, or debilitating illness will be taken into account. Access to research mentoring and other research support facilities and any other relevant aspects of career experience or opportunities for research will complete the considerations.

The FRWRP will recommend a research workload for each staff member for consideration and approval by the Deputy Vice-Chancellor, Research. The normal due date for research workload recommendations to be submitted to the Deputy Vice-Chancellor, Research is mid-August each year.

The Deputy Vice-Chancellor, Research will review and consider the research workload recommendations. The recommendations will be approved, modified or not approved. Should a recommendation be modified or not approved, the Deputy Vice-Chancellor, Research will provide feedback regarding the decision to the FRWRP and the Academic Staff member.

Academic Staff members will be advised of their research workload allocation by FRWRPs, normally by late September each year. The approved RPRPs and research workload allocations will be forwarded to HR Advisory Service where approved research workload allocations will be entered into the Academic Workload Planning System (AWPS).

## New Staff Process

For staff who commence at ACU after the annual research workload allocation process (i.e. after the FRWRP has met and submitted the research workload recommendations) or staff who are on extended leave during the RPRP submission period, the following process may apply:

- for new staff, in conjunction with Research Services, the new Academic Staff member's previous research will be verified and imported into Research Master;

- the new staff member (or staff member on extended leave) would be required to submit an initial, interim three (3) year research plan;

- the relevant National Head of School, Executive Dean and Associate Dean Research would meet to review the submitted research plan;

- the National Head of School, Executive Dean and Associate Dean Research would propose an initial research workload (for prospective semester/s) and submit the recommendation to the DVCR for approval:

- Research workload allocation approved or modified by Deputy Vice-Chancellor, Research;

- Approved research workload allocations forwarded to HR Advisory where approved research workload allocations will be entered into the AWPS;

- The Academic Staff member then commences the annual process in July the next year.

## Dispute Resolution

If a staff member disputes the application of the Academic Workload Policy (i.e. they disagree with a relevant and specific research workload allocation) they may be eligible to lodge a grievance in accordance with the University's Workplace Grievance Policy and Procedure.  These matters are not subject to the application of clause 5.2.7 of the ACU Staff Enterprise Agreement 2013 – 2017.

Under the University's Workplace Grievance Policy and Procedure a grievance means "a complaint from a staff member concerning treatment in a particular workplace that is inequitable or procedurally unfair; or a complaint that arises from perceived personal concerns relating to one or more work-related interpersonal relationships."

A disputed research workload allocation will be resolved and, if relevant, investigated in accordance with the University's Grievance Policy and will not be subject to review of the Workload Advisory Committee or any other University process or procedure.

## Review

These guidelines and appendices will be reviewed annually to support each annual process.

## Further Assistance

Any staff member who requires assistance in understanding these guidelines should first consult their nominated supervisor who is responsible for the implementation and operation of these arrangements in their work area.

Should further advice be required staff should contact the Human Resources Advisory Service, HR@acu.edu.au or extension 4222.

Any staff member who wishes to make any comments about these guidelines may forward their suggestions to the Human Resources Advisory Service.

## Associated Policies

- Academic Workload Policy
- Workplace Grievance Policy and Procedure

# Appendix 1

Research Performance Benchmarks use in applications in 2014 for research workload recommendations in 2015.

| Annual Research Benchmarks by FoR | | | | | | | |
|---|---|---|---|---|---|---|---|
| | | Annual Benchmarks | | | | | |
| | | Grant Income | Weighted Publications by Academic Level | | | | |
| FoR Code | FoR Name | | Target A | Target B | Target C | Target D | Target E |
| 05 | Environmental Sciences | $131,000 | 1.00 | 1.20 | 1.40 | 1.80 | 2.20 |
| 08 | Information and Computing Sciences | $43,000 | 1.40 | 1.80 | 2.20 | 2.60 | 3.00 |
| 1103 | Clinical Sciences | $136,000 | 1.40 | 1.80 | 2.20 | 2.60 | 3.00 |
| 1106 | Human Movement and Sports Science | $36,000 | 1.40 | 1.70 | 2.00 | 2.40 | 2.80 |
| 1110 | Nursing | $33,000 | 0.80 | 1.00 | 1.20 | 1.60 | 2.00 |
| 1117 | Public Health and Health Services | $155,000 | 1.00 | 1.20 | 1.40 | 1.80 | 2.20 |
| 1301 | Education Systems | $22,000 | 0.80 | 1.00 | 1.20 | 1.60 | 2.00 |
| 1302 | Curriculum and Pedagogy | $15,000 | 0.80 | 1.00 | 1.20 | 1.60 | 2.00 |
| 1303 | Specialist Studies in Education | $34,000 | 0.80 | 1.00 | 1.20 | 1.60 | 2.00 |
| 14 | Economics | $53,000 | 0.80 | 1.00 | 1.20 | 1.60 | 2.00 |
| 15 | Commerce, Management, Tourism and Services | $14,000 | 0.80 | 1.00 | 1.20 | 1.60 | 2.00 |
| 1501 | Accounting, Auditing and Accountability | $7,000 | 0.80 | 1.00 | 1.20 | 1.60 | 2.00 |
| 1502 | Banking, Finance and Investment | $14,000 | 0.80 | 1.00 | 1.20 | 1.60 | 2.00 |
| 1503 | Business and Management | $20,000 | 1.00 | 1.20 | 1.40 | 1.80 | 2.20 |
| 1505 | Marketing | $18,000 | 1.00 | 1.20 | 1.40 | 1.80 | 2.20 |
| 16 | Studies in Human Society | $44,000 | 1.00 | 1.20 | 1.40 | 1.80 | 2.20 |
| 1605 | Policy and Administration | $79,000 | 1.40 | 1.70 | 2.00 | 2.40 | 2.80 |
| 1606 | Political Science | $34,000 | 1.40 | 1.70 | 2.00 | 2.40 | 2.80 |
| 1607 | Social Work | $35,000 | 0.80 | 1.00 | 1.20 | 1.60 | 2.00 |
| 1608 | Sociology | $52,000 | 1.40 | 1.70 | 2.00 | 2.40 | 2.80 |

| 1701 | Psychology | $56,000 | 1.00 | 1.20 | 1.40 | 1.80 | 2.20 |
|---|---|---|---|---|---|---|---|
| 1702 | Cognitive Science | $42,000 | 1.40 | 1.70 | 2.00 | 2.40 | 2.80 |
| 18 | Law and Legal Studies | $16,000 | 0.80 | 1.00 | 1.20 | 1.60 | 2.00 |
| 1801 | Law | $17,000 | 0.80 | 1.00 | 1.20 | 1.60 | 2.00 |
| 1904 | Performing Arts and Creative Writing | $6,000 | 0.80 | 1.00 | 1.20 | 1.60 | 2.00 |
| 1905 | Visual Arts and Crafts | $6,000 | 1.40 | 1.70 | 2.00 | 2.40 | 2.80 |
| 20 | Language, Communication and Culture | $21,000 | 0.80 | 1.00 | 1.20 | 1.60 | 2.00 |
| 2005 | Literary Studies | $14,000 | 1.00 | 1.20 | 1.40 | 1.80 | 2.20 |
| 21 | History and Archaeology | $48,000 | 1.40 | 1.70 | 2.00 | 2.40 | 2.80 |
| 2103 | Historical Studies | $43,000 | 1.40 | 1.70 | 2.00 | 2.40 | 2.80 |
| 22 | Philosophy and Religious Studies | $21,000 | 1.40 | 1.70 | 2.00 | 2.40 | 2.80 |
| 2201 | Applied Ethics | $19,000 | 1.00 | 1.20 | 1.40 | 1.80 | 2.20 |
| 2202 | History and Philosophy of Specific Fields | $25,000 | 1.40 | 1.80 | 2.20 | 2.60 | 3.00 |
| 2203 | Philosophy | $27,000 | 1.40 | 1.70 | 2.00 | 2.40 | 2.80 |
| 2204 | Religion and Religious Studies | $21,000 | 1.40 | 1.70 | 2.00 | 2.40 | 2.80 |

# Appendix 2

Research Quality Rating Guidelines

<table>
<tr><td colspan="4" align="center"><b>Quality Rating Guidelines</b></td></tr>
<tr><td colspan="2" align="center"><b>Quality of Research Output</b></td><td colspan="2" align="center"><b>Quality of Research Outlet</b></td></tr>
<tr><td><b>5</b></td><td>An output of exceptional quality. There is evidence of the exceptional quality through recognition conferred by peers of the highest disciplinary standing. The work makes an exceptional contribution to new knowledge or new understandings at well-above world standard, which, in non-traditional research areas, may be evidenced by professional recognition and/or take-up.</td><td><b>5</b></td><td>An exceptional academic or commercial press or journal recognised as amongst the very best in the world. An outlet of exceptional or pre-eminent international standing demonstrating research that is at the leading edge and shaping the discipline.</td></tr>
<tr><td><b>4</b></td><td>An output of major quality. There is evidence of the major quality through recognition conferred by peers of very high standing. The work makes a major contribution to new knowledge or new understandings at above world standard, which, in non-traditional research areas, may be evidenced by professional recognition and/or take-up.</td><td><b>4</b></td><td>A major academic or commercial press or journal recognised as a leading publisher or journal in the discipline - perhaps with a specialised focus on the publication of work in a particular discipline or set of disciplines. An outlet of major cultural significance that relies on formal quality assurance or review, processes conferred by representatives of international organisations and institutions.</td></tr>
<tr><td><b>3</b></td><td>An output of high quality. There is evidence of the high quality through recognition by peers of very high standing. The work makes a high quality contribution to new knowledge or new understandings at world standard, which, in non-traditional research areas, may be evidenced by professional recognition and/or take-up.</td><td><b>3</b></td><td>A strong academic or commercial press recognised nationally, and usually internationally, as publishing work of a high standard. An outlet of high quality that regularly delivers output at world standard.</td></tr>
<tr><td><b>1-2</b></td><td>Research that is below the standard described in 3 above.</td><td><b>1-2</b></td><td>Below the standard described in 3 above.</td></tr>
</table>

# Research Performance Review and Plan

## Instructions

1. This form is to be completed using Myriad Pro Font Size 11. Only Sections 1-4 are required to be completed by the staff member.
2. Download your two Orion research reports.
3. Liaise with your supervisor in regard to your Research Performance Review and Plan and sign as required in Section 4.
4. Email your signed Research Performance Review and Plan as a PDF document and attach the two Orion research reports to *AcademicResearch.Workload@acu.edu.au* by **5 pm on Monday July 28 2014**.
5. If you have queries please contact your nominated supervisor.

## Section 1 – Staff Member Details

*We understand that you may have previously supplied this information. We will utilise the information obtained during the process to update and confirm our current data. Thank you in advance for taking the time to confirm your details.*

### 1.1 Personal Details

| ACU Employee No: | | ResearchMaster No:<br>*(beside your name on Orion report)* | |
|---|---|---|---|

| Title: | |
|---|---|
| Surname: | |
| Full Given Name/s: | |
| Faculty: | |
| School/Institute: | |
| Campus: | |
| Phone Extension: | |

| Nature of appointment<br>*(please delete unrequired option):* | Full-time | Part-time | If part-time, what is your current fraction: | |
|---|---|---|---|---|

| First year at ACU (or predecessor College): | | |
|---|---|---|
| Current Academic Level: | Level: | Step: |

| Current Academic Career Pathway *(please delete unrequired options):* | Teaching-focussed<br>Teaching and Research<br>Research-focussed<br>Research only<br>Academic Leadership/Service |
|---|---|

### 1.2 Qualifications

**Have you been awarded a PhD?**

**Yes** or **No** *(please delete unrequired option)*

**If yes, on what date were you awarded your PhD?:**

*As per ARC guidelines, the 'Award of PhD Date' refers to the date of the conferral of a PhD – i.e. the date of the graduation ceremony, not the date of thesis submission or the date the thesis was examined.*

*University:* _____

*Awarded:* _____ _____ _____
             *Day*            *Month*           *Year*

### 1.3 Early Career Researcher

**Will you be an Early Career Researcher (ECR) on 1 January 2015?**

**Yes** or **No** *(please delete unrequired option)*

*As per ARC guidelines, PhD conferred after December 31 2009 i.e. you have been awarded a PhD within five years; or after December 31 2005 together with periods of significant career interruptions, i.e. within nine years if you have periods of significant career interruptions.*

**If no, are you currently enrolled in PhD study?**

**Yes** or **No** *(please delete unrequired option)*

*University:* _____

*Commencement date:* _____ _____ _____
                       *Day*            *Month*           *Year*

*Expected completion date:* _____ _____ _____
                              *Day*            *Month*           *Year*

**If no, what is your highest qualification and when was it awarded?**

*As above, the award date refers to the date of the conferral of the qualification– i.e. the date of the graduation ceremony.*

*Award:* _____    *University:* _____

_____ _____ _____
*Day*            *Month*           *Year*

### 1.4 Accredited Research Supervisor

**Are you an accredited ACU Research Supervisor?**

**Yes** or **No** *(please delete unrequired option)*

**If no, have you applied to have your Research Supervisor accreditation achieved at your former university recognised by ACU?**

**Yes** or **No** *(please delete unrequired option)*

**or**

**If no, are you currently enrolled in the ACU Research Supervisor training program?**

**Yes** or **No** *(please delete unrequired option)*

## Section 2 – Research Performance Review

*The research performance review will consider four (4) components over the previous five (5) years or another specified review period if you are an Early Career Researcher:*

*2.1      Your research opportunity statement;*

*2.2      Your Orion reports:*

   *2.2.1   The Orion ACU Research Profile Report which provides information on:*

      *-Funded projects;*

      *-Student/s supervised[1];*

      *-Publications[2] that you are a contributor to or your Non-Traditional Research Outputs[3];*

   *2.2.2   The Orion Research Performance Benchmark Report which provides information on:*

      *-Annual and average annual income[4] compared to ERA benchmarks[5] for your academic level and FoR[6];*

      *-Annual and average annual publications (weighted[7]) compared to ERA discipline benchmarks for your academic level and FoR;*

*2.3      Other recognised research achievements;*

*2.4      Your self-assessment of the quality of your research (the quality of outputs and outlets compared to the criteria provided) and other evidence of research quality.*

## Other specified review period - Early Career Researchers

If you are an ECR (as identified above) please report on your previous one (1) to five (5) years of research (the relevant period for which you have data). Please identify the time period you are using below:

| *From year* | *To year* |
|---|---|
| _____ | _____ |

---

[1] *Note that workload allocation for HDR supervision is allocated independently of the Research Performance Review and Plan process in accordance with the Academic Workload Policy 2015 C4 and C5.*

[2] *HERDC publications*

[3] *Non-Traditional Research Outputs (NTROs) are to be submitted, verified and assessed in accordance with the relevant Faculty Policy on NTROs.  Submissions are to be recorded in ResearchMaster but verification must be at Faculty and Research Services levels.  In addition to submitting your Orion report, a copy of the assessor's comments on each successful NTRO should be included in your submission.*

[4] *Annual grant income refers to your individual expended income managed by ACU.  External grants managed by ACU received during the review period are included for the purpose of the Research Performance Benchmark report.  Competitive grants achieved and/or managed through other Universities or external agencies should be noted under Section 2.4.2. ACU grants and Faculty grants are not included. Note that only the years at ACU are used to determine the actual average annual income.*

[5] *Derived from ERA2012 report on average Income and weighted publication points by FTE for each FoR.*

[6] *For the purpose of this assessment, the most relevant two (2) or four (4) digit FoR code for your income and publications was selected.*

[7] *Weighted HERDC publications (A1 weight 5; B1; C1; D1; E1 weight 1; divided by the number of authors/contributors).  For academic levels A and B, E1 publications are included for the purposes of this assessment.  For academic Levels C, D and E, E1 publications have been excluded.  Note that the actual average annual publications are determined over five years or other specified time period.*

## 2.1 Research Opportunity

## Please identify any notifiable career interruptions during the preceding five (5) years

*As per ARC guidelines, acceptable significant career interruptions can include carer's responsibilities; disruptions due to international relocation for international post-doctoral studies not exceeding more than three months; illness; maternity or parental leave; and/or unemployment or non-research employment where the work is predominantly non-research, not exceeding three years.*

*No more than ½ page*

## 2.2 Your Orion reports

You can access Orion at orion.acu.edu.au and use your ACU staff username and password to log in. Please print and attach:

2.2.1    a copy of your Orion ACU Research Profile Report.  This report lists your funded projects; students supervised and publications or Non-Traditional Research Outputs;

2.2.2    a copy of your Orion Research Performance Benchmark Report.

## 2.3 Other Recognised Achievements

*Achievements could include esteem measures utilised by the ARC in the ERA process; editor of a prestigious work of reference; being a fellow of a learned academy; being a member of Australian Institute of Aboriginal and Torres Strait Islander Studies (AIATSIS); being the recipient of a nationally competitive research fellowship; being a member of a statutory committee; awarding of ACURFS funding for 2014; research commercialisation income; patents or other achievements.*

*No more than ½ page*

## 2.4 Quality of the Research

## 2.4.1 Self-assessment of the Quality of Research Outputs and Outlets

You are asked to self-assess the quality of your research outputs or NTROs with reference to other supporting evidence.

    *i.*    *List ALL outputs published or NTROs over the previous five (5) years (2009-2013) or other period (as specified in section 2) in the table on the next page:*

    *ii.*   *Publications must be verified and listed in your attached Orion Research Profile report; and*

    *iii.*  *For each of the outputs you have listed please self-assess the quality of the publication (output) and the quality of the outlet referring to the guidelines provided in the table.*

| Quality Rating Guidelines | | | |
|---|---|---|---|
| **Quality of Research Output** | | **Quality of Research Outlet** | |
| **5** | An output of exceptional quality. There is evidence of the exceptional quality through recognition conferred by peers of the highest disciplinary standing. The work makes an exceptional contribution to new knowledge or new understandings at well-above world standard, which, in non-traditional research areas, may be evidenced by professional recognition and/or take-up. | **5** | An exceptional academic or commercial press or journal recognised as amongst the very best in the world. An outlet of exceptional or pre-eminent international standing demonstrating research that is at the leading edge and shaping the discipline. |
| **4** | An output of major quality. There is evidence of the major quality through recognition conferred by peers of very high standing. The work makes a major contribution to new knowledge or new understandings at above world standard, which, in non-traditional research areas, may be evidenced by professional recognition and/or take-up. | **4** | A major academic or commercial press or journal recognised as a leading publisher or journal in the discipline - perhaps with a specialised focus on the publication of work in a particular discipline or set of disciplines. An outlet of major cultural significance that relies on formal quality assurance or review, processes conferred by representatives of international organisations and institutions. |
| **3** | An output of high quality. There is evidence of the high quality through recognition by peers of very high standing. The work makes a high quality contribution to new knowledge or new understandings at world standard, which, in non-traditional research areas, may be evidenced by professional recognition and/or take-up. | **3** | A strong academic or commercial press recognised nationally, and usually internationally, as publishing work of a high standard. An outlet of high quality that regularly delivers output at world standard. |
| **1-2** | Research that is below the standard described in 3 above. | **1-2** | Below the standard described in 3 above. |

*Self-assessment of the Quality of Research Outputs and Outlets cont.*

List and self-assess all your outputs (for the review period) in this table. Please add additional rows if required.

| No. | Publication or NTRO title and details | HERDC Or NTRO Type | Quality of Research Output | | Quality of Research Outlet | |
|---|---|---|---|---|---|---|
| | | | Self-Assessment | FRWRP | Self-Assessment | FRWRP |
| 1 | | | | | | |
| 2 | | | | | | |
| 3 | | | | | | |
| 4 | | | | | | |
| 5 | | | | | | |
| 6 | | | | | | |
| 7 | | | | | | |
| 8 | | | | | | |
| 9 | | | | | | |
| 10 | | | | | | |

## 2.4.2 Other Evidence of Research Quality

*Please provide a statement further addressing the quality of your research achievements. Quality may be addressed by evidence relevant to your discipline and may include, for example, information on citations and h-index, impact factors of journals, competitive grants achieved  and or managed through other Universities or external  agencies, external or Faculty rankings of journals, awards for publications, reviews or other measures you may deem relevant.*

*No more than 1 page*

## Section 3 – Research Plan for the next three (3) years

Outline the current and proposed research project/s you will undertake in 2015-2017 and identify the expected outcomes and milestones for each project. *(One project pro-forma is provided below. If you have additional projects, please copy the Project 1 pro-forma as needed)*

**Project 1**:

| Title 20 words maximum | |
|---|---|

| Summary 100 words maximum | |
|---|---|

| FoR code(s) and Research Priorities | | | |
|---|---|---|---|
| Field of Research (FoR) code/s *(Please identify up to 3 relevant FOR code/s) and the %. The total must add to 100%)* | | | |
| ACU Research Priorities *(Please identify as relevant)* | | | |
| National Research Priorities *(Please identify as relevant)* | | | |
| Indigenous (*Does the plan relate to or involve Indigenous Australian Societies – if so briefly indicate how*) | | | |

| Project Duration | Start -/-/- | End -/-/- |
|---|---|---|

| Funding *(External and ACU) List $ and funding body and the administering organisation as relevant.* | Current approved funding *(if applicable)* |
|---|---|
| | Pending funding application (*if applicable*) |
| | Proposed funding application *(if applicable)* |

| Participants | Role *(CI, PI etc.)* | Proposed Commitment *(Estimated fraction or hours per week)* | Institution | Status *(tentative or agreed)* |
|---|---|---|---|---|
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |
| Other research support personnel not listed above |  |  |  |  |
| HDR student participants not listed above |  |  |  |  |

| Expected outcomes *(Add rows as needed)* | Publications and type (e.g. A1, B1, C1, J etc.) | Proposed outlet *(publisher, journal, gallery etc.)* |
|---|---|---|
| 1 |  |  |
| 2 |  |  |
| 3 |  |  |

| Project Milestones *(10 milestones maximum)* | Description | Due Date *Month/Year* | Status |
|---|---|---|---|
| 1 |  |  |  |
| 2 |  |  |  |
| 3 |  |  |  |
| 4 |  |  |  |
| 5 |  |  |  |
| 6 |  |  |  |
| 7 |  |  |  |
| 8 |  |  |  |
| 9 |  |  |  |
| 10 |  |  |  |

## Additional information *(if required)*

*No more than 1/2 page*

## Section 4 – Nominated Supervisor Comment and Applicant and Supervisor signatures

**4.1 Nominated Supervisor Comment**

Has the staff member met with you to discuss this research plan?

**Yes** or **No** *(please delete unrequired option)*

As the staff member's nominated supervisor, you are required to make a factual and objective assessment of the staff member's research outcomes – taking into consideration:

- the staff member's career history against a timeline of years since graduation from highest educational qualification;

- their research opportunities and experience in the context of employment situations including those outside academia and the research component of employment conditions;

- any periods of unemployment, or any career interruptions for child birth, carers' responsibilities, misadventure, or debilitating illness ; and

- any access to research mentoring and other research support facilities and any other relevant aspects of career experience or opportunities for research.

| Research related performance of the staff member: | |
|---|---|
| Any other comments: | |

## 4.2 Applicant and Supervisor signatures

Date:

| | |
|---|---|
| *Name of Supervisor* | *Signature of Supervisor* |

*Staff Member Declaration and Signature:*

I have read comments (above) written by my nominated supervisor.
I declare that the information contained within this plan is accurate at the time of submission.

Date:

*Signature of Staff Member*

## Section 5 - Faculty Research Workload Review Panel
*(Panel use only)*

**5.1 Previous ACU Research Workload Allocations** *(from 2011 as relevant to date of appointment and adjusted for fractional appointments to FTE as required)*

| Year | Hours allocated for research (FTE) (*excluding HDR supervision*) | % of FTE workload |
|------|------------------------------------------------------------------|-------------------|
| 2011 | | |
| 2012 | | |
| 2013 | | |
| 2014 | | |

**5.2 Discussion/Comments**

| | |
|---|---|
| Research Performance *(Past 5 years or as specified in Section 2)*: | |
| Research Quality: | |
| Research Plan for next three (3) years: | |
| Identified development needs: | |
| Any other comments: | |

## 5.3 Overall Research Performance Review and Plan Rating

*Following consideration of all components of the Research Performance Review and Plan informed by the ERA national research performance data for the sector, please identify an overall performance and quality rating between 1.0 and 5.0*

| Overall Rating: | |
|---|---|

*Research workload allocation recommendations can be made within the following ranges:*

- *Below benchmark comparison with the data on sector performance – up to 180 hours*
- *Meets benchmark comparison with the data on sector performance - range 200 – 640 hours*
- *Exceeds benchmark comparison with the data on sector performance - range 680 – 800 hours*
- *Outstanding benchmark comparison with the data on sector performance - greater than 800 hours*

## 5.4 Recommended Research Workload[8]

| Hours (FTE) |
|---|
| |

Date: _____

_____
*Signature of Executive Dean*

---

[8] *Hours to be allocated on a full-time equivalent basis and will be adjusted and pro-rated according to the staff member's employment fraction in 2015. For example, if a 0.5 fraction staff member was assessed as meeting the benchmark and eligible for a 200 hour research workload recommendation, the FRWRP would list 200 hours in this section. If approved by the DVCR, it would then be adjusted to 100 hours in the AWPS to reflect the 0.5 employment fraction.*

## Section 6 – Deputy Vice-Chancellor Research – Workload Approval

*(Office of the Deputy Vice-Chancellor, Research use only)*

### 6.1 Recommended Workload Allocation:

*(Please circle the relevant outcome)*

| Approved | Modified | Not Approved |
|:---:|:---:|:---:|

### 6.2 If modified, the revised Research Allocation is now:

### 6.3 Discussion/Comments

| *If modified or not approved – please provide feedback to the FRWRP* | |
|---|---|
| | |

Date:

_____
*Signature of DVC Research*

# Setting Objectives
## Academic Staff
PLANNING, DEVELOPMENT & REVIEW

THE UNIVERSITY
*of* ADELAIDE

## Why set objectives?

Setting work objectives is central to the Planning, Development and Review process. The objective setting aspect of PDR sets the framework for review and feedback. Clearly formulated objectives describe what you are aiming to achieve during the year and how you will measure the outcome of each objective.

Clearly formulated objectives:

- Enable achievement of the strategic and School/Unit priorities.

- Increase focus and commitment toward reaching targets and goals.

- Provide a benchmark against which the individual's progress and achievements can be discussed and reviewed.

- Assist staff in gaining experience and achievements that are continually developing their knowledge and capabilities and support career progression.

- Ensure that staff members are working towards a balanced portfolio of activities appropriate to their role and the stage of their career.

## Useful questions to ask when setting objectives

To be effective, an objective must be meaningful and achievable; there is little point in setting objectives that are so large or unclear they cannot be achieved.  So, when setting objectives with staff members it is useful to ask the following:

- How does the individual's role support the strategic priorities and School/Unit key objectives?

- What objectives are appropriate for the role of the individual?

- How do they fit with the workload allocation model/workload expectations?

- What are the resource requirements?

- How do they impact on the objectives of others?

- How can the objectives be measured? What sources of evidence, data, and feedback are available to enable on-going review?

- What challenges are anticipated in seeking to achieve these objectives?

- What assistance might be needed to enable achievement?

- If required, how might the objectives be prioritised?

- If very large, how can the objective be broken down into smaller, clear and attainable 'chunks'?

## Applying the SMART principle

Keeping the principle of **SMART** front of mind when setting objectives ensures that they are:

**S**pecific – **M**easurable – **A**chievable – **R**elevant - **T**ime-framed

| | |
|---|---|
| **Specific:** | Is the objective clearly defined?<br>Work objectives should state specifically what needs to be achieved; they need to clearly specify the intended outcomes. Vague objectives lead to vague attempts to achieve them! Express the desired action and result using active verbs such as: *increase, develop, implement, publish, decrease, set up, negotiate, etc.* (see useful verbs for describing objectives listed below). |
| **Measurable:** | Is it clear what success is and how one would know when it is achieved?<br>This means that it is possible to monitor progress and outcomes and determine the extent to which objectives are achieved.  Consider both qualitative and quantitative indicators of success. It should be possible to evaluate the progress based on evidence. Therefore, objectives need to include a way of verifying whether the objective is being progressed, has been achieved and to what standard.  Measures may be qualitative (quality of work, satisfaction) or quantitative (numbers achieved, costs incurred, revenue achieved).  Generally there are four ways to measure; *quality, quantity, costs* (or *revenue*) or *time*. |
| **Achievable:** | Is the objective realistic, yet challenging?<br>While objectives should provide challenge, they must also be achievable – there is no point setting yourself and staff up for failure! Consider the requirements and level of the role as well as the availability of resources. |
| **Relevant:** | Is the objective important; does it add value?<br>To be meaningful and worthwhile, the objectives must be relevant to the level and priorities of the individual's role, as well as aligned with and contributing to University and School/Unit goals. When setting work objectives, identify the key priorities for the University / Portfolio/ Unit that relate to the staff member's position and identify how the individual can add value or contribute to achieving these priorities. |
| **Time-framed:** | What are the timeframes in which the objective should be achieved?<br>Clear target dates should be set for achieving work objectives and completing interim steps. Timeframes – which can include miles stones - are useful for enabling individuals to monitor progress toward the objectives as well as to allow for interim adjustments that may be required due to changing priorities. Although the Planning, Development and Review process is annual, objectives can be set for longer timeframes. This may be particularly appropriate for research based objectives, with the ability to set milestones for the annual review cycle. |

# Useful verbs for writing objectives

Use action verbs to describe what needs to be achieved. Here are some options:

| | | | | | |
|---|---|---|---|---|---|
| achieve | comply | draft | improve | obtain | revise |
| acquire | conceive | edit | increase | organise | save |
| act as | consult | eliminate | initiate | originate | select |
| adopt | contribute | engage | instigate | participate in | serve |
| analyse | control | ensure | introduce | perform | set up |
| answer | coordinate | establish | investigate | plan | solve |
| arrange | correct | evaluate | launch | prepare | source |
| assist | create | exceed | learn | present | streamline |
| attain | decrease | extend | lead | produce | submit |
| audit | define | facilitate | liaise | publish | supervise |
| avert | demonstrate | formulate | maintain | recommend | support |
| award | design | gain | manage | rectify | test |
| build | develop | generate | maximise | represent | train |
| carry out | direct | guide | monitor | research | turn around |
| coach | deliver | handle | motivate | restructure | visit |
| communicate | devise | identify | negotiate | review | win |
| | | | | | write |

Key Result Areas – Academic

## Teaching

Student FTEs
Responsiveness to SELT process
SGDE and e-learning Initiatives
ATAR (Quality of Students)
Student Experience

## Research

Publications
HDRs
Research income

**Academic Leader**

## Financial

5 Year plan implementation
Salary management
Student margin

## People

Workload model          Equity targets
PDR process             Work-life balance
Leave balances          Talent Management

## External Engagement

Connect with community
International

## Teaching

Course load
SELT targets
SGDE and e-learning initiatives

## Research

Publications
HDRs
Grant applications

**Academic**

## Other

Professional engagement
Leave plan
Committee contribution

## Example Objectives - Academic Staff

### KRA: Teaching

- Coordinate "Arts and Engagement" Level 1 course in Semester One.
- Deliver "Contract Law" Level 2 course in Semester Two.
- Pre-course visit to Africa for AusAID/GRM on 2014 trade policy and negotiate courses under Australia Award for Africa (AAA) Short Course awards.
- Contribute to events and course content for Semester One (Group 1) in Australia AAA trade policy and negotiation Foundation Course.
- Review status of IIT post-graduate courses (MITD/PCIT) for Semester Two.
- Deliver in-Africa Module 3, AAA Short Course, Cape Town by June 30.

### KRA: Research

- Publish at least two articles in high quality journals (e.g. ERA A* or A journals) and publish at least two articles in books or B ranked journals by November 2014.
- Publish at least 2 commissioned reports by 30 September 2014.
- Ensure doctoral staff participate and attract HDR students, with the aim of 4 per year.
- Prepare annual research development report for the Institute by December 2014.
- Prepare and submit category 1 and category 2 and 3 applications, including at least one ARC linkage grant in 2014.
- Present final AusAID-funded Research Study for Palau on implications of PACER Plus by May 28.

### KRA: Financial

- Prepare and update 2014 annual budget and ensure that revenue exceeds expenses over the year, including meeting obligations for investing in staff and infrastructure.
- Work with the School and Faculty to develop collaborative research links with external bodies to contribute to research income growth in line with University targets and the Faculty's plan.
- Report to Board on 2014 activities, finances and planning upcoming activities and other agenda items by 30 June 2014.
- Contribute to improvement in research income on a full cost recovery basis, including compliance with the Compliance Neutrality Levy requirement. Annual results to demonstrate income exceeds expenditure on a cash basis.

## KRA: People

- Complete PDR planning and review conversations with all direct reports within set deadlines.
- Ensure that all academic appointments to the Centre achieve the Faculty research threshold for research-focused staff.
- Provide regular supervision (at least one session per month) for research and administrative staff involved in the Institute's research programs, in conjunction with the School.
- Introduce a workload model that considers the variety of tasks and outcomes expected of academic staff, by 30 June 2014.

## KRA: Other

- Finalise 2014-2016 IIT Strategy Paper, for submission to Board intersessionally.
- Represent the Institute throughout 2014 at meetings within the University and externally, including committees, boards and advisory groups.
- Develop Africa Networks as Conference Commentator / Session Chair for Society of International Economic Law Biennial Conference, Singapore by June 30 2014.
- Manage IT Finances, Staffing and Resources for delivery of contract commitments, and according to plans, in 2014.
- Prepare draft IIT Medium-to-Long Term Strategy Paper (3-5 years) in consultation with Chair of Board of Governors and Executive Dean of Faculty of Professions by 30 September 2014.
- In collaboration with the Executive Dean and Faculty Finance Manager, develop academic, human resources and finance and infrastructure planning and monitoring processes by the end of 2014.

# Performance and Development Process– Academic Staff

## Purpose

To outline the process for the establishment and review of performance objectives/indicators and development plans for academic staff.

## Procedure

### Definitions

*Performance and Development Process.* The process which guides performance management practices within the University, assisting staff to excel and meet their career goals and job expectations.

*Performance Development Agreement.* The pro-forma designed to record a staff member's performance objectives/indicators; development needs; and actual performance over a defined period.

*Performance Objectives.* describes the tasks and outcomes to be achieved by the staff member as a result of carrying out prescribed roles and responsibilities. These will include the manner in which work is undertaken to ensure consistency with the Code of Conduct and ANU Values. Performance Objectives may also include the identification of milestones which extend beyond the length of the review period.

*Performance Indicators.* describe the way in which a staff member and supervisor will define whether a performance objective has been achieved.

*Academic Areas of Output.* The defined aspects of an academic's portfolio of activity. Includes: research/creative activity; education; and service/ public policy/leadership.

*Achievement relative to opportunity.* Assessing achievement against performance objectives and indicators relative to opportunity, involving taking into consideration any changes which may have impacted on performance and were beyond the control of the manager or staff member.

### Procedure

1.  Understanding that academic staff work-patterns, the needs of the University as well as the needs of particular work places, change from time-to-time the PDP will be managed by the following:

    -   supervisors and staff members reviewing current contribution and career goals, establish an agreed Performance and Development Agreement (PDA).

    -   taking into account the University Academic Profiles and any college or local guidelines, setting at least annually, by discussion between an individual staff member and their supervisor, clear performance objectives for the period using a Performance and Development Agreement.
        Please note: Objectives may be varied according to emerging needs of the area in which the staff member works.

    -   formal progress review against agreed performance objectives and indicators

conducted on at least an annual basis, unless contribution or commitment requires an earlier review or the supervisor and staff member prefer more frequent reviews

- recommending, in writing to the staff member, any steps needed to improve performance when that is warranted.

## Probation

2. It is expected that the PDP, and related Performance and Development Agreement(s), will be used to inform the probation process.

3. Supervisors will provide the staff member with a clear understanding of the PDP and work with them to clearly define objectives for the probationary period.

4. As a condition of probation, staff holding a teaching and research appointment will demonstrate satisfactory teaching effectiveness, including a formal student evaluation process, for teaching and research positions.

## Defining objectives

5. The supervisor will meet with each staff member to discuss and identify performance objectives, relevant indicators of performance, and development goals for the review period:

- reflect their key objectives, indicators and goals for each academic area of output for the review period, taking into consideration the University's Academic Profiles and any college or local guidelines, and the work areas strategic goals for the period

- key skills and attributes necessary for staff to achieve success in their position and future career progression

- specific objectives and indicators for all staff with supervisory and/or resource management roles

- identify development actions to assist the staff member achieve personal excellence, maximise their contribution to the University and achieve career aspirations.

6. These discussions are to be summarised using Part B and C of the PDA.

## Review of progress and achievements

7. Prior to the end of the term of an annual PDP, a supervisor shall meet with each staff member to review progress and achievement. These progress reviews are an opportunity to provide feedback, support, direction and encouragement in relation to the progress and achievement of the staff member's objectives.

8. The review also provides the opportunity for the supervisor and staff member to discuss general work issues, including workload allocation, and the operations of the college, school, division or area that affect an individual's contribution.

9. The staff member should reflect on their experiences at work over the period, the supervisor and staff member should then meet to discuss and review the overall progress and achievements of the staff member relative to opportunity.

10. The staff member should provide their supervisor with the material needed to facilitate assessment, this may include: research publications; citation information; grant applications; teaching evaluations; peer comments on syllabus or curriculum; and any other material deemed relevant to the discussion.

11. Based on the outcomes of the discussion under clause 9; the evidence provided under clause 10; and any other relevant evidence, the supervisor will identify an overall performance rating for the staff member against the performance objectives and an individual rating against each academic area of output.

12. A summary of the staff member's actual performance, self-reflection, and performance ratings should be recorded in Section B and E of the PDA respectively.

13. Where a staff member consents to sharing the content of their PDA for development purposes, this will be recorded in Section E.

14. In cases where development is required or progress and achievement is unsatisfactory,

Performance and Development Agreement Process- Academic Staff

action to address possible underperformance or misconduct should be taken at the earliest time possible. Once such issues are identified, action should not be delayed until a formal review.

15. Subject to agreement between the supervisor and staff member, performance objectives may be updated during the year as work circumstances change.

## Performance ratings

16. The following ratings are used in the Performance and Development Process :

**Outstanding**: Where the staff member demonstrates performance and behavior which consistently exceeds expectations. The consistently high standard has earned recognition by others internal and/or external to the University. On average only 5% of staff would be expected to be in this category.

**Meets all expectations**: Where overall the staff member demonstrates consistent and sustained performance, with all objectives being met, and exhibits behaviour which is consistent with ANU Values and Code of Conduct. The vast majority of staff would be expected to be in this category.

**Unsatisfactory**: Where the staff member's performance and/or behaviour falls short of what is expected for the position they hold, and/or the required performance objectives and indicators.

In these circumstances, the supervisor will have initiated action under the managing underperformance procedures. This rating will be applied where:

- the staff member's outcomes and/or behaviour frequently do not meet expectation and/or expectations are not achieved and/or are considered unsatisfactory
- frequent direction/coaching and/or extensive development (not consistent with the classification level of the staff member) is required.
- the staff member does not apply skills/knowledge and attributes in a manner consistent with the ANU Code of Conduct.

Where a staff member does not take steps to improve to an acceptable level, in quality and/or commitment, the options available to the University include demotion to a lower level or to negotiate a departure from the University. For these purposes, the processes identified in the [Underperformance and Misconduct policy](#) and the [Underperformance procedure](#), developed under the provisions of the ANU Enterprise Agreement, will be followed including the appeal provisions which may lead to disciplinary action.

## Disputes

17. If a supervisor and a staff member cannot agree on the proposed Performance and Development Agreement the staff member may seek a review of the performance objectives by the supervisor's supervisor.

18. If the staff member is not satisfied with the outcome of that review, they may request the Director – Human Resources review the matter with the view to resolving the issue.

19. The Director – Human Resources may confirm the Performance and Development Agreement after considering the relevant University Academic Profiles and Minimum Standards for Academic Levels (MSAL's) for the position and level of assigned duties.

20. Where academic judgment is required to determine the matter, the Director – Human Resources will seek advice from an appropriately constituted academic panel to which the NTEU will be invited to nominate a member.

## Storage of forms

21. The Performance and Development Agreement is Staff-in-Confidence and the information contained may only be used in matters that are relevant to the staff member's employment within The Australian National University. Any copies of the form should be stored appropriately (i.e. locked cabinet), and a copy should be provided to the College/Division Human Resources area in accordance with local procedures for placement on the staff member's personnel file.

Performance and Development Agreement Process- Academic Staff

# Developing a Statement of Expectations

## Purpose

To provide staff and supervisors with clear guidelines for developing a Statement of Expectations.

## Guideline

**Why have a Statement of Expectations?**

1. A Statement of Expectation will:

- allow staff to understand what is expected of them from the beginning of the Career and Performance Development Process

- provide staff with an opportunity to discuss their career goals and resources needs with their supervisor

- enable supervisors to more readily observe, monitor, support and coach staff

- provide for a mid-term formal review of progress

- provide staff with a means to reflect on their progress throughout the CPDP period and discuss what has and hasn't worked well with their supervisor

- provide tangible means of clarification if/when disagreements about work assignments arise

- allow for an accurate comparison of "what was achieved" to "what was expected".

2. Statements of Expectation should be developed using the goals of the college/division business plan (which is developed from the University's Strategic Plan) relevant to the staff to help ensure that the effort and contribution of staff is directed towards attaining these goals.

**What is a Statement of Expectation?**

3. A Statement of Expectation generally includes two key elements:

- the statement of an observable behaviour or outcome required of the staff member.

- a standard by which the expectation will be measured.

4. Many supervisors/managers find it helpful to remember SMART criteria when writing objectives

**S**pecific

**M**easurable

**A**ttainable

**R**ealistic

**T**ime-bound

**Specific** means that an observable action, behaviour, or outcome is described. It can also mean that the work relates to a rate of performance, frequency, percentage or other number. The objective should be specific about the result-not the way it is achieved. Ask the following

- What exactly is the staff member expected to do?

- What strategies, rules, processes, guidelines, etc. will be used?

- Is the objective well understood?

- Is it clear who is involved or are key stakeholders in the process?

- Is it clear where this will happen?

- Is the outcome clear?

- Will this objective lead to the desired outcome?

**Measurable** means that a method or procedure must exist to assess and document the quality of the outcome. Some work is measured easily; in other cases, behaviours or results may need to be verified or observed. Ask:

- What measurement will indicate the staff member has successfully completed, or continues to meet the objective?

- Can these measurements be obtained?

**Attainable** means that the objective must be achievable. The best objectives require staff members to stretch to obtain them-but they should not be extreme. That is, the objective is neither out of reach nor below standard performance. Objectives set too high or too low become meaningless. Ask:

- Can the staff member accomplish the objective in the proposed timeframe with the resources we have?

- Do I (and the staff member) understand any potential limitations or constraints that could get in the way?

- Has anyone else done this successfully?

**Realistic** means that you (and the staff member) have the resources to get it done. The achievement of an objective requires resources such as skill, money, equipment, etc. Ask:

- Do you (and the staff member) have access to the resources (or skills) needed to achieve this objective?

- If not, what steps can you and/or the staff member take to obtain the resources or skills?

- Is it possible to achieve this objective?

**Time-bound** means that there is a point in time when the work objective will start or be completed. Ask:

- When will this objective be accomplished?

- Are there meaningful milestones to be attained?

- Is there a stated deadline?

NB: Some expectations or objectives may state behaviour/s that are expected at all times during the review period.

**Steps in the process of developing a Statement of Expectations**

5. The Statements of Expectation should be developed in collaboration between the supervisor and the staff member or a supervisor may ask the staff member to draft their own and then discuss and review the draft together - this helps to promote greater ownership of the expectations.

6. Spend some time thinking about your college/division's strategic plan and the work plan of your particular area.

- What processes need improvement?

- What are the developmental needs of the people you supervise?

- What needs to get done-and who needs to do it?

7. Think about the person and the position.

- What additional information do you need (i.e. current position description, previous Statements of Expectation and career plan, notes from previous performance discussions with the staff member etc.)?

8. Think about the work priorities that the staff member will undertake.

- What priorities does the Statement of Expectation address (a routine job function, special project, development goal, other)?

- How does the Statement of Expectation advance the priority?

NB: It is not necessary to capture all the work to be undertaken - focus on the key priorities of the role.

9. Now that you have something down on paper, think about why the Statement of Expectation is needed.

- What results does it produce (if achieved)?

- What outcomes will it have?

- Why is this outcome important? If necessary, modify the outcome to emphasise results instead of activity.

10. Next, think about ways of measuring the work/outcome in the objective.

- How can you tell whether or not the work or outcome will occur?

- What would it look like?

- How will the staff member know that they are on track to achieve the objective?

- What is the measure of those results - Quality? Quantity? Speed? Accuracy? Frequency? Client feedback? etc.

11. Go back to the objectives - do they each include at least one measure?

12. Think about the timeframe in which the objective or outcome is to be completed and specify deadlines, timeframes, milestones, due dates, etc. as needed.

13. To minimise misunderstandings, double check the language you have used in the Statement of Expectation, by asking your supervisor/manager what they think the objective means and/or ask the staff member who will to be accountable for meeting the objective what they think it means.

14. If you believe there is any room for misinterpretation, rewrite the objective and test it again (step 9).

**Examples of performance expectations**

15. People management responsibilities of supervisors/managers:

- **Expectations** (What outcomes are sought, what actions/tasks need to be undertaken and by when?) and **Standard** (How will outcome be measured?)

- Ensures their staff understand how they are connected to the ANU and college/divisional strategic plan. Staff are able to clearly articulate how their work fits within the plans of the area and/or University.

- Works with staff to develop clear performance expectations and career development plans, in accordance with the Career and Performance Development Process, including conducting formal progress reviews and providing staff with coaching and feedback to support them to excel. All CPDP discussions are completed in a timely manner and recorded on the Statement of Expectations form.

- Ensures staff receive appropriate training, mentoring and access to career development opportunities in line with their roles and career goals. All staff have career development plans and succession planning is undertaken for their team.

- Ensure that team members are kept up-to-date with information and changes which relate to their work areas. Communicates key ANU information and changes in an effective and timely manner.

- Provide effective service to all customers/clients (internal and external) in a manner which is consistent with the area's performance standards/service charter, evidenced through a 50% reduction in client complaints or client satisfaction surveys demonstrating a 20% improvement.

- Take responsibility for understanding, observing and fulfilling your equity obligations.

- Take responsibility for understanding, observing and fulfilling your OHS obligations.

16. Position with a Research role:

- **Expectations** (What outcomes are sought, what actions/tasks need to be undertaken and by when?) and **Standard** (How will outcome be measured?)

- Produce 2 first-authored papers in refereed journals within the timeframe of this agreement.

- Apply for X number of external grants as a lead CI, evidenced by the submission of the grants within the application timeframe.

- Collaborate with "X" from "Y" university to co-author a chapter on "Z" to be published in 2 yrs.

- Produce, document and submit an innovative concept for "x" to an international organization for consideration.

- If the concept is accepted, organize and lead a team to complete the concept design in a timely, cost-efficient manner and to the satisfaction of the client.

- Gain acceptance to present research finding on "(subject)" at a major international conference or research forum.

17. Position with an Education role

- **Expectations** (What outcomes are sought, what actions/tasks need to be undertaken and by when?) and **Standard** (How will outcome be measured?)

- Supervise x PhD students in a manner which ensures they are provided with the opportunity to grow and excel in their area of study.

- Collaborate with colleagues to design a widely accepted syllabus for the post-graduate course in "X".

- Develop material for and deliver "(subject)" course in an effective manner that results in high learning outcomes for the students as indicated through end of course marks and student evaluations.

- Provide advice through a paper submitted to the College Education Committee relating to increasing the quality and capacity of postgraduate education at ANU in "(subject)".

18. Position with a Service role

- **Expectations** (What outcomes are sought, what actions/tasks need to be undertaken and by when?) and **Standard** (How will outcome be measured?)

- Actively pursue developmental opportunities to further enhance leadership skills by enrolling, participating and completing relevant training and development activities.

- Represent the College/ANU on "x" board/committee.

- Successfully head the School of "X" to ensure that the objectives of the business plan are met/exceeded and that staff and resources are well managed.

19. General project, eg Review policy and procedures for Student Admission

- **Expectations** (What outcomes are sought, what actions/tasks need to be undertaken and by when?) and **Standard** (How will outcome be measured?)

- Gather, review and update all documentation relevant to the review of policies and procedures related to student admission, ensuring that the re-publishing of such documents align with the project plan schedule.

- Undertake consultation across the University on the content of the policies and procedures, evidenced by the creation of a discussion paper for the project party to review.

- Conduct research into all Go8 policies and procedures to allow for effective benchmarking of our practices

# ACADEMIC PROFILES DOCUMENT

## PURPOSE

The purpose of this document is to provide guidance as to the teaching and research expectations associated with the teaching scholar position, with what constitutes being 'research active', as well as providing details of teaching and research expectations associated with the various academic levels, and in particular, guidelines for the allocation of staff into one of the five categories identified in the Enterprise Agreement (c.25.7). This profile document will be subject to an annual review. Allowances will be made for early career academic staff. This document should be read in conjunction with the Academic Workloads – Workloads Allocation Model.

## ACADEMIC PROFILES

Guidelines are provided below as to what might be reasonably expected of academics at levels A through E. The metrics have been calculated using averaged Excellence in Research Australia (ERA) data. While the data is listed using annual metrics, it is understood that averages over a minimum period of three years are acceptable. It is not expected that academics will engage in every activity or meet every benchmark. It is to be noted that Level A academics are typically appointed at that level for teaching purposes and/or they are completing a higher degree. Their profile, therefore, excludes specific research outcome expectations. However, it should also be noted that Level A academics who wish to be promoted to Level B should be consulting the academic promotions policy on what outcomes this would involve. It should also be noted that Teaching Intensive and Teaching Scholar portfolios do not include metrics for research outcomes.

## RESEARCH OUTCOME METRICS

The research outputs and research income tables provided in the portfolios for Level Bs through Es specifically mentions four things:

1      The research category according to the Enterprise Agreement (c.25.7) – that is, balanced, research-focused and research intensive;

2      The metrics according to discipline grouping (i.e. STEM [science, technology, engineering and maths] or HASS (i.e. humanities, arts and social sciences);

3      The publication points metric per annum for STEM and HASS; and

4      The grant income expectation per annum for STEM and HASS.

These metrics have also been calculated to reflect a probability per academic level. The probable outcome for a particular level varies. For example, for a Level B academic in the HASS area, the probable outcomes for a balanced academic would be 0.49 publication points and $4000 grant income per annum (or 1.47 points and $12 000 every three years). For a research focused HASS Level B academic, the probable outcomes would be 1.5 points and $6000 grant income per annum (or 4.5 points and $18 000 grant income every three years). For a research intensive Level E academic in the STEM area, the probable outcomes would be 8.0 points and $250 000 grant income per annum (or 24 points and $750 000 grant income every three years).

# TEACHING INTENSIVE

A teaching intensive academic (as defined in Clause 25.7: 70% teaching; 10% scholarship; 20% service) is typically someone who has been allocated to this role having not met the expected requirements for either the teaching scholar or research active categories. In general terms, the teaching intensive category is seen as a temporary allocation depending on what other outcomes the staff member achieves during the PRPD period. Staff designated teaching intensive will remain entitled to all privileges accorded academic staff, and shall not take on teaching loads and/or associated teaching activities that would be in breach of the Enterprise Agreement.

# TEACHING SCHOLAR

The teaching scholar designation is a clearly identified and recognized academic staff category which is available to existing academic staff but also may be used for new staff. A teaching scholar is someone who may not be 'research active' but who nevertheless makes a contribution to overall mission of the University in other ways, typically in the area of teaching. These contributions can take a variety of forms.

In order to become a teaching scholar, academic staff need to apply to the head of their organizational unit. Normally, they will remain as teaching scholars for no less than two years. After this period, they can apply for re-designation as a research active staff member at any time. Staff designated teaching scholars will remain entitled to all privileges accorded academic staff.

Teaching scholars shall not take on teaching loads and/or associated teaching activities that would be in breach of the Enterprise Agreement. In terms of Clause 25.7, the default allocation for a Teaching Scholar is 60% teaching, 20% scholarship and 20% service. Staff who wish to be considered for promotion under the designation of a 'teaching scholar' need to demonstrate that they meet the requirements for promotion as detailed in the Academic Promotion Procedures and Principles.

Teaching scholars are encouraged to provide leadership in the area of the scholarship of teaching through workshops and seminars, the introduction of innovative and contemporary best-practice teaching methods, and undertaking research into the pedagogy of teaching.

# RESEARCH ACTIVE STAFF

A research active staff member is someone who meets a pre-defined minimum standard of research output over a three-year period. Research here refers to definitions used in the Higher Education Research Data Collection (HERDC) and other activities accepted as contributing to research. While this minimum requirement does not constitute or represent a minimum workload or performance measure for research for any level of appointment within the University, it may be used as a guide to the allocation of staff into teaching and research categories as per Clause 25.7.

In order to be considered for a balanced, research-focused or research intensive allocation, a staff member must be research active. The default allocation for a 'research active' staff member in terms of Clause 25.7 is 40% teaching, 40% research and 20% service. The 'profiles' of Levels A-E below are provided so as to guide the expectations negotiated in the annual PRPD, and any research active staff member who believes that they should be allocated as either research-focused or research intensive (as per c.25.7) should be using these profiles as the basis of their PRPD negotiations.

To be considered research active, an academic must meet the minimum criteria for at least two of:

- Research Publication outputs;
- RHD supervisions;
- Research income outputs.

## Research Publication Outputs

The academic will, during the preceding three years, have been an author or co-author of peer reviewed publication outputs that satisfy the requirements for the following HERDC classifications:

1 Refereed research publications equating to at least 1.5 HERDC points, including book chapters, conference papers (but not books) that meet the criteria for HERDC reporting; or

2 The publication of a research book; or

3 At least one patent applications submitted (but not divisional filings for the same invention); or

4 Refereed designs OR creative works OR major exhibitions (as described for the Excellence in Research in Australia criteria for Humanities and Creative Arts); or

5 A combination of the above.

## Research Higher Degree Supervision Outputs

The academic will, during the preceding three years, have demonstrated research activity as follows:

1 A supervisor role for a successful completion of a Research Higher Degree (RHD) student in the preceding three years, or where opportunity has not arisen, current supervision role for a RHD student; or

2 Other research teaching in the past three years in research training, including coursework and honours programs with research training or preparation components; or

3 Current satisfactory progression towards completion of a RHD.

## Research Income Outputs

The academic will, during the preceding three years, have been a named investigator for the receipt of external research income. The nominal values of such grants will vary according to disciplines, but the following may be used as a guide (academics will be expected to make a case for their discipline and the relevant grant totals):

1 Arts, Humanities and Social Sciences - $15 000; or

2 Sciences, Engineering, Technology and Health Sciences - $51 000.

| | |
|---|---|
| Approval Authority | Vice-Chancellor and President. |
| Administrator | Director, People and Culture. |
| Original Approval Date | 5 June 2013. |
| Amendment History | 31 October 2013 |
| Date of Next Review | 5 June 2016. |
| Related Documents | |

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Once PRINTED, this is an UNCONTROLLED DOCUMENT.  Refer to Policy Portal for latest version.
CQUniversity CRICOS Provider Codes: QLD - 00219C; NSW - 01315F; VIC - 01624D

| LEVEL A – Activities that could contribute to performance at this level | | | |
|---|---|---|---|
| Teaching and Related Duties | Scholarship: Teaching-focused and Teaching Scholar | Research-Related Work | Service-Related Work |
| Teaching activities are defined in Clause 25.8 of the Enterprise Agreement, and in the Workload Allocation Model (WAM).<br><br>In order to be promoted to Level B, Level A academic staff are expected to demonstrate competence in their teaching activities. To this end, they encouraged to develop a teaching portfolio, which identifies their strengths and weaknesses and provides evidence for their claims. For some guidance here, see the University of Adelaide's Portfolio Guidelines (http://www.education.adelaide.edu.au/higher-education/portfolio/t_portfolio.pdf)<br><br>Level A academics looking for promotion to Level B should be working with the academic promotion policy.<br><br>Level A academics should also be gathering evidence of their activities through their teaching portfolio, seminar presentations, student evaluations and the like. | Maintaining currency with existing teaching technologies and implementing course delivery through new approved teaching and learning technologies and platforms as required.<br><br>Conference/seminar attendance relevant to the Scholarship of Teaching at local level.<br><br>Participation in teaching practice professional development. | Research activities are defined in Clause 25.9 of the Enterprise Agreement, and in the Workload Allocation Model (WAM).<br><br>Level A academics are typically appointed into teaching roles and/or they are in the process of completing a higher degree. Completion of this higher degree should be a 'research' priority.<br><br>Level A academics completing a RHD would normally be classified as 'balanced' for the purposes of Clause 25.7. | Service activities are defined in Clause 25.10 of the Enterprise Agreement, and in the Workload Allocation Model (WAM).<br><br>Service activities that are particularly suitable for Level A academics include:<br><br>• Participation in University Volunteer program.<br><br>• Serving on school or program committees; contributing, where appropriate, to other university committees.<br><br>• Participating in open days, course and program promotion events. |

## LEVEL B – Activities that could contribute to performance at this level

| Teaching and Related Duties | Scholarship: Teaching-focused and Teaching Scholar | Research-Related Work | Service-Related Work |
|---|---|---|---|
| Teaching activities are defined in Clause 25.8 of the Enterprise Agreement, and in the Workload Allocation Model (WAM).<br><br>Level B academics are encouraged to develop a 3 year plan which identifies the work they will be doing in the teaching area as well as forming part of their teaching portfolio (which includes gathering appropriate evidence). See the University of Adelaide's Portfolio Guidelines (http://www.education.adelaide.edu.au/higher-education/portfolio/t_portfolio.pdf)<br><br>Level B academics typically have a 40% or 60% teaching allocation, outputs of which they might demonstrate with a selection of the following:<br><br>1  Delivery of courses at undergraduate level and teaching and supervision at honours and/or postgraduate levels;<br><br>2  Course coordination and effective participation in teaching and program teams;<br><br>3  Development of new courses or improvements to existing courses;<br><br>4  Supervision of project work of honours research for coursework students;<br><br>5  Contributions to improving teaching and learning, particularly personal teaching skills development;<br><br>6  Effective participation in the implementation of the teaching and learning Strategy within the school; or<br><br>7  Seeking and responding to formal student evaluations of teaching and courses. | All staff are expected to be engaged in some scholarship of teaching. However, the depth of activity in scholarship will depend on the teaching and research category to which the academic has been allocated (c.25.7).<br><br>Teaching scholars have a 20% scholarship allocation: they might demonstrate outputs with a selection of the following:<br><br>1  Maintaining currency with existing teaching technologies and implementing course delivery through new approved teaching and learning technologies and platforms as required;<br><br>2  Participation in teaching practice / professional development;<br><br>3  Progress toward appropriate tertiary qualifications in higher education teaching;<br><br>4  Sharing reflective teaching practice through presentations, seminars, publications, and conferences;<br><br>5  Participation in or leadership of funded teaching and learning research projects;<br><br>6  Innovation in teaching practice and course delivery. | Research activities are defined in Clause 25.9 of the Enterprise Agreement, and in the Workload Allocation Model (WAM).<br><br>Level B academics are encouraged to develop a 3 year plan which identifies the work they will be doing in the research area.<br><br>Level B researchers will typically have a 40% research allocation. They might demonstrate outputs as follows:<br><br>RES OUTPUTS per FTE per YR<br>RES INC per FTE per YR | Service activities are defined in Clause 25.10 of the Enterprise Agreement, and in the Workload Allocation Model (WAM).<br><br>Level B academics are expected to demonstrate engagement with a range of service activities. |

| ACADEMIC DESIGNATION | | STEM | HASS |
|---|---|---|---|
| Balanced | 0.4 | 1.5 $16 500 | 0.49 $4000 |
| Research Focused | 0.6 | 2.3 $25 000 | 1.5 $6000 |
| Research Intensive | 0.7 | 3.0 $30 000 | 2.0 $7000 |

| LEVEL C – Activities that could contribute to performance at this level | | | |
|---|---|---|---|
| **Teaching and Related Duties** | **Scholarship: Teaching-focused and Teaching Scholar** | **Research-Related Work** | **Service-Related Work** |
| Teaching activities are defined in Clause 25.8 of the Enterprise Agreement, and in the Workload Allocation Model (WAM).<br><br>Level C academics are encouraged to develop a 3 year plan which identifies the work they will be doing in the teaching area.<br><br>Level C academics have typically have a 40% or 60% teaching allocation, outputs of which they might demonstrate with a selection of the following (as for Level B plus):<br><br>1 Head of program role and program leadership, including chairing program committee meetings;<br><br>2 Leadership in curriculum; development and program review;<br><br>3 Promoting student development and welfare, such as contributing to support management of students experiencing difficulties;<br><br>4 Mentoring for the purpose of developing teaching competence in others. | All staff are expected to be engaged in some scholarship of teaching. However, the depth of activity in scholarship will depend of the teaching and research category to which the academic has been allocated (c.25.7).<br><br>Teaching scholars have a 20% scholarship allocation: they might demonstrate outputs with a selection of the following (as for Level B plus):<br><br>1 Contributions to scholarly publication on learning and teaching or to the development of teaching resources;<br><br>2 Contributions to learning innovations for research higher degree students. | Research activities are defined in Clause 25.9 of the Enterprise Agreement, and in the Workload Allocation Model (WAM).<br><br>Level C academics are encouraged to develop a 3 year plan which identifies the work they will be doing in the research area.<br><br>Level C researchers will typically have a 40% research allocation: they might demonstrate outputs as follows (as for Level B plus):<br><br>1 Leadership role within research teams (including within research institutes);<br><br>2 Leading research funding processes through external grant schemes and external funding opportunities;<br><br>3 Establishing research relationships with external stakeholders;<br><br>4 Mentorship of staff across the School/Centre.<br><br>**RES OUTPUTS/FTE/YR**<br>**RES INC/FTE/YR** | Service activities are defined in Clause 25.10 of the Enterprise Agreement, and in the Workload Allocation Model (WAM).<br><br>Level C academics are expected to demonstrate engagement with a range of service activities: they might demonstrate outputs as follows:<br><br>1 Leadership in contributions to school/faculty committees or working parties;<br><br>2 Involvement in or responsibility for management or administrative activities within a Faculty, School or area;<br><br>3 Developing and maintaining relevant links with the community, industry and government;<br><br>4 Contributing through development of or delivery of sessions for continuing education and professional development;<br><br>5 Contribution to external boards, committees, commissions or similar bodies of relevance to the University. |

| ACADEMIC DESIGNATION | | STEM | HASS |
|---|---|---|---|
| Balanced | 0.4 | 1.5 $33 500 | 0.5 $8000 |
| Research Focused | 0.6 | 2.3 $50 000 | 1.5 $12 000 |
| Research Intensive | 0.7 | 2.7 $60 000 | 1.7 $14 000 |

## LEVEL D – Activities that could contribute to performance at this level

| Teaching and Related Duties | Scholarship: Teaching-focused and Teaching Scholar | Research-Related Work | Service-Related Work |
|---|---|---|---|
| Teaching activities are defined in Clause 25.8 of the Enterprise Agreement, and in the Workload Allocation Model (WAM).<br><br>Level D academics typically have a 40% teaching allocation, outputs of which they might demonstrate with a selection of the following (as for Level C plus):<br><br>1  Leading the design and delivery of new education programs and approaches including those that enhance articulation and access;<br><br>2  Leading program accreditation and review, including preparing accreditation documentation for University and professional body accreditation processes;<br><br>3  High-level contribution to the quality assurance, benchmarking, development of standards and continuous improvement of courses and programs, including at a national level;<br><br>4  Leadership in developing and implementing the teaching and learning strategy at school, faculty and university levels;<br><br>5  Facilitation of the transfer of knowledge, concepts, understanding and skills to colleagues and others to achieve teaching and learning goals. | All staff are expected to be engaged in some scholarship of teaching. However, the depth of activity in scholarship will depend on the teaching and research category to which the academic has been allocated (c.25.7).<br><br>Teaching scholars have a 20% scholarship allocation: they might demonstrate outputs with a selection of the following (as for Level C plus):<br><br>1  Leadership in pedagogy and training in research higher degree programs;<br><br>2  Attraction of funding for the support of teaching and learning developments. | Research activities are defined in Clause 25.9 of the Enterprise Agreement, and in the Workload Allocation Model (WAM).<br><br>Level D researchers will typically have a 40% or higher research allocation: they might demonstrate outputs as follows (as for Level C plus):<br><br>• Lead research funding process through external grant schemes and develop external funding opportunities, including ability to attract Australian competitive grants.<br><br>RES OUTPUTS/FTE/YR<br>RES INC/FTE/YR | Service activities are defined in Clause 25.10 of the Enterprise Agreement, and in the Workload Allocation Model (WAM).<br><br>Level D academics are expected to demonstrate engagement with a range of service activities: they might demonstrate outputs as follows (as for Level C plus):<br><br>1  Leadership in the formulation and implementation of plans that contribute to the developments within a School, research entity or discipline group;<br><br>2  Leadership in the development and delivery of continuing education programs for the profession;<br><br>3  Design and delivery of staff development programs in support of University, Faculty and/or School goals;<br><br>4  Leading significant consulting projects by commission or invitation, including expert advisory roles, conducted through the University. |

| ACADEMIC DESIGNATION | | STEM | HASS |
|---|---|---|---|
| Balanced | 0.4 | 3.0 $67 000 | 2.0 $16 000 |
| Research Focused | 0.6 | 4.5 $100 000 | 3.0 $24 000 |
| Research Intensive | 0.7 | 5.4 $120 000 | 3.4 $28 000 |

| LEVEL E – Activities that could contribute to performance at this level | | | |
|---|---|---|---|
| **Teaching and Related Duties** | **Scholarship: Teaching-focused and Teaching Scholar** | **Research-Related Work** | **Service-Related Work** |
| Teaching activities are defined in Clause 25.8 of the Enterprise Agreement, and in the Workload Allocation Model (WAM).<br><br>Level E academics typically have a 40% teaching allocation, outputs of which they might demonstrate with a selection of the following (as for Level D plus):<br><br>1 Leading effective teaching teams;<br><br>2 Leadership in the development and implementation of the teaching and learning strategy;<br><br>3 Contributions within the discipline at a national level, such as active participation in educational activities of discipline/professional bodies, invitations to present at conferences and professional development workshops or similar. | All staff are expected to be engaged in some scholarship of teaching. However, the depth on activity in scholarship will depend of the teaching and research category to which the academic has been allocated (c.25.7).<br><br>Teaching scholars have a 20% scholarship allocation: they might demonstrate outputs with a selection of the following (as for Level D plus):<br><br>1 International recognition, e.g. keynote speaker at international conferences, organiser of international conferences, receipt of international awards;<br><br>2 Demonstrated ability to compete for national and international funding for the development of learning and teaching. | Research activities are defined in Clause 25.9 of the Enterprise Agreement, and in the Workload Allocation Model (WAM).<br><br>Level E researchers will typically have a 40% or higher research allocation: they might demonstrate outputs as follows (as for Level D plus):<br><br>1 Leadership of multidisciplinary research teams bringing together researchers from other national and international universities;<br><br>2 Leading research funding process through external grant schemes and developing external funding opportunities (e.g., CRCs and CREs);<br><br>3 Established significant research relationships with external stakeholders;<br><br>4 Mentorship of staff across the University.<br><br>**RES OUTPUTS/FTE/YR**<br>**RES INC/FTE/YR** | Service activities are defined in Clause 25.10 of the Enterprise Agreement, and in the Workload Allocation Model (WAM).<br><br>Level E academics are expected to demonstrate engagement with a range of service activities: they might demonstrate outputs as follows (as for Level D plus):<br><br>1 Leadership of and engagement with University staff, profession, external stakeholder and others in the development of continuing education programs, mentorship programs and forums for the profession;<br><br>2 Membership of accreditation, review and other similar external bodies, especially national or international bodies;<br><br>3 Leading significant consulting projects by commission or invitation, including expert advisory roles, conducted through the University;<br><br>4 High-level service on public boards, committees, regional authorities, boards and committees of professional associations or government;<br><br>5 Leadership of discipline and professional activities at the national level and nationally significant community activities. |

| ACADEMIC DESIGNATION | | STEM | HASS |
|---|---|---|---|
| Balanced | 0.4 | 4.6 $134 000 | 2.9 $32 000 |
| Research Focused | 0.6 | 6.9 $200 000 | 4.4 $48 000 |
| Research Intensive | 0.7 | 8.0 $250 000 | 5.1 $56 000 |

**Research Outputs/Income by Field of Research (FoR)**

Additional Points re Academic Profiles:

(a) Upon agreement of the academic category to which a staff member is to be designated, a 3-year transition period commences within which the required research outputs and research income targets as listed below are to be achieved.

This date and category must be noted in PRPD documentation.

(b) In cases of joint publication and/or grant receipt, research outputs and research income are to be divided by the number of co-authors and/or principal grant recipients.

**Research Outputs per FTE per Year - By Discipline**

| FoR Code | FoR Description | Academic Level E | | | Academic Level D | | | Academic Level C | | | Academic Level B | | | Academic Level A | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | Balanced 0.4 Research Load | Research Focused 0.6 Research Load | Research Intensive 0.7 Research Load | Balanced 0.4 Research Load | Research Focused 0.6 Research Load | Research Intensive 0.7 Research Load | Balanced 0.4 Research Load | Research Focused 0.6 Research Load | Research Intensive 0.7 Research Load | Balanced 0.4 Research Load | Research Focused 0.6 Research Load | Research Intensive 0.7 Research Load | Balanced 0.4 Research Load | Research Focused 0.6 Research Load | Research Intensive 0.7 Research Load |
| 1 | Mathematical Sciences | 4.19 | 6.29 | 7.33 | 2.79 | 4.19 | 4.88 | 1.40 | 2.10 | 2.45 | 1.40 | 2.10 | 2.45 | 0.70 | 1.05 | 1.23 |
| 2 | Physical Sciences | 5.87 | 8.81 | 10.27 | 3.91 | 5.87 | 6.84 | 1.96 | 2.94 | 3.43 | 1.96 | 2.94 | 3.43 | 0.98 | 1.47 | 1.72 |
| 3 | Chemical Sciences | 5.21 | 7.82 | 9.12 | 3.47 | 5.21 | 6.07 | 1.74 | 2.61 | 3.05 | 1.74 | 2.61 | 3.05 | 0.87 | 1.31 | 1.52 |
| 4 | Earth Sciences | 4.61 | 6.92 | 8.07 | 3.07 | 4.61 | 5.37 | 1.54 | 2.31 | 2.70 | 1.54 | 2.31 | 2.70 | 0.77 | 1.16 | 1.35 |
| 5 | Environmental Sciences | 3.93 | 5.90 | 6.88 | 2.62 | 3.93 | 4.59 | 1.31 | 1.97 | 2.29 | 1.31 | 1.97 | 2.29 | 0.66 | 0.99 | 1.16 |
| 6 | Biological Sciences | 4.01 | 6.02 | 7.02 | 2.67 | 4.01 | 4.67 | 1.34 | 2.01 | 2.35 | 1.34 | 2.01 | 2.35 | 0.67 | 1.01 | 1.17 |
| 7 | Agricultural & Veterinary Sciences | 4.01 | 6.02 | 7.02 | 2.67 | 4.01 | 4.67 | 1.34 | 2.01 | 2.35 | 1.34 | 2.01 | 2.35 | 0.67 | 1.01 | 1.17 |
| 8 | Information & Computing Sciences | 5.31 | 7.97 | 9.29 | 3.54 | 5.31 | 6.20 | 1.77 | 2.66 | 3.10 | 1.77 | 2.66 | 3.10 | 0.89 | 1.34 | 1.56 |
| 9 | Engineering | 5.83 | 8.75 | 10.20 | 3.89 | 5.84 | 6.81 | 1.94 | 2.91 | 3.40 | 1.94 | 2.91 | 3.40 | 0.97 | 1.46 | 1.70 |
| 10 | Technology | 4.22 | 6.33 | 7.39 | 2.81 | 4.22 | 4.92 | 1.41 | 2.12 | 2.47 | 1.41 | 2.12 | 2.47 | 0.70 | 1.05 | 1.23 |
| 11 | Medical & Health Sciences | 3.85 | 5.78 | 6.74 | 2.57 | 3.86 | 4.50 | 1.28 | 1.92 | 2.24 | 1.28 | 1.92 | 2.24 | 0.64 | 0.96 | 1.12 |
| 12 | Built Environment & Design | 3.11 | 4.67 | 5.44 | 2.07 | 3.11 | 3.62 | 1.04 | 1.56 | 1.82 | 1.04 | 1.56 | 1.82 | 0.52 | 0.78 | 0.91 |
| 13 | Education | 2.48 | 3.72 | 4.34 | 1.66 | 2.49 | 2.91 | 0.83 | 1.25 | 1.45 | 0.83 | 1.25 | 1.45 | 0.41 | 0.62 | 0.72 |
| 14 | Economics | 2.43 | 3.65 | 4.25 | 1.62 | 2.43 | 2.84 | 0.81 | 1.22 | 1.42 | 0.81 | 1.22 | 1.42 | 0.40 | 0.60 | 0.70 |
| 15 | Commerce, Management, Tourism & Services | 2.80 | 4.20 | 4.90 | 1.86 | 2.79 | 3.26 | 0.93 | 1.40 | 1.63 | 0.93 | 1.40 | 1.63 | 0.47 | 0.71 | 0.82 |
| 16 | Studies in Human Society | 3.14 | 4.71 | 5.50 | 2.10 | 3.15 | 3.68 | 1.05 | 1.58 | 1.84 | 1.05 | 1.58 | 1.84 | 0.52 | 0.78 | 0.91 |
| 17 | Psychology & Cognitive Sciences | 3.95 | 5.93 | 6.91 | 2.63 | 3.95 | 4.60 | 1.32 | 1.98 | 2.31 | 1.32 | 1.98 | 2.31 | 0.66 | 0.99 | 1.16 |
| 18 | Law & Legal Studies | 2.33 | 3.50 | 4.08 | 1.55 | 2.33 | 2.71 | 0.78 | 1.17 | 1.37 | 0.78 | 1.17 | 1.37 | 0.39 | 0.59 | 0.68 |
| 19 | Studies in Creative Arts & Writing | 3.16 | 4.74 | 5.53 | 2.11 | 3.17 | 3.69 | 1.05 | 1.58 | 1.84 | 1.05 | 1.58 | 1.84 | 0.53 | 0.80 | 0.93 |
| 20 | Language, Communication & Culture | 2.98 | 4.47 | 5.22 | 1.98 | 2.97 | 3.47 | 0.99 | 1.49 | 1.73 | 0.99 | 1.49 | 1.73 | 0.50 | 0.75 | 0.88 |
| 21 | History & Archaeology | 3.34 | 5.01 | 5.85 | 2.23 | 3.35 | 3.90 | 1.11 | 1.67 | 1.94 | 1.11 | 1.67 | 1.94 | 0.56 | 0.84 | 0.98 |
| 22 | Philosophy & Religious Studies | 3.48 | 5.22 | 6.09 | 2.32 | 3.48 | 4.06 | 1.16 | 1.74 | 2.03 | 1.16 | 1.74 | 2.03 | 0.58 | 0.87 | 1.02 |

**Research Income per FTE per Year - By Discipline**

| FoR Code | FoR Description | Academic Level E | | | Academic Level D | | | Academic Level C | | | Academic Level B | | | Academic Level A | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | Balanced 0.4 Research Load | Research Focused 0.6 Research Load | Research Intensive 0.7 Research Load | Balanced 0.4 Research Load | Research Focused 0.6 Research Load | Research Intensive 0.7 Research Load | Balanced 0.4 Research Load | Research Focused 0.6 Research Load | Research Intensive 0.7 Research Load | Balanced 0.4 Research Load | Research Focused 0.6 Research Load | Research Intensive 0.7 Research Load | Balanced 0.4 Research Load | Research Focused 0.6 Research Load | Research Intensive 0.7 Research Load |
| 1 | Mathematical Sciences | $93,074 | $139,611 | $162,880 | $46,537 | $69,806 | $81,440 | $23,268 | $34,902 | $40,719 | $11,634 | $17,451 | $20,360 | $5,817 | $8,726 | $10,180 |
| 2 | Physical Sciences | $158,031 | $237,047 | $276,554 | $79,015 | $118,523 | $138,276 | $39,508 | $59,262 | $69,139 | $19,754 | $29,631 | $34,570 | $9,877 | $14,816 | $17,285 |
| 3 | Chemical Sciences | $149,343 | $224,015 | $261,350 | $74,672 | $112,008 | $130,676 | $37,336 | $56,004 | $65,338 | $18,668 | $28,002 | $32,669 | $9,334 | $14,001 | $16,335 |
| 4 | Earth Sciences | $111,415 | $167,123 | $194,976 | $55,708 | $83,562 | $97,489 | $27,854 | $41,781 | $48,745 | $13,927 | $20,891 | $24,372 | $6,963 | $10,445 | $12,185 |
| 5 | Environmental Sciences | $126,088 | $189,132 | $220,654 | $63,044 | $94,566 | $110,327 | $31,522 | $47,283 | $55,164 | $15,761 | $23,642 | $27,582 | $7,880 | $11,820 | $13,790 |
| 6 | Biological Sciences | $212,551 | $318,827 | $371,964 | $106,275 | $159,413 | $185,981 | $53,138 | $79,707 | $92,992 | $26,569 | $39,854 | $46,496 | $13,284 | $19,926 | $23,247 |
| 7 | Agricultural & Veterinary Sciences | $229,785 | $344,678 | $402,124 | $144,892 | $217,338 | $253,561 | $57,446 | $86,169 | $100,531 | $28,723 | $43,085 | $50,265 | $14,362 | $21,543 | $25,134 |
| 8 | Information & Computing Sciences | $51,117 | $76,676 | $89,455 | $25,559 | $38,339 | $44,728 | $12,779 | $19,169 | $22,363 | $6,390 | $9,585 | $11,183 | $3,195 | $4,793 | $5,591 |
| 9 | Engineering | $110,854 | $166,281 | $193,995 | $55,427 | $83,141 | $96,997 | $27,714 | $41,571 | $48,500 | $13,857 | $20,786 | $24,250 | $6,928 | $10,392 | $12,124 |
| 10 | Technology | $113,107 | $169,661 | $197,937 | $56,554 | $84,831 | $98,970 | $28,277 | $42,416 | $49,485 | $14,138 | $21,207 | $24,742 | $7,069 | $10,604 | $12,371 |
| 11 | Medical & Health Sciences | $177,489 | $266,234 | $310,606 | $88,744 | $133,116 | $155,302 | $44,372 | $66,558 | $77,651 | $22,186 | $33,279 | $38,826 | $11,093 | $16,640 | $19,413 |
| 12 | Built Environment & Design | $27,464 | $41,196 | $48,062 | $13,732 | $20,598 | $24,031 | $6,866 | $10,299 | $12,016 | $3,433 | $5,150 | $6,008 | $1,716 | $2,574 | $3,003 |
| 13 | Education | $13,802 | $20,703 | $24,154 | $6,901 | $10,352 | $12,077 | $3,451 | $5,177 | $6,039 | $1,725 | $2,588 | $3,019 | $863 | $1,295 | $1,510 |
| 14 | Economics | $55,576 | $83,364 | $97,258 | $27,788 | $41,682 | $48,629 | $13,894 | $20,841 | $24,315 | $6,947 | $10,421 | $12,157 | $3,473 | $5,210 | $6,078 |
| 15 | Commerce, Management, Tourism & Services | $11,513 | $17,270 | $20,148 | $5,756 | $8,634 | $10,073 | $2,878 | $4,317 | $5,037 | $1,439 | $2,159 | $2,518 | $720 | $1,080 | $1,260 |
| 16 | Studies in Human Society | $50,259 | $75,389 | $87,953 | $25,129 | $37,694 | $43,976 | $12,565 | $18,848 | $21,989 | $6,282 | $9,423 | $10,994 | $3,141 | $4,712 | $5,497 |
| 17 | Psychology & Cognitive Sciences | $75,085 | $112,628 | $131,399 | $37,542 | $56,313 | $65,699 | $18,771 | $28,157 | $32,849 | $9,386 | $14,079 | $16,426 | $4,693 | $7,040 | $8,213 |
| 18 | Law & Legal Studies | $19,469 | $29,204 | $34,071 | $9,735 | $14,603 | $17,036 | $4,867 | $7,301 | $8,517 | $2,434 | $3,651 | $4,260 | $1,217 | $1,826 | $2,130 |
| 19 | Studies in Creative Arts & Writing | $13,255 | $19,883 | $23,196 | $6,628 | $9,942 | $11,599 | $3,314 | $4,971 | $5,800 | $1,657 | $2,486 | $2,900 | $828 | $1,242 | $1,449 |
| 20 | Language, Communication & Culture | $32,662 | $48,993 | $57,159 | $16,331 | $24,497 | $28,579 | $8,166 | $12,249 | $14,291 | $4,083 | $6,125 | $7,145 | $2,041 | $3,062 | $3,572 |
| 21 | History & Archaeology | $62,297 | $93,446 | $109,020 | $31,148 | $46,722 | $54,509 | $15,574 | $23,361 | $27,255 | $7,787 | $11,681 | $13,627 | $3,894 | $5,841 | $6,815 |
| 22 | Philosophy & Religious Studies | $39,931 | $59,897 | $69,879 | $19,966 | $29,949 | $34,941 | $9,983 | $14,975 | $17,470 | $4,991 | $7,487 | $8,734 | $2,496 | $3,744 | $4,368 |

# REPORT

# REVIEW

# of

# ACADEMIC PROMOTIONS

# 2014

**Date: 2 August 2014**
**Prepared by: Emeritus Professor Kevin Robards**

EXECUTIVE SUMMARY

*Section 1* presents the background to the academic promotions review initiative.

*Section 2* defines the project scoping with details of the Terms of Reference

*Section 3* provides details of staff profile for the period from about 2008. Data are presented on staff distribution across the appointment levels and on promotions statistics.

*Sections 4 – 6* examine various aspects of academic promotions literature together with an analysis of the higher education sector focused on Australia and as represented by member websites. The sector is changing rapidly and many institutions are currently or have just completed reviews of promotions so processes attributed to different institutions may change. Sections 4-6 include some data on Charles Sturt University where relevant to the discussion but are **not** intended to represent the current situation at CSU.

*Section 4* looks at the historical notions of a university and how the nature of academic work has changed during the course of history and the impact that this has had on work practices.

*Section 5* examines the importance of promotion in the attraction and retention of staff including data specific to CSU.

Previous reviews of Australian promotion policies are discussed in *Section 6*.

*Section 7* collects the specific issues or concerns that were raised by staff of CSU during the consultation phase of the project.

*Section 8* identifies the features that are desirable in a promotions policy based on review of the promotions literature, staff input and sector analysis in an endeavor to determine sector best practice.

Section 9 is specific to CSU and defines what it means to be an academic at CSU and the implications for career management including promotion.

There are risks associated with a change in promotion policy and these are identified in *Section 10*.

Charles Sturt University is encouraged to embrace a culture and language that view promotion as part of a continuum commencing at recruitment and continuing through appointment, probation and performance management (or career development). Staff must be educated in their understanding of the promotion system and that it is not about ticking boxes but looking holistically at achievements and the evidence presented in support of these. For example, there needs to be an awareness that it is not incongruous for one individual with say 15 publications to be promoted but another academic with say 30 publications not to be promoted. The clarity and precision of advice and feedback to staff needs to be improved.

This report identifies Level C as the expected level that will be reached by most academic staff at Charles Sturt University and recommends changes in policy and procedures to align with this.

Staff expressed divergent views in a number of areas but the need for greater clarity and transparency was a common call from staff. The characteristics that provide transparency and maintain academic integrity have been identified and built into the recommendations. These recommendations are based on staff concerns and build a model that accounts for these concerns in sector best practice.

Major recommendations are for the process to be established on-line, recognition of the importance of differences that arise from considerations such as academic discipline, greater clarity around expectations and standards, and a pre-defined method for assessing applications.

Policies that will be affected by changes in the promotions policy include the Professional Activity Work Function Policy, Adjunct Appointments Policy and Special Studies Programme plus probation and performance management.

# RECOMMENDATIONS

**Recommendation 1**: The Senior Executive Committee to consider development of a communications strategy for the introduction of the new policy and procedures. Consideration should be given to allowing staff the opportunity to submit an application in 2015 under the old policy but with the newly constituted promotion committees.

**Recommendation 2**: Charles Sturt University to affirm that the normal expectation for most academic staff is that they will be able to rise to level C.

**Recommendation 3**: Induction to include career development processes, performance expectations and introduction to THE CSU ACADEMIC as well as challenges faced by staff entering the academic culture.

**Recommendation 4**: Promotions data (looking at basis of promotion, gender, Campus, Faculty, School, re-application rate ) to be included in the Annual Report of promotions to facilitate longer term benchmarking.

**Recommendation 5**: Policy and Procedures for the Vice-Chancellor's Excellence Awards be examined for alignment between what is valued and what is rewarded and to ensure that the Awards *encourage debate and drive change in the university*.

**Recommendation 6**: Special Studies Programme (SSP) Policy to be reviewed to ensure that it is based on principles of staff development and equity and that SSP procedures ensure equity in its availability.

**Recommendation 7**: Timelines for annual promotion rounds to be reduced if and where possible. As a starting point dates to be defined by fixed points *e.g.* the closing date for applications to be "the last working day in August".

**Recommendation 8**: To improve recognition of professional practice and to provide a career pathway for relevant staff, a number of changes must occur:
- All academic staff must be engaged in scholarship and their work must be informed by current research in their discipline;
- the induction process must be improved;
- mentoring must be improved;
- a pathway for recognition and promotion for staff whose role in the University combines teaching and professional practice must be recognized.

Much more work is needed on the selection and training of both formal and informal mentors. Staff mentors must be drawn from all levels including recently appointed staff who have just gone through the induction process.

**Recommendation 9**: Workshops designed to prepare staff for promotion to include information as follows:

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- Myths and staff misconceptions citing relevant examples
- Promotion versus Appointment. Appointment: starts by assessing particular demonstrated need; filling a gap; future oriented based on assessment of what person might do on promise and expectations. Promotion: does not start by assessing needs of the university or academic unit; retrospective element in recognition of past performance to demonstrate prospective trajectory.
- Overview of the promotion process – preparing an application
- The CSU Academic (See Section 9)
- Expectations or what is required for a successful application
- How an application for promotion is assessed
- The CSU Academic Evidence Framework (See Section 9) - types of evidence applicants can use to document their case (qualitative versus quantitative data as evidence; metrics such as impact factors and teaching scores)
- Establishing context
- Selection of referees
- What support is available to assist in preparing for promotion
- How to prepare an Academic Portfolio.

**Recommendation 10**: Clearer guidance on nomination of referees to be provided to applicants for promotion.

**Recommendation 11**: The Promotions Sub-Committee recognises that there are likely to be strong and divergent views on the matter of staff appointment titles but sees no advantage in changing current practice relating to nomenclature.

**Recommendation 12**: Career Management forms for probation, career development (performance management) and promotion to allow staff the opportunity to indicate if there are any EEO matters relevant to the process.

**Recommendation 13**: The University to investigate and develop a policy on the meaning and interpretation of 'performance relative to opportunity' as it relates to career management processes at CSU.

**Recommendation 14**: CSU to use a merit-based non-quota system of promotions with the provision to apply quotas at the discretion of the Vice-Chancellor.

**Recommendation 15**: *The university to establish qualitative and quantitative disciplinary standards including metrics[1] appropriate to its areas of concentration and these standards to form the nucleus for preparation of Disciplinary Reports*.

**Recommendation 16**: Promotion Committees to be instructed about the importance of factors that can influence teaching outcomes.

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[1] See, for example, Central Queensland University, Edith Cowan University, Monash University, University of Tasmania. UNSW provides faculty specific guidelines for promotion that should assist in the design of relevant reports.

**Recommendation 17**: Information obtained via Smart Learning/Smart Tools to be incorporated into the auto-download information that is to be built into career management including promotions.

**Recommendation 18**: The recruitment, appointments, probation, performance management, Adjunct Appointments and Special Studies Leave Program policies to be examined closely and changed where necessary to ensure alignment with the new promotion policy.

**Recommendation 19**: A training module  to be conducted at the 6-month mark as part of the induction process for ALL new academic staff. This module should cover aspects of the rich culture and tradition of the university sector as well as both corporate and academic governance and the importance of a creative productive tension within this arrangement. Other aspects that should be included are the current operating framework.

**Recommendation 20**: The number of relevant 'forms' to be reduced to a promotions policy and a promotions procedure; the latter to contain guidelines, advice, etc and to be hyperlinked where appropriate but these forms are the two initial ports of call for all matters about academic promotion (for both management and applicants).

**Recommendation 21**: The University develop an on-line submission process (Career Development Dashboard)[2] using the template presented in Appendix A as the basis for a system which allows fields to be auto-populated with data from the Division of Human Resources, the Research Office and the Division of Student Learning.

**Recommendation 22**: The Career Development Dashboard to be used in all career-related activities such as probation, career development and promotion.

**Recommendation 23**: Academic staff to be eligible for promotion after completing probation and following at least one satisfactory performance management report.

**Recommendation 24**: The Division of Human Resources to continue provision of workshops to assist staff in preparing for academic promotion.

**Recommendation 25**: Workshops preparing staff for promotion to incorporate information on the process by which applications are assessed.

**Recommendation 26**: The Executive Deans with the support of the Division of Human Resources to screen successful promotion applicants for suitability as an academic promotions mentor. This includes the need to address the specific needs of staff from culturally and linguistically diverse communities.

**Recommendation 27**: The Division of Human Resources to ensure that staff selected as academic promotion mentors are trained and equipped to give *consistent and accurate* informed advice to applicants.

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[2] See for example: http://www.usyd.edu.au/provost/academic_promotions/welcome

**Recommendation 28**: The Division of Human Resources to establish on-line a list with short biographies of approved and trained academic promotion mentors.

**Recommendation 29**: Charles Sturt University is encouraged to look at adapting the Teacher Evidence Matrix for use by its staff and to extending the model to other areas of a promotion application.

**Recommendation 30**: The report of the applicant's supervisor to be restricted to comments on aspects of the applicant's contribution to leadership and engagement including collegiality in the School context, teaching and research and attestation to the accuracy of all claims in the application.

**Recommendation 31**: The applicant has right of reply to the report by the supervisor.

**Recommendation 32**: All applicants for promotion are required to nominate three referees who will be contacted by the Division of Human Resources to provide confidential reports on the candidate's application. After receiving the nominated referee reports, in the case of applications for promotion to Level D or Level E, the Executive Dean will nominate and contact up to two additional leading scholars at professorial level in the applicant's field whom the University will invite to comment on the standing of the applicant's achievements. The Executive Dean may send a copy of the application to these additional scholars, excluding the confidential referee reports.

**Recommendation 33**: Charles Sturt University to reduce the number of promotion committees to two (2); one Faculty-based covering promotions to Level B and to Level C and the other university-based covering promotions to Level D and to Level E.

**Recommendation 34**: The Faculty Promotion Committees to have the following membership:

- Relevant Executive Dean *ex officio* as Chair;
- Presiding Officer, Academic Senate *ex officio*;
- PVC (Student Learning)
- Four members of academic staff (selected from different Schools within the Faculty but not necessarily representing all Schools) all of whom must hold a substantive appointment at Level C or above with two holding substantive appointments at Level D or E and all nominated and approved by the Executive Dean, at least 2 of these members must be research active;
- Two members of academic staff (each from outside the Faculty and from different Faculties) holding a substantive appointment at Level C or above nominated by the Executive Dean.

**Recommendation 35**: The University Professorial Promotion Committee to have the following membership:
- Vice-Chancellor *ex officio* as Chair;
- Presiding Officer, Academic Senate *ex officio*;
- Deputy Vice-Chancellor (Academic) *ex officio*;
- Deputy Vice Chancellor (Research) *ex officio*;
- Four members of academic staff holding a substantive appointment at Level E, chosen so that they cover each of the university's faculties, nominated and approved by the Vice-Chancellor, at least 2 of these members must be research active;

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· Up to three senior academics from another university nominated by the Vice-Chancellor.

**Recommendation 36**: Formal training of members of promotion committees to include workshops on matters such as those noted above (see Report) prior to the committee meeting.

**Recommendation 37**: The Chair of the Promotion Committee is responsible for ensuring at the commencement of the meeting that procedures are implemented to document sufficient information on each applicant to allow provision of comprehensive feedback to each applicant. The requirement for the Committee Chair to establish procedures for record keeping notwithstanding, the Division of Human Resources to provide support to each promotion committee to ensure that an accurate record is maintained to facilitate detailed feedback to applicants.

**Recommendation 38**: The Chair of the Promotion Committee to establish an order of proceedings at the commencement of each meeting. Matters that should be addressed are the sequence in which applications will be reviewed and the initial order in which committee members will speak for each application.

**Recommendation 39**: The advice to be provided by a promotion committee to the Presiding Officer on individual applications to be determined by ballot of voting members.

**Recommendation 40**: Feedback to *all applicants both successful and unsuccessful to be mandatory*. Feedback to applicants applying for promotion to Level B and Level C to be provided by the relevant Head of School and Executive Dean; feedback to applicants applying for promotion to Level D and Level E to be provided by the Executive Dean .

**Recommendation 41**: Development of the on-line application system to incorporate a facility to ensure that feedback is provided to applicants and that the applicant acknowledges and understands the feedback in terms of future career development.

**Recommendation 42**: The Vice-Chancellor and Executive Deans to report to Academic Senate at conclusion of each annual round. This review should consider issues relating to equity as influenced by gender, culture, campus size, Faculty and/or School, and academic discipline.

**Recommendation 43**: After the annual report to Academic Senate, the Deputy Vice-Chancellor-Academic to conduct *ad-hoc* revision of the promotion policy and procedures and advise Academic Senate of any changes. (Any *ad-hoc* changes to be reflected in other aligned policies).

**Recommendation 44**: Staff duties defined according to the work function as either 'teaching and research' or 'teaching and professional' or 'teaching focused' to be aligned with the areas of academic endeavour (or domains) identified in The CSU Academic (See Section 9) as research, teaching and service.

**Recommendation 45**: Promotion applications to require applicants to nominate the priority ranking by weighting the domains of research, teaching and service (See Section 9) in their application; the weighting to reflect but not necessarily exactly duplicate the work function (Section 4). (Refer also to Section 8: Standards).

**Recommendation 46**: CSU to establish a clear definition of what it understands by the terms 'research' and 'scholarship'. This work to be coordinated by the Office of Research for approval by Academic Senate.

**Recommendation 47**: The Professorial Forum under the direction and approval of Academic Senate and the relevant members of the Senior Executive Committee to develop a document that clearly identifies the role of the professor at CSU.

**Recommendation 48**: At this point in time CSU rejects the setting of quantitative standards in favour of a well defined qualitative evidence matrix supported by Disciplinary Reports. The latter will establish suitable metrics that may be formally introduced into policy at some future date if, and when, deemed appropriate.

**Recommendation 49**: CSU to introduce a two-pronged approach to peer review of teaching and professional practice; one designed to be formative; the other designed for use in excellence awards, probation, career development and promotions.

**Recommendation 50**: A system of scoring of promotion applications to be used by promotion committees at CSU to guide decision-making, for example, as follows[3]:

| CSU Academic Characteristic | | Raw Score* | Work(load) Function Weighting Range[#] | | | Weighted Score |
|---|---|---|---|---|---|---|
| | | | Teaching and Research | Teaching and Professional | Teaching Focussed | |
| 1. Qualifications or equivalent standing | Qualifications | Meets standard = 10 | 1.0 | 1.0 | 1.0 | |
| | OR Equivalent Standing | 1 - 10 | 1.0 | 1.0 | 1.0 | |
| 2. Core institutional values | | 1 - 10 | 1.0 | 1.0 | 1.0 | |
| 3. Minimum standards for academic levels | | 1 - 10 | 1.0 | 1.0 | 1.0 | |
| 4. Reputation or esteem | | 1 - 10 | 1.0 | 1.0 | 1.0 | |
| 5. Domains | Promoting learning | 1 - 10 | 0.30 – 0.50 | 0.30 – 0.50 | 0.15 – 0.25 | |
| | Creating knowledge | 1 - 10 | 0.45 – 0.65 | 0.45 – 0.65 | 0.75 – 0.85 | |
| | Influencing university, profession, community | 1 – 10 | 0.10 – 0.20 | 0.10 – 0.20 | 0.10 – 0.20 | |

   * 9 -10 Compelling case for promotion

    7 - 8 Evidence of strength, providing a worthy case for consideration

    5 - 6 Evidence of strength in a number of areas but not sufficient to achieve promotion

    3 - 4 Insufficient case at the point in time

    1 - 2 Weak case for promotion, falling well short of what is required

  [#] As nominated by applicant (Must total 1.00)

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[3] *The table will require modification to accommodate further input. For example, changes may be necessary if the number of domains is modified. Depending on the final framework, a higher level of performance will be required if staff with a particular work function are operating in one domain only. Two approaches are possible: i. apply a factor to the 'Work(load) Function Weighting Range or ii. have higher expectations in terms of standards.*

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The completed form on each application to be supplied by committee members to the Division of Human Resources three working days prior to scheduled meeting of the relevant promotion committee. The Division to make the collated data (including median scores) for each characteristic across all committee members available at the meeting of the promotions committee.

These scores will assist in reaching the final outcome of an application by informing the decision BUT the final decision must be determined holistically and not simply by a numerical average of the scores. For example, high scores in Characteristics 2, 3, 4 and 5 would not normally compensate for a low score in Characteristic 1 although rare and unusual circumstances may arise in which this would be appropriate.

**Recommendation 51**: The CSU Academic will:
1.  possess relevant *Qualifications*
2.  have *Core institutional values*
3.  meet *Minimum standards for academic levels*
4.  have a *Reputation* or esteem appropriate to the academic level
5.  in alignment with work function agreed at employment or as subsequently modified, meet the expectations of the specific areas of academic endeavour termed *Domains*.

These five characteristics are to be addressed in all career development matters such as appointment, probation, career development and promotion.

**Recommendation 52**: The CSU Academic framework to be used as a high level conceptual map defining academic work and categorising activities and outputs for recruitment and appointment proposals and for career planning in probation, career development and promotion processes.

### The CSU Academic

| Characteristic | Explanation |
|---|---|
| Qualifications | Staff will hold relevant qualifications or equivalent standing as currently specified. |
| Core institutional academic values | As specified in CSU Strategy |
| Minimum standards for academic levels | Staff will meet MSALs as currently defined |
| Reputation or esteem | Staff will have national or international standing as currently required appropriate to the academic level. |
| Domains | Staff will satisfy the requirements as appropriate to academic level and work function in the three domains of Promoting learning, Creating knowledge, and Influencing university, profession, community. |

These five characteristics must be addressed in any career development activity. In relation to promotion, it is *continued and outstanding retrospective performance that contributes to the university mission and that demonstrates a prospective trajectory that is rewarded in promotion processes. The promotion process is concerned with whole-of-career achievements but with special attention on those since appointment or promotion to the current level with evidence of an upward career trajectory in performance that would warrant promotion to the next level.*

**Recommendation 53**: Charles Sturt University to retain existing requirements for qualifications but to define what is meant by "equivalent accreditation and standing."

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**Recommendation 54**: Charles Sturt University to consider the following in deciding equivalent accreditation and standing:

1. Where an examining body, profession or similar institute admits a person to one of its awards or levels of membership such as Fellowship or Diplomate (typically by examination and research), and that award or level of membership is widely considered by universities and the profession to be equivalent to a particular level of University award, then the award or level of membership may be deemed to have equivalent standing to the particular University award for purposes of career development.
2. Where a professional doctorate meets suitable standards (See, for example, National Qualifications Authority) then the doctorate may be deemed to have equivalent standing to the doctoral qualification for purposes of career development.
3. Where an extended professional degree of 5-6 years duration meets suitable standards then the degree may be deemed to have equivalent standing to the master's qualification for purposes of career development.

In all other instances the following[4] shall apply.

For equivalent standing to a master's degree, an applicant will demonstrate:

· sustained achievement in professional development activities;  and
· advanced knowledge and achievement across a significant portion of his/her field of expertise;  or
· detailed knowledge and achievement in a particular part of his/her field.

For equivalent standing to a doctoral degree, an applicant will demonstrate:

· sustained achievement in professional development activities;  and
· broad knowledge and achievement across his/her field of expertise;  and
· in-depth knowledge and achievement in a particular part of his/her field.

**Recommendation 55**: All academic staff at all levels must be committed to the core institutional values as outlined in the University strategy and this will be mandatory in all career development processes including promotion.

**Recommendation 56**: Charles Sturt University to retain Minimum Standards for Academic Levels as the baseline for acceptable academic performance.

**Recommendation 57**: Charles Sturt University to retain current statements relating to esteem but to define or clarify what is meant by terms such as national and international standing.

**Recommendation 58**: In The CSU Academic, domains to be as defined by the Transforming Practice Programme. Proposed domains are:

· Promoting learning
· Creating knowledge and
· Influencing university, profession, community

**Recommendation 59**: The dimensions of academic work to refer to the areas of activity undertaken by participants in each domain.

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[4] This standard is applied elsewhere and it is appropriate to encourage standardisation in this respect.

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**Recommendation 60**: At CSU, the proposed dimensions populating each of the three domains to be determined by the Transforming Practice Programme. Proposed dimensions are:

- Personal & professional development
- Student engagement
- Application and integration of scholarship
- Design and development
- Discovery and extension of new knowledge
- Leadership and collaboration

# 1. Background

In 2012 the Vice-Chancellor of Charles Sturt University identified the need to review matters relating to academic promotions and an Academic Promotion Review Sub-Committee was established as a Committee of the Vice-Chancellor. It met in May 2013 with membership comprising:

- Professor Garry Marchant, Deputy Vice-Chancellor (Academic), Chair
- Professor Sue Thomas, Deputy Vice-Chancellor (Research)
- Professor Jenny McKinnon, Executive Dean, Faculty of Arts
- Professor Lesley White, Executive Dean, Faculty of Business
- Professor Toni Downes, Executive Dean, Faculty of Education
- Professor Tim Wess, Executive Dean, Faculty of Science
- Professor Sandra Wills, Pro-Vice Chancellor, Division of Student Learning
- Professor Joy Higgs, Director, Education for Practice Institute
- Associate Professor Alan Bain, Director, Smart Learning Project
- Mr Michael Knight, Executive Director, Division of Human Resources
- Faculty of Science, Professor Nick Sangster, School of Animal & Veterinary Sciences
- Faculty of Business, Professor Rob Coombes, School of Accounting
- Faculty of Arts, Associate Professor Chika Anyanwu, School of Communication & Creative Industries
- Faculty of Education, Associate Professor Philip Hider, School of Information Studies

  Human Resources advice
- Karen Lenihan, Director, Organisational & People Capability, Division of Human Resources

  Minutes
- Katie Sheridan, Career Programs Officer, Division of Human Resources

The purpose of the Sub-Committee being to:
- Shape and steer the project activity to review and remodel academic promotions at CSU
- Provide advice and recommendations to the project's lead academic/project officer
- Review the determinations of the lead academic/project officer and overall progress of the project
- Make recommendations to the Academic Promotion Committee to reform the model for academic promotion at CSU.

Reporting
Committee of the Vice-Chancellor with recommendations made to the permanent members of the University Professorial Promotion Committee for endorsement.

The composition of the Sub-Committee was revised in December 2013 to include Emeritus Professor Kevin Robards as lead academic who was tasked with working closely with the Deputy Vice-Chancellor (Academic) and other members of the Academic Promotion Review Sub-Committee to:
1. Refine Terms of Reference for the review;
2. Develop a framework for the review, including research and consultation phases;
3. Conduct the review;

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4. Recommend change to Academic Promotion Policy, Procedures and Guidelines for approval by SEC, Academic Senate and University Council;
5. Amend Policy, Procedures and Guideline documentation;
6. If required, provide hand-over advice to the Division of Human Resources regarding implementation of the revised policy, procedures and guidelines.

A Working Party was established to provide logistical and detailed assistance to the academic promotions' lead academic/project officer with membership as follows:

- Professor Garry Marchant, Deputy Vice-Chancellor (Academic)
- Professor Sue Thomas, Deputy Vice-Chancellor (Research)
- Professor Tim Wess, Executive Dean, Faculty of Science
- Professor Sandra Wills, Pro-Vice Chancellor, Division of Student Learning
- Emeritus Professor Kevin Robards, Lead Academic, Academic Promotions Project
- Associate Professor Alan Bain, Director, Smart Learning Project
- Karen Lenihan, Director, Organisational & People Capability, Division of Human Resources

The Working Party will:

- Shape and steer the project activity to review and remodel academic promotions
- Provide advice and recommendations to the lead academic/project officer
- Review the determinations of the lead academic/project officer
- Monitor the overall progress of the project
- Ensure the project is aligned with other processes
- Ensure the project is aligned with the central values of CSU

Priorities identified by the Working Party were the need for:

- extensive consultation
- University understanding and commitment to new direction
- equitable criteria across the different position types *e.g.* teaching/research, teaching/professional, research only and potentially teaching focussed
- better descriptors for the Standards
- rigour in establishing the evidence of teaching.

The first meeting of the Working Party of the Sub-Committee was held by video-conference from Bathurst and Wagga Wagga on 17th January 2014.

# 2. Project Scoping and Framework

Although not conducted chronologically, the review was conceived in various stages as:

1. Development phase including establishing Terms of Reference.
2. Consultation phase.
3. Research phase.
4. Process phase.
5. Reporting and Documentation (Policy, Procedures and Guidelines) phase.
6. Dissemination and hand-over phase.

*Development phase*
The development phase including approvals, scoping and setting the terms of reference was undertaken during 2013 by a Committee chaired by the Deputy Vice-Chancellor (Academic) when the nature of the project was communicated to stakeholders.

At this time it was decided that the scope of the review was to include all aspects of promotions policy, procedures and guidelines incorporating all levels of academic appointment from Level A to Level E. The only restriction placed on the scope was that the appointment levels (A through E) would not be changed.

The rationale of the review was the need to review matters relating to academic promotions to ensure that the policy, procedures and guidelines:
- Consistently recognise standards of academic excellence;
- Recognise and accommodate the changing nature of the academic role;
- Align with our strategic objectives in the areas of Learning and Teaching; Practice Based Education and Research; and integrate with university initiatives such as Smart Learning;
- Aid the recruitment and retention of high performing academic staff;
- Address equity concerns;
- Are efficient and effective and informed by best practice in Australia and overseas, thus identifying the need to compare academic promotion policies and procedures across the sector.

In this initial scoping phase, no specific exclusions were identified as being outside the scope of the review except for the five-scale classification system of Level A to Level E which is recognised in Australian legislation.

*Consultation phase*
The culture within a university depends not so much on the reality but rather on the perceptions of its staff so views and opinions of staff were sought using a variety of methods. Professor Robards visited all campuses to provide staff with the opportunity for direct personal input. An open letter via What's New was also directed to all staff inviting written input. An interactive site was established via Yammer for input by all staff with a separate site for use by the Working Party.

Consultation was also conducted with key stakeholders. Discussions were held with the Senior Executive Committee (SEC) both collectively and individually. Input was invited from The Vice-Chancellor, Deputy Vice-Chancellor (Academic) and Deputy Vice-Chancellor (Research) and Executive Director, Division of Human Resources, Pro-Vice-Chancellor (Student Learning) and the Director, Research. These staff were also asked to address specific questions. The Executive-Director, Division of Human Resources encouraged Directors to develop and submit a formal input document on behalf of the Division and individual staff of the Division of Human Resources provided input to the review.

Specific groups were targeted for input as follows: Professorial Forum, Heads of Schools Forum, Culturally and Linguistically Diverse Communities and Senior Womens Group. The NTEU was contacted via the Division of Human Resources and invited to make a submission to the review and to comment on the review.

Meetings were also held with a number of individual staff and several written submissions (89) were received from individual staff members or groups of staff.

Staff were surveyed using an instrument designed by a team within Student Learning and Teaching and captured as Academic Compass.

The survey, conducted between 8th April and 8th May 2014, was divided into a short and longer version and received 205 responses with approximately 40% of respondents completing the short version and 60% the long version. Gender of the respondents was divided 42.9% male and 50.5% female (with some non-answers). The majority of respondents were employed full-time (87.8%) with a small cohort identifying as casual staff (2.5%).[5]

Further details on the profile of respondents is outlined in the following Figures.

**Figure 1.** Respondent Profile by Faculty



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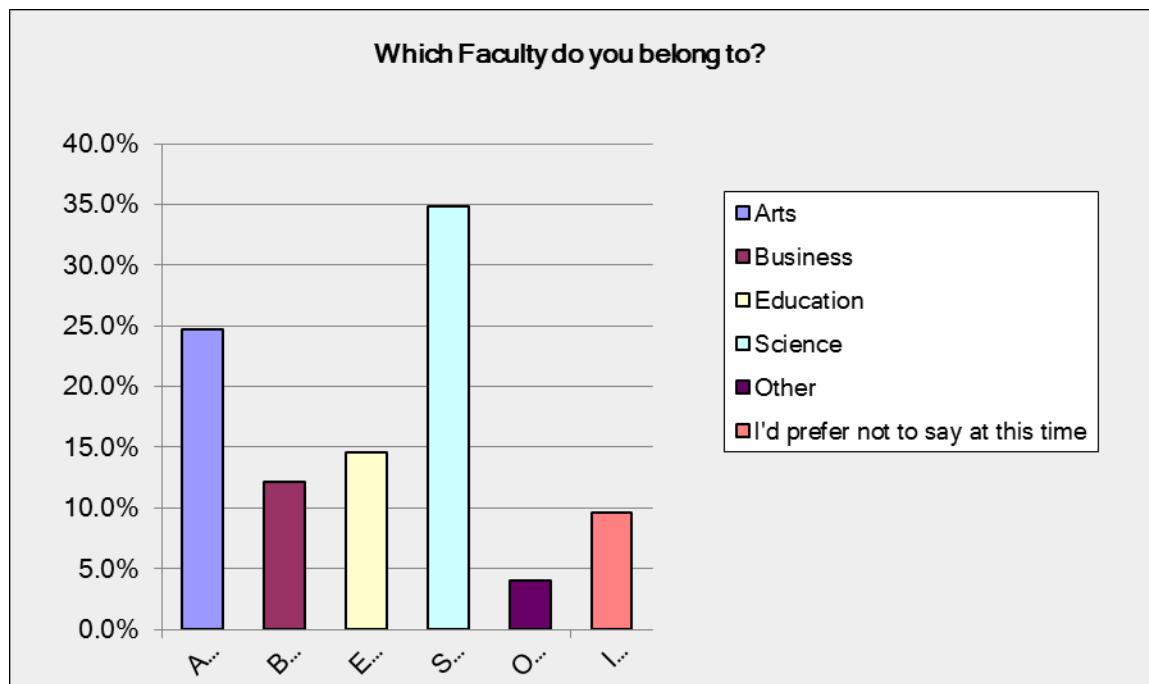
[5] This question needs to be refined in future surveys.

**Figure 2.** Respondent Profile by Current Position
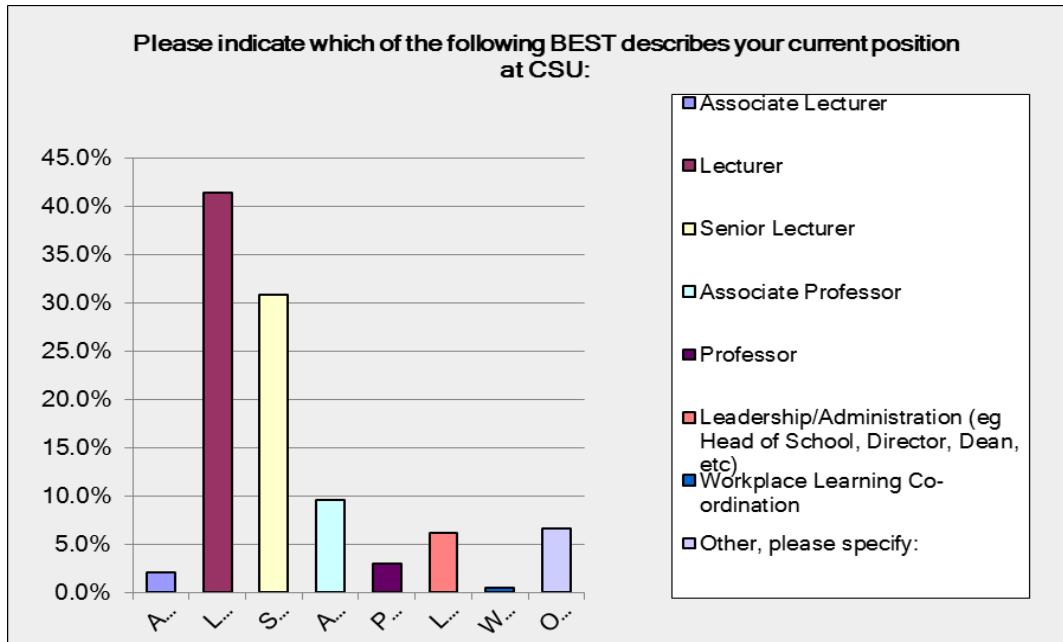


**Figure 3**. Respondent Profile by Length of Service at CSU
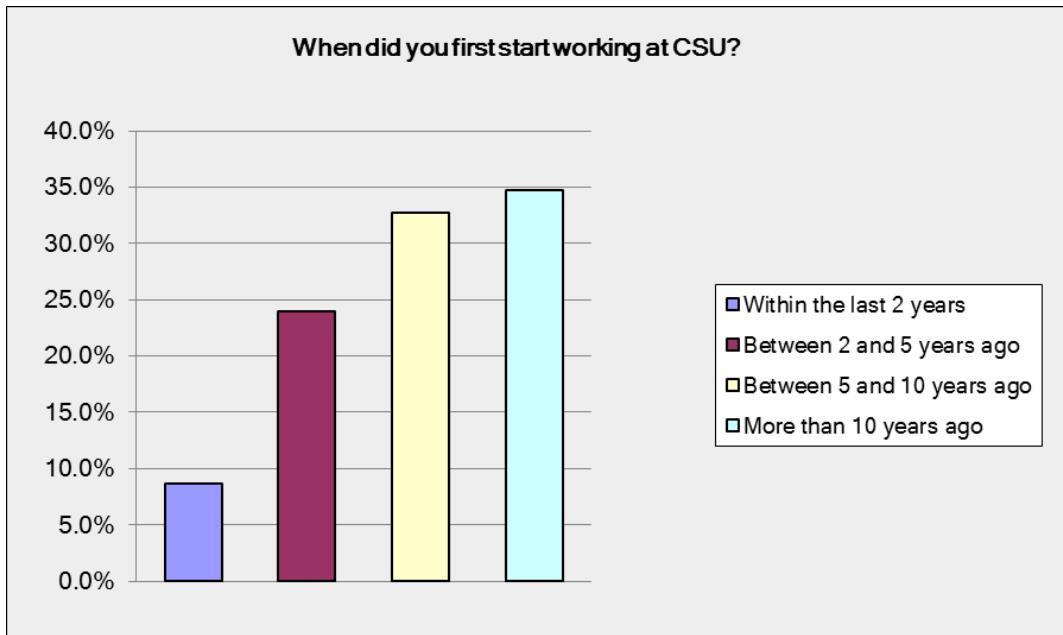


Of the 200 responses to the question 'Have you applied for promotion while at CSU?' 48% replied in the affirmative. There were 95 responses to the question 'Was your most recent application for promotion at CSU successful?' with 65.3% affirmative.

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The metrics collected in the Consultation Phase allow benchmarking against the sector plus current and future perceptions of staff regarding academic promotions at CSU. Ethics approval was sought for the staff survey to allow the possibility for publication.

This phase of the project informed project directions and the re-writing of promotion policy and processes.

*Research phase*
This phase of the project was designed to gather information on promotion policy and practice, staff experiences and staff perceptions and promotion outcomes. The literature associated with academic promotion and different aspects of career progression was reviewed.

The academic staff promotion policy and procedures of other Australian universities were obtained from university websites.  These promotion policies and practices were reviewed against specific characteristics or features. Attempting to reduce a document as detailed and complex as promotion policy and procedures to a series of simple comparisons is fraught with difficulty. Inevitably, choices are made about what is included and what is excluded. Simplification may also distort the original meaning in some cases. Another problem is the currency of the material; many universities are reviewing their promotion policies and the policy that was accessed may no longer be the active policy. Every attempt has been made to eliminate such problems but caution is still advised in using the material. The tabulated characteristics or features were chosen to be reflective of what impacts on value and reward. The review complements the Australian Promotion Policy review which was undertaken by University of Tasmania.[6]

The promotion policy, procedures and guidelines at Charles Sturt University and the Enterprise Agreement, 2013-2016 were mapped against the sector analysis and strengths and deficiencies were identified and collated against staff experiences and perceptions.

*Process phase/ Reporting and Documentation phase.*
The data obtained in other phases of the project was consolidated and used to prepare this report which will inform the new promotion policy and procedures.

*Dissemination and hand-over phase*
Results have been disseminated in a variety of ways. During staff consultations, various aspects of the findings and proposed recommendations were released to staff. University stakeholders were invited to comment on the Draft Report. The feedback will be incorporated into a revised version of the report. Workshops will be conducted with the Senior Executive Committee, Heads of School, and Division of Human Resources to ensure that they are fully aware of both the intent and detail of the new policy.

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[6] HEA, Promoting Teaching: International inter-university benchmarking of academic promotion, University of Leicester, Newcastle University, University of Tasmania, University of Wollongong, Final Report, July 2013.

The revised policy is to be implemented for the 2015 promotions round.

**Recommendation 1**: The Senior Executive Committee to consider development of a communications strategy for the introduction of the new policy and procedures. Consideration should be given to allowing staff the opportunity to submit an application in 2015 under the old policy but with the newly constituted promotion committees.

## *Terms of Reference*

The first meeting of the Sub-Committee was held on 20 February 2014. The parameters of the Academic Promotion Review project are to:

1. Develop a project plan to capture the components and steps required to review all aspects of academic promotion at CSU
2. Define the role and scope of academic promotion at CSU
3. Research and conduct activity to benchmark the current practices, standards and criteria for academic promotion at CSU against equivalent universities nationally
4. Undertake consultation with senior CSU academic leaders to establish and integrate CSU priorities and direction
5. Review the function of academic promotion in the attraction, development and retention of academic staff
6. Review the process to manage academic promotion at CSU
7. Rewrite the CSU academic promotion policies, procedures and guidelines to have consistency with the proposed model.

## 3. Academic Staff Profile

The academic staff profile provides current and historical data on the academic workforce. This must be the starting point for any review of promotion policy for, as Bernard Fisher[7] wrote, "In God we trust, all others [must] have data." However, the data must be suited to the purpose and that published on the Australian Government, Department of Education website[8] and some reports from Planning & Audit are unsuited to our purpose as they include about 200 adjunct staff and casual staff, respectively who are not eligible to apply for promotion. The following discussion is based on Australian Higher Education Industrial Association (AHEIA) Benchmarking data.

*Distribution of Academic Staff*

The Distribution of Academic Staff maps numbers of academic staff against appointment level based on actual headcount but excluding adjunct and casual staff. The Figure 4 below shows the distribution for staff attached to Schools and Faculties as at March 2014.[9] As shown in Figure 4, the profile for academic staff at Charles Sturt University peaks at Level B and then declines

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[7] Bernard Fisher as quoted in Siddhartha Mukherjee, The Emperor of All Maladies: A Biography of Cancer, Fourth Estate, London, 2011, p. 200.

[8] Selected Higher Education Statistics, Staff 2013 Full-time Equivalence, Department of Education website, Sheet 1.7, posted at http://docs.education.gov.au/node/34995 or http://docs.education.gov.au/documents/selected-higher-education-statistics-staff-2012-numbers

[9] A slightly different picture might emerge if the approximately 45 staff attached to areas other than Faculties such as Research Centres are included and if various Centres and Divisions are seen as aligning more closely with particular Faculties.

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successively at each level to Lecturer E, with the same pattern reflected across each Faculty. There is a higher proportion of staff at Levels A and B in the Faculty of Arts and Levels C and D in the Faculty of Science that does not translate to Level E appointments. Indeed, it is the Faculty distribution at Level E that is the most notable feature of the data. Numbers of staff promoted to Level E in recent years (2009-20113) are probably insufficient to have had a major impact on this distribution (unless there was an unusual Faculty distribution of promoted staff) in which case it must reflect historical promotions and/or appointment policies of the Faculties. The Executive data also may warrant closer examination or may simply be an artefact as the actual staff numbers within the Faculties at Executive Level are relatively constant at between 6-8 staff occupying defined management roles so the wide variation in proportion of staff at this level largely reflects the total staff number in the Faculty.

**Figure 4.**
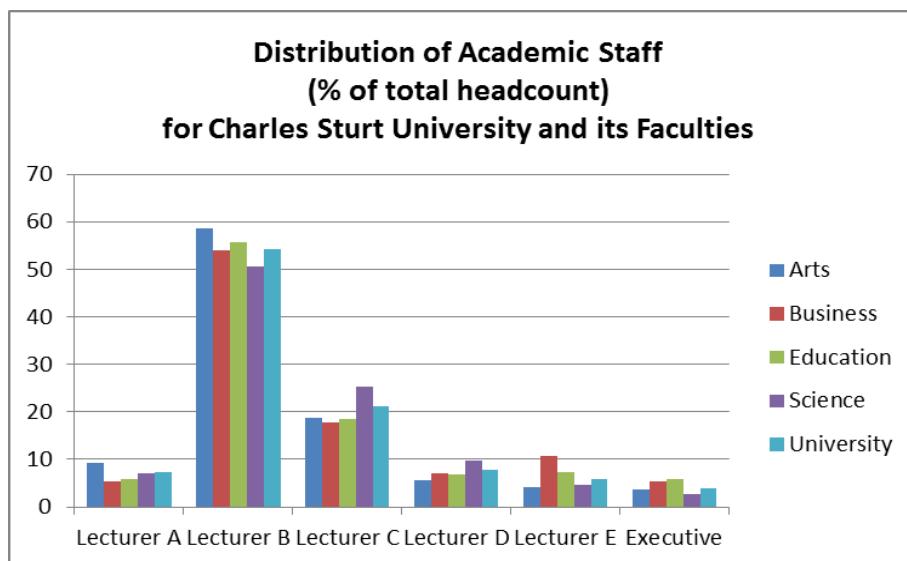


The AHEIA data[10] allow benchmarking with the Australian sector and Figure 5 shows the Distribution of Academic Staff in terms of FTE (full-time equivalent staff, excluding casuals) for CSU relative to sector data for Australian universities (shown as quartiles). Although the data are for 2012 there have probably not been major changes in the intervening period. The CSU distribution profile reflects that of the sector but CSU has a relatively low proportion of staff at Levels A, D and E (and at C to a lesser extent) relative to the sector but with a very high proportion of staff at Level B (sitting at the extreme of the top quartile). Comparing CSU with regional universities (rather than the whole sector as above) places CSU at the lowest extreme of the first quartile in every classification level except for Level B where CSU remains at the highest extreme of the top quartile.

Conventional wisdom across Australian Universities has held that Level C is the career grade (level that the majority of academic staff will reach during their career). Several factors contribute to this situation including the limited number of professorial positions any university can financially

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[10] Data sources are the AHEIA Benchmarking raw data and the raw data for the standard EO reporting to the NSW government and are based on actual headcount for staff attached to Schools/Faculties. Data do not include academic staff attached solely to Research Centres.

sustain and the merit-based nature of academic advancement. If the sector career grade is Level C this would suggest that the career grade at CSU probably has been Level B (given the CSU distribution profile with a high proportion of staff at Level B). More sophisticated analysis of the data looking at individual staff and data on their age, time in present appointment and level of appointment might enable the career grade to be established more accurately.

**Figure 5. Distribution of Academic Staff as at 2012
CSU versus Australian Universities**
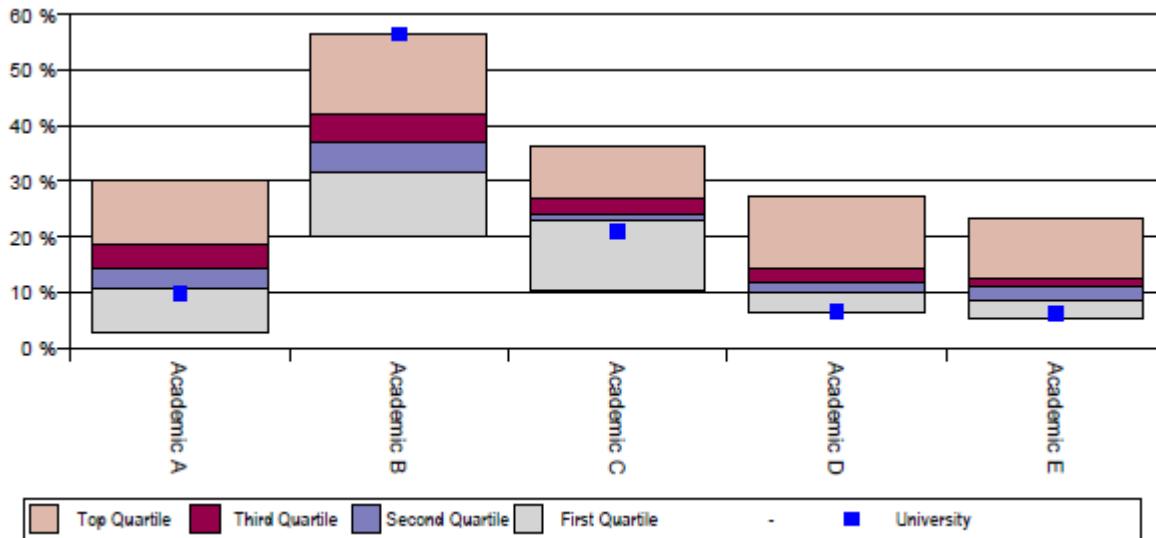


**Recommendation 2**:    Charles Sturt University to affirm that the normal expectation for most academic staff is that they will be able to rise to level C.

Table 1 shows that the relatively high proportion of staff at Level B at CSU is attributable to a lower proportion of staff at *each* of the other four levels but *particularly* at Level A which may reflect the high proportion of staff engaged at CSU in professional practice (Data have not been interrogated to confirm this view).

**Table 1. Distribution (%) of Academic Staff**

|                          | Level A | Level B | Level C | Level D | Level E |
|--------------------------|---------|---------|---------|---------|---------|
| CSU at 2014              | 7.4     | 56.2    | 22.1    | 8.0     | 6.2     |
| CSU at 2012              | 9.8     | 56.5    | 20.9    | 6.6     | 6.2     |
| Regional[2] at 2012      | 14.1    | 41.4    | 24.2    | 11.3    | 9.0     |
| Sector at 2012           | 16.6    | 42.5    | 23.5    | 8.8     | 8.7     |

[2] Regional data are averages for 11 regional universities; sector data are averages for 36 Australian Universities; CSU data for 2014 exclude Executive Staff

It is interesting that regional universities have a higher proportion of staff at Levels D/E than the sector average. Expectation would have been for the sector average to be higher than regional universities reflecting the longer time for older universities to develop their professoriate. This may mean that promotions at these levels at the regional universities have not been sufficiently rigorous

or that regional universities have applied aggressive recruitment and appointment policies at Levels D/E (or possibly both). Whatever the cause this does leave CSU in an extreme position at the bottom of the first quartile for both levels (D and E).

Table 2 shows the calculated number of staff at each appointment level based on the sector average data for the Distribution of Academic Staff (as at 2012; latest accessible) and on the total number of academic staff being 711 (all academic staff attached to Faculties as at March 2014 but excluding Executive Staff). The most significant changes are the need to reduce the number of staff at Level B while increasing numbers at both Level A and Level E (with much smaller increases at Levels C and D). The change in staff numbers at Level E would add approximately one professor to each School in the university. However, it is important to note that this is a profile snapshot at a single point in time and that data are needed for 2013 and 2014. There is also a lot to be said for the wisdom in growing the professoriate at a sustainable rate.

**Table 2. Number of Academic Staff at Different Appointment Levels at CSU**
**Actual versus Number required to be at Sector Average Distribution**

|                                                    | Level A | Level B | Level C | Level D | Level E |
|----------------------------------------------------|---------|---------|---------|---------|---------|
| Actual Number as at March 2014                     | 53      | 400     | 157     | 57      | 44      |
| Number of staff required at level to be at Sector average | 118     | 302     | 167     | 62      | 62      |

Analysis does not include Executive Staff or staff attached to Research Centres
Sector average is based on 2012 data (latest available)

Figure 6 shows that the distribution of Academic Staff has been relatively stable during the period 2008-2012 with the possible exception of Level A where the proportion of staff has declined.

**Figure 6**
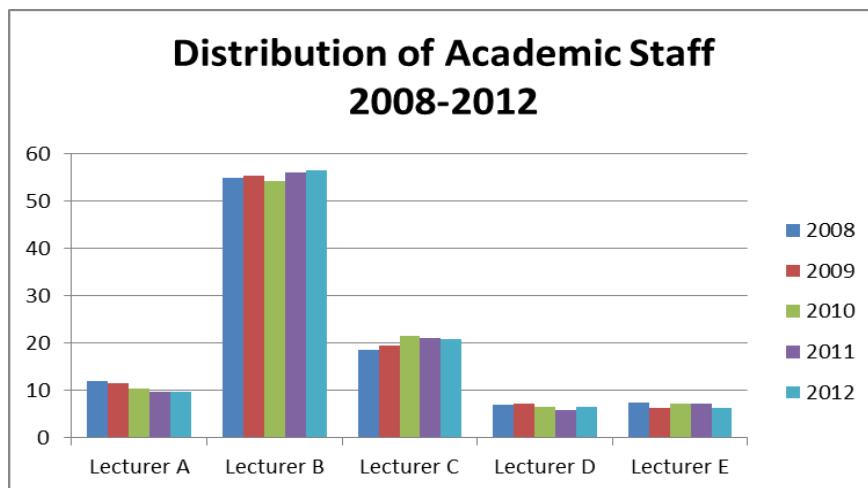


*Recruitment Source Index*
The Recruitment Source Index is the percentage of vacancies filled from the internal workforce.

The AHEIA Benchmarking notes that it is an indicator of how the university fills vacancies ('buy versus build'); the skills possessed by the current workforce and the prospective career paths for the current workforce. A high result indicates that the university sources a significant portion of its recruits internally while a low result indicates a high level of external recruitment. Sector quartiles cover almost the entire range from 0.00 to 100 and sector averages range from about 25 to 60 but with no discernible trends. CSU typically sits in the second or third quartile suggesting a relatively well-balanced approach to recruitment that recognises the benefits of recruiting internally but without neglecting the need to replenish the academic workforce.
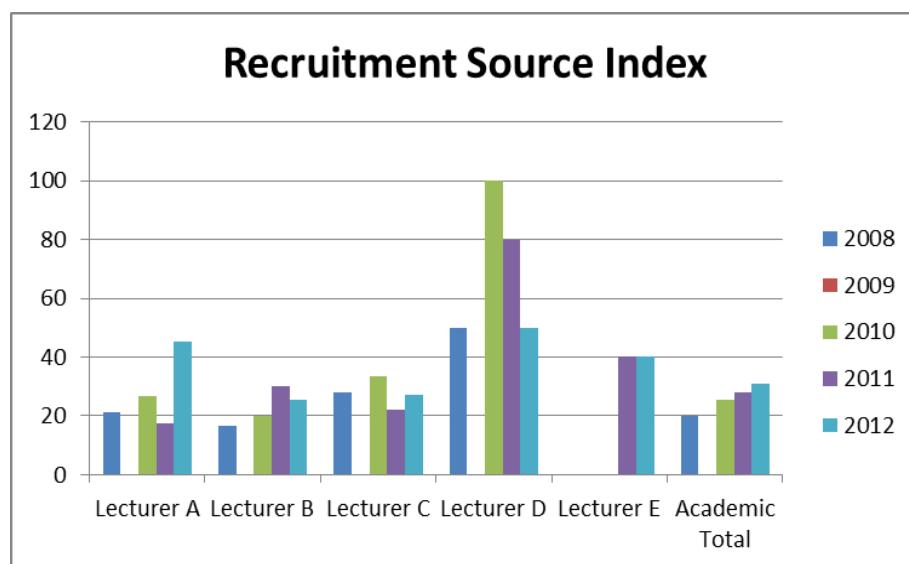


*Doctoral Qualifications*
Figure 7 shows data for the percentage of senior and academic staff (permanent and fixed term) who hold a doctoral qualification. This figure clearly shows the expected increase in the proportion of more highly qualified staff from Level A to Level E. The proportion also increases between 2008 and 2011 but with a decline in 2012 which would be a concern if the proportion declines further or remains steady in 2013 and beyond.

Staff enter academia with a diversity of backgrounds. Some will come from a traditional Honours degree followed by doctoral studies and a postdoctoral appointment. Others will enter the university with a totally different experience, with a commercial or professional background. An important distinction between the two groups of staff is often the possession of a doctoral qualification versus extensive experience in professional practice.[11]

**Recommendation 3**: Induction to include career development processes, performance expectations and introduction to THE CSU ACADEMIC as well as challenges faced by staff entering the academic culture.

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[11] Edwina Adams, Patricia Logan, Doreen Rorrison and Graham Munro, Looking after yourself: Lessons to be learned on entering academia. Educating Health Professionals: Practice, Education, Work and Society, Springer, 2013, pp 61-70.

**Figure 7.**
**Change in Proportion of Academic Staff holding a Doctoral Qualification 2008 – 2012**
**CSU versus Australian Universities**
**(Upper figure shows data for 2012)**
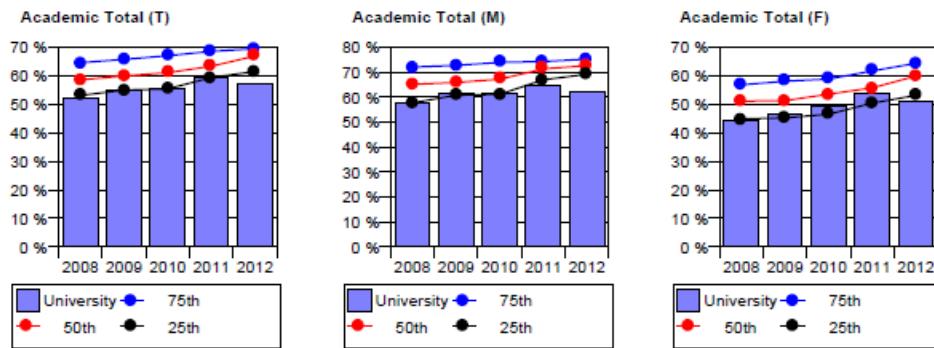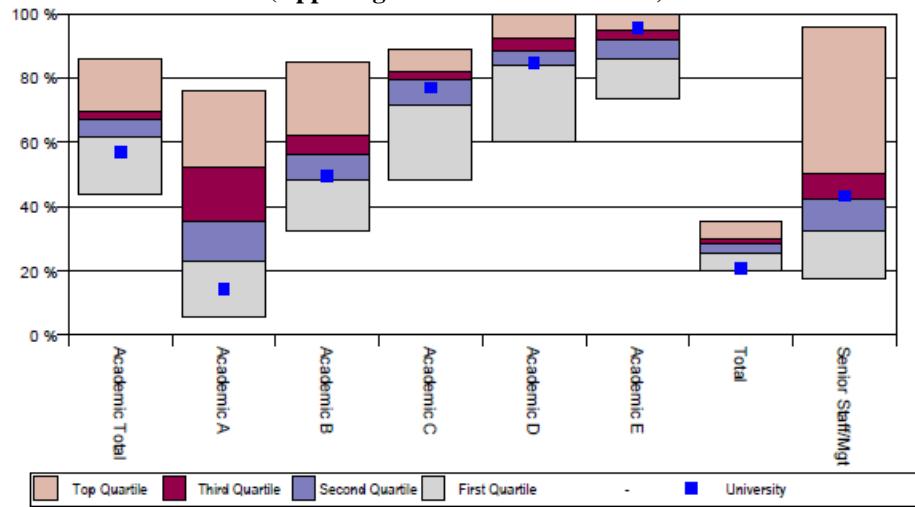




*Academic Promotions Index*
The Academic Promotions index (Number of staff promoted/ Total number of academic staff; Figure 8) is the percentage of all ongoing and fixed-term academic staff who have been promoted within a time period. This index shows the rate of career progression for academic staff. It is interesting that the Application Rate has increased at CSU during the period 2008-2012 at a time when the Rate was decreasing across the sector.

The AHEIA comments on this Index that a "high result may reflect effective employee development strategies or conversely indicate that further review is necessary to ensure conditions for promotion are (being) adequately met. A low result may highlight employee development issues and have implications for employee job satisfaction. Also, further investigation may be necessary to ensure that worthy candidates are not overlooked for promotion."

**Figure 8.**

### CSU Annual Academic Promotions Index for the period 2008-2012
### CSU versus Australian Universities



**(Upper figure shows data for 2012)**
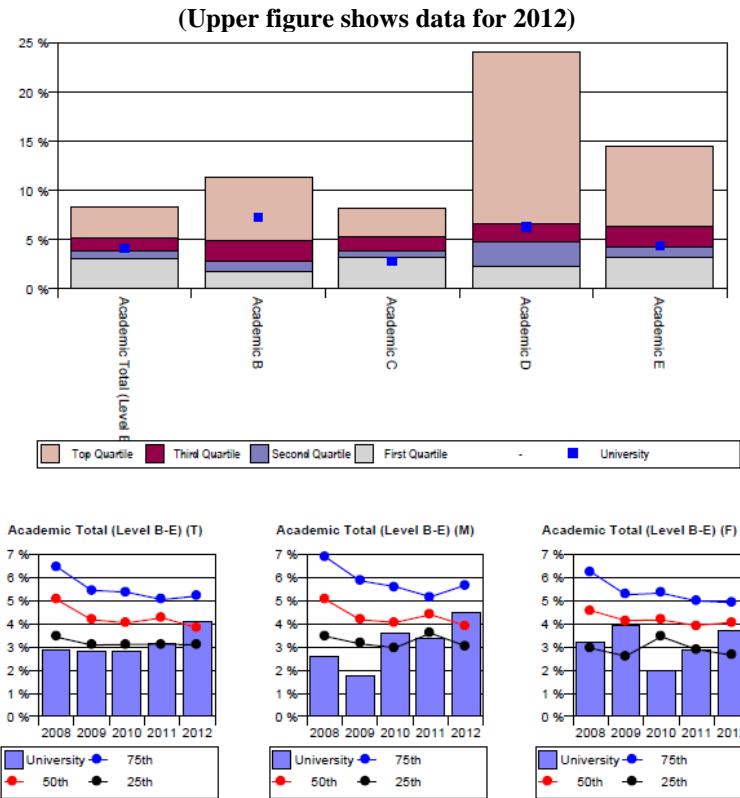
*Application for Promotion Rate*

The Applications for Promotion Rate (Number of applications for academic promotion/Total number of academic staff; Figure 9) shows the level of interest from academic staff in seeking a promotion. The Universities HR Benchmarking Program comments that "On the assumption that promotion is based on merit, this may also give a general indication of the health of academic career progression in the university."

Applications for promotion to Level C and Level E are at the top of the first quartile for 2012 and this suggests that relative to sector average that staff are less inclined to apply for promotion to these two levels.

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**Figure 9.**
### CSU Annual Academic Applications for Promotion Rate for the period 2008-2012
### CSU versus Australian Universities
**(Upper figure shows data for 2012)**
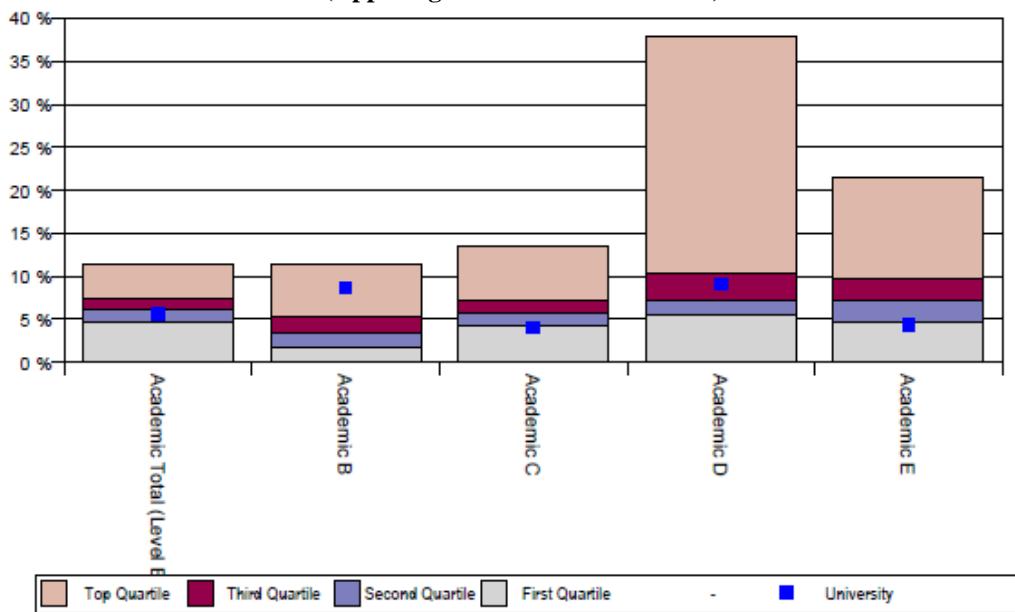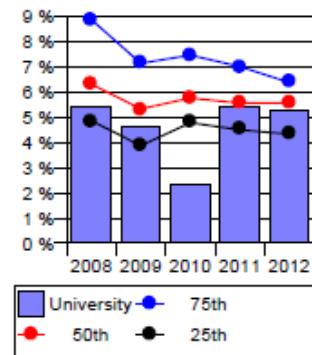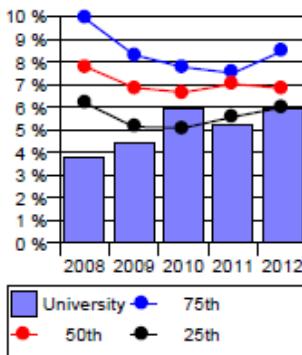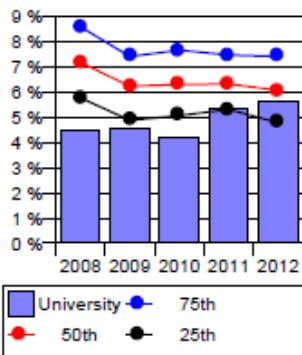




*Academic Promotions Success Rate*

The Academic Promotions Success Rate (*i.e.* Number of successful applications/Total number of applications) is the percentage of all applicants for academic promotion who were successfully promoted in the nominated period.

Table 3 shows the number of applicants applying for promotion in the period from 2009 to 2013 and the success rate at various appointment levels. In 2013, the work function of all applicants was classified as Teaching and Research with the exception of one (1) applicant successfully promoted to Level C who was classified as Teaching and Professional.

Data are not available for the basis (*i.e.* weighting of teaching, research, engagement and leadership) on which applicants applied for promotion.

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**Table 3. CSU Annual Promotion Success Rates for the period 2009-2013**

| Level | Year | Male | | | Female | | |
|---|---|---|---|---|---|---|---|
| | | Number of successful applications | Number of applications for promotion | **Success Rate (%)** | Number of successful applications | Number of applications for promotion | **Success Rate (%)** |
| B | 2013 | 1 | 2 | **50** | 0 | 0 | **n/a** |
| | 2012 | 1 | 1 | **100** | 4 | 5 | **80** |
| | 2011 | 2 | 2 | **100** | 2 | 3 | **67** |
| | 2010 | 0 | 0 | **n/a** | 2 | 2 | **100** |
| | 2009 | 2 | 2 | **100** | 6 | 6 | **100** |
| C | 2013 | 8 | 11 | **73** | 9 | 14 | **64** |
| | 2012 | 6 | 9 | **67** | 5 | 7 | **71** |
| | 2011 | 8 | 11 | **73** | 4 | 10 | **40** |
| | 2010 | 6 | 10 | **60** | 3 | 3 | **100** |
| | 2009 | 10 | 13 | **78** | 5 | 8 | **63** |
| D | 2013 | 3 | 5 | **60** | 3 | 3 | **100** |
| | 2012 | 7 | 9 | **78** | 2 | 4 | **50** |
| | 2011 | 1 | 3 | **33** | 4 | 5 | **80** |
| | 2010 | 3 | 6 | **50** | 1 | 2 | **50** |
| | 2009 | 1 | 3 | **33** | 2 | 3 | **67** |
| E | 2013 | 2 | 2 | **100** | 0 | 1 | **0** |
| | 2012 | 1 | 1 | **100** | 1 | 1 | **100** |
| | 2011 | 0 | 1 | **0** | 1 | 1 | **100** |
| | 2010 | 3 | 4 | **75** | 0 | 0 | **n/a** |
| | 2009 | 3 | 5 | **60** | 0 | 0 | **n/a** |



Promotion Success Rates (male staff) — bar chart with categories Lecturer B, Lecturer C, Lecturer D, Lecturer E and series 2009, 2010, 2011, 2012, 2013.



Promotion Success Rates (female staff) — bar chart with categories Lecturer B, Lecturer C, Lecturer D, Lecturer E and series 2009, 2010, 2011, 2012, 2013.
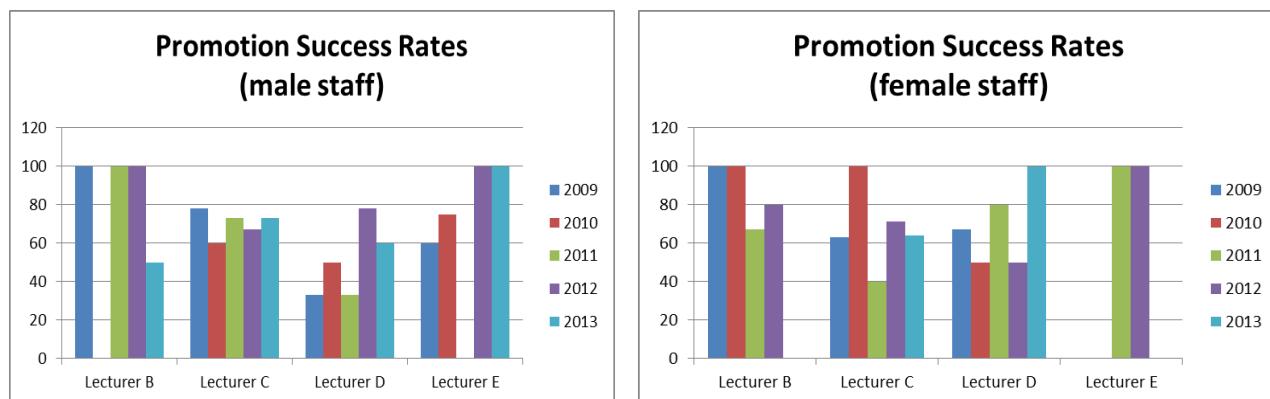
Any trend(s) in academic promotion application and success rates relating to gender are confounded by the small numbers involved and the large year-to-year variability. Averaging outcomes over a number of years may give a better indicator of whether or not there are gender differences in the application and success rates of academic staff applying for promotion. Table 4 averages success rates by gender for academic promotion at each level over a five year period (2009-2013). Application rates also can be calculated (but are not shown). The outcomes suggest that there is little difference between males and females in application and success rates for promotion to Level B in the period of review. From Level B to Level C the data suggest that both application and success rates are higher for men than women. This is consistent with previous data and, over time,

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is likely to contribute to the lower pool of female staff found at Level D. In the context of small numbers, application and success rates at Level D are higher for women than men and previous years (1998-2008) indicate a high degree of variability.  Likewise, application rates at Level E are lower for women than for men (though must be interpreted in the context of a much smaller pool). It is not practical to compare success rates at this level given the very small number of applications.

**Table 4. Average Success Rate (Percentage) for the period 2009-2013**

| Level | Male | | | Female | | |
|---|---|---|---|---|---|---|
| | Number of successful applications | Total Number of applications for promotion | Success rate (%) | Number of successful applications | Total Number of applications for promotion | Success rate (%) |
| Lecturer | 6 | 7 | 86 | 14 | **16** | 88 |
| Senior Lecturer | 38 | 54 | 70 | 26 | **42** | 62 |
| Associate Professor | 15 | 26 | 58 | 12 | **17** | 71 |
| Professor | 9 | 13 | 69 | 2 | **3** | 67 |
| **Totals** | **67** | **100** | 67 | **55** | **74** | 74 |

The collated data for the 2009-2013 period can also be used for sector comparison and this shows that the time-averaged promotions success rate at Charles Sturt University is close to sector average (typically sitting in the second or third quartile for the sector) at all levels.

In the consultation phase of the project staff raised the issue of possible hidden bias against staff from particular Schools or Faculties and on smaller campuses arising from limited mentoring opportunities and small numbers of senior experienced staff plus the small number of staff needing to address the usual range of service activities. As an example, there is a staff perception that the distribution of promotions across faculties is not balanced but rather is dominated by the Faculty of Science. However, it is unclear if staff have factored the disproportionate number of staff in the Faculty of Science (with approximately 40% of total staff numbers) into their thinking. This perception is then extended to conclude that research is the largest factor in determining a promotion outcome. The promotions data are generally too small or not readily available to enable these issues to be examined.

Data are not readily available on the number of staff promoted at first application; second application and subsequent applications. Similarly, data are not readily accessible on application and success rates for those staff who were unsuccessful and for whom the 2-year waiting period was waived.

**Recommendation 4**: Promotions trend data (looking at basis of promotion, gender, Campus, Faculty, School, re-application rate) to be included in the Annual Report of promotions to be discussed at Academic Senate to facilitate longer term benchmarking.

# 4. The Nature of Academic Work

Most university staff would have some concept of a traditional academic. Indeed, many of the newer universities have invested considerable resources over the last two decades attempting to

mould a workforce based on this model [12] which is shared by the higher education systems of the UK and the US amongst others. What are the characteristics of this model and where/how did they originate? All modern universities can ultimately trace their origins and customs[13] back some eight centuries to either University of Bologna, Paris or Oxford. However, there has been considerable evolution in the notion of a university in the intervening period as noted by the Academic Senate of Charles Sturt University,[14] and correspondingly the nature of academic pursuits and what is valued and rewarded has also changed (although often not in union or harmony[15]).

Mediaeval educators developed Scholasticism, a method of inquiry, scholarship and teaching. In the New World, the original mission of Harvard College[16] in 1636 was to "advance learning and perpetuate it to posterity". The word research first entered the vocabulary of higher education[17] in England in the 1870s when reformers wanted to make Cambridge and Oxford "not only a place of teaching, but a place of learning" and it was later introduced to American higher education in 1906. Basic research came to be viewed as the first and most essential form of scholarly activity, with other functions flowing from it. Harvard's course catalog of 1870 saw the beginnings of scholarly focus and specialization at that institution. Specialization and research became increasingly prominent at many major institutions through the remainder of the Nineteenth Century.[18] Teaching remained important, nevertheless and Daniel Coit Gilman, as president of the new Johns Hopkins in 1876, committed his new institution to research, but cited the first priority as its teaching function. In 1891, Harvard President Charles W. Eliot institutionalized a tripartite role for faculty: 'In the first place they teach; secondly, they accumulate great stores of acquired and systematized knowledge in the form of books and collections; thirdly, they investigate' ….. ".

The history of research during the Twentieth Century has an important impact. Prior to about 1800 research comprised largely of scholarly activities but by 1900 basic research involving diffuse open-ended inquiry of fundamental questions had become dominant. This continued until about 1940 when the demands of a World War required a new goal-directed programme of research. The undisputed success story of this targeted effort was the Manhattan Project (and some decades later

[12] Belinda Probert, Teaching-focused academic appointments in Australian universities: recognition, specialisation, or stratification? Discussion Paper 1, January 2013.Office for Learning and Teaching.
[13] Lynn Harry Nelson, The rise of the Universities. Accessed on 7 February 2014: http://www.vlib.us/medieval/lectures/universities.html
[14] CSU Academic Senate: The transformation of universities that eventually resulted in the modern research university began at the end of the mediaeval period. ……… they are clearly enduring institutions that have undergone substantial change in response to both internal and external processes. Indeed, one might profitably argue that their endurance has been a result of the process of renewal. …….. modern universities have assumed a duality that was not seen in earlier times. Thus, universities retain their position as collegial academic institutions having a high level of autonomy. On the other hand, there is a judicial concept of a university as a trading corporation ……. . There is and should be a creative tension between the various notions of a university as an institution that pursues and communicates knowledge, that equips people for a productive contribution to society, and that creates a liberal culture for the welfare of mankind.
[15] This should be productive provided that the tension is not destructive but rather creative as identified by the Academic Senate of Charles Sturt University.
[16] E. Boyer, (1990). Scholarship reconsidered: Priorities for the professoriate. Princeton, NJ: The Carnegie Foundation for the Advancement of Teaching, p. 2.
[17] E. Boyer, (1990). Scholarship reconsidered: Priorities for the professoriate. Princeton, NJ: The Carnegie Foundation for the Advancement of Teaching, p. 15.
[18] Arthur L. Dirks, (1998). The new definition of scholarship: How will it change the professoriate? Published on-line by author (http://webhost.bridgew.edu/adirks/ald/papers/skolar.htm). Bridgewater, MA. Accessed 5 February 2014. Origin: This paper originally prepared for HIED 641 Effecting Change in Higher Education, Graduate College of Education, Univ. of Mass. Boston.

landing a man on the moon). Since those times there has been a return to a search for open-ended truths for as expressed by James Watson of DNA fame "doing 'relevant' research is not necessarily doing 'good' research." The consequences of this narrow focus were growing public dissatisfaction and distrust of universities' values, which were perceived to be unduly focused on research and research funding and to be overspecialized and not particularly relevant or responsive to societal problems.[19]

The idea of a university involving the union of teaching and research in the search for impartial truth reached classic form in nineteenth-century Germany. It eventually became the dominant model that shaped the research universities of the United States, which head the international league today.[20] This model of a university can be seen as the characteristic form until the growth of mass higher education in the late twentieth century. However, the full expression of a teaching research nexus[21] has remained more an ideal than reality as evidenced by the on-going emphasis to achieve this goal.[22]

The notion of community service was also introduced to universities in the second half of the Nineteenth Century (Land grant universities) although Benjamin Franklin had, as early as 1749, written that the "ability to serve" should be the rationale for all schooling and for the college he founded (Penn).[23] Harvard, Yale, Princeton, Columbia, among others also adhered to this mission based on their desire to educate men "capable of creating good communities built on religious denominational principles."

Thus, the various components of the contemporary academic role involving teaching, research and some form of service founded on disciplinary expertise existed by 1900 although Probert[24] quoting US sources places this somewhat later. Nevertheless, reputation as a scholar became the greatest honour for an academic and research/scholarship (often undifferentiated) became the fundamental qualification for most academic positions and for promotion. Teaching may have received a mention but was probably ignored in practice whilst other activities such as service to the university disappeared from the lexicon.

The last two-three decades have witnessed a major shift in higher education (nothing new in this and indeed as noted by Academic Senate it is probably this process of constant renewal that has ensured the survival of the sector). Brew[25] elaborated the key features of the changes in higher education which have demanded critical re-evaluation of the nature of academic work. These include: the move to a mass (or even universal) higher education system, the amount of time

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[19] Conrad J. Weiser, The Value System of a University - Rethinking Scholarship. Accessed from: http://www.adec.edu/clemson/papers/weiser.html

[20] Robert Anderson, (March 2010). The 'Idea of a University' today. History & Policy. Accessed on 7 February 2014: http://www.historyandpolicy.org/papers/policy-paper-98.html

[21] The teaching-research nexus: A guide for academics and policy-makers in higher education. Accessed on 6 February 2014: http://trnexus.edu.au/index.php?page=recognising-and-rewarding-the-trn

[22] Learning-Teaching-Research Nexus, 2011 Nexus Events. Accessed on 28 January 2014: http://www.uow.edu.au/cedir/nexus/events/index.html

[23] Cynthia M. Gibson, Research Universities and Engaged Scholarship: A Leadership Agenda for Renewing the Civic Mission of Higher Education. Accessed on 28 January 2014: http://www.compact.org/resources/future-of-campus-engagement/research-universities-and-engaged-scholarship-a-leadership-agenda-for-renewing-the-civic-mission-of-higher-education/4250/

[24] Belinda Probert, Teaching-focused academic appointments in Australian universities: recognition, specialisation, or stratification? Discussion Paper 1, January 2013.Office for Learning and Teaching.

[25] Angela Brew, The value of scholarship. HERDSA Annual International Conference, Melbourne, 12-15 July 1999.

available both for teaching and for research, as well as changes in the nature of research and in the nature of teaching in higher education, changes in the nature of knowledge, and a changed policy context to which we might add increased competition from private providers, the potential of IT to deliver massive open online courses (MOOCs)[26] and the importance of education to the knowledge economy. This shift has witnessed all parts of the sector including research-intensive universities embracing the need for change. For example, UCLA now finds a place for civic engagement as being fundamental to its mission as a public university. Stanford University president Donald Kennedy called[27] in 1990 for more contact between faculty and students. "It is time," Kennedy said, "for us to reaffirm that education--that is, teaching in all its forms--is the primary task" of higher education.

*Impact on work practices*
Within the Australian sector, academic staff are employed on a five-scale system in which the entry level is Lecturer A, Associate Lecturer. Staff may progress via promotion through Lecturer, Level B; Senior Lecturer, Level C; and Associate Professor, Level D; to Professor, Level E. This system is almost universal to the Australian sector with some local variants as, for example, at ANU (with provision for Level E1, E2 and E3, Distinguished Professor). There was no further distinction between appointments (except for distinguishing full-time from part-time appointments and continuing or permanent from casual or sessional appointments) and all staff, in theory at least, were expected to perform the normal range of duties whatever they might be. However, a number of changes in Australia[28] and internationally have recently contributed to changing attitudes and expectations of higher education which, in turn, has led to the recognition of different types of appointment. Table 5 shows the range of appointment classifications or *work(load) functions* that are used across some Australian universities.

The standard appointment in Australia typically involves a workload spread across all areas of academic work. This is succinctly captured in the terminology of many Enterprise Agreements with their 40:40:20 clauses and illustrated by the University of Sydney Agreement (2009): "for teaching and research staff, academic work will be assigned to ensure a well-balanced portfolio encompassing…on average:

- teaching and teaching-related activities – 40%;
- research and scholarship – 40%;
- professional and community engagement and administration – 20%"

It is implicit in the various Agreements that the percentage allocation is time-based although the sector uses these work function categories to focus attention on particular aspects of academic work rather than strictly defining the distribution of work time. Although the 40:40:20 mix is used as a norm it is important to note that this represents a crude sector-averaged norm to which most universities do not conform. Indeed, a number of universities including CSU do not specify a 40:40:20 mix at all but rather define maximum and minimum percentages for the various functions.

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[26] Tamar Lewin, The Evolution of Higher Education, The New York Times, Q. and A.: The Academy. November 4, 2011. Accessed 8 February 2014: http://www.nytimes.com/2011/11/06/education/edlife/the-evolution-of-higher-education.html?_r=0
Carl Straumshelm, What's in it for us? Inside Highered, 12 February 2014. Accessed on 14 February 2014: http://www.insidehighered.com/news/2014/02/12/ut-austin-and-cornell-u-students-question-their-institutions-investments-moocs

[27] Quoted in Boyer, E. (1990). Scholarship reconsidered: Priorities for the professoriate. Princeton, NJ: The Carnegie Foundation for the Advancement of Teaching, p. 1.

[28] James E. Everett and Leland V. Entrekin, Changing attitudes of Australian Academics, Higher Education, 27 (1994) 203-227.

Universities also recognise the highly variable nature of academic work and the distribution of time is not a weekly expectation but rather an annual time-averaged distribution.

Table 5. Work function classifications at some Australian Universities

| University | Normal appointment | Other | | | |
|---|---|---|---|---|---|
| ACU | Teaching and Research career pathway | Teaching-focussed | Research-focussed | Research-only | Leadership and Service |
| Adelaide | General academic | Teaching-focussed | Research-focussed | Research-only? | |
| ANU | | Teaching and research | Research inclusive of creative disciplines | | |
| Ballarat | Standard appointment | Intensive in one of 3 areas of activity | | | |
| Canberra | Standard? | Teaching focused but changes from 2013 | | | |
| Central Queensland | | Teaching Scholar | Teaching and Research | Principal Research Employee | |
| Deakin | Standard | Teaching scholar Levels A/B only | Research only | Workload can be "teaching" only | |
| Griffith | Balanced | Teaching focussed | Research focussed | 3 intensive profiles used on a restricted basis | |

The Charles Sturt University Enterprise Agreement 2013-2016 Clause 30[29] states that "academic staff normally will be classified with a function of 'teaching and research' or 'teaching and professional' or 'teaching focused' staff." It also identifies the three major components of academic work and recognises that all academic employees are entitled to an appropriate mix of these activities:

    i.   teaching and teaching related activities (including scholarship of teaching and learning);

    ii.  research and/or creative and/or professional activity; and

    iii.  contributions to academic administration and management, leadership both internal and external to the University, professionally related engagement within the professions/disciplines and the community.

The standard appointment at CSU is the teaching and research work function.

Most universities usually set some limit on the number or percentage of staff that may be appointed to non-standard appointments (or work functions). Non-standard appointments are teaching-focussed or research-focussed and, in some institutions, teaching-only or teaching-intensive and the corresponding research appointments. Workload allocations for these classifications reflect the nomenclature of the appointment although there is considerable diversity across the sector in the nature of the workload policies.

The different designations used to describe the workload functions as teaching-only, teaching-intensive, teaching scholar and 'not research-active' suggest the very different approaches and objectives across the sector. University of Queensland took a strategic approach to introducing teaching-focussed roles in 2006 and Monash University created education-focussed roles to emphasise that these staff are to be experts in education. However, the introduction of teaching-only, teaching-intensive and teaching-focussed appointments in some cases has been opportunistic

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[29] The Professional Activity Work Function Policy (TRIM file number D12/32651) should be checked for consistency as it identifies four work function categories including Teaching only. It is a strong recommendation of this review that the term 'Teaching only' should be removed from all CSU policies.

rather than strategic. For instance, it provided an opportunity to improve institutional research rankings in the ERA exercise by transferring staff who were research-inactive to a teaching-focused classification in order to reduce the research-active denominator. There have been institutional differences in the attitude to teaching-focussed appointments. Probert has quoted the Vice-Chancellor at Deakin University as seeing "no place for teaching-only appointments, expressing concern about the segmentation of the academic workforce, increasingly managerialist HR policies, and declining  respect for the rounded academic. In her view, there is a need for considerable flexibility in the allocation of teaching and research tasks within the academic workforce, but this workforce remains unified by its scholarly capacities and commitment." Although it is unclear in open-access material, Deakin University seems to have staff restricted to teaching only by workload policy. Nevertheless, Deakin University has introduced the concept of a teaching scholar but at Levels A/B only similar to the concept of Scholarly Teaching Fellows at CSU.

Opposition to teaching-only positions has taken a number of forms. There has been strong rhetorical resistance to the notion of teaching-only appointments as exemplified in the breakdown of enterprise bargaining at the University of New England in January 2013 because 'We take that view because it's the role of an academic to be a scholar and teacher,' Tim Battin, president of the UNE branch of the NTEU, said.[30] 'A role of an academic is to inform his or her work in teaching with scholarly activity'.

Apart from institutional differences in attitude and approach to teaching-focussed appointments there are also significant disciplinary differences. It has long been common practice in many business faculties to employ professional staff with few if any research credentials to teach areas such as accounting. Similarly, professional clinical experience has been more important than research experience in many of the health sciences including veterinary science. Another disciplinary influence has been operative amongst research-intensive universities particularly in the sciences where first-year coordinators have been (re-)introduced and afforded greater status and career opportunities as a response to improving teaching and learning.[31]

University of Wollongong appears to be unique among Australian Universities in that a supervisor determines the mix of the main areas of academic work comprising teaching, research, governance and professional activity/community engagement in the annual workload allocation for each individual. The policy provides system checks in determining the allocation but otherwise there is minimal restriction on the workload distribution between the various areas of activity. In this way, classifying the nature of the workload appointment is avoided. However, academic work is inherently diffuse and highly variable and attempting to define it too rigidly by individual contracts may be counterproductive.

All this may appear confusing, and it is, but there have been several factors at work and often these have been contradictory. In Australia, at the same time that research was on the rise, the Commonwealth Government introduced the Learning and Teaching Performance Fund (LTPF). This provoked the sector to focus on the quality of university teaching and although it did not achieve all its goals it did spotlight teaching and learning as legitimate activities.

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[30] Kylar Loussikian 'Dispute disrupts pay talks at University of New England', The Australian, 23 January 2013.
[31] Belinda Probert, Teaching-focused academic appointments in Australian universities: recognition, specialisation, or stratification? Discussion Paper 1, January 2013.Office for Learning and Teaching.

# 5. Recognition and reward in attracting and retaining staff

Staff represent the most important resource of any business or institution. Thus, *attracting, developing and retaining* staff is essential for any organization as witnessed by a paradigm shift[32] from human resource to human capital.

A range of strategies designed to reward performance contribute to attraction and retention of staff within the sector. These strategies include promotion, market loadings,[33] employment flexibility, research support and Vice-Chancellor's Awards for Excellence. Excellence Awards at Charles Sturt University recognise a range of activities that includes innovation, performance, sustainability, leadership, research and research supervision. It is important to monitor that these awards are achieving the desired outcomes in terms of generating debate, directing attention and reflective practice to desirable activities, and acting as an incentive and means to focus on proven and new ways of producing outcomes in the various activities. They should also be used to drive change. For example, feedback establishes that staff value collegiality as a desirable characteristic. Team excellence awards should ensure that this aspect of a work ethic is seen to be rewarded. Submissions for Team Excellence Awards should require presentation of a team portfolio that identifies the individual contributions to the team outcomes that can then be used in individualistic processes such as career development and promotion.

**Recommendation 5**: Policy and Procedures for the Vice-Chancellor's Excellence Awards be examined for alignment between what is valued and what is rewarded and to ensure that the Awards *encourage debate and drive change in the university*.

Although Special Studies Programmes (SSP) are designed to provide staff with an opportunity for development it is nevertheless a system of reward open to all staff and not just those exhibiting outstanding performance. Obviously, engagement with SSP can enhance a staff member's opportunity for promotion as it can contribute very significant and valuable outcomes to both the individual and the institution. It is important therefore that the policy relating to SSP is examined closely to ensure integration with the promotion policy.

**Recommendation 6**: Special Studies Programme (SSP) Policy to be reviewed to ensure that it is based on principles of staff development and equity and that SSP procedures ensure equity in its availability.

Of the various rewards, promotion is conventionally recognised as the most important to attraction and retention of staff and has been identified as a motivator in a number of studies. The integrity and credibility of the promotion process are critical elements of a university's existence. A university that appoints unsuitable staff and promotes staff inappropriately is doing a disservice to its staff, students and, most importantly, its community. Further evidence confirming the importance of promotion to staff is the finding that promotion prospects in Australia contribute[34] to

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[32] Jane Muceke Ng'ethe, Mike E. Iravo and G.S. Namusonge, Determinants of Academic Staff Retention in Public Universities in Kenya:Empirical Review, International Journal of Humanities and Social Science, 2 (2012) 205-212.

[33] University of Adelaide, for example, has a very well developed policy on financial rewards for performance excellence. http://www.adelaide.edu.au/hr/strategic/reward_recog_gldns.pdf

[34] Graeme Hugo, The demographic outlook for Australian universities' academic staff, Council for Humanities, Arts and Social Sciences, Occasional Papers No. 6,, 2008.

the decision of expatriate academics not to return to Australia. Although linked to salary, promotion and the opportunity it presents for an individual's growth, should be examined as a consideration independent[35] of salary change.

The promotion process consumes a lot of staff time and energy both physical and emotional. Simpler, informal promotion processes can be used as in some private enterprises and there are CSU staff who argue that this approach should be used in academia. However, there are sound reasons for the process being much more formal and rigid in academia, as in the military and public sector. This more formal approach is universal to academia and is unlikely to change as it provides greater accountability and helps eliminate bias when combined with well-defined criteria and standards. Another important characteristic of the promotion process in academia is that promotion and financial reward (apart from annual increments)[36] are infrequent and reward the work of many years. The promotion process in universities is also greatly prolonged[37] occupying most of the calendar year and this probably contributes to promotion assuming a greater significance in the mind of the employee.

**Recommendation 7**: Timelines for annual promotion rounds to be reduced if and where possible. As a starting point dates to be defined by fixed points *e.g.* the closing date for applications to be "the last working day in August".

Another simple but extreme option that would eliminate the time and energy expended in promotion processes is to eliminate promotion entirely as at Oxford University[38] where the "current position regarding academic promotions at Oxford is effectively that there are none". In this environment higher level vacancies are filled by open national and international advertisement and not by promotion. However, Oxford University [39] suffered the consequences of this approach and formed a task force that recommended a change in promotion policy to be operative for 12 years to re-align the workforce to more closely resemble that found in other universities such as Cambridge. It is interesting that under this proposal the criteria for promotion would include excellence in research and teaching and that excellence in administration and management might be acceptable in some cases and that a record of basic good citizenship would be expected in all cases.

The traditional flat staff profile without promotion as exemplified by Oxford University was tenable in a situation where academics were highly autonomous and self-motivated working within a favourable environment which facilitated them in pursuing their goals. This provided the incentive to perform and productivity was a natural outcome of intrinsic motivation rather than incentive-driven. However, the situation has changed dramatically and attractiveness of the academic profession has been operationalized along a number of dimensions[40] pertaining to pecuniary and

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[35] Gil S. Epstein and Melanie E. Ward, Perceived income, promotion and incentive effects, International Journal of Manpower 27 (2006) 104-125.

[36] Staff in professional disciplines may earn external income in some instances.

[37] Preparation, application process, decision-making run for most of the year; compare this situation with a non-government organisation.

[38] http://www.admin.ox.ac.uk/personnel/staffinfo/academic/taskforceonacademicemployment/faqs2008/

[39] http://www.admin.ox.ac.uk/personnel/staffinfo/academic/taskforceonacademicemployment/faqs2008/

[40] Hamish Coates, Ian Dobson, Daniel Edwards, Tim Friedman, Leo Goedegebuure and Lynn Meek, The Attractiveness of the Australian Academic Profession: A comparative analysis, Research Briefing, ACER, 2009. Accessed on 20 February 2014: http://research.acer.edu.au/higher_education/11 The term 'dimensions' as used here is not to be confused with the specific meaning introduced later in this report.

non-pecuniary features. Metcalf et al. (2005)[41] identified several characteristics apart from salary that attract people to the academic profession. Prominent among these are the opportunity to do research rather than to teach, a good working environment, autonomy and freedom to use initiative, level of control over research, flexibility in work hours, and variety in work. Major concerns identified in terms of retention relate to a lack of permanent contract, increased use of fixed-term contracts, levels of pay, perceived excessive workloads and time spent on administrative tasks.

It is important that all of these factors are addressed as institutions face an ageing workforce and an increasingly competitive international labour market. Problems of staff attraction to universities and their retention are global affecting both industrialised and developing countries. Coates et al.[42] observed that the issue of workforce replenishment "not only needs to be framed in terms of the attractiveness of the university sector versus other sectors in Australia, but also in terms of competing higher education systems. This has the potential of turning into a perfect storm if questions can be posed as to the attractiveness of the Australian academic profession."

Informal feedback suggested that promotion was an important consideration in both the attraction and retention of staff. This is confirmed by the data collected in Academic Compass with 93 of the 197 respondents ranging promotion as either very or fairly important to their acceptance of a position at CSU (See Figure 10).

**Figure 10**. Importance of Promotion to Staff Attraction.
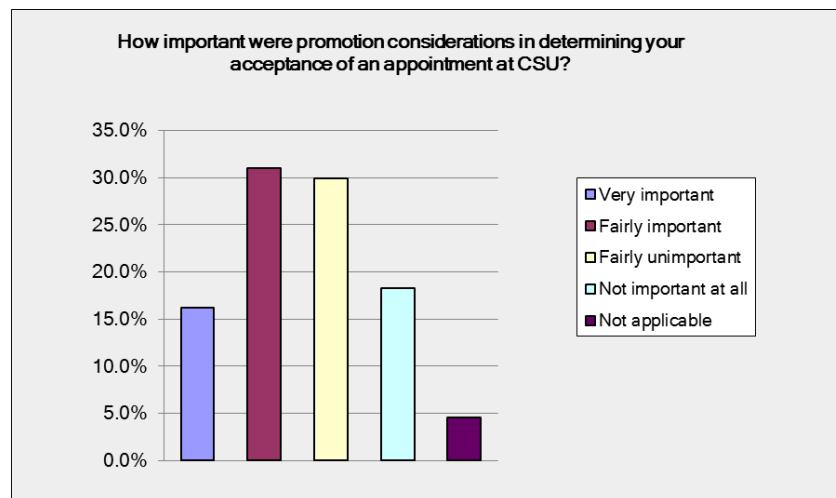


The number of staff rating promotion considerations as important in remaining at CSU rises to 153 of 198 respondents (See Figure 11).

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[41] H. Metcalf, H. Rolfe, P. Stevens, and M. Weale, (2005). *Recruitment and Retention of Academic Staff in Higher Education*. Nottingham: National Institute of Economic and Social Research. Accessed from: http://www.dcsf.gov.uk/research/data/uploadfiles/RR658.pdf

[42] Hamish Coates, Ian Dobson, Daniel Edwards, Tim Friedman, Leo Goedegebuure and Lynn Meek, The Attractiveness of the Australian Academic Profession: A comparative analysis, Research Briefing, ACER, 2009. Accessed on 20 February 2014: http://research.acer.edu.au/higher_education/11

**Figure 11**. Importance of Promotion to Staff Retention.
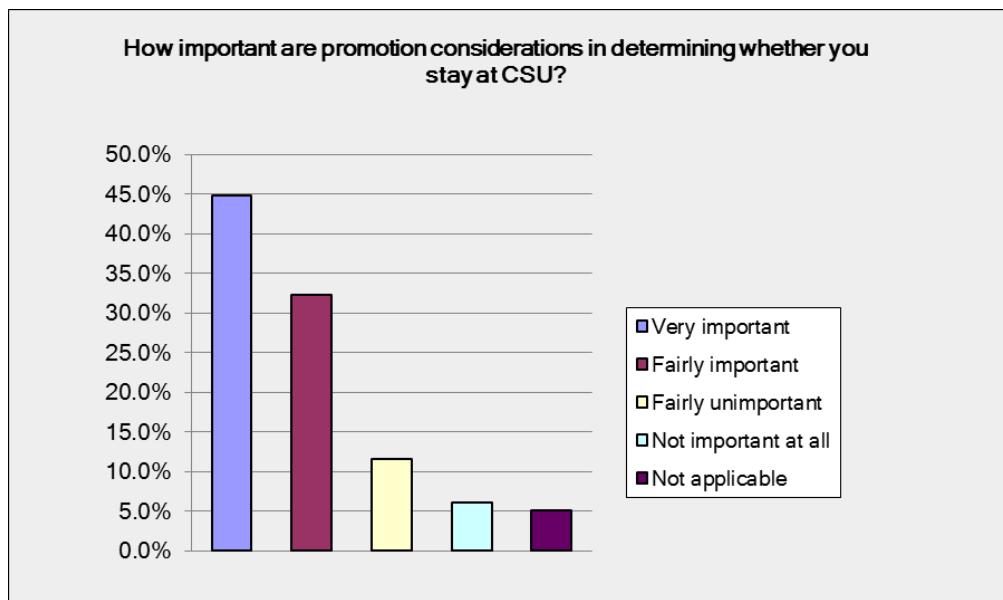


Promotion prospects are clearly an important consideration to both the attraction and retention of staff. Is staff promotion viewed as an incentive, reward or both? Employee attitudes to promotion and, in particular, whether viewed as reward or incentive will vary between employees and with time for a given employee and is related to staff motivation[43]. Rowley[44] argued that several factors contribute to staff motivation that include approaches to financial rewards, the culture of teaching and higher education, the diversity of staff experience and roles, personal autonomy, and organizational structure. Staff motivation as a central issue in evolving quality cultures can be analysed and accounted for in a number of models.[45]

The management attitude across the sector is exemplified by the University of Canberra who clearly see promotion as both incentive and reward: "And at a time when the performance of institutions is at a premium we see little or no incentives for good performance other than the traditional ones of promotion[46]." Promotion at University of Canberra[47] "aims to recognise, reward and retain academic staff whose performance makes a positive contribution to the University strategic objectives." Examining policies of other universities shows that common elements for the purposes of promotion are recognition and reward for performance with a view to development and retention of staff within the institutional framework defined by certain goals and objectives. The appointment and promotion policies and the criteria used to evaluate staff performance provide the

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[43] Ingrid Moses, Promotion of academic staff. Higher Education, 15 (1986) 135-149.

[44] Jennifer Rowley, Motivation and academic staff in higher education. Quality Assurance in Education, 4 (1996) 11 – 16.

[45] Bernard Bushe, Factors that Determine Academic Staff Retention and Commitment in Private Tertiary Institutions in Botswana: Empirical Review, Global Advanced Research. Journal of Management and Business Studies, 1 (2012) 278-299.

[46] The Australian, Wednesday, 27 November 2013 quoting Professor Parker, Vice-Chancellor, University of Canberra.

[47] https://guard.canberra.edu.au/policy/policy.php?pol_id=3220

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clearest indications of the values of a university.[48] Promotion is clearly seen by institutions as an essential element in the successful attraction and retention of staff and most if not all promotion policies emphasise the reward aspect of promotion. However, it is important to note that *it is continued and outstanding retrospective performance that contributes to the university mission and that demonstrates a prospective trajectory that is rewarded in promotion processes*. In no institution is promotion recognised as a prospective opportunity to demonstrate future capability following a successful promotion.

### Do promotion policies and procedures achieve their goal?

The literature and staff feedback establish that promotion policy is very important to staff satisfaction. Do universities perform well in this respect?

It is difficult to obtain quantitative data across the sector but in 1986, Moses[49] reported that academic staff in USA, Britain, Australia and New Zealand had a high level of dissatisfaction with existing promotion practices in their institutions. In particular, academics were dissatisfied with the undervaluing of teaching excellence in promotion decisions. Many also perceived the university as interested more in publications than in scholarship.

It seems that little had changed by 2005 when a comprehensive review[50] of the recruitment and retention of academic staff was prepared for the National Institute of Economic and Social Research. The data relate specifically to the UK situation and although the differences between Australia and the UK must be recognized, there are lessons for CSU. The report identified widespread dissatisfaction with promotion (Page 28) and particularly promotion criteria and lack of transparency. The belief that decisions on promotion at their current university were not at all fair increased the likelihood of staff leaving the sector (Page xvii). Market supplements and Golden Handshakes were seen as unfair and performance pay must be implemented well to avoid perceptions of unfairness (Page xix). In respect of retention, some human resource managers commented that junior staff often found it easier to leave their institution to gain promotion, and acknowledged that staff might be encouraged to stay if internal promotion was less slow and complicated (Page 18).

A report[51] published in 2011 shows that the situation is similar in Australia where academics are concerned about the perceived lack of recognition for teaching in the current promotion processes. Most of the surveyed academics supported reward for teaching but a minority believed that teaching was currently rewarded in academic promotions. Other areas in which academics perceived a large gap between what they believed should be rewarded and what was rewarded via promotions were community service and the ability to attract external funds. In the case of external funding 82.8% of respondents felt that this activity was currently rewarded whereas only 39.0% felt it should be

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[48] Conrad J. Weiser, The value system of a university: Rethinking scholarship. Acta Horticulturae (ISHS) 642 (2004) 129-136. XXVI International Horticultural Congress: Horticulture, Art and Science for Life - The Colloquia Presentations. Accessed on 7 February 2014: http://www.actahort.org/books/642/642_14.htm

[49] Ingrid Moses, Promotion of academic staff. Higher Education, 15 (1986) 135-149.

[50] Hilary Metcalf, Heather Rolfe, Philip Stevens and Martin Weale, Recruitment and retention of academic staff in higher education, National Institute of Economic and Social Research, 2005, Research Report RR658.

[51] Emmaline Bexley, Richard James and Sophie Arkoudis, The Australian academic profession in transition: Addressing the challenge of reconceptualising academic work and regenerating the academic workforce, Centre for the Study of Higher Education, The University of Melbourne, Commissioned report prepared for Department of Education, Employment and Workplace Relations, September 2011.

rewarded. The report provides a summary of earlier large-scale surveys of Australian academics and the insight it provides on motivation, job satisfaction and changes in work practices makes it worth reading. The data on the value that Australian academics place on various teaching and research awards is revealing.

The *Promoting Teaching: International inter-university benchmarking of academic promotion project* involving collaboration between University of Leicester (UK), University of Newcastle-upon-Tyne (UK), University of Wollongong and University of Tasmania found that "Staff perceptions across all four universities indicated that currently staff perceive research activities as having a greater impact on promotion prospects. The majority of staff at each institution indicated that there should be parity in the regard for teaching and research activities in the promotion process and wanted to see a change in culture to recognise teaching. For this to happen, academics said that universities need to ensure all staff are aware of the promotional pathways available to them and that the processes to be undertaken are clear. The feedback suggested this is not always the case and there is some confusion about the opportunities for promotion available to them via a teaching route. Australian academics also commented on the excessive amount of documentation the process requires, which is time consuming to complete. Furthermore, many found measuring excellence in teaching very challenging due to the lack of clear performance metrics, whereas others were simply unaware of the pathways available to them."

Academic Compass demonstrates a similar outcome at CSU. Academic Compass asked respondents to rate a series of activities based on their perception of (a) how important each factor is *currently* regarded for promotion at CSU and (b) how important each factor should be regarded for promotion. Figures 12 and 13 show that there is a considerable difference in how academics see Teaching Activities currently being regarded in the consideration of promotion compared with how importantly they believe it should be regarded. There are similar (but less dramatic) differences between the perceived current regard of Professional & Community Activities and Leadership & Administration Activities compared with the importance academic staff would like placed on these factors. The results indicate that academics believe that Teaching Activities may be significantly under-valued in the current promotions process with similar but less pronounced regard to Professional & Community Activities and Leadership & Administration Activities.

Although the data are not presented here, there was significant alignment in views expressed by academics across Faculties with a few notable exceptions that reflect the different backgrounds of the various staff cohorts.

The CSU Academic Staff Promotion Policy Version 4.5 (TRIM File No. D12/32628) states that the 'purpose of academic staff promotion is to recognise the achievements and professional development of academic staff and their demonstrated capacity to contribute to CSU's mission by undertaking duties at a higher level than their current appointment.' Staff were asked in Academic Compass whether they thought that CSU achieves this purpose and only 15 of 114 respondents replied in the affirmative.

**Figure 12. Current Importance of Factors in Promotion at CSU**

To what extent do you believe the following are CURRENTLY
regarded as important for promotion at CSU?

Very important
Fairly important
Fairly unimportant
Not important at all
Don't know/can't say
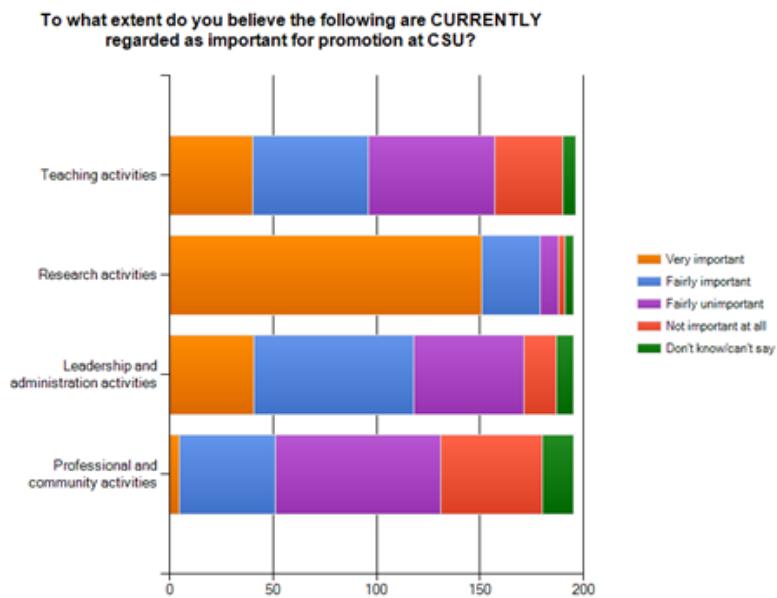
**Figure 13. Preferred Importance of Factors in Promotion at CSU**

To what extent do you believe the following SHOULD BE regarded
as important for promotion at CSU?

Very important
Fairly important
Fairly unimportant
Not important at all
Don't know/can't say
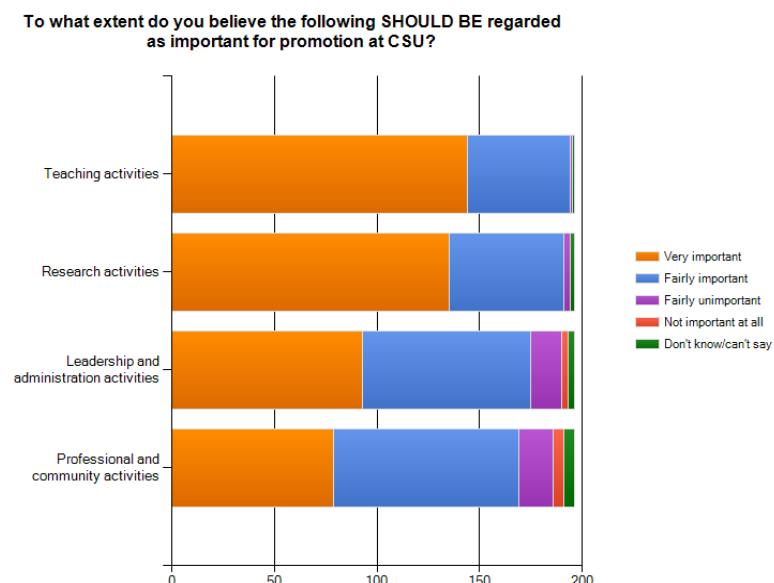
In summary, there is ample evidence that promotion policies and procedures are sources of staff dissatisfaction although this is not a new concern.[52]

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[52] Nessy Allen, Aspects of promotion procedures in Australian Universities, Higher Education, 17 (1988) 267-280.

# 6. Reviews of Promotion Policies

There have been a number of reviews[53] covering promotion policy and procedures. The European University Institute[54] summarises academic promotion in Australia as "merit-based and the applicant has to demonstrate to a committee of peers that there will be an increase of the quality and impact of his activities. Applications cannot usually be made before 2 years passed since the previous application, advancement or recruitment." An examination of the promotion policies and procedures across the Australian sector suggests that this provides a reasonable, high-level insight into the system.

The importance of one's perspective is highlighted by two major reviews of promotion policies in Australia. The first[55] in 2011 observed that "A comparison of academic promotion policy and procedures across the sector *indicates a high degree of uniformity*. This is hardly surprising given universities' desire to provide some level of consistency in recognising standards of excellence across a globally mobile academy. However, there are enough differences in approach between institutions to offer some ideas for new ways of doing things and, potentially, doing them better." The second[56] in July 2013 noted that "the project's reviews of promotion policies *revealed huge differences between institutions*: no two institutions are the same in their approach to academic promotion."

The most comprehensive recent analysis of academic staff promotion policies is probably the second review mentioned above that was conducted in connection with the inter-university benchmarking project.[57] Although the project focused on aspects of teaching and learning in relation to promotions there are a number of observations, conclusions and recommendations that have broader holistic applicability. The report[58] 'Review of Australian HE Promotion Policies' provides a detailed review of the similarities, differences and gaps identified in the policy provisions across the Australian Higher Education sector. There are 38 Australian Higher Education institutions that have a formal Academic Promotion Policy. Policy provisions that were consistently identified were: regular review, the purpose(s) of the policy, scope and eligibility, clear areas for performance and promotion criteria, composition of promotion committee(s), clear evidence of teaching practice, levels of achievement and clear standing on the existence of avenues for appeal. The report also identified certain areas not covered in the literature including promotion committee training and transparency in decision making; advice and assistance offered to potential promotion applicants; and support of academic mentors and supervisors.

Looking at the two reviews from 2011 and 2013 one can only conclude that both groups are correct; there are many similarities but also significant differences in the policies across the sector. The

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[53] Nessy Allen, Aspects of promotion policies in Australian Universities. Higher Education, 17 (1988) 267-280.

[54] http://www.eui.eu/ProgrammesAndFellowships/AcademicCareersObservatory/AcademicCareersbyCountry/Australia.aspx

[55] As quoted in University of South Australia Human Resources Unit, Review of UniSA's Academic Promotion Policy, August 2011.

[56] A.M. Cashmore et al. Promoting Teaching: International inter-university benchmarking of academic promotion. The Higher Education Academy, York (July 2013).

[57] A.M. Cashmore et al. Promoting Teaching: International inter-university benchmarking of academic promotion. The Higher Education Academy, York (July 2013).

[58] As summarized in: A.M. Cashmore et al. Promoting Teaching: International inter-university benchmarking of academic promotion. The Higher Education Academy, York (July 2013).

most important conclusion that can be drawn is a strong argument for more consistency in the sector whilst maintaining individuality.


# 7. Tensions identified by staff consultation

This section of the report collects the specific issues or concerns that were raised by staff of CSU during the consultation phase of the project. It is not possible to determine the attitude of staff who made no contact in the consultation phase of the project. Assuming that staff submissions (written), attendance at staff sessions and contributors to Academic Compass were unique then approximately 65% of staff contributed to the review process. Nevertheless, based on the feedback from staff who chose to participate, there was a significant level of discontent with the current policy and procedures. This is common and has been reported in other studies (*vide supra*). Moreover, one must differentiate between perception (as informed by poor feedback and nurtured by staff talk) and reality; this perception gap must be addressed. For example, the sector perception that staff are not promoted for teaching activities is widespread but as the accompanying Table 6 shows this is not always the case.

Table 6. Successful Promotions (as % of total applications)

| Priority Area for Promotion | Level C | Level D |
|---|---|---|
| Teaching #1 | 81 | 78 |
| Research #1 | 95 | 91 |

Data from University of Wollongong 2006-2012
( http://focusonteaching.uow.edu.au/evidenceforpromotion/index.html )

Mapping responses of CSU staff against sector analysis and promotions literature demonstrates a need for change to the current policy and practices. The staff input highlights instances where practice is not reflective of policy. It is important that senior staff become more sophisticated and pro-active in identifying potential avenues for conflict.

In preparing this report, and in revising the promotion policy and procedures I have endeavoured to give serious consideration to each and every concern expressed by staff and to introduce models of sector best practice.

The concerns raised by staff can be loosely categorised under various headings as:
*Application form*
- Excessive amount of documentation that is time consuming to complete
- Confusing number and array of forms and, related to this,
- Not knowing how to proceed with an application or where to go for advice even after attending several workshops

*Policy*
- Lack of transparency
- Staff not aware of promotion pathways and opportunities
- Recognition of professional or clinical practice
- Issues around relevant professional experience
- Lack of recognition of teaching and learning
- Concern that teaching duties are often neglected in order to meet research expectations
- Attention to research leads to neglect of other activities particularly support for colleagues

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- Inappropriate promotions of staff not meeting criteria
- Individualism versus team/ collegial values in grant income (and publications)
- University claims to value collegiality but there is a perception that individualism is rewarded both in research and teaching. Need to be first or last author[59] for a publication
- Need to be sole person in a grant
- All-rounder applicants poorly understood
- Different set of rules for appointment versus promotion
- There is a perception (not evidenced by data) that gender inequity is still present and there are real concerns about hidden bias.

*Process*
- Lack of clarity and poor definition of current criteria
- No data or understanding of discipline norms
- Misuse of student evaluations of teaching – not set in local or disciplinary context (*e.g.* comments that a particular score is below school average)
- Lack of alignment between verbal advice, textual advice and outcomes of promotion
- Lack of sufficient rigour
- Interviews for Levels D/E not sufficiently probing
- Failure of system to collect all data (*e.g.* research outputs were collected for the fictitious Robert Smith but not collected for the same individual as R. Smith and Rob Smith
- Staff on smaller campuses are spread more thinly and do not have the same support mechanisms
- Promotion is a hurdle independent of other career development activities
- Audit process to ensure accuracy of claims in promotion applications

*Support mechanisms*
- Poor advice *e.g.* "we promote people not on what they have done, that would be ridiculous, but on whether they will do great things in the future"
- Need to revitalize academic staff portfolios
- Reasons for gaps in publication output not recognised and accepted
- Supervisor unable to cross boundaries (*e.g.* Professional background unable to assist traditional academic background and *vice versa*)
- Should have different information sessions for Levels B/C and Levels D/E
- Links to SSP and limited availability
- Mismatch between documentation style and committee decisions (*e.g.* phrase 'demonstrate capacity to' versus the expectation that you will have been operating at the higher level for a couple of years)
- Mixed messages from training sessions

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59 Fortunately there was no need to assess the authors in this paper: First Searches for Optical Counterparts to Gravitational-wave Candidate Events: J. Aasi, J. Abadie, B. P. Abbott, R. Abbott, T. Abbott, M. R. Abernathy, T. Accadia, F. Acernese, C. Adams, T. Adams, R. X. Adhikari, C. Affeldt, M. Agathos, N. Aggarwal, O. D. Aguiar, P. Ajith, B. Allen, A. Allocca, E. Amador Ceron, D. Amariutei, R. A. Anderson, S. B. Anderson, W. G. Anderson, K. Arai, M. C. Araya, C. Arceneaux, J. Areeda, S. Ast, S. M. Aston, P. Astone, P. Aufmuth, C. Aulbert, L. Austin, B. E. Aylott, S. Babak, P. T. Baker, G. Ballardin, S. W. Ballmer, J. C. Barayoga, D. Barker, S. H. Barnum, F. Barone, B. Barr, L. Barsotti, M. Barsuglia, M. A. Barton, I. Bartos, R. Bassiri, A. Basti, J. Batch, J. Bauchrowitz, Th. S. Bauer, M. Bebronne, B. Behnke, M. Bejger, M.G. Beker, et al. (850 additional authors not shown). Looking far enough (neither first nor last) reveals that one of the authors is Brian P. Schmidt, Nobel Laureate in physics. It would not be good to deny him promotion for failing to be first or last author.

- Lack of contingency or succession plan for leadership to support staff
- Lack of plan in performance reviews to develop skills required for promotion
- Need for mentoring to be culturally appropriate

*Supervisor and Referees*
- Conflict of interest when supervisor is also an applicant for promotion
- Staff being assigned positions that "will help with promotion" but do not deliver
- Importance of referee reports[60] (not what you know but who you know) and perceptions that success is related to experience of supervisor
- Emphasis in performance management (Employee Development and Review Scheme) on the management aspect rather than career development
- Lack of reward and recognition for what is valued
- Referees (feedback indicates senior CSU referees are inappropriate at Level B/C despite policy statement)

*Feedback*
- Inaccurate/inappropriate feedback to unsuccessful applicants for promotion (*e.g.* promotion granted to longer-serving staff member)
- Feedback written or at least face-to-face and not by phone

*Teaching versus research*

A recurring issue for staff centres around the recognition of teaching relative to research. The emergence of the ERA in Australia and the RAE in Britain[61] has emphasised the importance of publication (or research) to an academic career. A report[62] to the HEFCE by the Scottish Council for Research in Education, University of Glasgow and Nottingham Trent University identified the tensions in relation to teaching staff in higher education to include:

- encourage staff to develop their careers as teachers rather than becoming research stars or moving into administration in order to gain promotion
- accommodate all-rounders as well as specialists at all levels in an institution
- deal with funding policies that reward research and undermine teaching in higher education
- cope fairly with differential rewards associated with academic research and more practitioner or professional focused links with those outside higher education
- balance individualism and collegial values in higher education
- reconcile the need for flexible staffing strategies with equality of opportunity
- provide better support and training for managers and leaders in higher education
- enhance retention and benefit from staff mobility.

Teaching is generally regarded as the source of most funding at CSU; staff therefore regard it as being unfair that the activity that generates most of the funds does not receive most of the reward. However, both the Threshold Standards (applicable to universities generally) and specifically Section 7 (1) of the CSU Act makes it very clear that research is an essential function of CSU. Governments chose to fund universities based on teaching load but with the assumption that staff

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60 Natalia Zinovyeva and Manuel Bagues, The role of connections in academic promotions, ……. (2012) 1-37.
[61] Gil S. Epstein and Melanie E. Ward, Perceived income, promotion and incentive effects, International Journal of Manpower 27 (2006) 104-125.
[62] Janet Powney, et al. Appointment, retention and promotion of academic staff in higher education institutions, January 2003.

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would engage in research. It is not difficult to envisage a situation in which governments could have chosen to fund research with an implicit assumption of staff engagement with teaching. It is important that this issue is addressed during staff induction so that all staff are aware that research (and scholarship) are *mandatory for the institution, not an optional extra that competes with the demands of teaching.* The concerns of staff in this regard are real and genuine calls for help but the focus is on the wrong issue; it must be redirected to issues of workload generally and not to a research/teaching competition.

Research/teaching tensions were well presented in a 2009 HEA report[63]: "It is important to recognise that the values associated with teaching and research are embedded in a complex, diverse social field. Trowler et al. point out that it is the implementation of combinations of formal policies at the same time that serve to influence practice in contradictory ways and complicate strategic thinking at institutional level. At stake here is how different policy mechanisms and practices interact. As they suggest:

> To be successful nowadays, a university needs to play a number of different games. Each game has different goals and involves different rules. Some are about generating income. Others are about increasing funding through attracting greater student numbers. Some are about enhancing research, and research reputation. The goals are often incompatible, the rules are written separately, in different places by different people. And winning at one may involve compromising in others."

In some ways a teaching/research tension is paradoxical as teaching awards, grants and fellowships now exist[64] to recognize outstanding contributions to learning and teaching, encourage innovation and raise the status of teaching and learning in Australian universities. However, the Promoting Teaching project suggests that fellowships and rewards are not sufficient recognition of teaching unless backed up by career recognition and progression (*i.e.* promotion). The majority of sector staff recognize the importance of teaching and learning and consider that this should provide a basis for promotion. Nevertheless, a research/teaching tension does exist and there is a clear disconnect between staff expectations and promotion outcomes rather than with promotion policies. What has caused this? The problem may be partly perception and also comparing a system in its infancy (teaching and learning) versus one in maturity (research). It is also the problem noted earlier of establishing reliable measures of performance that are acceptable to the academy.

*Other aspects of teaching*
Staff expressed concerns about inappropriate use of student survey data.[65] It is important to recognise that the concern is not about student surveys *per se* but about a poor understanding of their interpretation. It is unfortunate that these surveys originated as a default position to provide metrics analogous to publications and grant income in research because this led to a negative view of their validity. Indeed, in their early inception, student surveys did suffer from many limitations

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[63] The Higher Education Academy and the Genetics Education Networking for Innovation and Excellence (GENIE) CETL, University of Leicester, Reward and recognition in higher education Institutional policies and their implementation, 2009.

[64] Deborah Southwell, Good practice report: revitalising the academic workforce, Australian Learning and Teaching Council, 2012.

[65] M. Shah, and C.S. Nair, The Changing Nature of Teaching Evaluations in Australian Universities. Quality Assurance in Education, 20(3) (2012) 274-288.

but with developments[66] in the design of survey instruments and their interpretation and with improved staff awareness of the limitations and need for normalisation they now form a valid and essential element[67] in the quality arsenal of all institutions. A small minority of universities even specify **metrics** for student evaluation that must be satisfied for promotion. However, most institutions do not specify actual metrics and use student evaluation as one of several measures of teaching performance (e.g. University of Adelaide, RMIT). At CSU, the challenges associated with student surveys have been recognized and a new system has been introduced that incorporates improved methods of data collection. With these changes and an awareness of the need for correct interpretation and normalization of the data it is essential that the value and importance of student evaluation of teaching becomes more widely acknowledged and accepted. Other measures (discussed later) that will hopefully assist and facilitate this change are the introduction of both SmartLearning and The CSU Academic Evidence Framework which recognizes students as one of three sources of evidence.

Staff have also expressed concerns that the difficulties associated with service teaching are not generally recognized. Of course, service teaching requires a two-way dialogue in which disciplines recognise their role in the broader context. The traditional approach to service teaching has ensured the survival of disciplinary integrity by embedding teaching in the relevant discipline. In terms of promotion, supervisors and promotion committees must be aware of the different types of teaching and learning in which staff engage and here, also, SmartLearning should assist. However, as in all aspects of a promotion, there is an onus on the applicant to highlight context in their application.

*Professional practice*
An issue for a number of staff is the recognition of professional practice and the availability of a career pathway for staff engaged in such activities. There is a very significant number of staff in this category at CSU including physiotherapists, nurses, police, dentists, journalists, social workers, veterinarians with a smaller cohort of academic staff engaged in workplace learning. The recognition of professional practice and concerns about its integration into promotion policy is not new or restricted to CSU. In 2010 it was reported[68] that "The ACGME (Accreditation Council for Graduate Medical Education in the U.S.) is emphasizing research for program accreditation and MSU (Michigan State University) College of Human Medicine faculty appointments carry with them a requirement for the demonstration of scholarship. The prospect of having to do research to meet these requirements is daunting to many of us who are clinician teachers but have very little grounding in research. Boyer's definition of scholarship should provide some comfort. What we do every day as clinicians and teachers, whether it be applying what we read in the literature to patient care, teaching about cutting edge techniques, or participation in lively Journal Club discussions, constitutes highly valued scholarly activity."

This tension is however surprising at CSU as the CSU Enterprise Agreement 2013-2016 identifies Teaching and Professional as one of its work function categories. As already noted work functions

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[66] Lyn Alderman, Stephen Towers and Sylvia Bannah, Student feedback systems in higher education: a focused literature review and environmental scan. Quality in Higher Education, 18 (2012) 261-280.
[67] Anne Young, Kevin McConkey and Mark Kirby, Student Feedback Surveys: An Holistic Approach to Maximising Their Value to Staff and Students. Journal of Institutional Research, 16 (2011
[68] Peter G. Coggan, Scholarship and research: A broader definition. Grand Rapids Medical Education Partners, Updates and Resources for Teachers and Learners, Spring 2010. Accessed on 7 February 2014: https://www.grmep.org/system/files/Spring%202010%20.doc%20newsletter.pdf

do not limit the range of academic activities that may be undertaken by an academic but rather describe the major focus of the work of the academic. Moreover, the Teaching and Professional work function is expanded in the Professional Activity Work Function Policy (and Professional Activity Workload Guidelines) which notes the alignment of this work function with CSU's mission to "provide distinctive educational programs for the professions that prepare students for work and citizenship".

The above policy identifies activities that are recognized as legitimate professional activities as:
- transferring/applying new professional knowledge to members of the profession and the broader community through publications, seminars, conferences, websites, etc;
- professional consultancies;
- engagement with or in clinical environments;
- developing, leading and/or evaluating continuing professional education;
- external professional reviews;
- professional practice;
- gaining a doctorate or other advanced professional qualification;
- maintaining professional accreditation;
- research with, for and about the profession and about professional practice; and
- contribution to the development and improvement of policy and practice through involvement in professional/industry associations, accreditation authorities, conference organisations, advisory bodies, and national or international delegations.

The existence of this policy and recognition of the Teaching and Professional Practice work function does not appear to address the concerns of staff engaged with professional practice, and particularly those in clinical sciences related to allied health and veterinary science. This was expressed by one staff member (but representing the views of many) as follows: Appointment and promotion for experienced clinicians in the health disciplines "is often difficult for allied health and nursing where there are clinicians of 10 plus years experience who are renumerated well in the health system and valuable educators for the respective disciplines. If they take on a role in academia, they may not have a postgraduate qualification so the most they can hope to be appointed at either is Lecturer A or B. The promotion system then becomes daunting as they look at undertaking a PhD to be promoted during a time in their lives where many have young families. I believe CSU needs to have a promotions pathway where the clinical skills and currency of practice is rewarded and renumerated so such valuable staff are retained and their experience of academia is positive."

Staff enter professional academic roles via several routes. A common source of valuable staff is from various practice backgrounds and with the following qualifications:
1. with a doctoral qualification and research activity
2. with a doctoral qualification but little subsequent research
3. without a doctoral qualification but some research activity
4. without a doctoral qualification and no substantial research activity

Staff in Group 1 (and probably Group 2 although there are few in this category) do not represent a concern in traditional promotion systems. Staff in Group 3 are very limited in number and together with those in Group 4 (the majority) are suitable for teaching in undergraduate (Bachelors) courses because their degrees are augmented by years of experience. Indeed, it is their experience that makes them good instructors and the currency of their practice is valuable.

The Higher Degree Research Academic Support Scheme has been used to overcome these problems but it has had limited success.The application of this scheme should be reviewed with a view to tighter control and better mentoring of professional staff. This must be accompanied by a culture change that emphasises doctoral studies as a career opportunity and privilege rather than a hurdle that must be satisfied to have a career path. Similarly, the value of research and scholarship in these professional areas must be stressed as a valid means of giving back to the profession by putting professional practice into the literature. These changes should be accompanied by a change in recruitment practices of professional staff to better align with university goals in other areas such as research.

The University confirms the importance for many academics to work in a professional capacity to ensure that they are conversant with current professional practice and to maintain professional registration. However, there are questions that must be answered before we can set standards and expectations around this activity. How do we define professional practice? What does it involve? What groups at CSU are involved in professional practice? What are the unique or distinguishing characteristics? How does teaching in professional practice differ from other areas? Why should it be recognized as different? Are the issues constant across those involved in nursing, dentistry, psychology, veterinary science, teaching and policing, *etc*.?

The challenge is to make a career path available to staff engaged in professional practice that is as rigorous and demanding as traditional pathways. The real concern is in identifying common ground that is acceptable to all staff engaged in professional practice and that provides a career path for advancement whilst meeting the needs of the institution. Expectations of staff engaged in professional practice must be aligned with those of other staff and those of the broader academy to ensure equity. In providing a suitable pathway, there are some assumptions as follows:
- Research/scholarship in its broadest sense is not optional at the university level, it is a mandatory need;
- A doctoral qualification (or equivalence) is mandatory particularly at Levels D and E;
- Equivalence must be the exception and not the norm;
- BUT Professional practice is essential for staff in some areas and must be valued and rewarded.

A promotion track parallel to *teaching focused* positions is one solution. This will require equivalent descriptors of achievement and portfolio development. Such descriptors would require some elements of external recognition and esteem. For example, most clinical practitioners are required to demonstrate and document continuing education for the purposes of professional registration. Formal training (or equivalent) in teaching should be required. Input into curriculum design, facility/equipment innovations, teaching innovations, clinic administration, standards and accreditation are other areas where achievement can be measured.

**Recommendation 8**: To improve recognition of professional practice and to provide a career pathway for relevant staff, a number of changes must occur:
- All academic staff must be engaged in scholarship and their work must be informed by current research in their discipline;
- the induction process must be improved;
- mentoring must be improved;
- a pathway for recognition and promotion for staff whose role in the University combines teaching and professional practice must be recognized.

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Much more work is needed on the selection and training of both formal and informal mentors. Staff mentors must be drawn from all levels including recently appointed staff who have just gone through the induction process.


*Misunderstanding of promotion processes*

Staff submissions indicate an unfamiliarity in some instances with the terminology associated with promotions and that the feedback to applicants following promotion is highly variable in mode of delivery, amount and quality. In some instances, the feedback is not worded with due consideration of the need for high precision to minimise any opportunity for misinterpretation. There is confusion about the semantics associated with '(future) capacity to perform/contribute at the higher level'[69] versus 'expectation that you will have been operating at the higher level for a couple of years'[70]. Staff awareness of the purpose of promotion must be increased; promotion is not granted for satisfactory performance at the current level but rather significantly greater than satisfactory performance or outstanding performance at the current level (*i.e.* demonstrating capability to perform at the next level) makes one promotable. Thus, there is a need to demonstrate performance at the level sought. Melbourne University policy states that "to demonstrate a high level of achievement and promise/excellence/exceptional distinction, it is not sufficient to have performed satisfactorily, even over an extended period. Satisfactory performance at the current level can reasonably be expected of all staff."

Staff also need to be clear about the distinction between 'being promotable' and 'being promoted'. An applicant may satisfy all requirements for promotion and is thus promotable but if the applicant's written application does not provide and establish a case for promotion with appropriate evidence they will not be promoted. Monash University defines aspirational standards above which a staff member may be *eligible to apply* for promotion.

Many staff demonstrate an understandable ignorance of how the promotion policy is put into practice. Staff complaints that individual X was promoted to Level C with only 3 publications whilst individual T was not promoted with 20 publications demonstrate poor understanding of the holistic nature of the process and the importance of both the qualitative and quantitative aspects of the evaluation.

In other examples, staff have not applied for promotion because they have been advised, for example, that they must hold an ARC Large Grant to be successful. Whilst it is true that such a grant will facilitate the success of an application, the policy does not state that this is an essential requirement. In some instances, it appears that staff have been denied the right to apply for promotion because they do not have the support of their Supervisor. It is true that seeking promotion without the support of the Supervisor will be difficult. However, it is also important to recognise that the CSU Promotion Policy does not grant any member of staff the right to prevent an *eligible* member of staff who satisfies timelines from submitting an application. Thus, staff must be educated in the importance of seeking advice from as many independent sources as possible and in

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[69] Academic Staff Promotion Guidelines: Support from Heads of School and Supervisors Version 4.4 TRIM file number D12/34596.
    Academic Staff Promotion: Application Instructions.
    Academic Staff Promotion: Guidelines for Applicants.
    Nomination of Referees Form.
[70] A few staff identified this as being said in advice sessions and in feedback following an unsuccessful application.

triangulating information and especially in checking and verifying advice against the definitive source, the policy document.

**Recommendation 9**: Workshops designed to prepare staff for promotion to include information as follows:

- Myths and staff misconceptions citing relevant examples
- Promotion versus Appointment. Appointment: starts by assessing particular demonstrated need; filling a gap; future oriented based on assessment of what person might do on promise and expectations. Promotion: does not start by assessing needs of the university or academic unit; retrospective element in recognition of past performance to demonstrate prospective trajectory.
- Overview of the promotion process – preparing an application
- The CSU Academic (See Section 9)
- Expectations or what is required for a successful application
- How an application for promotion is assessed
- The CSU Academic Evidence Framework (See Section 9) - types of evidence applicants can use to document their case (qualitative versus quantitative data as evidence; metrics such as impact factors and teaching scores)
- Establishing context
- Selection of referees
- What support is available to assist in preparing for promotion
- How to prepare an Academic Portfolio.

Promotion documentation clearly identifies that one of the nominated referees can be internal for promotion to Level C. Many staff feel obliged to nominate an internal referee (to avoid concerns that they might have something to hide) but Academic Staff Promotion: Guidelines for Applicants notes 'Reports from colleagues are not well regarded unless the internal referee is highly regarded within the institution.' It seems that this advice has also been given in feedback to unsuccessful applicants who have nominated Centre Directors and CSU colleagues at Levels D/E, all of whom should satisfy the criteria of being highly regarded. This is an instance of a clear disconnect between policy and its application at the committee level. However, the information in both the Guidelines and feedback probably represent sound advice based on possible perceptions by promotion committee members of non-independence of referees and it is the policy that needs to be changed. It is important to note that the feedback represents the collective views of the committee and not those of any single member.

**Recommendation 10**: Clearer guidance on nomination of referees to be provided to applicants for promotion.

Whilst acknowledging that senior staff must balance management with academic roles there is a view and concern that career progression via appointment to administrative roles is easier than via academic roles. There is substance to this view and it has not changed in the last four decades. There is a related concern that some staff are being promoted on the basis of management/administration without meeting criteria on qualifications and standards. This is associated with comments such as "One thing that is likely to compromise belief in the system is the adoption of academic titles via the assumption of administrative positions". Nevertheless, staff

acknowledge that it is acceptable for individuals holding a management appointment to be granted a non-substantive title whilst occupying the position. Greater clarity in promotion criteria and alignment of career development processes (such as appointment and promotion) should identify any significant discrepancy between the various processes and permit appropriate corrective action. However, it is important that all staff recognise the important distinctions between appointment and promotion and that these distinctions may lead to some discrepancies.

Appointment to Level E, Professor carries a special responsibility. The word 'professor' literally meaning 'a person who professes' traditionally has been awarded only to senior academics after decades of scholarly work and has been restricted[71] to use by a highly accomplished, outstanding and internationally recognized academic. The Oxford Dictionary makes it clear that a professor is an authority or expert in their field. This practice has been followed in many nations including most Commonwealth countries. However, it is not universal and the USA, for example, uses a much more liberal approach. Similarly, UWA and UC have broken with other Australian institutions and followed the American practice of more liberal use of the title.

**Recommendation 11**: The Promotions Sub-Committee recognises that there are likely to be strong and divergent views on the matter of staff appointment titles but sees no advantage in changing current practice relating to nomenclature.

# 8. Key features of a promotion policy

Staff-held views about promotion are very strong and passionate, diverse and in many instances also divergent. For example, in replying to the Question posed in Academic Compass 'What role do you think the Head of School should play in academic promotion processes?' respondent 42 answered 'a major role' but respondent 43 answered 'a limited role'. Despite the diversity, there was agreement about the need for increased clarity and transparency in both the policy and its application. Transparency is one of the central pillars of good governance. As one member of staff commented "it is vital that the policy and processes are clear and unambiguous and their application is as transparent and equitable as possible." Transparency is a pre-condition for the exercise of accountability since an outcome cannot be assessed against any standard without access to clear, accurate and up-to-date information. Thus, transparency is an essential pre-condition to meeting the threshold standards as defined by TEQSA relating to the number, qualifications and experience of staff active in scholarship of teaching and in research where appropriate.

Transparency implies a duty to act in a way that is visible, predictable and understandable in order to promote participation and accountability (Transparency and Accountability Initiative). Bias is more likely when promotion decisions are based on obscure criteria and the evaluation process is confidential[72] (although privacy laws must be respected). Transparency is seen as a way of increasing the likelihood of a fairer process and reducing bias.

Transparency is not achieved simply by making a policy and procedures available to staff; indeed, too much information may breed opacity. The policy and procedures must be managed and

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[71] There are undertones here that have probably impacted the promotion of staff based on teaching and learning.

[72] Marieke van den Brink, Yvonne Benschop and Willy Jansen, Transparency in academic recruitment: A Problematic tool for gender equality? Organization Studies 31(11) (2010) 1459–1483.

presented in a plain and readily comprehensible language and format that is relevant to staff and accessible.

The principles that underpin a fair and transparent promotion process may be identified from promotions literature, sector analysis and staff consultation as:

- Equity including reward relative to opportunity whilst maintaining academic integrity
- Merit-based
- Sensitive to differences among *disciplines* and between individuals
- *Alignment* with university goals and aspirations (alignment of workload with what is valued by the academy and what is rewarded by the academy and institution)
- Attention to *procedures* with consideration of a stream-lined application process, provision of adequate support mechanisms, feedback to all applicants and a process of review and renewal of both policy and procedures.
- Clearly articulated and well defined *criteria* for promotion
- Well articulated *standards* to enable both applicants and promotion committees to make objective decisions
- *Evidence*-based

These features of a promotion policy are discussed in this and the following sections.

*Equity*

Of the desirable elements of a promotion policy, perhaps the most fundamental is the inclusion of a statement on equity within the policy document. Employment equity involves appointing and rewarding/promoting the best available applicant on merit, based on their skills, experience and qualifications. This does not mean that everyone is treated in the same way but rather in a fair and flexible way recognizing that we have different needs and that some groups have experienced disadvantage, which has impeded their progress.

Acknowledgement of equity is a legal requirement in Australia that is satisfied by all institutions. Promotion policies within the Australian system apply to all staff including those employed full-time or part-time but with the exception of casual staff.

Issues relating to equity have been addressed particularly in relation to gender which has generated a significant literature.[73,74] The HR benchmarking exercise introduced in 2006 (See 'Current Staff Profile' above) in which promotion statistics are supplied annually to the Australian Government demonstrate overall gender equity for most universities. However, there are differences in that success is better for females to Level B and Level C but with lower success to higher levels although this difference may reflect historical differences in appointments. The situation at CSU is not as clear-cut and even at the higher levels success of female candidates is often as good or better than that of males. Nevertheless, there are layers of hidden bias[75,76] that can only be addressed by

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[73] Shulamit Kahn, Gender Differences in Academic Promotion and Mobility at a Major Australian University, Economic Record, 88 (2012) 407-424.

[74] Kirsti Rawstron, Academic employment and gender equity legislation in Australia and Japan, 1970-2010. University of Wollongong, Research Online, 2013. Accessed on 2 April 2014: http://ro.uow.edu.au/cgi/viewcontent.cgi?article=2021&context=lhapapers

[75] Ilana Yurkiewicz, Study shows gender bias in science is real. Here's why it matters. Scientific American, September 23, 2012. Accessed on 30 March 2014: http://blogs.scientificamerican.com/unofficial-prognosis/2012/09/23/study-shows-gender-bias-in-science-is-real-heres-why-it-matters/

individual consciousness of the problems coupled with a pro-active on-going assessment of the situation.

Winchester et al.[77] analysed the policies and procedures in 34 Australian universities, and proposed a number of recommendations to reduce gender bias in promotions:
1. Provision for out-of-round promotions.
2. Opportunities for promotion to all levels, including Level E.
3. Simplified process for promotion from Level A to Level B.
4. Eligibility for part-time staff to apply for promotion.
5. Flexibility in criteria for promotion.
6. Explicit mention of non-traditional careers.
7. Clear equity statement within the policy or guidelines.
8. Training for committee members.
9. Specified gender representation in the composition of the promotion committee.
10. Monitoring, reviewing and reporting by EEO or HR representatives with an equity brief.

Promotion policies of Australian universities generally address the above recommendations with the possible exception of training for promotion committee members.

Equity in terms of interrupted careers was first considered in relation to research output in assessing research grant applications. This principle has been extended to promotions with passionately held but divergent views and it is worth reading some of the literature.[78] Most institutions in acknowledging equity for staff with interrupted or part-time appointments state that achievement must be relative to opportunity but that academic integrity must be maintained. This is achieved by maintaining quality expectations but relaxing requirements around quantitative aspects of career achievements. For example, University of Tasmania expects the criteria for promotion to be satisfied by staff holding fractional appointments "at the same quality as for staff holding full-time appointments, but at a quantity or volume consistent with the fraction of their employment." At Central Queensland University, due consideration will be given "to fractional appointments and interrupted careers through consideration of pro-rata achievements. The University expects these achievements to be of the same level and quality as for full-time equivalent applicants." Thus, qualitative expectations remain the same but quantitative expectations, responsibilities and accomplishments are determined relative to opportunities provided, rather than solely on a quantitative basis. A number of universities (*e.g.* Melbourne University; Monash University) have elaborated guidelines for assessing performance against opportunity.

**Recommendation 12**: Career Management forms for probation, career development (performance management) and promotion to allow staff the opportunity to indicate if there are any EEO matters relevant to the process.

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[76] Katrien Maes, Jadranka Gvozdanovic, Simone Buitendijk, Ingalill Rahm Hallberg and Brigitte Mantilleri, Women, research and universities: excellence without gender bias, July 2012. League of European Research Universities. Accessed on 11 March 2014:
http://www.ub.edu/farmacia/recerca/LERU/LERU_Paper_Women_universities_and_research.pdf

[77] Hilary Winchester, Colleen Chesterman, Shard Lorenzo, and Lyn Browning, The Great Barrier Myth: an investigation of promotions policy and practice in Australian universities, National Colloquium of Senior Women Executives in Higher Education, report prepared for the Australian Vice-Chancellors' Committee, Canberra, ACT, 2005.

[78] Natascha Klocker and Danielle Drozdzewski, Career progress relative to opportunity: how many papers is a baby 'worth'? Accessed 26 February: http://ro.uow.edu.au/cgi/viewcontent.cgi?article=7784&context=scipapers

**Recommendation 13**: The University to investigate and develop a policy on the meaning and interpretation of 'performance relative to opportunity' as it relates to career management processes at CSU.

*Merit-Based*

In any promotion system, the number of promotions may be capped or unlimited except by the quality of the applicants. The trend in the Australian university sector is toward merit-based non-quota systems in which resource allocations are not relevant to the case. The sector is generally "more concerned with academic excellence, indicated by the demonstrated quality of the contributions and their significance as indicated by evidence of their impact."

What does it mean to say that university promotion systems are merit-based? The essence of merit criteria[79] is that they are pre-defined, universal and impersonal to ensure that decisions are made without regard to gender, politics, religion, race, marital status, disability or other equity considerations.[80] A merit-based system means that expectations and outcomes can be assessed against explicit standards for promotion criteria such as teaching, research, service and leadership matched to the appointment level. It is for this reason that objective metric data are preferred as outcome measures rather than subjective measures. However, the measures are probably most sophisticated and refined in the case of research but even here there is a significant component of the assessment of the merits of output that remains subjective.

The University of South Australia goes so far as to define merit as "the extent to which each of the applicants has abilities, aptitude skills, qualifications, knowledge, experience (including community experience), characteristics and personal qualities relevant to the carrying out of the duties in question." However, most policies of Australian institutions simply state that applications will be assessed on merit.

The assumptions, perceptions and values of members of promotion committees determine how the principle of merit is applied. Each member of a committee brings "*their own assumptions and values to the promotions process, the key is to recognise and question the validity of the assumptions and perceptions to ensure that a fair and equitable assessment of the merit of the case presented by the applicant is provided*" (Adelaide University). However, as reported by University of South Australia how merit is recognised and valued is influenced by the dominant culture in an organization and a concept is developed over time about the expected and valued attributes of what is regarded as a traditional or normal applicant. Care must then be taken when assessing an applicant whose skills and career path may not correspond with the 'normal' culture. An area of particular concern is addressed in many university policies; for example, University of the Sunshine Coast "applies the criteria defining merit objectively, rigorously and fairly' so that the academic performance of each applicant "is evaluated *in relation to the norms that prevail in the applicant's particular discipline* or field."

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[79] M. Nakhaie, Universalism, Ascription and Academic Rank: Canadian Professors, 1987-2000. Canadian Review of Sociology and Anthropology 44 (2007) 361-386.

[80] Alice Shibia Rupia, Garashi Hammad Musa, Ogodo.M.J. Nandi, and Odhiambo Odera, Perception of Civil Servants towards Promotion on Merit. American International Journal of Contemporary Research, 2 (2012) 48-54.

**Recommendation 14**: CSU to use a merit-based non-quota system of promotions with the provision to apply quotas at the discretion of the Vice-Chancellor.

*Recognition of Differences arising from Academic Discipline*
Most academics still derive their primary sense of values from their discipline as evidenced by the strong interconnection between disciplinary culture and disciplinary knowledge. The "widespread acknowledgement of the importance of subject-specific interpretation and *disciplinary communities*" is emphasized in a 2009 report[81] on academic standards. The importance of disciplines is also acknowledged in the existing CSU promotion policy (*Academic staff promotions allow CSU to identify and foster academic leadership in the development of disciplines*) and although disciplines share some common features there are many important distinctions[82, 83] that must be recognized in promotions. This is particularly important in an institution such as CSU where the fundamental administrative unit, the School, is based on a mix of both administrative and academic considerations.

Some of the differences between disciplines are fundamental and philosophical but they have practical outcomes in terms of research output (number and type of publications), conventions about authorship, impact of different data sources and citation metrics on comparisons between disciplines[84,85] and level and source of grant income. Disciplines also differ in the importance of accreditation standards although this is probably more correctly aligned with engagement in professional practice than reflecting a disciplinary impact.

The impact of disciplinary differences on teaching and learning are less obvious and have not been as well documented until comparatively recent times although a rich literature[86,87,88] on disciplinary influences on teaching and learning has now developed. The paper by Neumann[89] highlights the importance of discipline on how academics function as teachers. It would make useful mandatory reading as a practical guide to the impact of academic discipline on teaching for all academics including those involved in promotion processes. Neumann highlights practical outcomes attributable to disciplinary influence as the relative importance of tutorials, laboratory classes,

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[81] Kerri-Lee Harris, International trends in establishing the standards of academic achievement in higher education: An independent report and analysis, Prepared for the Australian Universities Quality Agency, August 2009. Accessed on 18 March 2014:
  http://www.cshe.unimelb.edu.au/research/teaching/docs/Intl_trends_standards_Harris_Aug09.pdf
[82] Willis A. Jones, Variation among academic disciplines: An update on analytical frameworks and research. The Journal of the Professoriate, 6 (2011) 9-26. Accessed on 13 February 2014: http://jotp.icbche.org/2012/6_1_Jones_9_finalBBJ.pdf
[83] Jonathan D. Linton, Robert Tierney, Steven T. Walsh, What are research expectations? A comparative study of different academic disciplines. Serials Review, 38 (2012) 228-234. Accessed on 13 February 2014: http://www.sciencedirect.com/science/article/pii/S0098791312001360
[84] Anne-Wil Harzing, Citation analysis across disciplines: The impact of different data sources and citation metrics, University of Melbourne, 2010, http://www.harzing.com/data_metrics_comparison.htm
[85] Amberyn Thomas, The University of Queensland, http://libraryconnect.elsevier.com/articles/2013-12/university-queensland-library-partner-scholarship
[86] Jens-Christian Smeby (1996) Disciplinary differences in university teaching. Studies in Higher Education, 21 (1996) 69-79.
[87] Sari Lindblom-Ylänne , Keith Trigwell , Anne Nevgi & Paul Ashwin, How approaches to teaching are affected by discipline and teaching context. Studies in Higher Education, 31 (2006) 285-298.
[88] Janice Malcolm (2010) The university and its disciplines: teaching and learning within and beyond disciplinary boundaries. Teaching in Higher Education, 15 (2010) 117-119.
[89] Ruth Neumann, Disciplinary differences and university teaching. Studies in Higher Education, 26 (2001) 135-146.

contact hours, preparation time and undergraduate teaching loads. The differences in time spent teaching and the type of teaching *rather than accidental artefacts represent genuine differences between the disciplines due to paradigm status and specificity of language. Curriculum and assessment issues are also strongly influenced by different values and emphase*s. Major differences in postgraduate research education are largely determined by discipline.

Promotion systems must acknowledge and recognise these inherent functional differences between the sciences, humanities, social sciences and professional areas. *The university must be mindful of these inherent disciplinary differences when interrogating and using data relating to individuals and comparing to disciplinary norms.* Monash University in documentation of promotion committee procedures states: "When assessing whether a candidate has met the criteria for promotion, committee members should be aware that there are differences between academic disciplines, including in the way teaching is delivered and research is undertaken and recognised. Committee members should have an understanding of how these differences relate to applications for promotion."

In many institutions, supervisors play a critical role in ensuring that promotion committees understand discipline norms.[90] Macquarie University addresses this issue by requiring completion of a Discipline Report by the relevant Head of the Discipline as a factual report having two main purposes:

1. "It provides an opportunity for the Head of Department to detail the nature of an applicant's discipline.
2. It allows each member of a Promotion Committee to interpret the significance of the applicant's achievements in relation to the discipline standards and the area of the applicant's work."

The Discipline Report is not a reference and is not designed to provide advocacy for an applicant but rather to provide the promotion committee with disciplinary context. Other institutions define discipline-specific performance standards that cover all academic staff.

However, the *applicant also has a critical role* in framing their application to highlight disciplinary expectations. The existence of a Disciplinary Report does not exonerate the applicant from constructing an application that highlights where they sit relative to their discipline norms.

Establishing Disciplinary Reports at CSU will require definition of disciplines on academic grounds without a superimposed administrative layer as was the case with the disciplinary codes previously employed at CSU. The process should be driven by staff under the direction of Academic Senate and should be completed and implemented for 2016.

**Recommendation 15**: *The university to establish qualitative and quantitative disciplinary standards including metrics[91] appropriate to its areas of concentration and these standards to form the nucleus for preparation of Disciplinary Reports* which should be updated as necessary.

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[90] Hilary Winchester, Colleen Chesterman, Shard Lorenzo, and Lyn Browning, The Great Barrier Myth: an investigation of promotions policy and practice in Australian universities, National Colloquium of Senior Women Executives in Higher Education, report prepared for the Australian Vice-Chancellors' Committee, Canberra, ACT, 2005, page 14.

[91] See, for example, Central Queensland University, Edith Cowan University, Monash University, University of Tasmania. UNSW provides faculty specific guidelines for promotion that should assist in the design of relevant reports.

The Smart Learning/Smart Tools initiative presents CSU with the potential of a multi-method approach to the generation of feedback about the lifecycle of subjects and courses and an opportunity to eliminate the overreliance on uni-dimensional measures of performance in Learning and Teaching. These initiatives should deliver staff the opportunity for feedback from a range of stakeholders including self, student and peers about subject and course design and implementation that would include student engagement and performance. Promotion committees should expect excellence across all aspects of feedback using both qualitative and quantitative measures. However, in instances where the measures of feedback are inconsistent (as might occur in service teaching) the promotions committee would be looking carefully at how the applicant addresses the issues in the promotion application (not necessarily expecting a solution but looking at the quality of the reflective practice and problem solving represented in the application).

**Recommendation 16**: Promotion Committees to be instructed about the importance of factors that can influence teaching outcomes.

**Recommendation 17**: Once it has been evaluated and confirmed as an effective indicator, information obtained via Smart Learning/Smart Tools to be incorporated into the auto-download information that is to be built into career management including promotions.

Self-assessment has not been incorporated in the promotion process. An individual's own assessment is often a component of performance appraisal and its extension to promotion appears logical. However, there are problems associated with self-assessments which are often flawed and certainly introduce bias to the outcomes.[92]

Each member of staff is unique and brings a different set of experiences, strengths, perspectives and interests to their position. It is unrealistic not to recognize the opportunities that this presents. The goal should be to have a team of outstanding performers working synergistically to produce the outcomes specified in the University strategy. The promotion policy and procedures should ensure that this goal is encouraged and rewarded.

## *Alignment issues*

It is crucial for the promotion policy to be aligned with relevant legislation, other development aspects of staff careers, and with the strategic directions of the university. Some of these are covered by statutory requirements such as issues relating to equity whilst other alignments are highly desirable in terms of good management practice. The alignment process should begin with the recruitment process in choosing the right staff in the first place and continue through probation and career development.

It is unlikely that alignment will ever be achieved in all instances. For example, the source of university funding (*e.g.* percentage of income derived from various activities) with workload allocations and promotions is unlikely and undesirable; for example, no funding source *directly* supports service/engagement but these are essential components of academic function and are

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[92] Zhe Chen and Simon Kemp, Lie hard: The effect of self-assessments on academic promotion decisions. Journal of Economic Psychology 33 (2012) 578–589.

implicit in government legislation about the sector. This must be recognized, accepted and the debate shifted to a higher plane.

The alignment between promotion criteria and the strategic directions of an institution are crucial factors. The National Academy for Academic Leadership[93] in the US noted that the "closer the match between the mission of an institution and the priorities as described in the promotion and tenure system, the more productive the faculty will be in helping the institution reach the goals that have been identified." The National Academy also noted the all too common disjunction between the priorities as articulated in University Mission Statements and the activities that are recognized and rewarded by the system of promotion. Closer to home, the University of Melbourne[94] emphasises the importance of aligning promotion with strategic directions in stating that "promotion of academic staff is designed to recognise and reward high performing staff in *all Work Focus categories*."

At CSU staff perception as measured by Academic Compass is that the current promotion policy[95] and the outcomes of the current policy[96] do not adequately reflect the University strategy.

Best alignment will be achieved when staff workload reflects the university strategy and staff see that the university (and wider academy) rewards what is valued. At CSU, promotion processes must align with strategic objectives in the areas of learning and teaching, practice-based education, research, indigenous education and sustainability; and integrate with university initiatives such as Smart Learning. However, this places an onus on staff as well as the institution; staff must ensure that activities in which they engage are assessed against three questions: Does my involvement in this activity have a positive impact on my career progression; 2) Does my involvement in this activity have a positive impact on other staff members, the school, faculty, and University itself, including its students; 3) Does my involvement in this activity have a positive impact on the wider academy and the community. If the answer is in the affirmative, the onus is then on the institution to recognise the behaviour in career development.

**Recommendation 18**: The recruitment, appointments, probation, performance management, Adjunct Appointments and Special Studies Leave Program policies to be examined closely and changed where necessary to ensure alignment with the new promotion policy.

**Recommendation 19**: A session to be conducted at the 6-month mark as part of the induction process for ALL new academic staff. This module should cover aspects of the rich culture and tradition of the university sector as well as both corporate and academic governance and the importance of a creative productive tension within this arrangement. Other aspects that should be included are the current operating framework.

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[93] Robert M. Diamond, Priorities and the Promotion and Tenure Process: The Faculty Reward System. http://www.thenationalacademy.org/readings/priorities.html

[94] http://policy.unimelb.edu.au/MPF1221

[95] Do you believe that the current promotions policy adequately reflects the University strategy? Affirmative 12.4%; Negative 56.6% and Don't know 31.0%.

[96] Do you believe the outcomes of the current promotions policy reflect the University strategy? Affirmative 8.1%; Negative 52.3% and Don't know 39.6%.

## *Procedural issues*

Procedural details vary across the sector in a number of ways. The system at most Australian institutions entails an annual promotion round with individuals initiating the process by submitting an application that establishes the merits of their case against pre-defined characteristics. The applicant-initiated process is universal in Australia but this is not the case everywhere and, in at least two UK institutions[97], individuals do not apply for promotion. Instead, heads of department or faculties nominate individuals. In both institutions, consideration has been given to switching to self-nomination, but has been rejected. For example in one, it was decided not to change it in this way because of concern that it would only benefit staff with more confidence.

The annual promotion rounds involve assessment by promotion committees. The degree of formality and paperwork varies between universities and according to the level of promotion. A common complaint by staff about promotion is the amount of paperwork that is involved and the need to submit an application at all. Staff more familiar with a commercial environment express the sentiment that their peers are familiar with their work and readiness for promotion and they should be empowered to make the decision. It is possible to have some sympathy with this sentiment whilst recognising the problems associated with such a system. A promotion process with limited accountability will not gain traction and is not going to prevail in a university engaging with public funds. Committee processes as currently used universally in the public sector both in Australia and elsewhere make mistakes but they do provide a level of checks and balances.

*Application Forms*

The sector norm involves a diversity of forms advising applicants on policy, procedure, guidelines, etc. However, this array of forms is confusing as each form often uses subtly different language that is potentially confusing. This is clearly an instance where too much information serves to increase opacity rather than improve clarity.

**Recommendation 20**: The number of relevant 'forms' to be reduced to a promotions policy and a promotions procedure; the latter to contain guidelines, advice, etc and to be hyperlinked where appropriate but these forms are the two initial ports of call for all matters about academic promotion (for both management and applicants).

*On-line Application*

A number of universities now use an on-line application process. The Performance Management Dashboard being developed by the Faculty of Arts under the direction of Dr. Morgan Luck provides the university the opportunity to support rapid progress of this project to allow integration and implementation with the new promotion policy. This work currently involves the creation, development and support of:
-    a database which collates performance indicators from sources such as:
     • Research Office: Research publication outputs; Grant Income received; Grant applications submitted; Registered HDR supervisions;
     • DSL: OES scores; Overdue assessment return; Overdue subject outline activations; and

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[97] Hilary Metcalf, Heather Rolfe, Philip Stevens and Martin Weale, Recruitment and retention of academic staff in higher education, National Institute of Economic and Social Research, 2005, Research Report RR658, p. 178.

- DHR: Outstanding OHS/Induction Modules; performance development activities undertaken.
- a webpage which displays the above performance indicators for managers and staff in the one place; and
- a webpage that provides collective information to line managers in order to determine performance benchmarks.

An on-line application system will facilitate integration of probation, career development and promotion processes. Moreover, the addition of new fields as these policies are updated and new information sources become available will be a relatively easy task.

**Recommendation 21**: The University develop an on-line submission process (Career Development Dashboard)[98] using the template presented in Appendix A as the basis for a system which allows fields to be auto-populated with data from the Division of Human Resources, the Research Office and the Division of Student Learning.

**Recommendation 22**: The Career Development Dashboard to be used in all career-related activities such as probation, career development and promotion.

*Eligibility*
There is variability across the Australian sector in rules governing eligibility to apply for promotion. In general, all staff holding a continuing or fixed term, full-time or part-time appointment are considered eligible to apply for promotion although staff on extended leave (6 – 12 months or more) without salary are sometimes excluded.

Some Australian institutions expect but do not require that staff will be at the top of the incremental scale before applying for promotion. Other universities specify a minimum service requirement and in many institutions, staff must have a recent (what is defined as recent varies) satisfactory performance management report as an eligibility requirement.

**Recommendation 23**: Academic staff to be eligible for promotion after completing probation and following at least one satisfactory performance management report.

The position of casual staff has not been addressed in promotion policies which is surprising given the extent and importance of casualisation across the sector.[99]. Indeed, most if not all Australian university promotion policies specifically exclude casual staff from eligibility to apply for promotion. This may be because promotion is not seen as the most appropriate and effective means of rewarding casual staff, but universities do have a responsibility to develop alternative improved ways of rewarding and recognising their contribution.[100,101] It is important that permanent staff are

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[98] See for example: http://www.usyd.edu.au/provost/academic_promotions/welcome

[99] A. Percy, M. Scoufis, S. Parry, A. Goody, M. Hicks, I. Macdonald, K. Martinez, N. Szorenyi-Reischl, Y. Ryan, S. Wills & L. Sheridan (2008). The RED Report, Recognition - Enhancement - Development: The contribution of sessional teachers to higher education. Sydney: Australian Learning and Teaching Council, 24p. Accessed from: http://ro.uow.edu.au/asdpapers/135/

[100] Marina Harvey, Setting the standards for sessional staff: Quality learning and teaching. Journal of University Teaching & Learning Practice, 10 (2013). Accessed from: http://ro.uow.edu.au/jutlp/vol10/iss3/4

aware of their responsibilities under TEQSA to casual staff and for the teaching performed by casual staff under their supervision.[102]

*Support for Staff*

A wide range of options is available to support staff in preparing for promotion such as the academic promotion toolkit available at the University of New South Wales. The support process must commence during probation and be continued through performance management processes. The most important step that CSU can take to support staff in their preparation is to closely align probation and career development with promotion. This should facilitate an individual in deciding whether and when to lodge a promotion application and also simplify the application process itself.

A number of universities[103] including CSU provide support by way of advice on preparing the application. University of Western Australia offers regular workshops to assist staff on promotion procedures. The promotion committee meets monthly (except January and July) to allow staff flexibility in preparation of an application and the Executive Officer of the promotion committee is available to provide advice. The most significant initiative is the provision of a complementary Performance Appraisal Review that provides staff with transparent, structured feedback on their performance and provides a framework for assessing their readiness for promotion. The integration of principles and procedures relevant to promotion into probation and performance management should fulfil this purpose. However, the availability and provision of workshops for applicants should continue.

**Recommendation 24**: The Division of Human Resources to continue provision of workshops to assist staff in preparing for academic promotion.

A significant aspect of staff dissatisfaction relates to perceptions rather than reality. Reports of previous unsuccessful attempts assume more importance than the much greater number of successful applications. Inevitably those outside the process concentrate on particular aspects of a successful or unsuccessful application (*e.g.* number of publications, teaching assessment score) and draw conclusions. An imperative is to educate staff in the notion that an application is judged holistically and that the decision examines both quantitative and qualitative aspects of an application. The applicant must demonstrate what they have done, the outcomes of what they have done, and the evidence for both what they have done and for the outcomes they have achieved.

**Recommendation 25**: Workshops preparing staff for promotion to incorporate information on the process by which applications are assessed.

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[101] Robyn May, Glenda Strachan and David Peetz, Workforce development and renewal in Australian universities and the management of casual academic staff, Journal of University Teaching & Learning Practice, 10(3), 2013. Accessed from: http://ro.uow.edu.au/jutlp/vol10/iss3/3

[102] Geraldine E. Lefoe, Dominique Rene Parrish, Lynne Maree Keevers, Yoni Ryan, Jo McKenzie and Janne Malfroy, A CLASS Act: The teaching team approach to subject coordination, Journal of University Teaching & Learning Practice, 10(3), 2013. Accessed from: http://ro.uow.edu.au/jutlp/vol10/iss3/8

[103] For example, University of New South Wales.

Other support measures are the provision of advice from successful applicants[104] and availability of promotion mentors (*e.g.* University of Western Sydney) drawn from the pool of previously successful applicants. Acceptance of promotion signifies agreement to act as an academic promotions mentor[105]. However, mentors must be chosen carefully as success at promotion does not necessarily qualify one as a mentor. There is a specific need for mentors to assist applicants from culturally and linguistically diverse communities to understand the cultural significance of terms such as leadership and national recognition. These terms may have different meanings in other cultures and what is accepted as leadership in the Australian culture will be perceived by some communities as disrespect.

**Recommendation 26**: The Executive Deans with the support of the Division of Human Resources to screen successful promotion applicants for suitability as an academic promotions mentor. This includes the need to address the specific needs of staff from culturally and linguistically diverse communities.

**Recommendation 27**: The Division of Human Resources to ensure that staff selected as academic promotion mentors are trained and equipped to give *consistent and accurate* informed advice to applicants.

**Recommendation 28**: The Division of Human Resources to establish on-line a list with short biographies of approved and trained academic promotion mentors.


Lyn Alderman of QUT has designed a Teacher Evidence Matrix that is designed to allow staff to self-score or assess their teaching. When combined with better alignment of career development and promotions this should improve the ability of staff to accurately self-assess their readiness for promotion.

**Recommendation 29**: Charles Sturt University is encouraged to look at adapting the Teacher Evidence Matrix for use by its staff and to extending the model to other areas of a promotion application.


*Supervisor*
At CSU the supervisor of an applicant is typically a Head of School. However, varied academic structures across the sector mean that supervisors hold different titles and the direct supervisor can be hard to identify in policies of other universities. The role of Supervisors in the application process can also vary widely across the sector. In some instances, the role of the supervisor commences with the applicant's decision to seek promotion and the supervisor is required "to give confidential advice and other forms of support to potential candidates" (University of Sydney). Such advice extends to the prospects of promotion and how to prepare an application.

The role of a supervisor at Charles Sturt University is similar to that at most Australian institutions. The Supervisor plays a dual role in assisting candidates prepare for application and in providing non-advocacy advice for promotion committees. As the Supervisor has responsibility for career development it is appropriate that the Supervisor retain responsibility for oversight of the provision

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[104] For example, see https://www.youtube.com/watch?v=qekpuQJ4nUk&feature=player_embedded
[105] Extend "Shadowing, Mentoring, Coaching" to include this aspect of mentoring and hyperlink.

of assistance to promotion candidates. Direct mentoring assistance should be provided by the academic mentor but the supervisor has a responsibility to ensure familiarity with the applicant's case for promotion. It is also the responsibility of the Supervisor to provide advice to the applicant on the prospects of promotion although this should be an on-going process via career development. However, a supervisor or any other person cannot deny the right of an individual who meets eligibility criteria to submit an application.

A supervisor role common to all institutions is the provision of a supervisor's report to the promotion committee. At the University of Sydney the supervisor must seek advice from other members of the School before completing the report but this is rare. The report may involve commenting on more general aspects of performance such as contribution or service to the School (*e.g.* Griffith University) or more specific information such as achievements in the applicant's discipline relative to School norms (*e.g.* University of Western Sydney). The requirement for the supervisor to comment on matters relating to academic discipline may be appropriate at some universities and in some instances at CSU also but this will depend on administrative arrangements. In cases where the supervisor and applicant are from distinctly different disciplinary areas this requirement is not appropriate and can create perceptions around lack of expertise. These perceptions are best avoided *in all instances* by leaving comments about disciplinary expertise to be explored by referees.

Centre Directors have queried their role in the promotion process. It is appropriate that Centre Directors have the opportunity to contribute to the Supervisor Report where relevant.

Applicants generally have right of reply to reports by their supervisors.

The role of the supervisor does not conclude with the submission of an application as the supervisor is often involved in providing feedback to applicants.

**Recommendation 30**: The report of the applicant's supervisor to be restricted to comments on aspects of the applicant's contribution to teaching, research and their leadership and engagement including collegiality in the School context and beyond and attestation to the accuracy of all claims in the application.

**Recommendation 31**: The applicant has right of reply to the report by the supervisor.


*Referees*
All institutions in Australia require referees to comment on promotion applications. However, the diversity in manner of appointment and number of referees varies greatly across the sector although the expectations of number and standing of referees increases for promotion to higher levels as does the control over the process of appointment. In some institutions, applicants contact referees and ask for confidential reports to be submitted. In other cases, applicants provide a pool of names from which referees are selected by a Dean or member of Human Resources.

Applicants are expected to choose referees who can provide a balanced perspective across the applicant's career and areas of strength (research, teaching, service, etc). Referees are expected to provide balanced, impartial and objective advice on an applicant's achievements and worthiness for promotion, and not merely act as advocates for the applicant.

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Institutions generally require declaration of any actual, potential or perceived conflict of interest or any personal or professional connection between the applicant and the nominated referee that may prejudice their independence. However, what constitutes conflict of interest is interpreted differently. For example, some institutions require that the nominated referees have not published with the applicant. Most institutions reserve the right to identify the need for, and solicit further advice from any person(s) with relevant expertise.

**Recommendation 32**: All applicants for promotion are required to nominate three referees who will be contacted by the Division of Human Resources to provide confidential reports on the candidate's application. After receiving the nominated referee reports, in the case of applications for promotion to Level D or Level E, the Executive Dean will nominate and contact up to two additional leading scholars at professorial level in the applicant's field whom the University will invite to comment on the standing of the applicant's achievements. The Executive Dean may send a copy of the application to these additional scholars, excluding the confidential referee reports.

The promotion committees will review referees' reports for all applicants seeking promotion to Levels C, D and E, and may seek to obtain referee reports for applicants seeking promotion to Level B where, in the view of a Promotion Committee, such reports may assist in determining the merits of an applicant.

As well as the referees nominated by the applicants, the promotion committees may seek the opinions of additional referees within the applicant's particular discipline.

When nominating referees for promotion to Level B, at least one (1) of the referees must be external to the University and preferably be acknowledged as a national or international authority in his/her discipline area.

Applicants applying for promotion to Level C may nominate one referee internal to the University but all three referees must be of at least national standing in a relevant discipline.

Applicants applying for promotion to Level D must nominate referees of at least national standing in a relevant discipline. Referees internal to the University would be considered inappropriate unless of special standing.

Applicants applying for promotion to Level E must nominate referees of international standing in a relevant discipline. Referees internal to the University would be considered inappropriate.

Former staff of Charles Sturt University are regarded as internal if they left CSU employment in the previous five years.

        Some Guidelines on choosing referees
The following guidelines are provided as advice to applicants in the selection of appropriate referees. An applicant is entitled to ignore this advice particularly where special circumstances prevail (*e.g.* an internal referee is highly esteemed at the international level) but the applicant will need to justify choices in such cases.

With the exception of Level E, applicants should nominate referees who hold an appointment higher than the level to which they are seeking promotion.

In establishing an international reputation, referees generally should not be chosen from a single country outside Australia. For example, a person recently arrived in Australia is not necessarily establishing an international or global connection in nominating three referees from their country of origin.

In the case of referees chosen for professional expertise or their role in industry or in government, the applicant should clearly establish the standing of the referee in their nomination. It is important that referees falling into this category have an appreciation and understanding of academia and the academic framework with the need for their report to be analytic and not a simple letter of support.

The most important considerations in choosing referees are credibility, independence and objectivity. What is the status of the referee and what is their ability to provide independent, knowledgeable or informed and unbiased commentary on the applicant's work.

Two questions are worth considering: Is there any way in which this person might appear to bring bias to his/her report? Answers such as occupying the next door office, member of same School, power imbalance in favour of applicant, *etc* could indicate potential bias. The second question is simply a re-wording of the first: Is there any way in which the credibility of this referee could be questioned? If the answer is yes due for example to close collaboration then, in both cases, the person should only be chosen where a good case can be mounted for using this particular referee.

*Promotion Committees*
There is diversity among Australian universities in several respects to promotion committees. The number of committees varies across the sector although there is probably a trend to devolve authority for promotions to Faculties up to the particular university's notion of what constitutes career grade.

**Recommendation 33**: Charles Sturt University to reduce the number of promotion committees to two (2); one Faculty-based covering promotions to Level B and to Level C and the other university-based covering promotions to Level D and to Level E.

Membership of promotion committees is also extremely variable. There are usually a number of *ex-officio* members plus elected or nominated members. The system of nomination or election varies between universities. Higher level university committees are often chaired by the Vice-Chancellor but not in all institutions. The trend is towards greater academic representation and less involvement of line management. In many institutions the Chair of Academic Senate is a member of all promotion committees whilst some universities have several Academic Senate nominated members on the committees. The inclusion of Academic Board members or nominees may be part of mitigating academic risk. The move to reduce representation of line management may relate to concerns expressed by staff at CSU that promotion "depends on how good an advocate you have" or concerns that decisions may be influenced by budgetary considerations. It is important in terms of removing perceived bias that direct line management is not involved in promotion committees.

**Recommendation 34**: The Faculty Promotion Committees to have the following membership:

- Relevant Executive Dean *ex officio* as Chair;
- Presiding Officer, Academic Senate *ex officio*;
- PVC (Student Learning)
- Four members of academic staff (from different Schools within the Faculty but not necessarily representing all Schools) all of whom must hold a substantive appointment at Level C or above with two holding substantive appointments at Level D or E and all nominated and approved by the Executive Dean; at least 2 of these members must be research active;
- Two members of academic staff (each from outside the Faculty and from different Faculties) holding a substantive appointment at Level C or above nominated by the Executive Dean.

In selecting nominated staff the Chair of the committee must ensure the committee has as close to equal gender representation as reasonably practicable, with a minimum of one-third representation of each gender. Gender balance can be facilitated by drawing attention to the aim for gender balance when calling for nominees and by the Executive Dean's selection of nominees. Careful consideration should be given in appointing nominees to cover the breadth of disciplinary expertise in the Faculty and the range of skills in research, scholarship, teaching and professional practice. (If not already the case, it is assumed that all members will ultimately have experience in engagement and leadership).

If in exceptional circumstances, there are no available individuals of the under-represented gender, the Executive Dean will notify the Deputy Vice-Chancellor (Academic) who will confirm the composition of the committee.

Nominated staff cannot hold an appointment at Charles Sturt University as Executive Dean, or Head of School.

**Recommendation 35**: The University Professorial Promotion Committee to have the following membership:

- Vice-Chancellor *ex officio* as Chair;
- Presiding Officer, Academic Senate *ex officio*;
- Deputy Vice-Chancellor (Academic) *ex officio*;
- Deputy Vice Chancellor (Research) *ex officio*;
- Four members of academic staff holding a substantive appointment at Level E, chosen so that they cover each of the university's faculties, nominated and approved by the Vice-Chancellor, at least 2 of these members must be research active;
- Up to three senior academics from another university nominated by the Vice-Chancellor.

In selecting nominated staff, the Chair of the committee must ensure the committee has as close to equal gender representation as reasonably practicable, with a minimum of one-third representation of each gender. Gender balance can be facilitated by drawing attention to the aim for gender balance when calling for nominees and by the Vice-Chancellor's selection of nominees. Careful

consideration should be given in appointing nominees to cover breadth of disciplinary expertise in the University and the range of skills in research, scholarship, teaching and professional practice. (If not already the case, it is assumed that all members will ultimately have experience in engagement and leadership).

If in exceptional circumstances, there are no available individuals of the under-represented gender, the Vice-Chancellor will document the problem and include in the report to Academic Senate.

The nominated staff cannot hold an appointment at Charles Sturt University as Executive Dean, Associate Dean or Head of School.

*Training of committee members*

An earlier report[106] identified promotion committee training as an area that has been neglected in the Australian sector. There does not appear to have been much movement in the few years since that report. Internal staff must be made aware of the roles and responsibilities that are incurred as members of a promotion committee. There are statutory requirements involving equity and confidentiality but, more importantly, membership of a promotion committee is a position of trust with power to play a significant and formative role in shaping outcomes for an individual. Committee members must be cognizant of several considerations:

- roles and responsibilities of membership of the committee;
- equity and EEO;
- promotions procedures;
- disciplinary differences;
- use of team work, multiple authorship and differences between publishing protocols;
- citation indices, impact factors, benchmarking data; and
- different ways, both quantitative and qualitative, of assessing the range of academic activities referred to as domains (namely, research, teaching and service) and dimensions (Section 9).

**Recommendation 36**: Formal training of members of promotion committees to include workshops on matters such as those noted above prior to the committee meeting.

*Frequency of Meeting*

In most Australian institutions there is an annual round of promotions and each promotion committee meets once only in the year. However, there is a broad range of meeting frequencies and Macquarie University, for example, has three rounds in a year (but only two for Level E). University of Western Australia where the promotion committee meets monthly (with two exceptions) is at the opposite extreme. Staff at that institution claim that the system works extremely well but two factors mitigate against CSU adopting a similar approach: there are probably smaller numbers of applicants at CSU and the tyranny of distance for external committee members.

In some institutions, applications particularly at Levels D/E may be vetted by a panel of experts or a preliminary committee and only those applications deemed worthy are forwarded to the relevant

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[106] As summarized in: A.M. Cashmore et al. Promoting Teaching: International inter-university benchmarking of academic promotion. The Higher Education Academy, York (July 2013).

promotions committee. This process was used at CSU prior to about 2003 for applications to Level E.

There seems no valid reason to consider change from the current system involving an annual promotion round with no prior screening of applicants to Level E.

*Assessment of Applications*

The mechanism by which promotion committees reach a decision on applications is difficult to ascertain. The CSU policy states that an application and/or presentations will be assessed in accordance with various procedures and standards and that "The principal basis for assessing applications for promotion will be the applicant's achievements and performance in the position currently held, although other career achievements will be taken into account". However, policy and procedures are silent on how (*e.g.* secret ballot; majority vote) the committee should reach a decision on what advice to provide other than stating that the committee will "discuss each candidate's application." This lack of information on procedural matters of promotion committees is typical of the sector although some institutions do give limited detail and, in other cases, it may be detailed elsewhere but just not publicly documented.

The role of promotion committees as either advisory or decision-making varies across the sector. The decision of promotion committees at Charles Sturt University is advisory to the Presiding Officer of the relevant Committee.

**Recommendation 37**: The Chair of the Promotion Committee is responsible for ensuring at the commencement of the meeting that procedures are implemented to document sufficient information on each applicant to allow provision of comprehensive feedback to each applicant. The requirement for the Committee Chair to establish procedures for record keeping notwithstanding, the Division of Human Resources to provide support to each promotion committee to ensure that an accurate record is maintained to facilitate detailed feedback to applicants.

**Recommendation 38**: The Chair of the Promotion Committee to establish an order of proceedings at the commencement of each meeting. Matters that should be addressed are the sequence in which applications will be reviewed and the initial order in which committee members will speak for each application.

**Recommendation 39**: The advice to be provided by a promotion committee to the Presiding Officer on individual applications to be determined by ballot of voting members.

*Applicant interviews*

The variation across the sector is probably greater in respect of what happens here than in any other area. The range of activity is from never interviewed to mandatory; the latter becomes more common at higher appointment levels (*e.g.* Some approaches chosen across the sector: Interview possible at Level E; not normal at Levels B/C/D; standard practice for Level E; applicants at Levels B/C only interviewed if case is not clear but for Levels D/E interview is standard). In some institutions, interviews are not normal but may be used where it will assist clarification of matters

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and in helping the promotion committee make its decision. In other cases, applications are screened by a Faculty Committee and those progressed are identified for interview.

Some universities allow the applicant for promotion to have an observer or union representative present at the interview.

There does not appear to be a case to change the current practice at CSU.

*Feedback to Applicants*
Following the meeting of a promotion committee, the Division of Human Resources to notify both successful and unsuccessful candidates of the outcome of their application as soon as practicable. When notifying staff, the Division of Human Resources is to provide the staff member with the opportunity to organise a meeting (either face-to-face or by videoconference) with relevant supervisors for feedback. In doing so, it should be recognised that some staff may wish this feedback to occur at the earliest opportunity whilst other staff may feel the need to delay the meeting. In all cases feedback must occur within 20 working days of the original notification of the outcome of the application.

The feedback must include discussion of the implications of the promotion outcome for the individual both in academic workload planning and career development. The scores assigned by members of the promotion committee (*vide infra*) will form the basis for feedback to candidates although the expectation is that feedback will involve more than just this quantitative information. Feedback would be expected to cover the following aspects of an application:
- any level of achievement or distinction that has not been met by the candidate;
- suitability of the weightings nominated by the applicant across the domains;
- advice on professional development which would help to overcome deficiencies; and/or
- advice on future promotion applications.

Feedback should not be regarded as prescriptive advice for future applications.

**Recommendation 40**: Feedback to *all applicants both successful and unsuccessful to be mandatory*. Feedback to applicants applying for promotion to Level B and Level C to be provided by the relevant Head of School and Executive Dean; feedback to applicants applying for promotion to Level D and Level E to be provided by the Executive Dean.

**Recommendation 41**: Development of the on-line application system to incorporate a facility to ensure that feedback is provided to applicants and that the applicant acknowledges and understands the feedback in terms of future career development.

*Process of review*
There has been considerable activity in the review of promotion policies in recent years in Australian institutions. Policies usually require a system of reporting of results but this may be limited to matters of equity. The Academic Board is often the recipient of reports on promotion outcomes. Many policies incorporate a mechanism for regular review and renewal of both policy and procedures. In some institutions (*e.g.* University of Queensland) there is a separate committee that "acts as a policy, monitoring and decision-making committee at University level" to review and monitor promotion processes and provide statistics to the Deputy Vice-Chancellor (Academic) and

the University through the Academic Board. Promoting Teaching[107] reported that a process of a systematic cycle of review is an area of good practice that encourages improvement.

**Recommendation 42**: The Vice-Chancellor and Executive Deans to report to Academic Senate at conclusion of each annual round. This review should consider issues relating to equity as influenced by gender, culture, campus size, Faculty and/or School, and academic discipline as well as the success rates for each of the three work functions and for the different staff-assigned priorities.

**Recommendation 43**: After the annual report to Academic Senate, the Deputy Vice-Chancellor-Academic to conduct *ad-hoc* revision of the promotion policy and procedures and advise Academic Senate of any changes. (Any *ad-hoc* changes to be reflected in other aligned policies).

## *Promotion Criteria: Sector analysis*

The criteria used by Australian Universities for recruitment and appointment proposals and for career planning in probation, career development and promotion processes derive from two sources; what is an academic and what does an academic do.

Most academics are defined by their particular discipline but collectively they are members of a profession and should adhere to a set of values or ethical behaviours and possess certain qualifications.[108, 109] These together set base level criteria for promotion that are fundamental requirements ratified by the Tertiary Education Quality and Standards Agency (TEQSA). The work of an academic has knowledge creation and knowledge dissemination (*e.g.* scholarship, research, teaching) at its core and this defines a further group of criteria that must be addressed in any consideration for promotion.

The criteria used in appointment and career planning across the Australian sector can be summarised as:
1. Qualifications
2. Core institutional values
3. Minimum standards for academic levels
4. Reputation or esteem
5. Specific areas of duty termed domains.

### Qualifications

Although the Australian Qualifications Framework (AQF) is developed and maintained by the Australian Qualifications Framework Council, not by TEQSA, it is the latter that is responsible for interpreting and implementing the AQF. Legislation now requires that academic staff who teach award courses must be qualified to at least one Qualification Standards level higher than the course of study being taught or to have equivalent professional experience (4.2 Provider Course Accreditation Standards, Higher Education Standards Framework (Threshold Standards) 2011). This requirement determines the need for academic staff to possess certain minimum qualifications

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[107] A.M. Cashmore et al. Promoting Teaching: International inter-university benchmarking of academic promotion. Table 2. The Higher Education Academy, York (July 2013).

[108] Magali Sarfatti Larson, The Rise of Professionalism: a Sociological Analysis, Berkeley, California: University of California Press, 1978, p. 20, 208 and 221.

[109] Joanne Brown, The Definition of a Profession: the Authority of Metaphor in the History of Intelligence Testing, 1890-1930, Princeton, NJ: Princeton University Press, 1992, p. 19.

at an appropriate standard but TEQSA does not relate these requirements to the appointment level (*i.e.* Lecturer A-E). It is the responsibility of Universities to interpolate and translate the standards to the appointment levels A through E.

### Core institutional academic values

Adherence to a set of academic values is one of the distinguishing features of academia that has inspired and sustained the sector throughout its history. As an example, University of Technology Sydney requires staff applying for promotion to demonstrate that they have ethical and professional behaviour, collegiality and support equity. These academic values include academic freedom, intellectual integrity, moral and ethical probity as well as a commitment to ensure fairness in access and a commitment to respond to social concerns.[110] Although universities have not always been true to these values and commitments, they remain the bedrock of higher education's identity and institutions need to be alert to any pressures that diminish their influence.

### Minimum Standards for Academic Levels

The second aspect of promotions criteria relate to the duties or functions of an academic for it is important to align work activity with what is valued and rewarded. The nationally recognised Minimum Standards for Academic Levels (MSALs) are used broadly across the sector for this purpose. These MSAL's were drafted in 2002 between the National Tertiary Education Industry Union and the Australian Higher Education Industrial Association with input from Deputy Vice-Chancellors and Directors of Human Resources from various universities.

The basic duties of an academic are to generate and disseminate knowledge thus defining teaching, scholarship and research as important components of academic work. Charles Sturt University Strategy 2013-2015 emphasises the importance of togetherness and collaboration. Thus, requirements about working as teams (in early career as a member and in later career as a leader) are expected to be considerations in any promotions policy.

### Reputation or Esteem

The reputation or esteem of an academic defines the general level of achievement that must be established to be promoted to a particular appointment level. Promotion policies address the issue of esteem in various ways. Most policies require that an academic has a national standing at Level C rising to eminence as a scholar of international standing at Level E. The requirement that referees have national/international standing is also common to most policies.

The literature on what establishes national or international standing is dominated by data on university rankings. However, an important contributor to university ranking is the status of the staff. National or international academic standing is, by definition, gained through activities that command respect nationally or internationally. The common variables used in previous studies[111] to measure academic staff quality are: the quantity and quality of research publications; citations to the research output; research income, especially from competitive grants; recognition of academic standing through election to academies, receipt of prestigious awards or invitations to conferences; status of degrees held by academic staff; national and international consultancies; and professional

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[110] D. Ward, (2007). Academic values, institutional management and public policies. *Higher Education Management and Policy*, 19:1-13.

[111] Ross Williams and Nina Van Dyke, Measuring the international standing of universities with an application to Australian universities. Higher Education, 53 (2007) 819-841.

connections. For CSU, this list must be modified to include additional aspects of esteem particularly in professional areas.

CSU currently embeds the notion of esteem with minimum standards for academic levels. However, identifying these separately will facilitate both the application and its assessment by members of promotion committees.

### Domains

The university sector uses a variety of specific criteria relating to research, teaching and service against which promotion applications are assessed. It is convenient to give these criteria a label, "domains", in order to facilitate discussion. Although using the same descriptors (*e.g.* research and scholarship, teaching and learning) there is a distinction between work function (see Section 4) and the domains used for promotion or, looking at it another way, between what is valued (as in work function) and what is rewarded (as in promotion). Workload models such as that of Sydney University suggest parity between emphasis on research and teaching but the reality was one in which research dominated and was rewarded in promotion. The importance of research is exemplified by the University of Canberra which set out a process of 'academic renewal' designed to raise UC into the top half of Australian rankings on research measures.

However, the need for change has been recognised (see above 'The Nature of Academic Work') and even at the research-intensive Cambridge University some staff have called for a broader, more inclusive approach to promotion which rewards contributions such as teaching, administration and outreach work.[112] Significant progress has been achieved at some universities already as, for example, The University of Glasgow which identifies five key criteria as the domains (as in diagram) against which promotion applications are assessed.



University of Glasgow promotion criteria

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[112] Sean Coughlan, Cambridge academics call for more women professors. Accessed on 22 February 2014: http://www.bbc.co.uk/news/education-26259644

The shift has been so significant that the University of Minnesota Rochester[113] was recently established with a clear focus on student learning. Staff must first of all demonstrate excellence in teaching to gain tenure and although staff is expected to conduct research this has two aspects. The primary research of staff needs to "advance the field of inquiry of student learning" whilst the second area of research is the standard work in one's academic field. Interestingly, students are also selected for their desire to learn and a true learning community has developed.

Promotion policies within the Australian University Sector and the UK require that applicants address a range of domains in promotion applications. Just as work function models specify time distribution between the various activities, staff are generally required to assign a priority to the domains in their promotion application by specifying a percentage weighting for each or by numbering them in priority order. In some institutions, there must be alignment between the activities in the work function model (Section 4) and the promotion criteria. In other cases, staff are allowed complete or partial flexibility in how the work function activities and promotion criteria align or do not align. For example, Sydney University recognises three domains or streams for promotion: (i) teaching and research; (ii) education-focused; and (iii) research-focused. Those staff whose work function is research-only "may only apply in the research-focused stream" but staff "whose substantive role is either teaching and research or teaching only may apply for promotion in any stream, regardless of their current role or appointment." Interestingly, promotion criteria are beginning to insist on recognition of teaching in promotion processes as, for example, Sydney University which requires that promotion even for Research-Focused staff must demonstrate superior achievements in teaching.

**Recommendation 44**: Staff duties defined according to the work function as either 'teaching and research' or 'teaching and professional' or 'teaching focused' to reflect the areas of academic endeavour (or domains of research, teaching and service) identified in The CSU Academic (See Section 9).

CSU staff support the nomination of weightings in promotion applications with 70% affirmative responses of the 107 respondents to the question 'Do you think that applicants should be able to assign a weighting to each activity area in their application?'

**Recommendation 45**: Promotion applications to require applicants to nominate the priority ranking by weighting the domains of research, teaching and service (See Section 9) in their application; the weighting to reflect but not necessarily exactly duplicate the work function (Section 4). (Refer also to Section 8: Standards).

Promotion policies have clearly advanced from the single domain based on research that was common throughout the Twentieth Century to now, once again, include research and scholarship, teaching and learning plus various other activities. The majority of Australian universities require

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[113] George Leef, Small, New University Does Something Radical -- Only Hires Professors Who Want To Teach And Only Admits Students Who Want To Learn. Accessed on 8 February 2014:
http://www.forbes.com/sites/georgeleef/2014/01/16/small-new-university-does-something-radical-only-hires-professors-who-want-to-teach-and-only-admits-students-who-want-to-learn/2/

three domains or areas of performance to be addressed in promotion applications, which can be grouped as previously reported[114] into three main categories;

1) Research, Teaching, and Service;
2) Research/Creative Works, Teaching, and Community Engagement;
3) Research and Scholarship, Teaching and Learning, and Professional Engagement and Leadership.

However, despite the progress that has been made, problems associated with promotion policy and procedures remain and are not restricted to CSU or even to Australia. The National Academy for Academic Leadership[115] in the U.S. concluded that "it isn't an option, the faculty reward system must change."

The rest of this section of the report examines in greater detail the different domains used by the Australian Sector.

### *Research and scholarship*

In Australia, the National Protocols (Clause 3.A7) expected all institutions to not only foster, but also demonstrate, that academic staff are active in scholarship which informs their teaching, and, active in research especially when engaged in research student supervision. These expectations have been transferred to the Higher Education Standards Framework (Threshold Standards) 2011. This requirement must be emphasized; *all staff regardless of their work function or appointment are expected to engage actively in scholarship and thus keep abreast of developments in their discipline*. Scholarship was not defined in the National Protocols except in relation to learning and teaching. The linking of research and scholarship in this fashion in both policy and discussions is not uncommon. Furthermore, the failure to define scholarship more broadly is not surprising.

Many academics draw some distinction between research and scholarship albeit rather blurred. Indeed, the definition of both terms is controversial and depends on whether the definitions are derived[116] from theoretical analysis or empirical work. One difficulty in defining scholarship is that it is not static[117] but rather constantly changing to suit the demands of the academy (and political pressures). Another problem in reaching a consensus definition is partly because of disciplinary differences. One solution to this dilemma is to avoid seeking a unitary definition in the first place. The National Academy of Academic Leadership (USA)[118] saw this as a more productive approach and produced a set of characteristics or qualities that typify scholarly endeavors. It was felt that most disciplines will agree that scholarly work:

- requires a high level of discipline-related expertise
- breaks new ground or is innovative
- can be replicated
- can be documented

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[114] A.M. Cashmore et al. Promoting Teaching: International inter-university benchmarking of academic promotion. The Higher Education Academy, York (July 2013).

[115] Robert M. Diamond, Priorities and the Promotion and Tenure Process: The Faculty Reward System. http://www.thenationalacademy.org/readings/priorities.html

[116] Angela Brew, The value of scholarship. HERDSA Annual International Conference, Melbourne, 12-15 July 1999.

[117] Angela Brew, The value of scholarship. HERDSA Annual International Conference, Melbourne, 12-15 July 1999.

[118] Robert M. Diamond, Priorities and the Promotion and Tenure Process: The Faculty Reward System. http://www.thenationalacademy.org/readings/priorities.html

- can be peer-reviewed

They concluded that guidelines focused on a set of characteristics respect the real differences inherent in the academic disciplines.

All academics would agree that scholarship involves a lifelong commitment to thinking, questioning, and pursuing answers. Most institutions use the approach involving definition of research and scholarship. Indeed, professions generally define their terms through practice and Higher Education has evolved certain operational definitions of scholarship[119] that have, in turn, shaped the academy that has created those definitions. The focus of scholarship and therefore its definition became quite narrow and scholarship became synonymous with research as the investigation of some aspect of an academic discipline using research methods and resulting in the discovery of 'new' knowledge and the advancement of knowledge in that field by presentation of the results in scholarly venues such as conferences and journals. The general community became frustrated with an emphasis on what it perceived as increasingly irrelevant scholarship at the expense of teaching.

The current debate about scholarship was begun in 1990 by Ernest Boyer, past president of the Carnegie Foundation for the Advancement of Teaching, who saw scholars as academics who conduct research, publish, and then perhaps convey their knowledge to students or apply what they have learned. He argued that a narrow definition of scholarship undermined the role of universities in meeting the need of society for the application and integration of new knowledge.

Boyer aimed to broaden the view of scholarship beyond research. He[120] "emphasizes that the scope of research (scholarship) necessary to encompass the variety and richness of disciplines requires an 'enlarging the perspective' of what scholarship means in order to comprehend its variants, to assure that it strongly supports the core mission of the academy, and to effectively nurture the diversity of the scholarly enterprise. Much of this is useful when considering the research /scholarship of our profession, and it certainly applies to all of higher education not just to the 'research universities'." Boyer posed the question "Is it possible to define the work of faculty in ways that reflect more realistically the full range of academic and civic mandates?" He answered the question by proposing a model of scholarship[121] that identifies four different but overlapping functions as discovery, integration (or synthesis), application (or practice) and teaching. The scholarship of discovery so-called "pure and applied research," pursues new knowledge. It takes the form of primary empirical research, historical research, theory development and testing, methodological studies, and philosophical inquiry and analysis. The scholarship of integration associates research with the real world and synthesizes and interprets knowledge to provide perspective. It emphasizes the interconnection of ideas, and brings new insight to bear on original concepts and research. The scholarship of application solves problems for a larger community using knowledge from one's particular field of expertise. The scholarship of teaching contributes to knowledge about how people learn. It involves the examination of pedagogy through applying research methods and scientific analysis to the act of teaching itself. However, each aspect of scholarship should conform

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[119] Arthur L. Dirks, (1998). The new definition of scholarship: How will it change the professoriate? Published on-line by author (http://webhost.bridgew.edu/adirks/ald/papers/skolar.htm). Bridgewater, MA. Accessed 5 February 2014. Origin: This paper originally prepared for HIED 641 Effecting Change in Higher Education, Graduate College of Education, Univ. of Mass. Boston.

[120] Quoted in Charles B. Lowry, Research and scholarship defined. Libraries and the Academy 4 (2004) 449-453.

[121] E. Boyer, (1990). Scholarship reconsidered: Priorities for the professoriate. Princeton, NJ: The Carnegie Foundation for the Advancement of Teaching, p. 15.

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to the criteria of Lee Shulman that scholarship must be public, not private, susceptible to critical review and evaluation, and accessible for exchange and use by other members of one's scholarly community. Glassick, Huber, and Maeroff[122] add that the six characteristics of scholarship are clear goals, adequate preparation, appropriate methods, significant results, effective presentation, and reflective critique.

Boyer observed that "teaching, at its best, shapes both research and practice. Viewed from this perspective, a more comprehensive, more dynamic understanding of scholarship can be considered, one in which the rigid categories of teaching, research and service are broadened and more flexibly defined."

The dimensions of scholarship identified by Boyer have been criticised[123] for presenting a normative framework. In other words, Boyer's focus is on the conceptions he believes academics should have. Brew's phenomenographic analysis of what aspects of scholarship are valued by academics illustrated considerable confusion in the thinking of some academics concerning the concept of scholarship; a confusion that was hitherto absent from the literature and *rarely taken into account in policy documents*. Most significantly, it showed that questions of what to reward, are quite distinct from questions of what is valued. Indeed, the discovery dimension in several of the scholarly activities has led some researchers[124] to advocate the reintegration of Boyer's four dimensions. Nevertheless, Boyer's classification does provide a useful starting framework for conceptualizing scholarship.

Melbourne University provides a very succinct notion of scholarship as that which informs teaching, research and engagement. Scholarship is the body of principles and practices used by scholars to make their claims about the world as valid and trustworthy as possible, and to make them known to the community. As expressed in Making Evidence Count "*a creative or intellectual act becomes scholarship when it is public and circulates in a community of peers that evaluates and builds upon it*". This defines scholarship as distinct from professional learning. In its broadest sense, scholarship can be taken to include the paradigms and methodologies of the discipline. We can assert that scholarship is an essential pre-requisite for high quality teaching and basic research. Thus, all staff at a university must engage in scholarship in their own discipline and/or in teaching and learning. Scholarship allows one to position one's own discipline in the context of other relevant disciplines. The latest developments and future innovations in an academic's discipline should be reflected in a conscious and intellectually demanding manner in his/her teaching.

Research builds on scholarship. As defined in the National Protocols,[125] research comprised creative work and artistic endeavours undertaken systematically in order to increase the stock of knowledge, including knowledge of humans, culture and society, and the use of this stock of knowledge to devise new applications. Research is characterised by originality and includes

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[122] C. Glassick, M. Huber, and G. Maeroff, Scholarship Assessed: Evaluation of the Professoriate. San Francisco: Jossey-Bass, 1997.

[123] Angela Brew, The value of scholarship. HERDSA Annual International Conference, Melbourne, 12-15 July 1999.

[124] C. L. Colbeck, and P. W. Michael, (2006) Individual and organizational influences on faculty members' engagement in public scholarship. In R. A. Eberly and J. Cohen (Eds.), Laboratory for Public Scholarship and Democracy. New Directions for Teaching and Learning, No. 105. San Francisco: Jossey-Bass.

[125] For a somewhat different approach see http://suu.edu/hss/psychology/research/definition.html Research may be defined as the process involving original and critical enquiry, experimentation, study, observation, analysis and recording to discover new facts, knowledge and information; develop new interpretations of facts, knowledge or information; or discover new means of applying existing knowledge.

creative activity and performance. It is through research that an academic contributes to the development of their discipline[126] by:

- Basic research which is of an experimental and theoretical nature undertaken to acquire new knowledge without a specific application in view;
- Applied research which is original in nature undertaken to primarily acquire new knowledge and apply it in novel and innovative ways;
- Experimental development which is systematic work, using existing knowledge gained from research or practical experience that is directed to producing, installing or improving new materials, products or devices.

In some situations it may not make sense to demand research activity from all those who teach.[127] In Britain an older hierarchy of social prestige and intellectual reputation survives within the supposedly undifferentiated university system. Anderson sees three possible fates of the traditional university in this situation. First, it could be extended[128] but at excessive demands on resources. Second, the system could be discarded and all universities forced into a utilitarian and managerial mould. Thirdly, there can be more open acceptance that universities have different missions, interpreting the idea of the university in different ways. The situation in Australia is more complex and although some of the older hierarchy persists it is less pronounced. Moreover, within the Australian sector institutional diversity is valued and there is evidence[129] of distinctly different characters across a number of universities within the Australian sector. With this in mind, perhaps we can assert Boyer's principle that

"At the research university[130], original research and publication should remain the basic expectation and be considered the key criteria by which the performance of most faculty will be assessed. Where else but in our major research universities—with their intellectual and physical resources and their tradition of rigorous and untrammeled inquiry—should the bulk of research in a free society be conducted and rewarded?"

Institutions that are not research-intensive have an opportunity to embrace the challenge set by Boyer (but not necessarily accepting his conclusions) and to assert their diversity in promotion policy. However, even in an institution where research is not the main focus, the retention of research as a significant element of university culture remains as a fundamental to maintaining academic credibility and university status but it must be reconciled with staff expectations. Attraction and retention of staff also demands engagement with research and scholarship. However, in a diverse system the opportunity exists to develop broader promotion processes and *the risk is in perceptions of diluting the thoroughness of the process rather than in changing the process itself*.

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[126] Research can also be differentiated as quantitative research and qualitative research. Quantitative research typically follows a linear path and is deductive: one starts with a testable hypothesis, collects data, analyses the data and then accepts or rejects the hypothesis. Qualitative research has a very different structure that is inductive and spiral. The researcher starts with a tentative idea or question, *e.g.*, 'how important is a modified notion of teaching in a university in the current climate of academic change'? One then observes and asks questions, and analyses what one finds in order to guide more specific questioning.

[127] Robert Anderson, The Idea of a University today. History & Policy, March 2010. Accessed on 7 February 2014: http://www.historyandpolicy.org/papers/policy-paper-98.html

[128] Committee on Higher Education (23 September 1963), Higher education: report of the Committee appointed by the Prime Minister under the Chairmanship of Lord Robbins 1961-63, Cmnd. 2154, London: HMSO.

[129] Hamish Coates, Daniel Edwards, Leo Goedegebuure, Marian Thakur, Eva van der Brugge and Frans van Vught, Profiling diversity of Australian universities, Research Briefing, June 2013, LH Martin Institute and ACER. http://research.acer.edu.au/higher_education/

[130] Group of Eight, The role and importance of research intensive universities in the contemporary world. Discussion Paper, April 2013. Accessed on 22 February 2014: http://www.go8.edu.au/__documents/go8-policy-analysis/2013/role-importanceofresearchunis.pdf

This report provides historical context to the notions of research and scholarship. It is important that there is a shared understanding of what these terms embrace as they are fundamental to the academy.

**Recommendation 46**: CSU to establish a clear definition of what it understands by the terms 'research' and 'scholarship'. This work to be coordinated by the Office of Research for approval by Academic Senate.


### Teaching and Learning

Why bother defining teaching? Although most institutions and their staff have a conceptual notion of what constitutes research and scholarship, the usual conception of teaching and learning is probably restrictive with a focus on student engagement. However, clarity of meaning is essential in promotions to protect the integrity of those staff promoted for their teaching and to avoid accusations that teaching and learning represents a 'soft' or inferior option for promotion.[131,132] This has led to a greater prominence within the academy of the scholarship of teaching and learning.[133]

Good teaching involves many dimensions beyond the historical notions directly associated with interaction and delivery to students. The Promoting Teaching Project elaborates on the need as follows.

> "How teaching is defined and which aspects of academic work count as teaching can inform the process of evaluating teaching for promotion. Promotion committees need guidelines and criteria to evaluate teaching in an equivalent way to research.
>
> In a rapidly changing university sector, it becomes even more important to define teaching. There is a pressing need to establish some common language around extremely complex and continually changing practice. Teaching in modern universities is increasingly likely to take a "non-traditional" approach, drawing on a diverse range of skills and developing new expertise. Given this, it is necessary to provide some definition of teaching that might be used for:
> - Setting expectations in professional teaching standards
> - Defining teaching activities for diverse teaching roles (*e.g.* sessional, research-intensive, clinical supervision, deans, educational developers)
> - Foregrounding the impact of student diversity and choice of learning environment, and the subsequent impact on teaching
> - Quality assurance of all aspects of learning environments (*e.g.* programs, subjects, laboratory and clinical work, resources, support, feedback)
> - Developing theories and sharing practice about teaching, and
> - Communicating the work of academics to the wider community, including governments, students, employers and potential academics.
>
> All of these have an impact on a university's success and are relevant in promotion committee discussions. For an individual academic, continuing discussions on the scope of teaching activity are important to clarify the demands of the role, expectations and career directions."

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[131] Iris Vardi and Robyn Quin, (2011). Promotion and the scholarship of teaching and learning. Higher Education Research & Development, 30:1, 39-49, DOI: 10.1080/07294360.2011.536971

[132] Roger Nunn and Avin Pillay, After invention of the h-index, is there a place for the teaching track in academic promotion? Higher Education research and Development, 33 (2014) 848-850.

[133] Iris Vardi and Robyn Quin, Promotion and the scholarship of teaching and learning. Higher Education Research and Development, 33 (2014) 39-49.

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The same document goes on to define teaching as:

"From a review of the various frameworks used to describe teaching, it seems clear that any consideration of teaching at university level should include the five activities: professional learning; student engagement; curriculum development; scholarship; and leadership.

Many of these activities will be influenced by an understanding of learning and the learning environment, including the principles of adult learning, by the academic's philosophy of teaching, and by the nature of the subject. The overall picture must also be considered, including equity, how the specific subject and the approaches to teaching align with institutional values and goals, and the broader context of tertiary education. These understandings are applicable regardless of whether the teaching is in the context of large scale core subjects, service subjects, smaller specialist topics, postgraduate coursework or research higher degree supervision."

There is a heightened focus on learning and teaching and a commitment to acknowledging and rewarding teaching activities in promotion policies across the sector that is related to concern about entry and exit standards, increased University participation, issues of equity and inclusion, and quality assurance.[134] However, the problem with the application of policy has been in identifying what constitutes evidence of teaching activity. The main driver for the current review is not the failure to recognize teaching and learning in promotion policy but the historical lack of processes for teachers to identify and evidence achievements. This is particularly important at a time when CSU is under-going substantial curriculum transformation. Indeed, the Australian Office for Learning and Teaching (OLT) and the Higher Education Academy (HEA) UK, as an outcome of the growing interest internationally in the professionalisation of teaching in Higher Education, has clearly identified the need for routes to promotion for academics with more of a teaching focus, as well as the development of teaching standards and accreditation frameworks.

Looking to Australia, two key projects identified the need to bridge the gap between policy and practice in academic promotion in order to better recognise teaching as core to academic work and therefore core to the assurance of standards in higher education. The first was contained in a report by the Higher Education Academy and GENIE CETL, University of Leicester on the reward and recognition of teaching in higher education. The second involved work at University of Wollongong on promotions criteria and peer review of teaching-related activities. A subsequent project, *Promoting Teaching: International inter-university benchmarking of academic promotion* project involved international collaboration of these groups and produced a number of outputs that include:

a) the Good Practice Benchmarks for promotion that outline institution-wide practices;
b) a Benchmarking Guide which provides process guidance on the benchmarking process using a detailed set of templates; and
c) the Making Evidence Count document which aims to inform a common perception that teaching is difficult to evidence.

Promoting Teaching: Making Evidence Count presented a robust model for assessing evidence of teaching using three perspectives
- Scope of activity
- Source of evidence
- Sphere of influence.

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[134] Smart Learning Project - Introduction, p. 1.

The scope or dimensions of teaching (See Section 9 for definition) have been variously identified and some examples are given in Table 7.

Table 7. Dimensions of teaching

| University of Tasmania | Macquarie University | Australian Learning and Teaching Council | Promoting Teaching Project |
|---|---|---|---|
| Design and plan learning activities | | development of curricula, resources and services that reflect a command of the field | curriculum development – resources for courses; curriculum review, design and innovation; evaluation and alignment to standards |
| teach and/or support learning | student-focussed learning and teaching and teaching performance | approaches to the support of learning and teaching that influence, motivate and inspire students to learn | student engagement – includes motivation, support and feedback; research supervision |
| assess and give feedback to learners | | approaches to assessment, feedback and learning support that foster independent learning | |
| develop effective learning environments and approaches to student support and guidance | scholarship of teaching | scholarly activities and service innovations that have influenced and enhanced learning and teaching | scholarship of teaching & learning – presentations, grants and publications |
| engage in continuing professional development in subjects/disciplines and their pedagogy, incorporating research, scholarship and the evaluation of professional practices | Research-enhanced learning and teaching | | professional learning – participating in teaching-related workshops and seminars; obtaining (or furthering) teaching qualifications |
| | leadership in learning and teaching | respect and support for the development of students as individuals | leadership and collaboration – mentorship, governance, peer review, course accreditation. |

Regardless of the dimensions that are adopted, it is important in setting standards and expectations to recognize that the scope of teaching-related activity will vary throughout a career. This is shown in the diagram (Figure 14) taken from Promoting Teaching: Making Evidence Count using the five dimensions identified in that programme. This shows that early career activity is mostly associated with student engagement activities and progresses through scholarship of teaching and learning to leadership and collaboration.

**Figure 14. Variation in scope of teaching-related activities across the academic career**
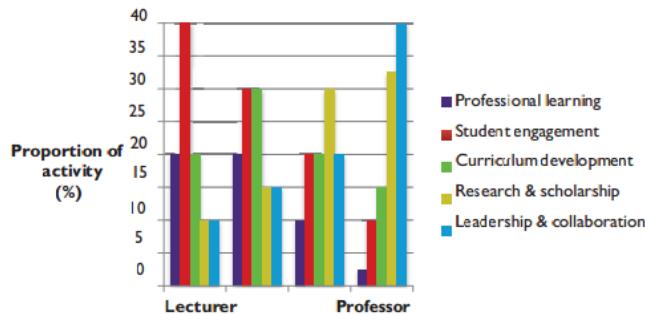


The recognition of several dimensions of teaching shifts the emphasis from one based solely on student interaction to include the other dimensions. Nevertheless, it is necessary to make valid and reliable connections between what teachers do and whether/how students learn. Student engagement is regarded as an important pre-requisite[135] for improving student learning and the student experience. On the other hand, many academics perceive a trend toward student disengagement despite the best efforts of all concerned. This has a number of outcomes (such as impact on student assessment of teaching) that must be reconciled in academic promotion procedures. At the same time, student engagement is undoubtedly the most important dimension of teaching in the minds of many students and the broader community. Evidence of poor teaching quality and student engagement has been attributed[136] to increases in student-staff ratios over the last 20 years. This situation will be exacerbated by the increasing number of students attending university who have not traditionally seen themselves in a university environment.

Teaching includes every aspect of any activity that contributes to learning and this includes student recruitment, widening participation, design and delivery of courses, student engagement and supervision, pastoral support, management and leadership, and maintaining awareness and understanding of recent advances in knowledge of a relevant discipline.

A recent report[137] of independent reviews of teaching award schemes in South Africa and the UK confirmed the importance of context: "effective teaching varies by institution and national history – as does how it can best be acknowledged – despite ostensibly similar goals. There is, though, *a dilemma common to both of these: how can there be agreed measures for quality, when the difference which teaching makes emerges over individual lives? As with the research impact agenda, teaching is probably most successful when it is least measurable – in shaping values and ways of thinking.* The use of proxies (student/staff ratios, contact hours, lecture/seminar series, budgets) simply record teaching conditions not achievements, which are invariably long-term and often indefinite."

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[135] Paula Barona and Lillian Corbina, Student engagement: rhetoric and reality, Higher Education Research & Development, 31 (2012) 759-772.

[136] Reform of National Regulation of Higher Education Providers Regulation Impact Statement. Accessed on 26 March 2014: http://ris.dpmc.gov.au/files/2012/01/03-Reform-of-National-Regulation-of-Higher-Education-Providers-Regulation-Impact-Statement.pdf

[137] The Association of Commonwealth Universities, Recognising quality through teaching awards: South Africa and the UK. February 2013. Accessed on 16 March 2014: https://www.acu.ac.uk/membership/acu-insights/acu-insights-4/recognising-quality-through-teaching-awards

Coates[138] echoed the concern about the difficulty of measuring outcomes: "Valued phenomena are not necessarily easy to define, measure and report. Even simple indicators must be accompanied by considerable qualifications and caveats. Indicators can carry different meanings in different contexts, be underpinned by different or differently collected data, or carry different implications for policy and practice. Along with the many educational and practical considerations, the definition of outcomes is a necessarily value-laden process and, as such, it can be difficult to reach consensus about which domains are relevant for a given situation."

One goal that should not be lost in all this activity is the need to focus more explicitly on students and particularly on what they are achieving rather than on the teaching processes.[139] Smart Learning can assist here if it achieves integration of design, implementation, and student performance and can empower students in all phases. Smart learning will also include perspectives from a broad range of stakeholders.

### Engagement and Leadership

Engagement and leadership covers the interaction of academic staff with groups internal and external to the university. It is important that both engagement and leadership are encouraged as they are essential to maintaining the academic standards of the university and driving innovation. For purposes of career development they could be treated as separate domains but engagement and leadership are not separate fourth and fifth entities. Both derive from the teaching, research and professional practice of the university and better integration is likely when engagement and leadership are treated as dimensions common to each of the three domains identified above. It is appropriate for an academic to apply their teaching, research and/or professional practice in ways that also deliver engagement and leadership.

*Engagement*

In the university context, engagement or service often involves the dissemination of knowledge. As we have seen the notion of service or engagement with their communities is not new but rather was integral to the foundation of many universities. As noted by the University of Adelaide a university must be "committed to service, to the transfer of knowledge to socially useful outcomes and to a continuing engagement on issues of mutual concern and significance." Indeed, the idea that a university can exist separate from its communities is not sustainable; a university must be an integral part of its communities. The use of plural here is quite intentional and deliberate as all universities serve multiple communities including government, industry and local communities.

EngagementAustralia when still identified as Australian Universities Community Engagement Alliance released a position paper[140] which emphasizes that community engagement is "a core responsibility of higher education" and that "Australia's higher education sector must be recognised as a valuable intellectual resource that directly and intentionally contributes to national issues and

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[138] Hamish Coates, defining and monitoring academic standards in Australian higher education. Higher Education Management and Policy, 22 (2010) 29-45.
[139] Hamish Coates, defining and monitoring academic standards in Australian higher education. Higher Education Management and Policy, 22 (2010) 29-45.
[140] AUCEA, 2008. Position Paper 2008-2010. Accessed from: http://engagementaustralia.org.au/wp-content/uploads/2012/09/universities_CE_2008_2010.pdf

priorities." The work of this group was likely influenced by the doctoral thesis of Strom[141] which provides a valuable resource as does the Global University Network for Innovation.[142]

One of the problems for both staff and a university (in terms of KPI for strategic plans) is to define and reach a mutual understanding of what engagement entails.[143] When RMIT approached the issue of community engagement it found that stakeholder views were so disparate that it distinguished community service activities and community engagement activities.[144] The most widely accepted definition of engagement appears to be that of the Carnegie Foundation for the Advancement of Teaching where:

> Community engagement describes the collaboration between institutions of higher education and their larger communities for the mutually beneficial exchange of knowledge and resources in a context of partnership and reciprocity

but modified and adapted to suit the situation and needs of individual universities.[145] It is through engagement that the academic activities of a university demonstrate genuine economic, social and cultural benefits.

We are suggesting a much broader and more inclusive definition of engagement that also encompasses internal service as done by the University of Tasmania which draws attention to the need to avoid making internal service an end in itself. Several Australian universities emphasise the essential role of engagement as positive enhancement of the University's profile and alignment with the University's strategic intent.

Engagement can be examined from different perspectives[146] by considering the area of service (*e.g.* corporate service to the institution) or the nature of the service (*e.g.* management or administration).

Aspects of engagement based on area of service can be identified as:
- Corporate (within CSU and the sector) including management and administrative service to the university; member or chair of a School, Faculty or university committee or task force; academic governance and leadership; mentoring activities
- Professional service to the community including professional organisations, government agencies and NGOs; service as an officer of a national, regional, or international professional association; organizing role in national or international conferences, workshops, or other academic meetings

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[141] Jan d'Ambrosio Strom, Enabling engagement: a study of university-community engagement at a non-metropolitan Australian university, PhD thesis, Southern Cross University, Lismore, NSW, 2011. Accessed from: http://epubs.scu.edu.au/cgi/viewcontent.cgi?article=1205&context=theses

[142] See http://www.guninetwork.org/about-guni

[143] Kylie M. Smith, Fabienne Else and Patrick A. Crookes, Engagement and academic promotion: a review of the literature. Higher Education Research and Development, 33 (2014) 836-847.

[144] Hanover Research, Best Practices in Measuring University-Community Engagement, Prepared for Edith Cowan University, February 2011, p. 4. Accessed from: http://intranet.ecu.edu.au/__data/assets/pdf_file/0006/208689/Measuring-University-Community-Engagement-Edith-Cowan-University.pdf

[145] Megan Le Clus, Tracking and Measuring Engagement: A Review of the Literature. Prepared for the Australian Universities Community Engagement Alliance (AUCEA). November 2011, p. 12. Accessed from: http://engagementaustralia.org.au/wp-content/uploads/2012/09/TAME_Literature_Review_Dec_2011.pdf

[146] Tajul Ariffin Masron, Zamri Ahmad and Norizan Baba Rahim, Key performance indicators vs key intangible performance among academic staff: A case study of a public university in Malaysia. Procedia - Social and Behavioral Sciences, 56 (2012) 494 – 503.

- Community engagement including public intellectual discussion and the general community; civic activities that are local, regional or national and that promote a positive relationship between the University and the community; consulting services to industry, government, or community organizations; services to national, regional, and international agencies, task forces, boards, and commissions; lectures at other universities or professional meetings, especially keynote or invited speeches.

Alternatively, if the nature of the service is emphasized then relevant aspects of engagement are:
- Administration
- Leadership
- Formal and informal mentoring activities
- Business development, professional consultancy and industry links that include entrepreneurial activity of benefit to the University; industry research and consultancy; and development of revenue generating educational programs.

Performance in the Engagement domain[147] is measured in terms of its outcomes[148] - its impact on the individual, on other staff, on the institution, including its students, and on the broader community rather than on sheer numbers of inputs (activities) or even of outputs. A busy service schedule does not necessarily provide greater benefit to the staff member, other staff, students, the institution, or the community. The problem is that providing reliable measures of assessing outcomes is one of the major issues confronting engagement. [149,150] The focus in Engagement is much less on what has been done and much more on what has been achieved and why it matters. It is the anticipated impact of an activity that should be used as the basis of judgements about workloads, career planning and promotion.

*Leadership*

The claim that leadership is essential to the operation of a university has become something of a mantra. However, our knowledge and understanding of leadership is limited because we are looking at leadership through strong filters. [151] Leadership is generally observed at second hand, reflected in the perceptions of staff about their leaders, or leaders' beliefs about their own practice. Many consider leadership is integral to academic work and see it as widely dispersed amongst colleagues as well as those in formally designated leadership roles. This perception recognises a distinction between leadership associated with a formal management role and leadership that is informal as identified in the expectations of all academic staff.

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[147] University of Tasmania has made a significant contribution to identifying the characteristics of internal service.

[148] Performance in the Engagement domain is readily amenable to a logic model that considers input, output, outcome and impact.

[149] Hanover Research, Best Practices in Measuring University-Community Engagement, Prepared for Edith Cowan University, February 2011, p. 4. Accessed from: http://intranet.ecu.edu.au/__data/assets/pdf_file/0006/208689/Measuring-University-Community-Engagement-Edith-Cowan-University.pdf

[150] Megan Le Clus, Tracking and Measuring Engagement: A Review of the Literature. Prepared for the Australian Universities Community Engagement Alliance (AUCEA). November 2011, p. 12. Accessed from: http://engagementaustralia.org.au/wp-content/uploads/2012/09/TAME_Literature_Review_Dec_2011.pdf

[151] Jacky Lumby, What do we know about leadership in higher education? Review paper Series. Leadership Foundation for Higher Education, 2012. Accessed from: http://www.lfhe.ac.uk/en/research-resources/publications/index.cfm/RP%20-%2001

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An academic with an appointment at Level E may have no more formal leadership role than staff at lower levels but is required and expected to exercise much greater informal leadership which can be a more difficult challenge. This requires personal qualities associated with leadership and a willingness to take on and effectively discharge significant responsibilities for an area (research group) or activity (developing a new research framework), with no formal authority or acknowledgement following success. In this situation a leader must *inspire, guide, facilitate, encourage and foster others in achieving goals and objectives*.

Autonomy is a characteristic of academia that is often emphasized and, if this is correct, then staff must also exercise a third form of leadership as self-leadership.[152] A recent study[153] of leadership in higher education provided four meanings of leadership as position, performance, practice and professional role model. This paper provides some useful insight into this area.

Informal or intellectual leadership and collegiality and service to colleagues achieve their maximum expression at Professor, Level E. These characteristics must be modelled to other staff so that they can begin to nurture and develop the same qualities as early as possible in their career. This leads to the question of what is the role of the professor at CSU? A similar question has been addressed in detail at University of Tasmania.[154]

**Recommendation 47**: The Professorial Forum under the direction and approval of Academic Senate and the relevant members of the Senior Executive Committee to develop a document that clearly identifies the role of the professor at CSU.

## *Standards*

The framework involving the various domains can be developed further by establishing well defined and clearly articulated standards for each activity and appointment level. Although the details vary greatly across the sector this approach is used widely by Australian universities. Before proceeding too far it is important to establish what is meant by standards in the current context.[155] As Alexander[156] notes: "If our semantics are taken for granted without examination, then the degree of precision or vagueness, however desirable either might be, is not examined until it becomes problematic." This vagueness or poor comprehension of the different perspectives is one of the problems in promotion policy.

The term "standards" is used[157] both substantively and descriptively to refer to shared measures against which comparisons can be made (*e.g.* research quality, learning outcomes) or to varying

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[152] Jacky Lumby, What do we know about leadership in higher education? Review paper Series. Leadership Foundation for Higher Education, 2012. Accessed from:
http://www.lfhe.ac.uk/en/research-resources/publications/index.cfm/RP%20-%2001

[153] Adisorn Juntrasook, You do not have to be the boss to be a leader: contested meanings of leadership in higher education. Higher Education Research and Development, 33 (2014) 19-31.

[154] http://www.utas.edu.au/provost/professor

[155] Kerri-Lee Krause, Simon Barrie and Geoff Scott, Mapping Learning and Teaching Standards in Australian Higher Education. Teaching and Learning Standards: An Issues and Options Paper, February 2012. Accessed on 11 March 2014: http://www.uws.edu.au/__data/assets/pdf_file/0008/294137/KerriLee_website.pdf

[156] D. Alexander, *Quality and standards in higher education discourse: A linguistic overview*. Proceedings of AUQF2009 : Internal and external quality assurance : tensions and synergies: Alice Springs, Australia 1-3 July 2009, p. 9.

[157] Hamish Coates, defining and monitoring academic standards in Australian higher education. Higher Education Management and Policy, 22 (2010) 29-45.

levels of quality or performance (*e.g.* teaching excellence). Krause et al. identify three potential interpretations as: (i) a basis of comparison that has been determined by experts or authorities in the field; (ii) a basis of conformity to which all must subscribe; and (iii) a set of principles or checkpoints to inform judgements.

In the present discussion, standard is used to denote agreed levels of performance against which promotion applications can be assessed. For instance, promotion at UniSA requires sustained academic excellence in three areas of academic activity: teaching and learning, research, and engagement. The Academic Classification Standards then define expectations at the various appointment Levels in terms of minimum qualifications, teaching activities, student consultation, administration, research and scholarship. A more typical example is provided by ANU which defines Academic Standards for Research/Creative Activity, Education and Service that are to be considered in assessing performance at all academic levels A to E. Research only staff are required to perform at higher levels than research and teaching staff in terms of both quality and quantity of research and/or creative activity. Examples of activities to be considered in Research are 'ability to attract international visitors' and 'invitation to referee grant applications from national and international agencies'. However, no quantum is set for these or any other activities other than use of terms such as 'significant and sustained, 'outstanding and continuing' and 'effective'. Most institutions (*e.g.* Curtin, University of Queensland, Sydney University[158], University of Newcastle) follow a similar approach in setting qualitative academic performance standards for areas such as research, teaching and service.

A small number of institutions set a mix of both qualitative and quantitative standards against which academic performance is measured. Examples of quantitative standards specified by some institutions are given in Table 8. Quantitative metrics where specified usually relate to grant income, publications and student teaching assessments. There are problems associated with both qualitative and quantitative standards. For example, the use of quantitative metrics, rather than emphasizing the holistic nature of assessment of promotion, probably encourages the view that one must be promoted if the relevant criterion is met. On the other hand, use of qualitative standards typically leads to adjectival distinctions such as sound, thorough or deep which do not provide clarity to either applicants for promotion or to members of promotion committees.

Table 8. Examples of quantitative standards set by different institutions

|  | Research Output | Research Input | Teaching |
|---|---|---|---|
| CQU | Publications point metric per annum for sciences or humanities | Grant income expectation per annum for sciences or humanities |  |
| Monash University | Not available | Not available | Unit Evaluation Median Satisfaction Score |
| Tasmania | Publications by Field of Research | Grant income by Field of Research | Expectations defined for student evaluation and on-line curriculum management |

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[158] This policy appears to have been superseded but it is unclear if the same standards apply in the newer policy.

Edith Cowan University also uses a mix of qualitative and quantitative standards embedded in a framework that links the Level of appointment (A to E) to context or sphere of influence (Table 9).

Table 9. Academic Framework used by ECU

| Academic Level | Academic Stage | Context |
|---|---|---|
| Level A | Support and guidance from senior colleagues | School |
| Level B | Build independence | School/ Faculty |
| Level C | Develop, lead and/or innovate | School/ Faculty/University working towards National |
| Level D | Lead, innovate and provide mentorship | School/ Faculty/ University/National/ working towards International |
| Level E | Sustained leadership, innovation and mentorship | School/ Faculty/ University/ National/ International |

**Recommendation 48**: At this point in time CSU rejects the setting of quantitative standards in favour of a well defined qualitative evidence matrix supported by Disciplinary Reports. The latter will establish suitable metrics that may be formally introduced into policy at some future date if, and when, deemed appropriate.

Two general approaches are used to assess performance. Baseline requirements are defined for satisfactory performance at each level A to E and an applicant for promotion must demonstrate that they meet the baseline requirements for the level to which promotion is sought. This system is used, for example, by University of Canberra and with some differences in how it is applied by Griffith University. The second system involves definition of higher levels of performance (outstanding, meritorious) and an applicant for promotion must demonstrate that they are currently performing at one of these higher levels for their existing classification level to be considered for promotion to the next level. For example, RMIT identifies various levels of performance (outstanding, excellent, good and satisfactory; the latter  is not considered an adequate basis for promotion) and uses an assessment matrix to assess performance across Teaching, Leadership and Research and Scholarship. University of New South Wales requires that applicants nominate whether their application is to be considered research track, teaching track or combined track (with some limitations based on work function) and then defines six levels of performance. A rubric is used to specify what performance level is required in the domains of research, learning and teaching, and engagement and leadership to satisfy promotion requirements to the various appointment levels (A-E). Another modification of this approach is used at Melbourne University; an applicant must demonstrate a high level of achievement and promise (in the case of level B); excellence (in the case of level C); or exceptional distinction (in the case of level D), that has been achieved and maintained in the criteria nominated in the application (that being one or a combination of contributions to teaching and learning, research and research training, engagement or leadership and service).

## *Evidence: Supporting a case for promotion*

Promotion must be evidence-based. Historically, research has been the most important domain for promotion for several decades. The rising dominance during the last century of the research culture is evident in the research on it.[159] Several factors contributed to the dominance of research but the availability of a metric that provided the evidence and was easily measured and reproduced was probably significant. The reliance on publication did produce a rich tradition leading to peer review as a distinguishing feature of academia. Peer review via publication remains the best system of establishing research credibility and ensuring academic integrity and autonomy. These features, in turn, legitimize the knowledge dissemination that is a key element of the university culture.

With the changing nature of a university and the associated changes in work practices, other areas of academic workload such as teaching and engagement and leadership must be recognized in a promotion policy. The identification of reliable evidence for assessment of the value of these other domains must be identified to give them credibility. Student evaluation became the default teaching metric analogous to publications and grants for research and scholarship. However, student evaluation is far from the most appropriate measure of teaching in many instances and PromotingTeaching: Making Evidence Count identified three sources of evidence as:

1. Personal – evidence of reflective practice, personal professional development and/or commitment to innovation; evidence of engagement with relevant educational literature or theory, *e.g.* how a teaching philosophy or theory informs the applicant's teaching practice.
2. Students – how students perceive the work of the applicant, through scores in evaluations and qualitative comments; measurements of student achievements in courses the applicant has taught, developed or led, and how student evaluation scores compare with school averages.
3. Peers – evidence of recognition by colleagues in their institution, or at a wider national and international level, including Head of School comments, peer observations and peer reviews of curriculum development.

The mix of evidence will be unique to each individual and will change according to the level of appointment as shown in the diagram. Although these evidentiary sources were identified for teaching they are easily extended to other domains.

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[159] Arthur L. Dirks, (1998). The new definition of scholarship: How will it change the professoriate? Published on-line by author (http://webhost.bridgew.edu/adirks/ald/papers/skolar.htm). Bridgewater, MA. Accessed 5 February 2014.

| | |
|---|---|
| **Personal** | Evidence of reflective practice, professional development and/or commitment to innovation; evidence of engagement with educational literature or theory, e.g. how a teaching philosophy/theory informs the applicant's teaching practice. |
| **Students** | How students perceive the work of the applicant, through scores in evaluations and qualitative comments; measurements of student achievements in courses the applicant has taught, developed or led, and how student evaluation scores compare with school averages. |
| **Peers** | Evidence of recognition by colleagues in their institution including head of school comments, as well as recognition at national or international level. May include peer observations and peer reviews of curriculum development. |

Academics operate across several spheres of influence due to the collaborative nature of knowledge generation and dissemination. How an academic's practice influences or impacts on others is an indicator of leadership. Promoting Teaching: Making Evidence Count presents this influence as in the diagram. This illustrates that influence may occur at different levels such as the Faculty through to communities beyond the institution. The influence of an individual would be expected to change to an emphasis on external communities as the appointment level changes from Level A through Level E. Appointment or promotion to Level E always requires evidence of international impact with significant leadership and engagement.

Peer review of teaching and professional practice[160,161] in which colleagues provide feedback on teaching practices has not featured strongly in academic cultures. Many staff are reluctant to engage with peer review of teaching which is surprising when one considers that peer review of research is firmly established and internationally recognised and remains the best system of establishing credibility in research and scholarship. There are encouraging signs[162] that the value of peer review of teaching is being accepted and an extensive literature in this area is becoming available. A significant change process will need to occur to enshrine peer review in practice at CSU.

**Recommendation 49**: CSU to introduce a two-pronged approach to peer review of teaching and professional practice; one designed to be formative; the other designed for use in excellence awards, probation, career development and promotions.

*Reaching a decision*
Assessment of whether an application demonstrates (*i.e.* provides the necessary level of evidence) that the qualitative and/or quantitative standards have been achieved appears to be qualitative in many institutions using notions such as "exceeds expectations for current level." In such systems it is unclear in most policies how a final decision is made about the outcome of the application. It is even more obscure how the applicant nominated domain weightings (where used) are applied and indeed whether they have any impact at all on the outcomes of the promotion assessment.

Some institutions (*e.g.* Curtin, Newcastle, QUT, RMIT[163], USQ, Victoria, and probably Adelaide) use a scoring system to assess whether applications demonstrate that an individual has met the necessary standard. The consultation phase of this project suggests that this is the approach favoured by staff at CSU.

The process at QUT is illustrative of the general approach. The Executive Dean provides a report to the promotion committee that assesses and rates (out of 10) the applicant's accomplishments in each of the domains. A single score is calculated by applying the weightings nominated by the applicant to the raw scores for the individual domains. Similarly, members of the promotion committee rate applications and a final score is obtained that determines the outcome of the application.

The performance scores and associated descriptors used at University of Southern Queensland are shown in Table 10. The performance of applicants is assessed and scored in each of the three domains (Teaching and related scholarship; Research and original achievement; Service to the university, community and profession) against the position classification standards for both their current level of appointment, and the level of appointment sought, with regard to *demonstrated potential to perform* at the level sought and *actual performance at the current level* relative to the

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[160] Jo McKenzie and Nicola Parker, Peer review in online and blended learning environments. Australian Learning and Teaching Council, Report 2011.

[161] Geoffrey Crisp and others, Peer Review of Teaching for Promotion Purposes: a project to develop and implement a pilot program of external Peer Review of Teaching at four Australian universities. Australian Learning and Teaching Council, Report June 2009.

[162] Kerri-Lee Harris et al. Peer Review of Teaching in Australian Higher Education: A handbook to support institutions in developing effective policies and practices. Australian Learning and Teaching Council, 2008. Accessed from: http://www.cshe.unimelb.edu.au/research/teaching/docs/PeerReviewHandbook_eVersion.pdf

[163] Promoting Teaching, Good Practice Example 17. Accessed from: http://www.promoteteaching.com/uploads/1/5/4/4/15442782/good_practice_side_1.pdf

applicant's peer groups. The peer group of an applicant is defined as those academic employees of Australian universities in the same discipline and at the present level of the applicant.

Table 10. Performance scores and descriptors used by USQ

| Description | Definition | Score |
|---|---|---|
| Exceptional | Outstanding performance by national or international standards, placing the applicant in the top echelon of his/her national professional peer group. | 10 |
| Superior | High level of performance denoting the applicant clearly as a leader among his/her peers. | 8-9 |
| Commendable | Performance at a level markedly above that necessary for routine performance of professional activity at the applicant's present level or equivalent to that necessary for performance at the level sought. | 6-7 |
| Adequate | Adequate performance at a level necessary for the performance of professional activity at the applicant's present level. | 4-5 |
| Marginal | Performance at a level giving cause for concern within the peer group. | 2-3 |
| Poor | Unsatisfactory and/or inadequate. | 1 |
| No output | | 0 |

**Recommendation 50**: A system of scoring of promotion applications to be used by promotion committees at CSU to guide decision-making, for example, as follows[164]:

| CSU Academic Characteristic | | Raw Score* | Work(load) Function Weighting Range[#] | | | Weighted Score |
|---|---|---|---|---|---|---|
| | | | Teaching and Research | Teaching and Professional | Teaching Focussed | |
| 1. Qualifications or equivalent standing | Qualifications | Meets standard = 10 | 1.0 | 1.0 | 1.0 | |
| | OR Equivalent Standing | 1 - 10 | 1.0 | 1.0 | 1.0 | |
| 2. Core institutional values | | 1 - 10 | 1.0 | 1.0 | 1.0 | |
| 3. Minimum standards for academic levels | | 1 - 10 | 1.0 | 1.0 | 1.0 | |
| 4. Reputation or esteem | | 1 - 10 | 1.0 | 1.0 | 1.0 | |
| 5. Domains | Promoting learning | 1 - 10 | 0.30 – 0.50 | 0.30 – 0.50 | 0.15 – 0.25 | |
| | Creating knowledge | 1 - 10 | 0.45 – 0.65 | 0.45 – 0.65 | 0.75 – 0.85 | |
| | Influencing university, profession, community | 1 – 10 | 0.10 – 0.20 | 0.10 – 0.20 | 0.10 – 0.20 | |

  * 9 -10 Compelling case for promotion

    7 - 8 Evidence of strength, providing a worthy case for consideration

    5 - 6 Evidence of strength in a number of areas but not sufficient to achieve promotion

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[164] *The table will require modification to accommodate further input. For example, changes may be necessary if the number of domains is modified. Depending on the final framework, a higher level of performance will be required if staff with a particular work function are operating in one domain only. Two approaches are possible: i. apply a factor to the 'Work(load) Function Weighting Range or ii. have higher expectations in terms of standards.*

3 - 4 Insufficient case at the point in time
1 - 2 Weak case for promotion, falling well short of what is required
# As nominated by applicant (Must total 1.00)

The completed form on each application to be supplied by committee members to the Division of Human Resources three working days prior to scheduled meeting of the relevant promotion committee. The Division to make the collated data (including median scores) for each characteristic across all committee members available at the meeting of the promotions committee.

These scores will assist in reaching the final outcome of an application by informing the decision BUT the final decision must be determined holistically and not simply by a numerical average of the scores. For example, high scores in Characteristics 1, 3, 4 and 5 would not normally compensate for a low score in Characteristic 2 although rare and unusual circumstances may arise in which this would be appropriate.

# 9. The CSU Academic

The CSU Academic Career Cycle maps the lifecycle of a CSU academic through recruitment and appointment, probation, career development and promotion. Professional Learning and Development support the individual in this career progression and the CSU Academic Evidence Framework will assist the individual in documenting their progress through the process.

**The CSU Academic Career (NOT FINALISED)**
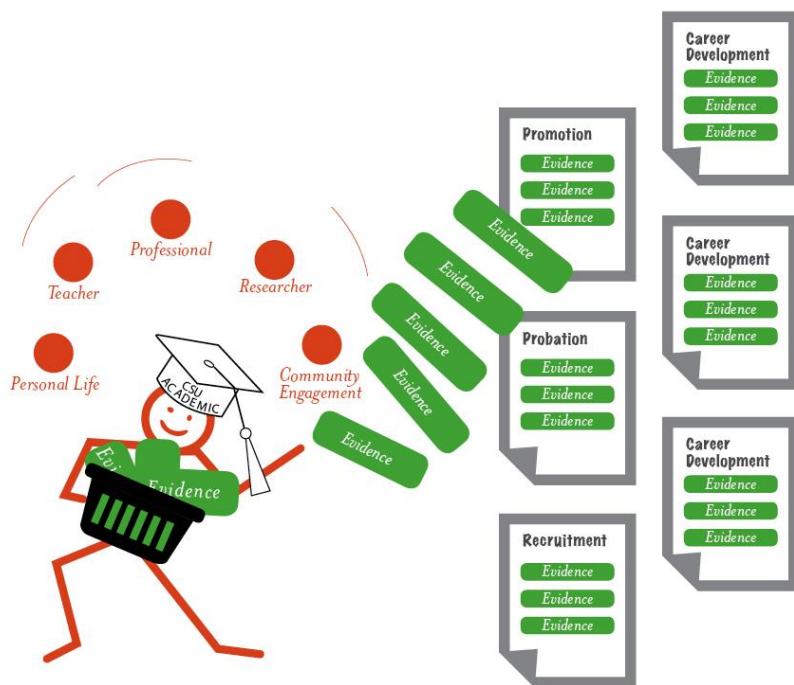


This aspect of the CSU promotions review intersects with the work being undertaken by a team of CSU staff as part of the OLT's Transforming Practice Programme (TPP) and will undergo change and further development and refinement as this work progresses.

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As discussed above, promotion (or appointment) criteria derive from two sources; what is an academic and what does an academic do and these together set certain characteristics that we define as The CSU Academic.

**Recommendation 51**: The CSU Academic will:
1. possess relevant *Qualifications*
2. have *Core institutional values*
3. meet *Minimum standards for academic levels*
4. have a *Reputation* or esteem appropriate to the academic level
5. in alignment with work function agreed at employment or as subsequently modified, meet the expectations of the specific areas of academic endeavour termed *Domains*.

These five characteristics are to be addressed in all career development matters such as appointment, probation, career development and promotion.

**Recommendation 52**: *The CSU Academic framework to be used as a high level conceptual map defining academic work and categorizing activities and outputs for recruitment and appointment proposals and for career planning in probation, career development and promotion processes.*

*The CSU Academic framework accompanies The CSU Degree and The CSU Graduate. It is not a one size fits all model, but rather is intended to illustrate the diversity of academic roles. It complements CSU Core Values (reliable, inclusive, agile, student-centred, agent of change), CSU Commitments (sustainability, indigenous issues, internationalisation) and underpins CSU's viability as an institution by placing student retention and quality of the university experience at the heart of all we do daily.*

**The CSU Academic**

| Characteristic | Explanation |
|---|---|
| Qualifications | Staff will hold relevant qualifications or equivalent standing as currently specified. |
| Core institutional academic values | As specified in CSU Strategy |
| Minimum standards for academic levels | Staff will meet MSALs as currently defined |
| Reputation or esteem | Staff will have national or international standing as currently required appropriate to the academic level. |
| Domains | Staff will satisfy the requirements as appropriate to academic level and work function in the three domains of Promoting learning, Creating knowledge, and Influencing university, profession, community. |

These five characteristics must be addressed in any career development activity. In relation to promotion, it is *continued and outstanding retrospective performance that contributes to the university mission and that demonstrates a prospective trajectory that is rewarded in promotion processes. The promotion process is concerned with whole-of-career achievements but with special attention on those since appointment or promotion to the current level with evidence of an upward career trajectory in performance that would warrant promotion to the next level.*

The five characteristics of The CSU Academic are expanded and explained as follows.

## 1. Qualifications

The Minimum Standards for Academic Levels (see below) require that staff at level B and above will normally contribute to teaching at undergraduate, honours and postgraduate level. When considered with the TEQSA requirements for qualifications this dictates certain qualifications as being appropriate at the various levels.

**Recommendation 53**: Charles Sturt University to retain existing requirements for qualifications but to define what is meant by "equivalent accreditation and standing."

### Level A

An honours degree or higher qualification; an extended professional degree; a postgraduate diploma appropriate to the relevant discipline area; or equivalent accreditation and standing.

### Level B

A doctoral or masters qualification appropriate to the relevant discipline area or equivalent accreditation and standing.

### Level C

A doctoral qualification relevant to the discipline area; or equivalent accreditation and standing.

### Level D

A doctoral qualification relevant to the discipline area; or equivalent accreditation and standing.

### Level E

A doctoral qualification relevant to the discipline area; or equivalent accreditation and standing.

*Equivalent Accreditation and Standing*

The notion of 'equivalent accreditation and standing' was addressed in a Report to Academic Senate March 2014, prepared by Professor Robert Coombes. However, these recommendations were designed to define equivalence in terms of meeting teaching requirements for TEQSA and are not appropriate for purposes of promotion.

Whilst explicitly acknowledging the diversity that typifies its academic staff, the normal expectation at CSU is that staff will hold a doctoral qualification (a master's qualification is acceptable at Level A/B) but it is entirely consistent with CSU's mission to recognise professional practice-based achievement for the purpose of equivalence in career development. This is based on recognition that *some disciplines* require a combination of qualifications, experience and registration to achieve expert-level professional standards. Nonetheless, the usual route to higher levels of appointment (Levels D and E) will remain the holding of a doctoral qualification and achievements in both research and teaching. Although a level of achievement in research is no longer a mandatory requirement for promotion, the norm is that a member of the academic staff whose prime focus is teaching demonstrates that their contribution is underpinned by outstanding scholarship which must be linked to the nature of the individual's appointment. It is specifically noted that scholarship in an area of interest not related to the appointment held by an individual is a private pursuit.

Recognition of work-based learning is common in some subject areas, such as education and health. Credit for experiential or work-based learning is based on evidence of learning through portfolios, reflective reports, reflective logs and presentations, rather than time spent in placement. It is appropriate that academic staff members who do not satisfy the relevant qualification standards

have an opportunity to demonstrate equivalent standing[165] which is the recognition of equivalence to a master's or doctoral degree given to an academic staff member based on his/her qualifications, further training, professional development and experience.

Qualification and equivalence requirements can be specified generically or looked at on an individual School/discipline basis as done at Flinders University.

**Recommendation 54**: Charles Sturt University to consider the following in deciding equivalent accreditation and standing:

1. Where an examining body, profession or similar institute admits a person to one of its awards or levels of membership such as Fellowship or Diplomate (typically by examination and research), and that award or level of membership is widely considered by universities and the profession to be equivalent to a particular level of University award, then the award or level of membership may be deemed to have equivalent standing to the particular University award for purposes of career development.
2. Where a professional doctorate meets suitable standards (See, for example, National Qualifications Authority) then the doctorate may be deemed to have equivalent standing to the doctoral qualification for purposes of career development.
3. Where an extended professional degree of 5-6 years duration meets suitable standards then the degree may be deemed to have equivalent standing to the master's qualification for purposes of career development.

In all other instances the following[166] shall apply.

For equivalent standing to a master's degree, an applicant will demonstrate:
- sustained achievement in professional development activities;  and
- advanced knowledge and achievement across a significant portion of his/her field of expertise;  or
- detailed knowledge and achievement in a particular part of his/her field.

For equivalent standing to a doctoral degree, an applicant will demonstrate:
- sustained achievement in professional development activities;  and
- broad knowledge and achievement across his/her field of expertise;  and
- in-depth knowledge and achievement in a particular part of his/her field.

Examples of evidence that are appropriate to demonstrate equivalent standing may include (but are not limited to) the following:
- teaching experience;
- experience in research and scholarship;
- experience outside tertiary education in industry, business or government employment;
- creative achievement;
- granting of accolades or awards indicative of professional esteem;
- professional contributions including professional qualifications and/or further education;
- training and professional development;
- technical achievement;
- leadership in local, state or national advisory bodies and/or community organisations.

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[165] Although not universal (cf. University of Southern Queensland and Federation University), equivalent accreditation is used here to refer to the process by which equivalent standing is established.

[166] This standard is applied elsewhere and it is appropriate to encourage standardisation in this respect.

This list is neither prescriptive nor exhaustive. Evidence subsequently provided to support a case for promotion must be of a different nature and impact from the evidence used to substantiate equivalent standing.

The option of demonstrating equivalence is restricted[167] to those engaged in professional practice and where the norm is not to hold a doctoral or master's qualification. In determining equivalent standing there is no distinction between appointment levels. *i.e.* the same standard for doctoral equivalence applies at Level C as at Level E.

## 2. Core institutional values

Staff have an understanding of what constitutes the CSU academic, and in fact our stakeholders also have expectations of how academic staff behave. The way in which we hold our expectations in the institution are framed in policies and procedures such as work function, probation, promotion, enterprise agreement, etc. If considered holistically these probably contain what the CSU academic is but there is an opportunity to regroup these thoughts and reframe these as part of the characteristics that span the gap from our mutual understanding of being meaningful and mindful and "having gumption." These characteristics serve as a lens for self-reflection and evaluation of purpose.

The defined CSU academic characteristics will provide us all with a set of core values that allow a re-orientation and improvement of our formal processes that lead to better management of our people, how we engender leadership and how we shape tools such as coaching and mentoring for improvement of CSU and life at CSU.

Core academic values are traditionally identified to include:
- academic freedom as the foundation necessary for critical inquiry in a pluralistic democratic society;
- collegiality, teamwork and service, fairness and tolerance;
- professionalism, accountability and transparency;
- creativity and innovation in scholarship and research;
- integrity and high ethical values and moral reasoning; and,
- sustainability.

However, an alternative set of core academic values are about being:
- Useful;
- Reliable;
- Collegiate;
- Inclusive;
- Realistic;
- Influential; and
- Informed.

Core institutional values have been investigated further as part of the TPP initiative and following

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[167] It is not possible to set an absolute standard, there must be some flexibility. For example, there are a number of individuals who have excelled to the highest level of achievement without a doctoral qualification including Professor Barry Marshall, Nobel Laureate in Physiology or Medicine, UWA.; without going to this extreme, it is possible to envisage individuals lacking a doctoral qualification but with Fellowship of say the Australian Academy of Science, Royal Society in the UK, or a National Academy in the USA.

staff consultation the most appropriate values are seen as those defined in the University Strategy as:

- Collaborative – we believe we are at our best when we work together with others to achieve mutual goals.
- Student centred – we recognise that delivering an excellent student experience is central to our success. We listen to our students to understand their individual needs. We work to make a real difference in our students' lives.
- Agile – we recognise that our environment and the needs of our students, professions, communities and staff are constantly changing and we continually refine and adapt to these differing and changing needs.
- Agents of change – we think differently and look beyond the obvious. We ask 'why' and 'why not'. We constantly strive for new and better ways to achieve our goals. We make things happen.
- Reliable – we are consistent, trustworthy and dependable. We set realistic aspirational goals and we strive to achieve them.
- Inclusive – we recognise that we achieve better outcomes when we embrace and respect the different views, cultural backgrounds and abilities of all staff, students, graduates and external communities.

**Recommendation 55**: All academic staff at all levels must be committed to the core institutional values as outlined in the University Strategy and this will be mandatory in all career development processes including promotion.

## 3. Minimum Standards for Academic Levels

The appointment Levels A to E are differentiated in the Minimum Standards for Academic Levels (MSALs) by:

(1) level of complexity;
(2) degree of autonomy;
(3) leadership requirements of the position; and,
(4) level of achievement of the academic.

Staff applying for promotion must demonstrate that they can perform at a higher level than covered in the relevant MSAL as this represents baseline performance for appointment at the various levels.

**Recommendation 56**: Charles Sturt University to retain Minimum Standards for Academic Levels as the baseline for acceptable academic performance.

The minimum standards for each level assume that requirements for all lower levels are met. These minimum standards are for a teaching and research work function academic involved in the full range of academic activities:

**Level A**

A Level A academic will work with the support and guidance from more senior academic staff and is expected to develop his or her expertise in teaching and research with an increasing degree of autonomy.

A Level A academic will normally contribute to teaching at the University, at a level appropriate to the skills and experience of the staff member, engage in scholarly, research and/or professional activities appropriate to his or her profession or discipline, and undertake

administration primarily relating to his or her activities at the University. The contribution to teaching of Level A academics will be primarily at undergraduate and graduate diploma level.

### Level B
A Level B academic will undertake independent teaching and research in his or her discipline or related area. In research and/or scholarship and/or teaching a Level B academic will make an independent contribution through professional practice and expertise and coordinate and/or lead the activities of other staff, as appropriate to the discipline.

A Level B academic will normally contribute to teaching at undergraduate, honours and postgraduate level, engage in independent scholarship and/or research and/or professional activities appropriate to his or her profession or discipline. He or she will normally undertake administration primarily relating to his or her activities at the university and may be required to perform the full academic responsibilities of and related administration for the coordination of an award program of the university.

### Level C
A Level C academic will make a significant contribution to the discipline at the national level. In research and/or scholarship and/or teaching he or she will make original contributions, which expand knowledge or practice in his or her discipline.

A Level C academic will normally make a significant contribution to research and/or scholarship and/or teaching and administration activities of an organisational unit or an interdisciplinary area at undergraduate, honours and postgraduate level. He or she will normally play a major role or provide a significant degree of leadership in scholarly, research and/or professional activities relevant to the profession, discipline and/or community and may be required to perform the full academic responsibilities of and related administration for the coordination of a large award program or a number of smaller award programs of the university or functional unit such as a research team in a priority area, a significant research facility or a teaching facility.

### Level D
A Level D academic will normally make an outstanding contribution to the research and/or scholarship and/or teaching and administration activities of an organisational unit, including a large organisational unit, or interdisciplinary area.

A Level D academic will provide leadership and foster excellence in research, teaching and policy development in the academic discipline. He or she will make original and innovative contributions to the advancement of scholarship, research and teaching in his or her discipline.

### Level E
A Level E academic will provide leadership and foster excellence in research, teaching and policy development in the academic discipline within the University and within the community, professional, commercial or industrial sectors.

A Level E academic will have attained recognition as an eminent authority in his or her discipline, will have achieved distinction at the national level and will be required to have achieved distinction at the international level. A Level E academic will make original, innovative and distinguished contributions to scholarship, researching and teaching in his or her discipline. He or she will make a commensurate contribution to the work of the University.

**4. Reputation or Esteem**
The reputation or esteem for an academic identifies the status of a staff member by using terms such as national or international academic standing.

**Recommendation 57**: Charles Sturt University to retain current statements relating to esteem but to define or clarify what is meant by terms such as national and international standing.

**Level A**

A Level A academic will have the capacity to undertake, under supervision, teaching and/or research / creative works and/or professional activity; and the capacity to work as part of a team of academic staff.

**Level B**

A Level B academic will have a record of research / creative works or professional activity relevant to the discipline area, which demonstrates a capacity to make an autonomous contribution.

**Level C**

A Level C academic will have a record of significant achievement and outputs relevant to the discipline area, and at a national level, in the scholarship of teaching and/or research / creative works or professional activity.

**Level D**

A Level D academic will have a record of academic achievement and outputs of national and/or international standing through outstanding contributions, including academic leadership, to the scholarship of teaching and/or research / creative works or professional activity.

**Level E**

A Level E academic will have a record of academic achievement and outputs of national and international standing through distinguished contributions, including academic leadership, to the scholarship of teaching and/or research / creative works or professional activity.

A Level E academic will be recognised as a leading authority in the relevant discipline area.

National or international standing is, by definition, gained through activities that command respect nationally or internationally. Such activities include:

- quantity and quality of research publications;
- citations to the research output;
- research income, especially from competitive grants;
- contribution to the development and improvement of policy and practice through involvement in professional/industry associations, accreditation authorities, advisory bodies, and national or international delegations;
- research with, for and about the profession and about professional practice;
- invitation to (be keynote speaker at) a national or international conference;
- invitations to present plenary lectures;
- number and status of actively-engaged international collaborators (there must be substantiated evidence of outcomes such as grants or publications);
- ability to attract international visitors;
- recognition of academic standing through election to academies,
- invitation to serve on editorial boards of international journals;
- invitation to referee articles in scholarly journals;

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- invitation to be a member of a research grants board;
- invitation to be a member of an Organising Committee of an international conference;
- invitation to referee grant applications from national and international agencies;
- awards, prizes and other forms of recognition.

## 5. Domains

The sector uses a variety of specific criteria (relating to research, teaching, service and leadership) against which promotion applications are assessed; at CSU these are identified as domains.

The Charles Sturt University Act 1989 section 7 (1) defines the object of Charles Sturt University as the "promotion, within the limits of the University's resources, of scholarship, research, free inquiry, the interaction of research and teaching, and academic excellence". Key elements in the Act that are relevant to the current review are –

- dissemination, advancement, development and application of knowledge informed by free inquiry;
- carrying out of research, to meet the needs of the community;
- participation in public discourse;
- provision of teaching and learning that engage with advanced knowledge and inquiry; provide cultural, sporting, professional, technical and vocational services to the community;
- exercise commercial functions.

From this it is clear that broad categories of academic work at CSU could be identified as:

- Research and scholarship
- Learning and teaching
- Engagement and Dissemination of Knowledge

and, given the nature of courses taught at CSU, a fourth category could be added as:

- Professional practice

Any promotion policy should give adequate but not necessarily equal recognition to each of these activities or domains. There is an attraction to adopting this conservative approach. It is easier as a considerable amount of groundwork has been done although there are emerging problems in research resulting from the importance attached to research ranking exercises. For instance, the San Francisco Declaration on Research Assessment[168] is an attempt to improve the ways in which the output of scientific research is evaluated; for example, by highlighting the scientific content of a paper rather than publication metrics. In a further example industry research reports that may be more important to CSU can go unrewarded. The recognition of teaching and learning in promotion policies has reached a level of some sophistication. The need here is to translate this into practice and to align policy with practice. Other domains have not generally been well developed except sporadically at a few universities but this will change in the near future.

On the other hand, CSU may wish to set its own mark and define its policy using distinctive domains; this is also attractive for a different set of reasons. For example, CSU may wish to make a statement about its uniqueness and set the domains as Knowledge creation and Knowledge dissemination.

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[168] San Francisco Declaration on Research Assessment: Putting science into the assessment of research. Accessed from: http://am.ascb.org/dora

The domains to be used by CSU have been identified as below. This will facilitate cross-sector benchmarking.

**Recommendation 58**: In The CSU Academic, domains to be as defined by the Transforming Practice Programme. Proposed domains are:
- Promoting learning
- Creating knowledge and
- Influencing university, profession, community

**Recommendation 59**: The dimensions of academic work to refer to the areas of activity undertaken by participants in each domain.

**Recommendation 60**: At CSU, the proposed dimensions populating each of the three domains to be determined by the Transforming Practice Programme. Proposed dimensions are:
- Personal & professional development
- Student engagement
- Application and integration of scholarship
- Design and development
- Discovery and extension of new knowledge
- Leadership and collaboration

### THE CSU ACADEMIC DOMAINS
### ILLUSTRATIVE ONLY (Cells to be populated following further input)

There are three perspectives for each domain:

1. SCOPE OF ACTIVITY is broad, covering at least seven dimensions in each domain and varies for each academic level;

2. SPHERE OF INFLUENCE in each domain and dimension moves between class, school, faculty, university, region and for higher levels of academic progression impact is national and global; and

3. SOURCE OF EVIDENCE for each domain emphasises peer review and qualitative data in addition to quantitative measures.

| Dimensions | Domains | | |
|---|---|---|---|
| | **Promoting learning** | **Creating knowledge** | **Iinfluencing university, profession, community** |
| **Personal & professional development** | | | |
| **Student engagement** | | | |
| **Scholarship** | | | |
| **Application & integration of research** | | | |
| **Design & development** | | | |
| **Discovery of new knowledge** | | | |
| **Leadership & collaboration** | | | |

*The CSU Academic Evidence Framework*

The CSU Academic Evidence Framework (to be developed by the Teaching Practice Programme) will map evidence and standards against the three domains and the levels of appointment, Level A to E giving examples of the types of evidence that can be used to demonstrate that the appropriate standard has been met.

The examples will be illustrative of the type of evidence that might be included, but these are certainly not definitive or exhaustive of all tasks in academic employment, which is by its nature diverse and multi-skilled and involves an overlap of duties between levels. There will be a wide variety in the mix of activities undertaken and contributions made and there is no expectation that an individual staff member will make contributions in all of the areas to be listed.

The framework is not a checklist of what must be done to be promoted. The framework provides a firm basis for assessing performance and for stating and assessing claims for promotion. In assessing performance, what matters is what contribution has been made and what outcomes have been achieved.

Some activities could be considered under different Domains; the applicant needs to make a decision in terms of best presentation of their case but evidence can only be used once.

In each of the domains, progression through the levels of appointment from Level A to Level E is associated with an increase in the level of leadership, broadening of organizational scope, increase in diversity of activities and enhancement of impact.

In summary, an application for promotion will be assessed against the evidence provided through:
1. The detailed record of the academic achievements of the applicant (what the applicant has done, the outcomes relative to standards for the relevant Level of appointment, impact of the outcomes and supporting evidence) addressing the five characteristics of The CSU Academic;
2. A report by the Supervisor;
3. The response of the applicant to the Supervisor's Report (optional);
4. Independent referee reports;
5. Reports of additional referees, if required;

with the addition, in the case of applicants for promotion to Level D and Level E, of:
6. Reports from independent leading scholars;
7. Seminar presentation.

*It is important to remember that it is the application and not the applicant that is assessed against relevant standards to determine the outcome of the promotion application. The responsibility of an applicant is to ensure that the application truly reflects their performance and individuality.*

# 10. Risks

The new promotion policy will involve a number of changes with potential risks for both the institution and staff. Laidlaw[169] addressed such issues in a report in 1992:

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[169] See http://www.thenationalacademy.org/readings/priorities.html and

"In the late 1950s and early 1960s, major reports on the field of management education were sponsored by the Ford and Carnegie foundations. Among the findings of those reports were that business schools were too vocational, lacked academic rigor, and taught subjects that were not founded in basic research. The Ford Foundation followed up its report with an investment of more than $30 million to upgrade the quality of doctoral programs, to incorporate research capability from other disciplines, and to create an environment that valued research as the basis for the development of the disciplines in management education. Our field has spent the last 30 years seeking academic respectability among university colleagues by emphasizing research and scholarship, often narrowly defined."

The introduction of a new policy with a number of changes to an entire university represents a significant challenge compared with the changes outlined by Laidlaw. Any new system will probably suffer in the short term from poorly developed applications because of new opportunity and previously 'underguided' activity to the point of application. For example, who will provide guidance on engagement and leadership. The lack of 'sophisticated conceptualization and definitions of teaching and engagement and leadership' may present problems in the early implementation phases of the policy. This will lead to practical problems where the "promise of the new deal" is held up to be a myth by those who fail to be promoted in the early rounds of a new system. This is simply a confounding issue, but it puts the internal trust within the university at risk. Management and staff must be prepared to accept this risk as an essential element of change. One key to success will be to manage expectations.

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# DRAFT

# ACADEMIC STAFF PROMOTION POLICY

## *1.1. Purpose*

An appropriate Promotion policy is one of the ways in which Charles Sturt University recognises the achievements and professional development of its academic staff. Staff promotion enables evidenced and consistent outstanding achievement and performance at the current level that is aligned with the University strategy and mission to be recognised and rewarded.

## *1.2. Principles*

This policy is based on principles of:

(a)     recruitment, retention and development of high performing academic staff who contribute to CSU's mission and operate in accordance with its Code of Conduct;
(b)     equity, fairness and flexibility in workplace arrangements;
(c)     organisational productivity and performance;
(d)     commitment to transparency of process, based on merit and equal opportunity for all academic staff;
(e)     recognition of the variety of academic activity and differing forms of output that are characteristic of *different disciplines*;
(f)     recognition of the widely varying combinations of academic activity, the balance of which is likely to change over time for any one staff member;
(g)     recognition of diversity in the ways in which individual academic staff contribute to CSU's mission and the wide variety of academic work which is appropriate to that mission.

Academic staff promotions allow CSU to identify and foster academic leadership as defined in The CSU Academic.

Level C is identified as the expected level that will be reached by most academic staff at Charles Sturt University during their career. Promotion beyond Level C is restricted to those showing sustained exceptional performance at Level C.

This policy must be read in conjunction with the "Academic Staff Promotion Procedures" as well as with relevant legislation, the most recent CSU Enterprise Agreement, and with any procedures designed to enhance best practice such as policies of Academic Senate and Council Rules.

## *1.3. Scope*

This policy applies to all academic staff holding a substantive appointment, full-time or part-time, at Charles Sturt University.

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## *1.4. Eligibility*

There will be an annual round of promotions at which academic staff of CSU, who hold a fixed-term or continuing appointment in a full-time or fractional capacity at level A, B, C or D, may apply for promotion to the next appointment level.

Academic staff employed on the basis of a fixed-term contract are also eligible to apply, but promotion of a person who is employed on a non-renewable contract does not vary the length of the contract.

Academic staff whose employment is externally funded are not eligible to apply for promotion unless the funds include provision for an increase to support the promotion.

To be eligible for promotion, the following conditions must be met:
(a)      staff have satisfactorily completed the requirements for probation;
(b)      individual performance is considered to be satisfactory as determined by their Head of School, as a result of their most recent probation or Performance Management and Development Report.

An applicant may make only one application in a promotion round and that must specify the level of promotion sought. In exceptional circumstances applicants applying for promotion below Level E may seek to be promoted two levels. To justify this, the applicant must put forward a strong case outlining the reasons for seeking such a promotion and would be expected to be performing at an exceptional level in all aspects of their current appointment. Note however, that an applicant will only be considered for the promotion sought; i.e. an applicant having applied for promotion through two levels cannot be granted promotion to the lower level.

An academic staff member may not normally apply for promotion in consecutive years, unless the Deputy Vice-Chancellor (Academic) invites resubmission on the recommendation of the Executive Dean of the applicant's Faculty, or unless there is a new and significant reason for early resubmission. The latter will require the support of the relevant Executive Dean and approval by the Deputy Vice-Chancellor (Academic).

## *1.5.    Responsibilities*

The Executive Director, Division of Human Resources is responsible for developing, reviewing and overseeing the policy, procedure, guidelines and forms for academic staff promotion.

The Deputy Vice-Chancellor (Academic) is responsible for approving the procedure, guidelines and forms for academic staff promotion.

The Vice-Chancellor is responsible for approving the Academic Staff Promotion Policy following its review by Academic Senate.

## *1.6.    Number of Promotion Positions*

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The number of promotion positions to be made available is not normally pre-determined. Promotion is merit-based and not limited by quotas except in exceptional circumstances.

## 1.7.    Applications for Promotion and their Assessment

An application for promotion must be made in accordance with the manner, format and page limits prescribed in the "Academic Staff Promotion Procedures" and submitted on-line to the Secretary, Academic Promotion Committee by the advertised closing date.

The Faculty Academic Staff Promotion Committee will assess applications for promotion to Lecturer (Level B) and Senior Lecturer (Level C), and make recommendations to the Executive Dean for determination.

The University Professorial Promotion Committee will assess applications for promotion to Associate Professor (Level D) and Professor (Level E), and make recommendations to the Vice-Chancellor for approval. The Vice-Chancellor will report to the University Council about the approved professorial appointments.

The members of the Promotion Committees will be appointed by the Executive Deans or Vice-Chancellor, in accordance with clause Z of the Procedures.

## 1.8. Conflict of Interest

Potential conflicts of interest **must** be avoided. In the case of a conflict of interest involving the applicant and supervisor (*e.g*. familial relationship) then the applicant and/or supervisor must notify the Executive Director, Division of Human Resources who will cause the matter to be investigated (seeking clarification and additional advice, where necessary) and make a decision as to how to proceed.

In the case of personal conflict between the applicant and supervisor, the applicant may request an alternative person to fulfil this role or the supervisor may request relief from this role. The nature of the conflict must be clearly outlined and the request will be directed to the Presiding Officer of the relevant promotion committee who will assess the request, make a decision and inform the applicant and supervisor as necessary.

In the case of a conflict of interest being identified by a member of a promotion committee, this must be notified to the Presiding Officer of the relevant promotion committee who will investigate and take the necessary action; if time permits this may include a replacement committee member for the consideration of that application or exclusion of the member from the meeting during consideration of that application.

## 1.9.    Assessment

Applications and/or presentations will be assessed in accordance with the "Academic Staff Promotion Policy" and the "Academic Staff Promotion Procedures".

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Applicants for promotion must demonstrate that they:
1. meet *Core institutional values*
2. possess relevant *Qualifications* or establish equivalent standing;
3. meet the *Minimum standards for academic levels*
4. have a *Reputation* or esteem appropriate to the academic level
5. in alignment with work function agreed at employment or as subsequently modified, meet the expectations and standards in the Career Development Framework as mapped against the domains and dimensions in The CSU Academic.

Applications for promotion will be **assessed across these five characteristics defined by The CSU Academic on the basis of the quality and impact in these areas and on evidence of leadership and its impact** relative to the promotion level. Applications will be assessed on an all-of-career basis looking for a career trajectory but with a **strong emphasis** on the achievements in the position currently held.

To be promoted, an applicant must demonstrate using appropriate evidence that they meet the requirements as defined in The CSU Academic of the level to which they seek promotion.

## *1.10. Appeals*

There is no provision for an appeal against unsuccessful application other than in cases where the applicant has reason to believe there has been a significant procedural irregularity.

Decisions of Promotion Committees at Faculty and University levels shall be made on the merits of the applications for promotion. Such decisions shall be final and not subject to review or change.

## *1.11. Out-Of Round Applications*

An application for promotion may be considered outside of the usual promotion round upon request of an Executive Dean, Research Centre Director, Deputy Vice-Chancellor or Vice-Chancellor where an individual has been offered another post and there is a clear School/Faculty/Research Centre/University case for retention.

Applications for promotion out-of-round, must satisfy all other conditions for promotion. If there has been a previous decision not to promote at CSU there must be persuasive evidence of a significantly stronger case.

## *1.12. Reporting and Review*

The Vice-Chancellor (and Executive Deans) will report to Academic Senate at the completion of each annual Promotion round the following as minimum requirements:
   a. The number of applicants in the round at all levels B through E with breakdown to Levels, Campus, Faculty, School, gender and primary domain;
   b. The number of promotions approved with similar breakdown;
   c. The number of appeals and outcomes.

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d. Any problems or issues identified by the different committees. This will include a report on any delays (beyond prescribed time limits) in providing feedback to all applicants.

CSU is committed to *ad hoc* review of (the policy and) procedures. Academic Senate will pro-actively engage with the report by the Vice-Chancellor and provide feedback on any relevant issues to the Senior Executive Committee for action. A systematic cycle of review and evaluation of the policy and procedures is to be formally conducted after 6-years using the data collected by the Division of Human Resources as a starting point for sector benchmarking.

## *1.13. Confidentiality*

Information contained in an application including reports by referees, and discussions within promotion committees shall be confidential subject to any requirement of disclosure by law, including under the NSW Government Information (Public Access) Act 2009. Any committee member who breaches confidentiality will be required to withdraw from the promotion committee and may be subject to disciplinary action.

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# ACADEMIC STAFF PROMOTION PROCEDURES

## *1.1. Purpose*

This procedure collects and details all procedural aspects of the academic staff promotion process. It serves two functions and two clients. All persons involved in the Academic Promotion process will refer to this document to ensure that policy and procedure are followed and identify whom they should consult should issues arise.

Firstly, it describes all management aspects of the process from inception to completion of the annual round of academic promotions at Charles Sturt University (CSU).

Secondly, it advises applicants on how to:
    (a)    prepare a case for promotion, supported by evidence and documentation; and
    (b)    prepare an application in the prescribed manner, format and page limits.

## *1.2. Scope*

This procedure applies to:
(a) academic staff of CSU who hold a fixed-term or continuing appointment in a full-time or fractional capacity at level A, B, C, or D;
(b) the Academic Staff Promotion Committee appropriate to the applicant's level; and
(c) employees involved in the administration of Academic Promotion applications and documentation.

## *1.3. References*

These Guidelines should be read in conjunction with:
(a) Academic Staff Promotion Policy; and
(b) Professional Activity Work Function Policy
(c) The most recent CSU Enterprise Agreement
(d) OTHERS????        eg delegation authority

## *1.4. Management of the Promotion Process*

The process by which promotion applications are coordinated will be structured so that promotion decisions:
    i.    are fair, equitable and timely;
    ii.    are based on a fair and evidence based assessment of merit;
    iii.    maintain academic standards of the University, particularly in the quality of teaching, research, scholarship, creative activity and professional practice; and
    iv.    are consistent with the University interpretation of performance expectations and standards and the University mission.

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## *1.5. Preparation of the case*

Applicants are required to provide the relevant Academic Staff Promotion Committee with a clear written case for promotion to the academic level sought. Academic Staff Promotion Committee members may not know the applicants they are evaluating; the written case is, therefore, essential to succeed. The case should enable committee members to form a view of the applicant's qualifications and capacity to meet the standards and expectations of the academic level sought, as specified in this document and the "Professional Activity Work Function Policy".

It is important that promotion is seen as one aspect of career development. An application for promotion should be prepared well in advance. Two years prior to lodging an application, a candidate should have commenced discussions with colleagues and advised their direct supervisor (most commonly the Head of School) of their intention during their performance management. This will allow sufficient time for mentoring and support in crafting the narrative to provide a better understanding of what is required in putting a case forward for promotion. An applicant must be prepared to be ruthless in making changes as the application progresses.

In preparing an application it is good practice for the candidate to assume that no member of the promotion committee will be familiar with his/her work and issues of discipline norms (publication venues, quality measures) and teaching approaches and measures, and service/engagement expectations. This means that *all information in the application must be contextualized*. The committee will have three sources of information – the application, a supervisor's report and the reports of referees. The application will be assessed on demonstrated performance using these sources. The application must establish the case for promotion (i.e. My performance at my current level is outstanding or, putting it another way, I am currently performing consistently at the level to which I seek promotion) and provide the evidence that supports this case. Referees must support the case and affirm the evidence. The literature contains a lot of information on the selection of referees. Applicants should choose referees who are familiar with and can provide subjective, independent, clear and authoritative assessment of their work.

**Preparation activity**

Prior to commencing an application for promotion, applicants should ensure that they have:

(a)    read and understood the Academic Staff Promotion Policy and Academic Staff Promotion Procedures and confirmed their eligibility to apply;

(b)    read this document and the "Professional Activity Work Function Policy" to determine the basis for their application for academic promotion;

(c)    discussed their intention to apply with their Supervisor at their annual performance management meeting;

(d)    attended annual staff information sessions to understand the process of Academic Staff Promotion;

(e)    formally notified their Supervisor by the last Friday in April that they will be applying for promotion that year;

(f)    gathered evidence to support their application;

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(g)    considered ways in which to demonstrate continual growth as an academic, especially **their future capacity to contribute at the academic level to which promotion is sought;**

(h)    selected referees[1] who can comment effectively on their work and can attest to their national and/or international standing; and

(i)    identified other people to read their application for clarity, impact and repetition. These selected colleagues may know the applicant's work. Consideration may also be given to choosing a colleague from another discipline area to ensure that the application is **suitable to be read by a wide audience.** It should be borne in mind that committee members may be drawn from a wide range of different disciplines, and some members may be external to CSU.

## *1.6. Support of Candidates in Preparing for Promotion*

The university regards promotion as a recognition and reward of sustained outstanding performance at the existing level of appointment and provides support to staff to maximise their opportunity for success.

Support mechanisms provided for applicants include provision of workshops (also available on-line) and resources such as the Report covering the review of academic promotions, (HYPERLINK), previous successful applications (HYPERLINK) and a formal academic mentor.

Mentors will be drawn from the pool of successful promotion applicants. Staff suited to this mentoring role will have been identified by the Division of Human Resources and provided with training by the Division as necessary.

The list of official mentors may be accessed here (INSERT hyperlink to list of mentors)

DHR – any other assistance

## *1.7. Role of Supervisor*

The supervisor will normally be the Head of School. However, where the applicant is a Head of School or Associate Dean then the role of supervisor will be assumed by the Executive Dean; if the applicant is an Executive Dean then the role of supervisor will be assumed by the Deputy Vice-Chancellor Academic. In the case of staff appointed to a Research Centre, then the supervisor will be the Centre Director.

The supervisor has a key role in all stages of a candidate's promotion particularly in assisting and advising candidates in the preparation of their application. The supervisor with the assistance of the Division of Human Resources will identify one or more suitable mentors for the applicant and ensure that the mentoring process is occurring.

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[1] Applicants should notify details of deadlines to potential referees early in the process and when to expect the completed application.

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The Supervisor in consultation with the Executive Dean (or Deputy Vice-Chancellor Academic as appropriate) will play a strong role in providing advice and comment on the quality of the application and whether it builds a compelling case for promotion that shows national significance beyond the School and Faculty level.

Further advice on the role of the Supervisor in promotions is available here (Hyperlink to what is currently Appendix A).

## 1.8. Applications for Promotion

The Division of Human Resources will call for applications on the **first Monday in May** of each year.

If the Vice-Chancellor decides to place a limit on the number of positions available at any or each academic level, then the number of promotion positions available will be publicised when inviting applications for promotion.

Applicants for promotion are to complete their application using the Career Development Dashboard (Hyperlink to Application Form) adhering to all requirements in the Academic Staff Promotion Policy and Academic Staff Promotion Procedures and to submit the completed application by the advertised closing date (**the last Friday in August of each year**).

## 1.9. Completing the Application- Career Development Dashboard[2]

The application form available in the Career Development Dashboard (Hyperlink) contains a number of sections as follows:
1. Personal information: auto-populated by the Division of Human Resources. This will provide details of your appointment (School, Faculty, Campus, work function, discipline, employment fraction and relevant dates).
2. Formal Letter of Application.
3. Research metrics auto-populated by the Research Office (if relevant).
4. Teaching metrics auto-populated by the Division of Student Learning.
5. The Disciplinary Report specific to the CSU Discipline of the applicant (to be implemented for 2016).
6. A section for any comments on the auto-populated data.
7. Statement addressing the various characteristics as defined by The CSU Academic including a Curriculum Vitae.
8. Supervisor Report.
9. Nomination of Referees.

The applicant is responsible for checking all auto-populated information including the work function or appointment type as defined in Clause 30 of the Enterprise Agreement, 2013-2016 and ensuring that it is true and accurate and that no information is missing. Note that the Career Development Dashboard will not allow the applicant to add or delete any items from the application or to change the space allowed for entry.

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[2] Sections 1.8 and 1.9 (with modification as appropriate) are to be incorporated in other career management policies such as probation and performance management. DELETE footnote once done.

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The Career Development Dashboard has scope for the applicant to comment on any relevant issues in downloaded information such as concerns about comparisons to norms. This should be done briefly and expanded in the free-form text where relevant.

In completing the application using the Career Development Dashboard, the following should be considered.

The principal basis for assessing applications for promotion will be the applicant's achievements and performance in the position currently held, although promotion committees will be looking for evidence of a career trajectory and so other career achievements will be taken into account.

In preparing their case, applicants should provide their personal understanding of the significance and impact of their work, and evidence to demonstrate significant, outstanding or distinguished contributions at a national or international level. An applicant must understand what constitutes excellent performance in their discipline and build the case for promotion by providing **context** to their achievements.

The case must be easy to follow and use clear sign-posting, including headings, to provide the committee with a sense of current academic achievements and future capacity to contribute at the academic level to which promotion is sought.

All claims and assertions must be supported by suitable evidence, and achievements must not be cited more than once. If publications are confidential due to commercial constraints, then the applicant should ask the University for a Confidential Assessment.

Applicants are to provide commentary and context for evidence provided which, together with referee reports, should assist the committee with understanding and assessing the relative weighting of the achievements and capacity of the applicant to their work function and in their disciplinary context. Applicants to Levels C, D or E must show that their contributions demonstrate national or international significance beyond the CSU context.

It is *continued and outstanding retrospective performance that contributes to the university mission and that demonstrates a prospective trajectory that is rewarded in promotion processes. Promotion is not recognised as a prospective opportunity to demonstrate future capability following a successful promotion. The promotion process is concerned with whole-of-career achievements but with special attention on those since appointment or promotion to the current level with evidence of an upward career trajectory in performance that would warrant promotion to the next level.*

**PART 1 Personal information**
Apart from basic information identifying the applicant and assigning percentage weightings to the different domains of academic work, this section will be auto-populated by the Division of Human Resources.

The assigned weightings need not duplicate but must align with the weightings used in any relevant workload allocation model (*e.g.* as part of a performance management process) and should conform with the weighting limits set by the relevant classification standard for the type of appointment held

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by the candidate (Table ….). In assigning weightings, applicants should take care to realistically consider their areas of strength.

| Domain | Work Function Category | | |
|---|---|---|---|
| | Teaching and Research | Teaching and Professional | Teaching Focused |
| Research and scholarship | Min. 30% | | |
| Teaching and learning | Max. 60% | Max. 60% | Max. 80% |
| Professional practice | | Min. 30% | |
| Engagement and Dissemination of Knowledge | Min. 10% | Min. 10% | Min. 20% |

**PART 2. Formal Letter of Application.**
**To be completed by the applicant.**


**PART 3. Research metrics**
**This information will be auto-populated by the Research Office (if relevant).**


**Part 4. Teaching metrics**
**This information will be auto-populated by the Division of Student Learning.**


**PART 5. Disciplinary Report specific to the CSU Discipline of the applicant**
**This report will be developed in 2015 and implemented for 2016 when it will be auto-populated.**


**PART 6. Comments (optional)**
**The applicant may provide comments (e.g. context) on the auto-populated data.**


**PART 7. Statement addressing the various characteristics as defined by THE CSU ACADEMIC AND INCLUDING A CURRICULUM VITAE.**

**I. Qualifications or Equivalent Status**
Applicants must demonstrate that they meet the minimum qualifications for appointment or promotion to the various levels of staff appointment. In cases where the applicant is claiming equivalent status, this must be clearly documented in the application using suitable evidence (see some examples below).

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**Level A**

An honours degree or higher qualification; an extended professional degree; a postgraduate diploma appropriate to the relevant discipline area; or equivalent accreditation and standing.

**Level B**

A doctoral or masters qualification appropriate to the relevant discipline area or equivalent accreditation and standing.

**Level C**

A doctoral qualification relevant to the discipline area; or equivalent accreditation and standing.

**Level D**

A doctoral qualification relevant to the discipline area; or equivalent accreditation and standing.

**Level E**

A doctoral qualification relevant to the discipline area; or equivalent accreditation and standing.


## Establishing a case for equivalent accreditation and standing (where necessary)

It is essential that applicants who do not hold the relevant doctoral or masters qualifications explicitly make the case for equivalent accreditation and standing. Failure to do so will mean that their application will be unsuccessful.

Whilst explicitly acknowledging the diversity that typifies its academic staff, *the normal expectation at CSU is that staff will hold a doctoral qualification* (a master's qualification is acceptable at Level A/B) but it is entirely consistent with CSU's mission to recognise professional practice-based achievement for the purpose of equivalence in career development. This is based on recognition that *some disciplines* require a combination of qualifications, experience and registration to achieve expert-level professional standards. Nonetheless, the usual route to higher levels of appointment (Levels D and E) will remain the holding of a doctoral qualification and achievements in both research and teaching. Although a level of achievement in research is no longer a mandatory requirement for promotion, the norm is that a member of the academic staff whose prime focus is teaching demonstrates that their contribution is underpinned by outstanding scholarship which must be linked to the nature of the individual's appointment. It is specifically noted that scholarship in an area of interest not related to the appointment held by an individual is a private pursuit.

In deciding equivalent accreditation and standing:
1. Where an examining body, profession or similar institute admits a person to one of its awards or levels of membership such as Fellowship or Diplomate (typically by examination and research), and that award or level of membership is widely considered by universities and the profession to be equivalent to a particular level of University award, then the award or level of membership may be deemed to have equivalent standing to the particular University award for purposes of career development.[3]

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[3] It is the responsibility of the applicant to provide details of the basis on which awards and membership have been determined, and the standing they confer within the relevant field.

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2. Where a professional doctorate meets suitable standards (See, for example, National Qualifications Authority) then the doctorate may be deemed to have equivalent standing to the doctoral qualification for purposes of career development.

In all other instances the following shall apply.

For equivalent standing to a master's degree, an applicant will demonstrate:
- sustained achievement in professional development activities;  and
- advanced knowledge and achievement across a significant portion of his/her field of expertise;  or
- detailed knowledge and achievement in a particular part of his/her field.

For equivalent standing to a doctoral degree, an applicant will demonstrate:
- sustained achievement in professional development activities;  and
- broad knowledge and achievement across his/her field of expertise;  and
- in-depth knowledge and achievement in a particular part of his/her field.

Examples of evidence that are appropriate to demonstrate equivalent standing may include (but are not limited to) the following:
- teaching experience;
- experience in research and scholarship;
- experience outside tertiary education in industry, business or government employment;
- creative achievement;
- granting of accolades or awards indicative of professional esteem;
- professional contributions including professional qualifications and/or further education;
- training and professional development;
- technical achievement;
- leadership in local, state or national advisory bodies and/or community organisations.

This list is neither prescriptive nor exhaustive. Evidence subsequently provided to support a case for promotion must be of a different nature and impact from the evidence used to substantiate equivalent standing.

The option of demonstrating equivalence is normally restricted[4] to those engaged in professional practice and where the norm is not to hold a doctoral or master's qualification. In determining equivalent standing there is no distinction between appointment levels. *i.e.* the same standard for doctoral equivalence applies at Level C as at Level E.


### II. Core institutional values

One of the distinguishing features of academia traditionally has been adherence to a set of core values. These core values at CSU can be identified from the University Strategy as:
- Collaborative – we believe we are at our best when we work together with others to achieve mutual goals.

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[4] It is not possible to set an absolute standard, there must be some flexibility. For example, there are a number of individuals who have excelled to the highest level of achievement without a doctoral qualification including Professor Barry Marshall, Nobel Laureate in Physiology or Medicine, UWA.; without going to this extreme, it is possible to envisage individuals lacking a doctoral qualification but with Fellowship of say the Australian Academy of Science, Royal Society in the UK, or a National Academy in the USA.

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- Student centred – we recognise that delivering an excellent student experience is central to our success. We listen to our students to understand their individual needs. We work to make a real difference in our students' lives.
- Agile – we recognise that our environment and the needs of our students, professions, communities and staff are constantly changing and we continually refine and adapt to these differing and changing needs.
- Agents of change – we think differently and look beyond the obvious. We ask 'why' and 'why not'. We constantly strive for new and better ways to achieve our goals. We make things happen.
- Reliable – we are consistent, trustworthy and dependable. We set realistic aspirational goals and we strive to achieve them.
- Inclusive – we recognise that we achieve better outcomes when we embrace and respect the different views, cultural backgrounds and abilities of all staff, students, graduates and external communities.

All applicants for academic staff promotion at all levels must be *committed to these core institutional values*.


### III. Minimum Standards for Academic Levels

An applicant for promotion must meet certain minimum standards for appointment at various levels. Minimum standards for academic levels (MSAL) are differentiated by:

    (1) level of complexity;
    (2) degree of autonomy;
    (3) leadership requirements of the position; and,
    (4) level of achievement of the academic.

The responsibilities of academic staff may vary according to the specific requirements of the University to meet its objectives, to different discipline requirements and/or to individual staff development. The *minimum standards* for each level assume that requirements for all lower levels are met.

These minimum standards for an applicant involved in the full range of academic activities are:

**Level A**

A Level A academic will work with the support and guidance from more senior academic staff and is expected to develop his or her expertise in teaching and research with an increasing degree of autonomy.

A Level A academic will normally contribute to teaching at the University, at a level appropriate to the skills and experience of the staff member, engage in scholarly, research and/or professional activities appropriate to his or her profession or discipline, and undertake administration primarily relating to his or her activities at the University. The contribution to teaching of Level A academics will be primarily at undergraduate and graduate diploma level.

**Level B**

A Level B academic will undertake independent teaching and research in his or her discipline or related area. In research and/or scholarship and/or teaching a Level B academic will make an independent contribution through professional practice and expertise and coordinate and/or lead the activities of other staff, as appropriate to the discipline.

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A Level B academic will normally contribute to teaching at undergraduate, honours and postgraduate level, engage in independent scholarship and/or research and/or professional activities appropriate to his or her profession or discipline. He or she will normally undertake administration primarily relating to his or her activities at the university and may be required to perform the full academic responsibilities of and related administration for the coordination of an award program of the university.

**Level C**

A Level C academic will make a significant contribution to the discipline at the national level. In research and/or scholarship and/or teaching he or she will make original contributions, which expand knowledge or practice in his or her discipline.

A Level C academic will normally make a significant contribution to research and/or scholarship and/or teaching and administration activities of an organisational unit or an interdisciplinary area at undergraduate, honours and postgraduate level. He or she will normally play a major role or provide a significant degree of leadership in scholarly, research and/or professional activities relevant to the profession, discipline and/or community and may be required to perform the full academic responsibilities of and related administration for the coordination of a large award program or a number of smaller award programs of the university.

**Level D**

A Level D academic will normally make an outstanding contribution to the research and/or scholarship and/or teaching and administration activities of an organisational unit, including a large organisational unit, or interdisciplinary area.

A Level D academic will provide leadership and foster excellence in research, teaching and policy development in the academic discipline. He or she will make original and innovative contributions to the advancement of scholarship, research and teaching in his or her discipline.

**Level E**

A Level E academic will provide leadership and foster excellence in research, teaching and policy development in the academic discipline within the University and within the community, professional, commercial or industrial sectors.

A Level E academic will have attained recognition as an eminent authority in his or her discipline, will have achieved distinction at the national level and may be required to have achieved distinction at the international level. A Level E academic will make original, innovative and distinguished contributions to scholarship, researching and teaching in his or her discipline. He or she will make a commensurate contribution to the work of the University.

**IV. Esteem or Reputation**

**Level A**

A Level A academic will have the capacity to undertake, under supervision, teaching and/or research / creative works or professional activity; and the capacity to work as part of a team of academic staff.

**Level B**

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A Level B academic will have a record of research / creative works or professional activity relevant to the discipline area, which demonstrates a capacity to make an autonomous contribution.

**Level C**

A Level C academic will have a record of significant achievement relevant to the discipline area, and at a national level, in the scholarship of teaching and/or research / creative works or professional activity.

**Level D**

A Level D academic will have a record of academic achievement of national and/or international standing through outstanding contributions, including academic leadership, to the scholarship of teaching and/or research / creative works or professional activity.

**Level E**

A Level E academic will have a record of academic achievement of national and/or international standing through distinguished contributions, including academic leadership, to the scholarship of teaching and/or research / creative works or professional activity.
A Level E academic will be recognised as a leading authority in the relevant discipline area.

National or international standing is, by definition, gained through activities that command respect nationally or internationally. Such activities include but are not limited to:
- quantity and quality of research publications;
- citations to the research output;
- research income, especially from competitive grants;
- contribution to the development and improvement of policy and practice through involvement in professional/industry associations, accreditation authorities, advisory bodies, and national or international delegations;
- research with, for and about the profession and about professional practice;
- invitation to (be keynote speaker at) a national or international conference;
- invitations to present plenary lectures;
- number and status of actively-engaged international collaborators (there must be substantiated evidence of outcomes such as grants or publications);
- ability to attract international visitors;
- recognition of academic standing through election to academies,
- invitation to serve on editorial boards of international journals;
- invitation to referee articles in scholarly journals;
- invitation to be a member of a research grants board;
- invitation to be a member of an Organising Committee of an international conference;
- invitation to referee grant applications from national and international agencies;
- awards, prizes and other forms of recognition.

### V. Domains of Academic Activity

Based on relevant legislation and informed by historical notions of a university, Charles Sturt University identifies three specific academic activities undertaken by staff as criteria for promotion. These criteria are termed the three domains of academic activity, namely:
- Promoting learning

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- Creating knowledge and
- Influencing university, profession, community

The diversity of staff contributions to the achievement of the University strategy and mission is recognized by allowing staff to vary the weightings assigned to the three areas within certain limits as defined in the Enterprise Agreement.

**Dimensions of Academic Work**

The dimensions of academic work refer to the areas of activity undertaken by participants in each of the three domains. These dimensions are:

- Personal & professional development
- Student engagement
- Application and integration of scholarship
- Design and development
- Discovery and extension of new knowledge
- Leadership and collaboration

*Curriculum Vitae*

The Free-flow text allows applicants to present a curriculum vitae using the domains and dimensions to focus their story and demonstrate a clear career trajectory; where did I begin, where have I been and where am I going and how will this promotion get me there faster?

The applicant's approach and philosophy of teaching (Domain 1) at all levels (undergraduate and postgraduate) should be established.

In terms of research (Domain 2), a clear focus should be identified and how this has developed during the applicant's career including a research strategy for the future. Applicants must create a clear line of sight between the external grants they receive and the outcomes of these grants. Applicants should not focus on internal CSU grants as this is not an indication of national or international standing. The links between the applicant's teaching and research should be clear.

In terms of influence (Domain 3), a list of activities is not particularly useful but rather a clear outline of contributions and their impact.

Note that leadership and collaboration is one of the dimensions; applicants must demonstrate leadership as appropriate to the level of promotion sought.

*The CSU Academic Evidence Framework*

Clear evidence/documentation must be provided to support every claim that is presented in the application. A promotion committee has one task – to use the evidence presented to it to determine suitability of an applicant for promotion. To achieve this task the committee must look objectively at the information presented in the application and supporting documentation (Reports of the Supervisor and Referees) for evidence of sustained contributions at the levels claimed and measure performance against a set of pre-determined standards.

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The CSU Academic Evidence Framework maps evidence and standards against the three domains and the levels of appointment, Level A to E giving examples of the types of evidence that can be used to demonstrate that the appropriate standard has been met. It is provided as a **tool to assist applicants in presenting their curriculum vitae in terms of the domains and dimensions of academic activity.**

**Evidence Framework** to be inserted when developed

| Dimensions | Domains | | |
|---|---|---|---|
| | Promoting learning | Creating knowledge | Iinfluencing university, profession, community |
| Personal & professional development | | | |
| Student engagement | | | |
| Scholarship | | | |
| Application & integration of research | | | |
| Design & development | | | |
| Discovery of new knowledge | | | |
| Leadership & collaboration | | | |

The examples in the Evidence Framework are illustrative of the type of evidence that might be included, but these are certainly not definitive or exhaustive of all tasks in academic employment, which is by its nature both diverse and  multi-skilled involving an overlap of duties between levels. There will be a wide variety in the mix of activities undertaken and contributions made and there is no expectation that an individual staff member will make contributions in all of the areas listed.

The framework is not a checklist of what must be done to be promoted but rather an indicative guide to activities an academic might usefully reflect upon. The framework provides a firm basis for assessing performance and for stating and assessing claims for promotion. In assessing performance, what matters is what contribution has been made and what outcomes have been achieved. In all instances, performance must be contextualized by the applicant. The fact that an applicant appears to satisfy several performance standards does not necessarily mean that a case for promotion has been established; the assessment process is holistic.

Some activities could be considered under different Domains; the applicant needs to make a decision in terms of best presentation of their case but evidence can only be used once.

In each of the domains, progression through the levels of appointment from Level A to Level E is associated with an increase in the level of leadership, broadening of organizational scope, increase in diversity of activities and deepening of impact.

## *1.10. Supervisor Report (Part 8 of the application)*

The applicant must submit the completed application by the **last Monday in July** for the Supervisor and Research Centre Director (where appropriate) to complete his/her report by the **last Friday but one in August**.


## *1.11. Nomination of Referees (Part 9 of the application)*

Applicants seeking promotion to Levels C, D or E are responsible for providing the names of three (3) referees who are familiar with their academic and professional work and who can comment authoritatively on the quality of the performance of the applicant. Applicants must state briefly why the referee was nominated and on which domain the referee is best suited to provide comment. Applicants must ensure that between the referees, each of the domains of academic activity relevant to their appointment type is addressed at least once.

The University may obtain referees' reports for applicants seeking promotion to Level B where, in the view of a Promotion Committee, such reports may assist in determining the merits of an applicant.

The University will require **written referee reports** for all applicants seeking promotion to Levels C, D and E, and applicants are responsible for contacting their nominated referees to request the submission of signed referee reports. Reports are to be emailed directly to the Secretary, Academic Staff Promotion Committees academicpromotions@csu.edu.au by the **last Friday in September.**

Applicants are responsible for declaring any actual, potential or perceived conflict of interest or any personal or professional connection between the applicant and the nominated referee that may prejudice their independence.

Referees cannot be members of the promotion committee, the applicant's Executive Dean or other senior member of CSU. Applicants will be informed by the Division of Human Resources at the time of submission if nomination of alternative referees is required.

*Information for Applicants in choosing referees*
The following information is provided as advice to applicants in the selection of appropriate referees. An applicant who ignores this advice will need to demonstrate that special circumstances prevail (*e.g.* an internal referee is highly esteemed at the international level) for choosing a particular referee.

The most important considerations in choosing referees are credibility, independence and objectivity. What is the status of the referee and what is their ability to provide independent, knowledgeable or informed and unbiased commentary on the applicant's work.

Two questions are worth considering: Is there any way in which this person might appear to bring bias to his/her report? Answers such as occupying the next door office, member of same School, power imbalance in favour of applicant, *etc* could indicate potential bias. The second question is simply a re-wording of the first: Is there any way in which the credibility of this referee could be questioned? If the answer is yes due for example to close collaboration then, in both cases, the person should only be chosen where a good case can be mounted for using this particular referee.

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With the exception of Level E, applicants should nominate referees who hold an appointment higher than the level to which they are seeking promotion.

The choice of three referees from a single country with which an applicant has a close association would not necessarily demonstrate international standing.

In the case of referees chosen for professional expertise or their role in industry or in government, the applicant should clearly establish the standing of the referee in their nomination. It is important that referees falling into this category have an appreciation and understanding of academia and the academic framework with the need for their report to be analytic and not a simple letter of support.

When nominating referees for promotion to Level B, at least one (1) of the referees must be external to the University and preferably be acknowledged as a national or international authority in his/her discipline area.

Applicants applying for promotion to Level C *may* nominate one referee internal to the University but all three referees must be of at least national standing in a relevant discipline.

Applicants applying for promotion to Level D must nominate referees of at least national standing in a relevant discipline. Referees internal to the University would be considered inappropriate unless of special standing.

Applicants applying for promotion to Level E must nominate referees of international standing in a relevant discipline. Referees internal to the University would be considered inappropriate.

Former staff of Charles Sturt University are regarded as internal if they left CSU employment in the previous five years.

## *1.12. Formatting the Application*

Applicants must observe the page lengths and formatting[5] as set in the Career Management Dashboard.

## *1.13. Submission of the Application*

The completed application is to be submitted to the applicant's supervisor (normally Head of School) and Research Centre Director (where appropriate) by **the last Monday in July**. The Supervisor (and Centre Director, if relevant) must complete the Supervisor Report and return the

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[5] Applications are to be formatted on A4-sized paper.
  Spacing is to be one and a half lines.
  Font must be Arial 10 point, and characters, line size and paragraph length are to be similar to those used in the templates provided.
  The top and bottom margins are to be at least 2.5 cm, and the left and right margins at least 3 cm.
  Page numbers are to be identified in the bottom right-hand corner, including the Head of School statement. IS THIS NECESSARY OR CAN THE FORMATTING BE LOCKED?

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application to the candidate by the **second last Friday in August**. The applicant will receive an automatic notification once the report has been completed by the Supervisor.

The completed application for Academic Promotion is to be received by the Division of Human Resources by close of business on **the last Friday in August**. Late applications will **not** be accepted.

Although the Career Development Dashboard will check applications for compliance with the relevant policy and procedures, responsibility for compliance with all relevant policy and procedural issues remains with the applicant.

The Career Development Dashboard will generate an auto-response that your submission has been received. Please retain a record of this confirmation. In mid August, the Dashboard will also advise of any outstanding referee reports which need to be followed up by the applicant.

Applicants may withdraw their application at any time prior to the convening of the relevant Promotion Committee.

The Division of Human Resources will collate applications and referee reports for all applicants and distribute applications to the relevant Promotion Committee members, which will then make recommendations in respect of each applicant.

## *1.14. Academic Staff Promotion Committees*

There are two (2) levels of Academic Staff Promotion Committees:

1. Faculty Academic Staff Promotion Committee

1.1. This committee will meet face-to-face (where possible) to consider applications to Lecturer (Level B) and Senior Lecturer (Level C) during September of each year.

1.2. Each Faculty Academic Staff Promotion Committee will have the following membership:
- Relevant Executive Dean *ex officio* as Chair;
- Presiding Officer, Academic Senate *ex officio*;
- PVC (Student Learning);
- Four members of academic staff (from different Schools within the Faculty but not necessarily representing all Schools) all of whom must hold a substantive appointment at Level C or above with two holding substantive appointments at Level D or E and all nominated and approved by the Executive Dean; at least 2 of these members must be research active;
- Two members of academic staff (each from outside the Faculty and from different Faculties) holding a substantive appointment at Level C or above nominated by the Executive Dean.

In selecting nominated staff, the Chair of the committee must ensure the committee has as close to equal gender representation as reasonably practicable, with a minimum of one-third representation

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of each gender. Gender balance can be facilitated by the Executive Dean's selection of nominees. Careful consideration should be given in appointing nominees to cover the breadth of disciplinary expertise in the Faculty and the range of skills in research, scholarship, teaching and professional practice.

If in exceptional circumstances, there are no available individuals of the under-represented gender, the Executive Dean will notify the Deputy Vice-Chancellor (Academic) who will confirm the composition of the committee.

Nominated staff cannot hold an appointment at Charles Sturt University as Executive Dean, Associate Dean or Head of School.

1.3. Heads of Schools have right of audience ONLY (but not debate) on all Faculty Promotion Committees. To facilitate feedback to applicants by the Executive Dean and relevant Head of School, it is an expectation that a Head of School will attend the commencement of the meeting and during discussions of applicants from their School.

1.4. The recommendations of the Faculty Academic Staff Promotion Committee will be referred to the Executive Dean of Faculty for determination.
 (This will require change to delegation HR38)

1.5. Nominated internal members of committees to serve a two-year term with staggered rotation of one half the nominated members to ensure continuity of committee membership.


2. University Professorial Promotion Committee

2.1. This committee will meet face-to-face to assess and recommend applications for promotion to Associate Professor (Level D) and Professor (Level E) during October of each year.

2.2. The University Professorial Promotion Committee will have the following membership:
- Vice-Chancellor *ex officio* as Chair;
- Presiding Officer, Academic Senate *ex officio*;
- Deputy Vice-Chancellor (Academic) *ex officio*;
- Deputy Vice Chancellor (Research) *ex officio*;
- Four members of academic staff holding a substantive appointment at Level E, chosen so that they cover each of the university's faculties, nominated and approved by the Vice-Chancellor, at least 2 of these members must be research active;
- Up to three senior academics from another university nominated by the Vice-Chancellor.
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In selecting nominated staff, the Chair of the committee must ensure the committee has as close to equal gender representation as reasonably practicable, with a minimum of one-third representation of each gender. Gender balance can be facilitated by the Vice-Chancellor's selection of nominees. Careful consideration should be given in appointing nominees to cover breadth of disciplinary expertise in the University and the range of skills in research, scholarship, teaching and professional practice.

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If in exceptional circumstances, there are no available individuals of the under-represented gender, the Vice-Chancellor will document the problem and include in the report to Academic Senate.

Nominated staff cannot hold an appointment at Charles Sturt University as Executive Dean, Associate Dean or Head of School.

2.3. Executive Deans have automatic right of audience but NOT debate on the University Professorial Promotion Committee, whilst Heads of School will be given right of audience ONLY on a rotating basis to help improve their competency and skills in this area. To facilitate feedback to applicants by the Deputy Vice-Chancellor (Academic), Deputy Vice-Chancellor (Research) and relevant Executive Dean, it is an expectation that the Executive Dean will attend the commencement of the meeting and during discussions of applicants from their Faculty.

2.4. The recommendations of the University Professorial Promotion Committee will be referred to the Vice-Chancellor for approval. In making a determination, the Vice-Chancellor will not be bound by the recommendations of the University Professorial Promotion Committee.

2.5. Nominated internal members of committees to serve a two-year term with staggered rotation of one half the nominated members to ensure continuity of committee membership.

2.6. The Vice-Chancellor will report to the University Council about the approved professorial appointments.


3. Training for Committee Members
The Division of Human Resources is responsible for providing induction and training to all members of the promotion committees. For external members, this can be done by provision of an on-line information pack.

Training is to include but not be limited to:
- aspects of the roles and responsibilities that are incurred as members of a promotion committee;
- statutory requirements involving equity and confidentiality;
- promotion procedures at CSU highlighting any differences to other institutions;
- impact of disciplinary differences;
- collaboration and team work, multiple authorship and differences between publishing protocols;
- citation indices, impact factors, benchmarking data; and
- different ways, both quantitative and qualitative, of assessing the range of academic activities referred to as domains and dimensions.


## *1.15. Committee Procedure*

1. An employee of the Division of Human Resources will act as Secretary to the Faculty Academic Staff Promotion Committees and the University Professorial Promotion Committee. The Secretary will ensure that clear records are kept from the committee's discussions in order to provide feedback to both successful and unsuccessful applicants.

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2. The Presiding Officer of each Promotion Committee is responsible for ensuring that the committee:
(a) meets face-to-face;
(b) is properly constituted, including compliance with gender requirements, in accordance with clause 5 of this Procedure; and
(c) consistently applies fair and proper procedures to the consideration of each application. During the committee discussions, matters of opinion **must** be substantiated and any comments or questions should relate specifically to the established standards and expectations defined by The CSU Academic.

3. At the commencement of the meeting, the Presiding Officer will:
(a) confirm matters relating to record keeping for the meeting and to the need to maintain confidentiality regarding the committee's proceedings;
(b) brief the committee on its role, processes and confidentiality of proceedings;
(c) discuss with the committee the standards and expectations defined by The CSU Academic for the appropriate academic level to ensure that the committee operates with a shared understanding; and
(d) confirm the committee's understanding of Equal Employment Opportunity principles in relation to promotion, as set out below:

> **Equal Employment Opportunity (EEO) means that employment policies and practices must be based on the principle of merit. Therefore, applications for promotion must be considered on the basis of the applicant's merit, unbiased by personal opinion or prejudice.**

(e) establish an order of proceedings. Matters that must be addressed are the sequence in which applications will be reviewed and the initial order in which committee members will speak to each application.

5. Anti-discrimination legislation must be followed. The New South Wales and Commonwealth Acts, as listed below, cover discrimination in employment, education and other areas on the grounds of sex (including sexual harassment and pregnancy), race (including colour, ethnicity, descent, ethno-religious identity, national identity and background), marital status, disability, homosexuality, age, transgender status, and carers' responsibilities (employment).

- Racial Discrimination Act 1975 (Cth)
- Sex Discrimination Act 1984 (Cth)
- Disability Discrimination Act 1992 (Cth)
- Equal Opportunity for Women in the Workplace Act 1999 (Cth)
- Age Discrimination Act 2004 (Cth)
- Anti-Discrimination Act 1977 (NSW)

6. The promotion committees will review supervisor's and referees' reports for all applicants seeking promotion to Levels C, D and E, and may seek to obtain referee reports for applicants seeking promotion to Level B where, in the view of a Promotion Committee, such reports may assist in determining the merits of an applicant.

As well as the referees nominated by the applicants, the promotion committees may seek the opinions of additional referees within the applicant's particular discipline.

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For promotion to Levels D and E, the University Professorial Promotion Committee will normally be provided with reports from leading scholars in the applicant's field in addition to the reports of the applicant's nominated referees. After receiving the nominated referee reports, the Executive Dean will nominate and contact up to two additional leading scholars at professorial level in the applicant's field whom the University will invite to comment on the standing of the applicant's achievements. The Executive Dean may send a copy of the application to these additional scholars, excluding the confidential referee reports.

A Faculty Academic Staff Promotion Committee may delegate some members of the committee to meet with an applicant in order to seek clarification of matters in the application.


## 1.16. Interviews and Presentations

1. Applicants for promotion to Lecturer (Level B) and Senior Lecturer (Level C) will not be required to meet with the promotion committee. However, they will be asked to provide a contact phone number as part of their application and to be available at the time the committee meets should the committee require clarification of aspects of their application.

2. The University Professorial Promotion Committee will invite applicants to make a presentation to the committee at a scheduled time during the meeting. Presentations are to be of no more than 20 minutes duration and to address the applicant's prospective contribution to their field and CSU. Following the presentation, the committee will discuss the presentation with the applicant for a further 10 minutes. Applicants are asked to use standard fonts in their PowerPoint presentations.


## 1.17. Committee Recommendations regarding Promotion

1. An application for promotion will be assessed against the evidence provided through:
   - The detailed record of the academic achievements of the applicant (what the applicant has done, the outcomes relative to standards for the relevant Level of appointment, impact of the outcomes and supporting evidence) addressing the five characteristics of The CSU Academic;
   - A report(s) by the Supervisor and Centre Director (if relevant);
   - The response of the applicant to the Supervisor's Report(s) (optional);
   - Independent referee reports;
   - Reports of additional referees, if required;

with the addition, in the case of applicants for promotion to Level D and Level E, of:
   - Reports from independent leading scholars;
   - Seminar presentation.

In making a decision, a committee member must also consider the performance trajectory of the applicant over time. The committee is interested in the total case for promotion and not the attainment of performance metrics alone. Thus, the committee will consider the quality and impact of achievements and the national/international standing of the applicant where appropriate, using the evidence supplied by the applicant and any reports from the supervisor and referees, not merely the achievement of quantitative thresholds.

2. Prior to the meeting of the relevant promotion committee, each member of the committee is to assess all applications and using the on-line template supplied by the Division of Human Resources

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(Hyperlink to current Appendix B) to assign a score between 1 and 10 for each applicant against each of the relevant characteristics defined by The CSU Academic, to indicate the merit of the case for promotion as informed by the following grading system:

> 9 -10 Compelling case for promotion
> 7 - 8 Evidence of strength, providing a worthy case for consideration
> 5 - 6 Evidence of strength in a number of areas but not sufficient to achieve promotion
> 3 - 4 Insufficient case at the point in time
> 1 - 2 Weak case for promotion, falling well short of what is required

3. The completed form on each application is to be submitted by committee members to the Division of Human Resources three working days prior to the scheduled meeting of the relevant promotion committee. The Division to make the collated data (including median scores) for each characteristic across all committee members available at the meeting of the promotions committee.

4. All Academic Staff Promotion Committees will discuss each candidate's application.

5. At the completion of all debate for an individual applicant, the Presiding Officer of the Promotion Committee will organise for a vote to be taken by secret ballot of all members of the committee eligible to vote.

All decisions must be based on the merits of the application against the relevant standards and expectations specified in The CSU Academic. The final recommendation of each committee member will be informed by the individual scorings BUT the final decision must be determined holistically with due consideration of the presentation by the applicant (where relevant) and by the debate of the promotion committee and not simply by a numerical average of the scores. For example, high scores in Characteristics 2, 3, 4 and 5 would not normally compensate for a low score in Characteristic 1 although rare and unusual circumstances may arise in which this would be appropriate.

6. The advice to be provided by a promotion committee to the Presiding Officer on individual applications is to be determined by a ballot of voting members.

7. A Committee decision to support promotion of an applicant will require a majority vote of 70% of the number of committee members eligible to vote (rounded up to the nearest whole number). In cases where the vote in favour of promotion falls short of the required 70% but exceeds 55% the applicant should be given the opportunity to submit a new application the following year. This condition does not preclude this consideration being extended to other applicants.

8. All Academic Staff Promotion Committees will make a recommendation for or against promotion on each application using the approved form to the Presiding Officer of the Promotion Committee.

Note: All documentation with the exception of the scoring sheets used in Academic Staff Promotion Committees will be collected by the Secretary, Promotion Committee at the end of the committee meetings and retained in accordance with legislative requirements. The fate of the scoring sheets is discussed elsewhere.

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9. The relevant Presiding Officer will make known their determinations within three (3) working days of receiving the recommendations of the Promotion Committee.

10. The Executive Director, Division of Human Resources or nominee will phone each applicant and provide notification in writing of the outcome of the application within two (2) working days of receipt of determinations from the Presiding Officer.

## 1.18. Effective Date of Promotion

Academic promotion will take effect from the first pay period commencing on or after 1 February of the following year. This includes change to a successful applicant's title to Lecturer (Level B), Senior Lecturer (Level C), Associate Professor (Level D) and Professor (Level E).

## 1.19. Feedback

1. The Executive Dean of Faculty and Head of School/supervisor are responsible for collectively providing formal constructive feedback (either face-to-face or by videoconference), within twenty (20) working days, to each successful and unsuccessful applicant for promotion to Academic Levels B and C about their application.

2. The Executive Dean of Faculty is responsible for providing formal constructive feedback (either face-to-face or by videoconference), within twenty (20) working days, to each successful and unsuccessful applicant for promotion to Academic Levels D and E about their application.

3. All feedback provided to applicants will focus on information collected during the committee's deliberations and on the completed individual scoring records. These records will be retained by the relevant Executive Dean for a period of 40 days following completion of the feedback session and then destroyed.

4. Unsuccessful applicants will be advised whether the level of attainment did not meet the standards and expectations for the level sought and/or whether the evidence supporting the achievement was insufficient and of:
(a) the area(s) of academic activity in which the Committee believed there was insufficient data to support the promotion;
(b) strengths against the characteristics set out in The CSU Academic framework;
(c) areas in need of improvement and suggestions for future development and if the Executive Dean recommends they apply for promotion the following year.

5. After completion of the feedback session, the applicant (successful and unsuccessful) must complete the feedback module in the Career Development Dashboard. Until this is completed, future performance management processes will be delayed. The latter will generate a report that will be included in the Vice-Chancellor's report on promotion to Academic Senate.

## 1.20. Appeals

1. An employee may only appeal on the grounds that a breach of fair and proper procedures was committed, which materially and adversely affected a decision about promotion. An appeal cannot

be lodged against a decision relating to the academic merit of the employee's application for promotion.

2. "Fair and proper procedures" means that:
(a) the appellant's application for promotion was made available to all members of the Promotion Committee;
(b) all members of the Promotion Committee were given the opportunity to comment on, and contribute to, the assessment of the appellant's application for promotion; and
(c) the appellant's application for promotion was considered against the criteria in the "Academic Staff Promotion Procedures".

3. It is not grounds for appeal that a Promotion Committee did not:
(a) keep a record of its discussions or interview the appellant. It is sufficient that a Promotion Committee kept a record of the meeting, including its membership, the vote taken and its recommendations;
(b) include a member from the appellant's discipline; or
(c) examine documentation and material presented by the appellant, additional to that required in the "Academic Staff Promotion Procedure".

4. Appeal submission

4.1. An unsuccessful applicant has ten (10) working days from the date of receipt of formal notification in writing within which to lodge an appeal in writing to the University Secretary.

4.2. In lodging an appeal, the employee must provide prima facie evidence to substantiate the ground(s) on which the appeal is made.

4.3. Where, in the opinion of the University Secretary, such evidence has not been provided, the appeal shall not proceed and the employee shall be promptly advised of this in writing.

4.4. Where, in the opinion of the University Secretary, such evidence has been provided, the University Secretary will hear and determine the appeal within ten (10) working days of receipt of the appellant's evidence.

5. Determination of the appeal

5.1. The University Secretary's terms of reference are to determine:
(a) whether a Promotion Committee committed a breach in respect to the ground(s) for appeal specified in sub-clause 12.2; and
(b) if a breach was committed by a Promotion Committee, whether that breach may have significantly and detrimentally affected a decision on the appellant's application for promotion.

5.2. The University Secretary is not empowered to review or decide the academic merit of an appellant's application for promotion.

5.3. The University Secretary may seek additional information relevant to its terms of reference, but shall not take into account additional or new material supplementing the original application for promotion.

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5.4. After considering an appeal against the procedures of a Promotion Committee, the University Secretary shall either reject or uphold the appeal. His/her decision shall be final and not subject to review or change.

5.5. The University Secretary shall provide the Vice-Chancellor and the appellant with a report setting out his/her decision and reasons for the decision.

6. Reconsideration of an application

6.1. Where the University Secretary upholds an appeal, the Vice-Chancellor shall reconvene the relevant Promotion Committee to reconsider the appellant's application for promotion within ten (10) working days of his/her receipt of the University Secretary's report.

6.2. Following reconsideration of the appellant's application for promotion by the reconvened committee, the Presiding Officer shall submit a report to the Vice-Chancellor, setting out the committee's recommendation and the reason(s) for the recommendation.

6.3. The decision of the Vice-Chancellor, on the recommendation of the reconvened committee, shall be final and the University Secretary shall promptly advise the applicant in writing of the Vice-Chancellor's decision concerning the appeal.


## *1.21. Extraordinary Promotion Committees*

To assist the University in achieving its key objectives, and to retain high quality academic staff who are continuing to make an outstanding and exceptional contribution to CSU's mission, nothing in this Procedure shall prevent the establishment of an ad hoc Extraordinary Promotion Committee outside the normal annual round of promotions to make a recommendation on the promotion of an academic staff member.

Written submissions to establish an Extraordinary Promotion Committee may be made to the Vice-Chancellor by the Deputy Vice-Chancellor (Academic) on the advice of the relevant Executive Dean or Centre Director. Following consideration of such a submission, the Vice-Chancellor may decide to establish an Extraordinary Promotion Committee.

The membership of an Extraordinary Promotion Committee established to consider a submission to promote an employee to level B or level C will comprise:
(a) Deputy Vice-Chancellor (Academic) - Presiding Officer;
(b) Deputy Vice-Chancellor (Research);
(c) Presiding Officer, Academic Senate;
(d) one (1) of the level E employees, nominated by the Vice-Chancellor in the immediately preceding annual round of promotions. The appointment of this member will be at the discretion of the Deputy Vice-Chancellor (Academic); and
(e) up to three (3) members of the professoriate nominated by the Deputy Vice-Chancellor (Academic) who are external to the relevant Faculty and who have previously served as a member of a CSU Promotion Committee.

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The membership of an Extraordinary Promotion Committee established to consider a submission to promote an employee to Level D or E will comprise:
(a) Vice-Chancellor - Presiding Officer;
(b) Deputy Vice-Chancellor (Academic);
(c) Deputy Vice-Chancellor (Research);
(d) Presiding Officer, Academic Senate;
(e) one (1) of the level E employees, nominated by the Vice-Chancellor in the immediately preceding annual round of promotions. The appointment of this member will be at the discretion of the Vice-Chancellor; and
(f) up to three (3) persons external to the University, nominated by the Vice-Chancellor.

Every effort shall be made to achieve gender balance and diversity of membership on Extraordinary Promotion Committees. As a minimum, an Extraordinary Promotion Committee will normally have in its membership at least one (1) male and one (1) female.

The Executive Dean of the applicant's Faculty will be invited to address the committee about the submission.

An employee of the Division of Human Resources will act as Secretary to Extraordinary Promotion Committees.

The material to be considered by Extraordinary Promotion Committees, and the procedures of those committees, will be similar to the material considered and procedures adopted by the other applicable Promotion Committees established under the provisions of this Procedure.

The Presiding Officers may approve the recommendations of the Extraordinary Promotion Committees and, where applicable, report such decisions to the University Council. The Presiding Officers shall not be bound by the recommendations of an Extraordinary Promotion Committee.

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# APPENDIX A

**ACADEMIC STAFF PROMOTION GUIDELINES: SUPPORT FROM SUPERVISORS**

1. **PURPOSE**
   The purpose of these guidelines is for Supervisors (normally Heads of School) of academic staff to:

   (c)   build an understanding of their role in the academic promotion process;

   (d)   embed the issue of academic promotion within a planned career management process;

   (e)   effectively review candidates' applications, providing support and feedback;

   (f)   prepare statements for applicants in relation to the University's expectations for the academic level sought as defined by The CSU Academic; and

   (g)   provide counselling and support to unsuccessful applicants after the promotion process.

2. **SCOPE**

   These guidelines apply to Supervisors of academic staff who are considering or applying for promotion.

2. **REFERENCES**

   These guidelines should be read in conjunction with:

   (a)   Academic Staff Promotion Policy

   (b)   Academic Staff Promotion Procedure

   (c)   The CSU Academic

   (d)   Professional Activity Work Function Policy (HYPERLINK to each of these)

It is a basic assumption of this document that Supervisors are fully aware and understand the contents of each of these documents.

3. **PREAMBLE**

The purpose of academic staff promotion is to recognise the achievements and professional development of academic staff. Staff promotion enables evidenced and consistent outstanding achievement and performance at the current level that is aligned with the University strategy and mission to be recognised and rewarded.

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Applicants are required to provide the relevant Academic Staff Promotion Committee with a clearly articulated written case for promotion to the academic level sought. Most Academic Staff Promotion Committee members will not know the applicants they are evaluating. The written case is therefore essential.

In preparing their case, applicants are asked to specifically address the five characteristics defined by The CSU Academic (HYPERLINK).

Promotion at Charles Sturt University is merit-based on the information presented in the application supplied by an applicant. It is the responsibility of the applicant to establish a case for promotion relative to the accepted criteria and with due consideration of the standards and expectations (as defined by The CSU Academic) of the level of appointment sought in the application.

The applicant should also provide their personal understanding of the significance and impact of their work, and evidence to demonstrate significant, outstanding or distinguished contributions at a national or international level.

The evidence provided, together with supervisor and referee reports, should assist the committee with understanding, engaging with, and assessing the application in order to make a recommendation.

## 5      ROLE OF THE HEAD OF SCHOOL/ SUPERVISOR

The supervisor has a key role in all stages of a candidate's promotion particularly in assisting and advising candidates in the preparation of their application. The supervisor will also with the assistance of the Division of Human Resources help the applicant in sourcing an academic mentor. Both the supervisor and academic mentor will be trained and equipped to give **consistent and accurate** informed advice to the applicant. The Division of Human Resources is responsible for ensuring provision of adequate training for both supervisors and academic mentors (this may include rotation of staff as observers on promotion committees).

### 5.1        At the commencement of the process

(a)    Ideally, Supervisors will have discussed the staff member's intention to apply for promotion during performance management meetings. At this stage the applicant is given feedback about his/her readiness for promotion and guidance as to the process and content of any application.

(b)    Supervisors will be invited to attend a briefing from the Deputy Vice-Chancellor (Academic) to discuss the current expectations of their role in the promotion process. They will also be informed of any changes to the promotion process that may have occurred as a result of review of the previous year's process.

(c)    The supervisor should engage in discussions with the Executive Dean for advice in cases where there is uncertainty regarding the applicant's readiness for promotion.

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(d)   Applicants for promotion will submit their applications by **the last Monday in July** to their Supervisors for their comment by the **second last Friday in August**. To review the application effectively, Supervisors should:

   i.   familiarise themselves with the Academic Staff Promotion Policy and Academic Staff Promotion Procedures; as well as the "Professional Activity Work Function Policy" (HYPERLINKS);

   ii.   familiarise themselves with the applicant's work, specifically achievements and capacities in relation to the requirements defined by The CSU Academic (HYPERLINK) for the academic level sought;

   iii.   read the application carefully. Applications **must** adhere to the page limits and standard formats specified in the "Academic Staff Promotion Procedures".

      NOTE 1: There is no provision for attachments, although Heads of School / supervisors should view any documents that are referred to in the application.

      NOTE 2: Chances of success are limited if applications are poorly constructed, punctuated and/or written.

(e)   Supervisors are required to **provide a 2 page statement** about how the applicant meets the University's standards and expectations as defined by The CSU Academic (OR IS IT A LIMITED SET OF THIS?) (HYPERLINK) by completing Part 8 of the application (HYPERLINK to Part 8 of application in Career Development dashboard).

   i.   The statement should **verify** the currency of the work function description.

   ii.   The statement must attest to the accuracy of factual claims made in the application. This includes but is not restricted to teaching duties, teaching surveys, peer reviews of teaching, and role of the applicant in collaborative outputs. It is the responsibility of the applicant to show the supervisor supporting documentation to facilitate this process (*e.g.* documented citation indices; contact details for co-authors). The supervisor may contact co-authors of research outputs and co-awardees of research grants where necessary to establish the applicant's role in the process.

      Whilst it is the responsibility of the candidate to contextualise their achievements and establish the case for promotion and provide supporting evidence, the supervisor should alert the promotion committee to discipline norms (ascertained from the Discipline Report) and get promotion committees across what the data mean when comparing matters such as teaching scores.

   iii.   The statement should be both current and prospective, and **refer to**:

      •   academic qualifications (or equivalence), indicating validity, currency and relevance;

      •   the applicant's capacity to meet the standards and expectations for the academic level sought;

- the evidence provided, such as probation reports, examiner's reports, teaching portfolios, teaching evaluation reports, referee reports, citation indices, research/creative works and/or professional activity records, and outcomes from administrative, committee or leadership activities (including mentoring or collaboration); and

- any additional information which may help the committee assess the application.

iv.    The Supervisor must state whether the applicant is recommended for promotion.

The report should indicate whether and how the applicant provides leadership, and support for developing scholarship in the School or Research Centre. The supervisor is *not required* to comment on the applicant's contribution to their discipline area including matters such as journal ranking. The latter will be established by nominated Referees and the Discipline Report.

The statement should be **discussed with the applicant** and appropriate feedback given. **The statement must be included with the application when submitted by the applicant** to the Secretary, Academic Promotion Committee by the advertised closing date at the end of July.

In all instances, the candidate may submit a response to the supervisor's report using the relevant section of the application template.
A situation may arise in which the supervisor supports the candidate for promotion but feels that the application is inadequate. This should be noted in the report by the supervisor.

A *candidate retains the right to submit a promotion application in the event that the supervisor does not support the application*.

## 5.2.    During the process

Heads of School /supervisors should ensure that the relevant Promotion Committee is notified of any achievements advised and deemed significant by the applicant between the time of the application submission and the relevant committee meeting. (I know that this adds to HOS burden but feel that it must be handled via line management process)

The supervisor plays a key role in assisting all promotion committees in their deliberations. It is important that the supervisor and candidate are aware of the distinct roles of the supervisor. Whilst the supervisor is responsible for provision of advice to the candidate in the preparation of the application, the supervisor *does not play an advocacy role in reporting to the promotion committee*. The role of the supervisor in relation to promotion committees is to assist the committee in reaching a fair and equitable decision.

## 5.3.    After the process

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(a)  The Secretary, Academic Staff Promotion Committee will phone each applicant and provide notification in writing of the outcome of their application **within two (2) working days** of receipt of determinations from the Presiding Officer.

(b)  The Executive Dean of Faculty, Deputy Vice-Chancellor (Academic) and Deputy Vice-Chancellor (Research) are responsible for collectively providing formal constructive feedback, **within twenty (20) working days**, to each successful and unsuccessful applicant for promotion to Academic Levels D and E about their application.

(b)  The Executive Dean of Faculty and Head of School are responsible for collectively providing formal constructive feedback, **within twenty (20) working days**, to each successful and unsuccessful applicant for promotion to Academic Levels B and C about their application.

(c)  Applicants need to understand that, regardless of the outcome, their work is valued.

(d)  Applicants who are unsuccessful should be supported. They may be very disappointed, and will need clear feedback and assistance about how to:

- improve their application – therefore, consideration might be given to linking the unsuccessful applicant with a mentor to review the quality and composition of their application; and/or

- identify where further development is needed to demonstrate capacity to meet the next level's standards and expectations. Plans should be made by the Head of School/supervisor to assist with career objectives and professional development.

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# Appendix B

## Template for scoring applications

Name of applicant: …………………………………

Appointment type[6]: Teaching & Research / Teaching & Professional / Teaching Focussed
                     (delete as applicable)

Level of promotion:  From Level  …..  to Level  …..

Scoring[7]

| The CSU Academic Characteristic | | Raw Score* | Work(load) Function Weighting Range | | | Weighted Score |
|---|---|---|---|---|---|---|
| | | | Teaching and Research | Teaching and Professional | Teaching Focussed | |
| 1. Qualifications or equivalent standing | Qualifications | Meets standard = 10 | 1.0 | 1.0 | 1.0 | |
| | OR Equivalent Standing | 1 - 10 | 1.0 | 1.0 | 1.0 | |
| 2. Core institutional values | | 1 - 10 | 1.0 | 1.0 | 1.0 | |
| 3. Minimum standards for academic levels | | 1 - 10 | 1.0 | 1.0 | 1.0 | |
| 4. Reputation or esteem | | 1 - 10 | 1.0 | 1.0 | 1.0 | |
| 5. Domains | Research | 1 - 10 | 0.35 – 0.50 | 0.35 – 0.50 | 0.10 – 0.20 | |
| | Teaching | 1 - 10 | 0.50 – 0.65[#] | 0.50 – 0.65[#] | 0.80 – 0.90[#] | |
| TOTAL score | | | | | | Maximum = 50 |

  \* 9 -10 Compelling case for promotion
   7 - 8 Evidence of strength, providing a worthy case for consideration
   5 - 6 Evidence of strength in a number of areas but not sufficient to achieve promotion
   3 - 4 Insufficient case at the point in time
   1 - 2 Weak case for promotion, falling well short of what is required
  [#] As nominated by applicant (Must total 1.00)

Any general comment to be conveyed to applicant:
……………………………………………………………………………………………………………
……………………………………………………………………………………………………………
……………………………………………………………………………………………………………

---

[6] *It is important to remember that it is the application and not the applicant that is assessed against relevant standards to determine the outcome of the promotion application. The responsibility of an applicant is to ensure that the application truly reflects their performance and individuality.*

[7] *The table will require modification to accommodate the input from TPP. For example, changes may be necessary if the number of domains is modified. Depending on the final framework, a higher level of performance will be required if staff with a particular work function are operating in one domain only. Two approaches are possible: i. apply a factor to the 'Work(load) Function Weighting Range or ii. have higher expectations in terms of standards.*

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# Academic Staff Promotion: Application Form

| | |
|---|---|
| **Version** | 4.0 |
| **TRIM file number** | 06/164 |
| **Short description** | Application form for academic staff promotion to all academic levels. |
| **Relevant to** | Academic staff applying for promotion. |
| **Approved by** | Deputy Vice-Chancellor (Academic) |
| **Responsible officer** | Executive Director, Human Resources |
| **Responsible office** | Division of Human Resources |
| **Date introduced** | July 2003 |
| **Date(s) modified** | 2004 |
| | 27 June, 2005 |
| | 15 June, 2006 |
| | 8 May, 2007 |
| **Next scheduled review date** | November, 2020 |
| **Related University documents** | Academic Staff Promotion Policy and Procedure |
| Refer to the Administration Manual for these documents. | Academic Staff Promotion: Guidelines for Applicants |
| | Academic Staff Promotion: Guidelines for Promotion Committees |
| | Academic Staff Promotion: Guidelines for Heads of School |
| | Staff Selection and Recruitment Policy |
| | Code of Conduct |
| **Related legislation** | |
| **Key words** | application form, academic staff promotion, promotion, template, referee nomination, Head of School statement, |

1

**Table of amendments**

| Version number | Date | Short description of amendment |
|---|---|---|
| 2.0 | 27/6/2005 | Reformatted. Merged with "Guidelines for Academic Staff Promotion - All Academic Levels". |
| 3.0 | 15/6/2006 | Committee documents deleted. "Policy on Standards, Expectations and Qualifications of Academic Staff" replaced by a web link. Standard presentation for a CV, list of publications and teaching evaluations added. Checklist added. |
| 4.0 | 8/5/2007 | Part 2 – performance requirements and "Generic Responsibilities" added to the Head of School's statement. Part 5 – professional activities description added. |
| 4.1 | February 2014 | ……….. |
| 5.0 | ……….. | …………………… |

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# Application for Academic Staff Promotion

<span style="background-color:red; color:white">**Part 1: DETAILS OF APPLICANT**</span>

**Title:**

**Full Name:**

**Staff Number:**


**Application for PROMOTION from Level  ……   to Level  …….**


**Basis of the Case for Promotion:    (Applicant to assign percentages) (**<span style="background-color:magenta">**HYPERLINK to allowable ranges**</span>**)**

   …….    teaching; AND/OR

   …….    researching AND/OR

   …….    serving.

**Provide a brief explanation of the reason for choosing these weightings.**




**Are there any issues relating to EEO that you wish to draw particular attention**




<span style="background-color:magenta">Click here to auto-populate rest of Part 1 by Human Resources</span>

**School:**

**Faculty:**

**Campus:**

**Work History**




**Date probation confirmed:**

**Date commenced duty in current classification (month and year):**

3

**Date of most recent performance management (EDRS) and outcome**

**Qualifications (degree; year; institution)**

**Does the applicant meet qualification requirements for the level to which promotion is sought:**

If not correct, you **must** provide evidence of recent or relevant qualifications to the Division of Human Resources.

**Work Function Description:**

☐      Teaching and Research:

☐      Teaching focused

☐      Research Only

☐      Teaching and Professional

☐      Clinical, Dentists, Vets

(Head of School to verify):

**Academic Discipline:**

**Employment Fraction:**

4

## Part 2: FORMAL LETTER OF APPLICATION

Maximum 1 A4 page
Font must be Arial 10
1.5 line spacing (FORMAT LOCKED?? INSTRUCTIONS deleted?)

Secretary, Academic Staff Promotion Committees

Division of Human Resources

Charles Sturt University

Wagga Wagga


Enclosed is my application for promotion.

Name:

Signature:          _____

Date:               _____

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## Part 3: Research data (to be auto-populated by Office of Research

*Office of Research to provide advice on what is available*

*Publications*
*Creative Works*
*Grants*

| Chief investigators (in the order used to submit the grant) | Title of the grant (OPA number) | Funding (separated for each year, e.g. 2004-$25K, 2005-$50K) | Type of Grant – Funding body |
|---|---|---|---|
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |

*Post-graduate supervision number current and completed (including times)*

*What other relevant info can be supplied*

**Insert a full list of Creative works, publications, conferences etc.**

(This will assist in establishing a career trajectory. In the case of work in press or submitted but not yet accepted, your supervisor **must** verify status of the work).

Note that in the case of publications since appointment to CSU or since 2006 when submission of data to the Office of Research database became mandatory, only publications identified by the Office of Research will be recognised.

*Full citation must be provided for all publications using the approved referencing convention.*

**Books, monographs:**

**Chapters in books:**

**Journal articles:**              Refereed articles

                                   Non-refereed articles

**Conference papers:**             Refereed conference papers

                                   Non-refereed Conference papers

**Creative works:**                Publication, exhibition or performance details

**Reports:**                       Reports commissioned by international, government, commercial and other agencies

**Other publications:**            Letters, web sites, etc.

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## Part 4: Teaching data (to be auto-populated by Teaching and Learning)

*Division of Teaching and Learning to provide advice on what is available and relevant. Parts 3 and 4 will also be influenced by TPP outcomes.*

*Subject codes and names in which applicant has a teaching role*
*Nature of involvement*
*Course involvement*
*Nature and level of teaching (e.g. service, Honours)*
*Student assessment*
*Peer assessment*

This could be presented as a Table as follows.

Subject Report

| Subject Code | Subject Name | Year/Session | Number of students | Nature of subject (e.g. Level; service teaching) |
|---|---|---|---|---|
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |

*What other relevant info can be supplied*

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# Part 5: Disciplinary Report

*¾-page*
*TO Be BLANK in 2015 but developed for implementation in 2016*

*Should include details of normal practice in teaching (e.g. role of lectures, tutorials, laboratory classes, field experience, clinical work, practicums, etc) and research (grants, publications and conventions about authorship etc)*

*Typical career path (expected qualifications etc)*

*Postgraduate supervision – normal practices*

# Part 6: Applicant Comments on any aspect of auto-populated data

*¼-page*

## Part 7: STATEMENT ADDRESSING CHARACTERISTICS defined by THE CSU ACADEMIC (including CURRICULUM VITAE)

Applicants are required to provide a clear case for promotion which demonstrates that they satisfy the characteristics as defined by The CSU Academic in terms of:

- qualifications;
- core institutional values;
- meeting the applicable minimum standards for academic levels;
- having the appropriate reputation or esteem;
- having the capacity to meet the expectations of the University specified under the activity domains and dimensions; and
- having the ability to carry out the relevant duties

in regard to the academic level to which they seek promotion.

**I. Qualifications or equivalent accreditation and standing.**

Do you meet the qualification requirements? YES/NO

(This will be specified in Part 1 in the material auto-populated by the Division of Human Resources).

If YES, proceed to …… If not, you will need to complete the Section "Equivalent Accreditation and Standing" (This section should open automatically if NO is selected and be restricted to 4 pages).

10

**Applicants should provide details to support their application in the boxes provided below.  The size of each box indicates the minimum acceptable response.  The boxes can be expanded out however they cannot be shrunk.**

<mark>Maximum 5 A4 pages</mark>
<mark>Font must be Arial 10</mark>
<mark>1.5 line spacing</mark>

**II. Core institutional values**

The core institutional values are specified in the University Strategy (<mark>HYPERLINK</mark>). Provide a brief statement that addresses how you meet these values (provide evidence to support your claims).

**(To be completed by ALL Staff)**

¾-page

11
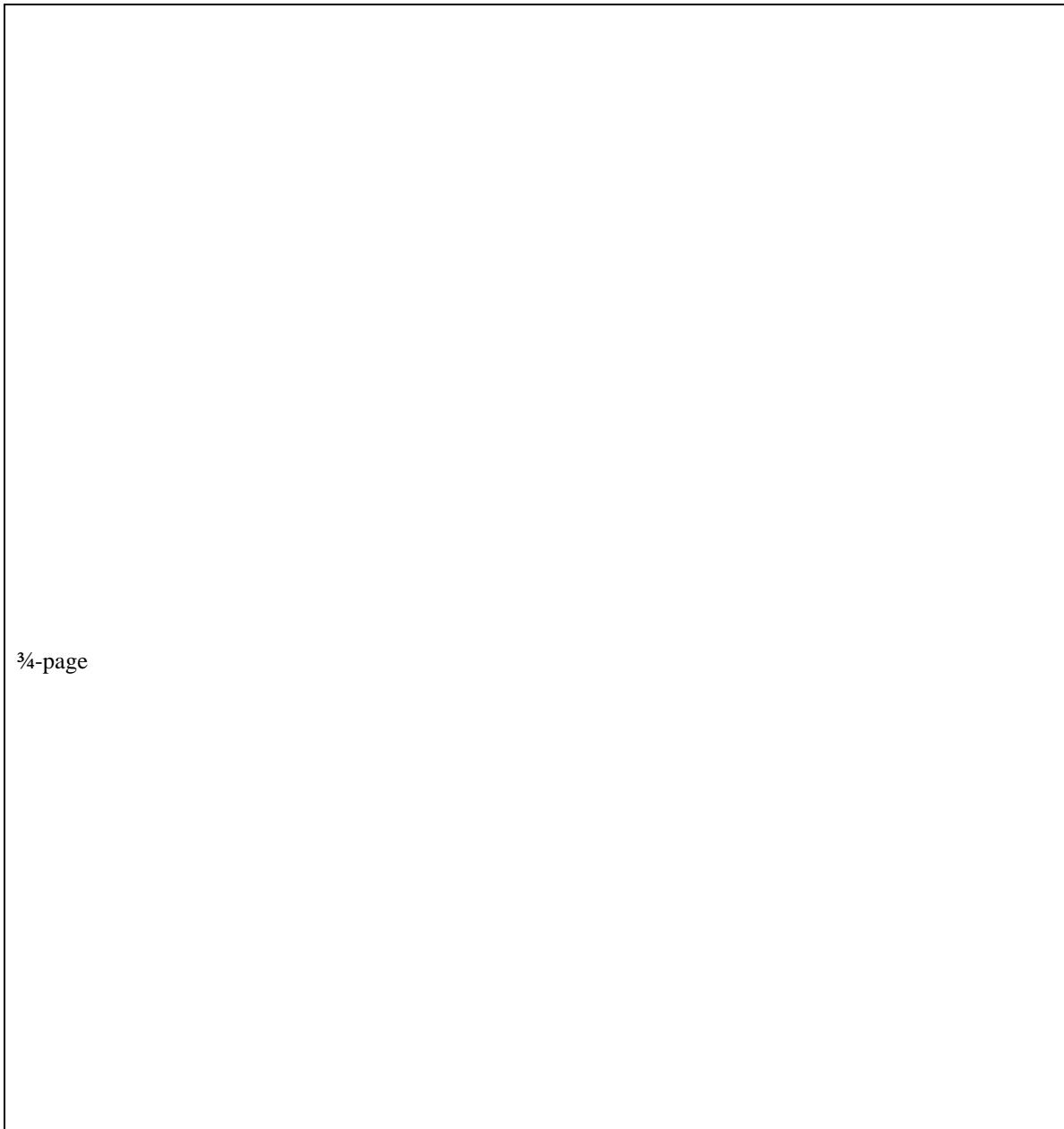
**III. Minimum standards for academic levels**

**(Noting the prospective and retrospective nature of academic promotion, applicants must demonstrate that they meet the minimum standards for the level to which promotion is sought).**

(a) Provide 5-dot points that demonstrate a contribution to your discipline appropriate to the academic level sought **(To be completed by ALL Staff)**

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 (b) Provide 5-dot points that demonstrate a contribution to your discipline through original contributions in the scholarship of teaching and/or research / creative works or professional activity appropriate to the academic level sought **(To be completed by ALL Staff)**

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(c) Provide 5 dot-points that demonstrate a contribution to leadership in your discipline in the scholarship of teaching and/or research / creative works or professional activity appropriate to the academic level sought **(To be completed by ALL Staff)**

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(d) Provide 5 dot-points that demonstrate a contribution to high quality in course delivery and development appropriate to the academic level sought **(To be completed by ALL Staff except Research ONLY staff)**

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(e) Provide 5 dot-points that demonstrate a capacity to:

- coordinate award programs of CSU, or to lead and manage small research teams; and
- teach effectively at all levels, including higher degree supervision.

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**(To be completed by ALL Staff except Research ONLY staff)**

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**IV. Reputation or Esteem**

Provide five dot-points that demonstrate a record of achievement relevant to the discipline area, in academic leadership and management and/or the scholarship of teaching and/or research / creative works or professional activity appropriate to the level to which promotion is sought.

- 
- 
- 
- 
- 

**5-page maximum concludes here and must be locked at this point.**

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**V. Domains / Dimensions**

CSU recognizes three specific areas of activity called domains as:

- Promoting learning,
- Creating knowledge, and
- Influencing university, profession, community

Various dimensions are associated with these domains (See The CSU Academic). <mark>HYPERLINK</mark>

Applicants should present their Curriculum Vitae using The CSU Academic and the Evidence Framework (<mark>HYPERLINK</mark>) to assist them in demonstrating significant contributions in the dimensions appropriate to their work function and to the academic level sought.

**Contact information**

- Name (title, first name, middle name, last name)
- Address
- Telephone
- Mobile
- Facsimile
- Email
- Current academic level
- Website

**Education**

- Tertiary qualifications:
- Year of Commencement of Doctoral Studies:
- Date awarded :
- Institution:
- Title of Theses / dissertations

**Work experience (Start with most recent including time at CSU)**

- Institution:
- Title:
- Level:
- Length of time in position: from Year/Month  (yyyy/mm)  ………… to (yyyy/mm) ………...

(Duplicate this format as necessary. In the case of professional experience outside the academic environment, refer particularly to experience that is relevant to promotion).

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**Free-form text (Use headings to assist the reader)**

Maximum 10 A4 pages
Font must be Arial 10
1.5 line spacing

**Below to be deleted**

1.        **Teaching experience**

- Grants

- Awards (nature and value of the award and the bestowing body)

2.        **Research / creative works / professional activity**

- Level of participation in research, creative works and /or professional activity

- Interests in research, creative works and /or professional activity

- Grants awards

3.        **Supervisory experience**

4.        **Professional activities**

- Details of professional awards, fellowships, consultancies and affiliations, roles and responsibilities (office bearing or other) and significant outcomes that are evidence of your contribution (e.g. development of National Code of Professional Conduct 2006).

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## Part 8: STATEMENT BY THE SUPERVISOR

<mark>Maximum 2½ pages</mark>

**This section is to be completed by the Supervisor as defined in the Academic Staff Promotion Procedures.**

**Name of Applicant:**_____

The Supervisor is to provide brief statements on the applicant in relation to the standards and expectations for the academic level sought, as set out in The CSU Academic. The statement should include the following:

(a) Comments on equivalence where the applicant does not have the relevant academic qualifications (otherwise this box may be left blank)

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(b) The applicant's capacity to meet the standards and expectations for the academic level sought icluding the provision of leadership and support for developing scholarship in the academic unit. You are not expected to comment on the contribution to the discipline area.

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(c) Commentary on the evidence provided

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(d) Ability to promote high quality in course delivery and development and teach effectively at all levels (make reference to the applicants teaching portfolio).

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I certify that:

1.  Factual claims provided in the application have been verified.        Yes  /  No
2.  I recommend the candidate be promoted.                                Yes  /  No

Name:                                          Signed:
     (Supervisor)

School or Other Unit:                          Date:

(e) Comments by relevant Research Centre Director, where appropriate <mark>(After or before HOS???)</mark>

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**COMMENTS by APPLICANT on this Report (Optional):**

<span style="background-color: yellow">**Maximum 5-lines**</span>

## Part 9: NOMINATION OF REFEREES

**Name of Applicant:**

**Details of Referees**

Please provide full details of three (3) persons other than your Dean or Head of School who have agreed to be your referees and are competent to provide reports on your professional activities. Please read the section on choice of referees carefully.

If applying for promotion to academic level C, D or E, submit your request for a written referee report[1] to the nominated referees when you submit your application to the Head of School.

1.      Name:

         Position:

         Institution:

         Address:

         Telephone:                                              Fax:

         Email:

         Why chosen:

2.      Name:

         Position:

         Institution:

         Address:

         Telephone:                                              Fax:

         Email:

         Why chosen:

3.      Name:

         Position:

         Institution:

         Address:

         Telephone:                                              Fax:

         Email:

         Why chosen:

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[1] HYPERLINK to letter requesting report

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## Letter requesting confidential referee report – for promotion to Levels C, D & E.

*<Date>*

*<Name and Address of Referee)*

Dear

**Application for Promotion to Academic Level  ……..**

I am applying for promotion to the above academic level and I would be pleased if you could provide a confidential, written report. At Charles Sturt University, applicants for academic promotion are considered against the "Promotion Policy" and "Promotion Procedures" which can be accessed HERE.

**I would be pleased if you would provide a written report that I have the qualifications and the capacity to meet the standards and expectations of the academic level to which I seek promotion.** Your report should be emailed directly to:

academicpromotions@csu.edu.au

The written report must be received by the Secretary, Academic Staff Promotion Committees by no later than **the last Friday in August**.

The University is subject to the provisions of the NSW Freedom of Information Act 1989.  Referees' reports sought by the University in confidence are not deemed to be "exempt documents" under the Act and must be released if the applicant lodges a Freedom of Information Application. The Selection Committee undertakes that the report has been given and received in confidence.

I would like to take this opportunity to thank you in anticipation for your assistance.

Yours sincerely

**Academic Promotion Policy Review:  Consultation and Approval Process**

|  | Task | Due date | Responsible | Status |
|---|---|---|---|---|
| 1. | Update report with feedback from group, academic compass results and with feedback from the VC | 30/05/14 | K Robards | Complete |
| 2. | a.  Change from Interim Draft to draft and circulate report amongst academic community | 2/6/14 2 week consultation 2/6 – 16/6 2/6/14 | K Robards | Complete |
|  | b.  Draft memo and circulate report to NETU | | G Marchant | Complete |
| 3. | Receive feedback from academic community, update report and submit to SEC for 1 July | 25/6/14 | K Robards | Complete |
| 4. | Receive feedback from SEC, update report and submit to Academic Senate for 16th July | 1/6/14 | K Robards | Complete |
| 5. | Update and Circulate Final Report | 2/08/14 | K Robards | Complete |
| 6. | Publish Final Report on HR Webpage and prepare WN&N | | K Lenihan | |
| 7. | Prepare draft Policy, Procedure and Form and submit to Working Group 14 August | 3/8/14 | K Robards | Complete |
| 8. | Receive feedback from Working Group, update documents and submit to Sub-Committee | TBC | K Robards K Lenihan | |
| 9. | Receive feedback from Sub-Committee, update documents and submit to: - SEC 9 September - Senate 17 September (for review/feedback) | SEC Agenda Close 27/8 Senate Agenda Close 2/9 | K Robards / C Jonker | |
| 10. | Receive feedback from SEC, update documents, convert to new format and circulate to CSU community for feedback | 17/9– 17/10/14 | K Robards/ K Lenihan/ N Marr | |
| 11. | If necessary, undertake further consultation with: - Working Group - Sub Committee - SEC | 17/10 – 7/11/14 | | |
| 12. | Update documents and submit to Senate 26 November for endorsement. | 12/11/14 | K Robards / C Jonker | |
| 13. | Prepare and publish policy and associated documents in the CSU Policy Library | By 3/12/14 | K Lenihan / N Marr | |
| 14. | VC approve and launch the policy | 3/12/14 | | |

# Charles Sturt University

**Academic Promotions Policy Review – DVC Ac Working Group**

| Date | 20 May 2014 | Apologies: | Andrea Bishop |
|---|---|---|---|
| Time | 11:00am – 12:00pm | Attendees: | Garry Marchant |
| Venue | Video Conference BA 717 (The Grange) WW 805 (Exec Dean FoS Office) | | Alan Bain Sandra Wills Karen Lenihan Tim Wess |
| Dial-In | 02 693 34756 / 313 http://wsww01.csu.edu.au/vcbookings/ | | Kevin Robards Clare Jonker |

| Item | Topic (Presenter) | Action | Whom (When) |
|---|---|---|---|
| 1. | **Interim Draft Report – Academic Promotions Review 2014** *Attachment* G Marchant advised the interim draft report had been reviewed by SEC and that the VC would provide additional comments.  The group discussed aspects of the report: <ul><li>Academic Compass Results: will be inserted, with qualitative data summarised;</li><li>Clarification that feedback is given to successful candidate as well as unsuccessful candidates. (Kevin advised that this is already included in the report);</li><li>Discussion about level B HOS advising on higher level promotions.</li></ul> | 1. Update report with feedback from group, academic compass survey results and with feedback from the VC. | K Robards (30/5/14) |
| | | 2. a. Change from interim draft to draft and circulate report amongst academic community. | K Robards (2/6/14) 2 week consultation period Mon 2/6 –Mon 16/6 |
| | | b. Draft memo and circulate report to NETU inviting feedback. | G Marchant (2/6/14) |
| | | 3. Receive feedback from academic community, update report (if required) and submit to SEC for 1 July meeting. | K Robards - Update report and submit to SEC on 25th June for 1rd July meeting. |
| | | 4. Submit to Academic Senate July 16th meeting. | K Robards - Update report and submit to Academic Senate on 1 July for 16 July meeting. |

| | | | |
|---|---|---|---|
| **2.** CSU | **Academic Compass survey results** <br> A report of survey results was circulated as a late paper prior to the meeting. | | |
| **3.** | **Update on Transforming Practice Programme** <br> *verbal update* <br> Sandra Wills advised of progress with TPP: <br> • F2F meetings scheduled for June, August and November residential <br> • Requirement to keep HoS (the key stakeholders) engaged with process <br> • May meeting with HOS, and invite to the next HOS Forum <br> • Close of project in November 2014. | | |
| **4.** | **Review of Actions from 14/04/14 meeting** <br> *Attachment* <br> All items actioned | | |
| **5.** | **Other Business** <br> Academic Promotion Information Session for staff <br> • Targeted at staff going for promotion this year and those preparing for promotion in future years <br> • Presentations from Sandra on L&T, Andrea on Research, and Karen on broad principles of promotion and other HR principles (like EEO) <br> • Schedule for early June 2014 <br><br> • Should also include information on Academic Promotion in the EDRS process. | 5. Organise information session. | S Wills / A Bishop / K Lenihan (ASAP) |
| **5.** | **Date of next meeting** <br> Tuesday 24 June – 9:30-10:30am | | |
| Agenda Papers: | 1. For item 1: Interim Draft Report – Academic Promotions Review 2014, prepared by K Robards <br> 2. For item 4: meeting summary from 14/04/14 meeting | | |
| **Items tabled for future discussion** | | | |
| 1. | Timeframe for implementation of the revised policy (from 17/01/14) | | |

**Curtin University**

## Curtin Expectations for Academic Performance (CEAP)
including three parallel Academic Roles, namely 'Teaching and Research', 'Teaching Focussed' and 'Research Academic'.

CEAP describe a series of qualitative measures indicative of expected performance in three areas namely teaching, research and service & leadership. These measures guide the planning and assessing of academic work at the staff member's current level across areas such as: academic promotion; performance review and development; position classification and appointments; workload allocation.

The expectations of quality are similar at each level across the different academic roles with high levels of performance expected across a majority of the performance measures. However, the expectations of volume will vary - according to role, sometimes by discipline, and relative to opportunity. For example, the volume of teaching contributions expected of a Teaching Focussed academic will be significantly greater than that of a Teaching & Research academic. Similarly, the volume of research contributions expected of a Research academic will be significantly greater than that expected of someone in a Teaching & Research role. These variations in volume reflect the differentials in time available for the various activities.

**Academic Staff: Teaching and Research**

The *Teaching and Research Academic* will contribute to both teaching and research but the balance of these two activities being variable by agreement through the WPPR process. All T&R staff should contribute to the scholarship of teaching and all should contribute to service and leadership at an appropriate level.

| Level | Outline | Teaching | Research | Service & Leadership |
|---|---|---|---|---|
| A | ***Expected to work with the support and guidance of more senior academic staff and to develop expertise in both Teaching & Research with increasing degrees of autonomy*** | • High quality teaching as demonstrated by University approved data from student surveys, peer-review processes and student outcomes<br>• A contribution to teaching delivery commensurate with the role<br>• Contribution to curriculum innovation and content design<br>• Evidence of improvement and innovation in response to student feedback<br>• Involvement in Honours and/or Graduate level teaching where appropriate | • Normally working as part of a research group<br>• Develop a coherent programme of research to be agreed through WPPR process<br>• Participate in applications for competitive funding<br>• Publish/exhibit in high quality journals/outlets, often in collaboration with colleagues, in a manner consistent with disciplinary practice.<br>• Involvement in research honours, research masters and HDR supervision where appropriate | • Efficient and effective performance in allocated roles<br>• Contributions to Academic Service, Collegiality and Engagement<br>• Participate in external activities relevant to the discipline/profession and community engagement<br>• Demonstrate high standards of professional behaviour consistent with the University Code of Conduct and Vision, Mission and Values<br>• A sustained contribution to the development of a collegial and supportive working environment |

**Academic Staff: Teaching and Research**

The *Teaching and Research Academic* will contribute to both teaching and research but the balance of these two activities being variable by agreement through the WPPR process. All T&R staff should contribute to the scholarship of teaching and all should contribute to service and leadership at an appropriate level.

| Level | Outline | Teaching | Research | Service & Leadership |
|-------|---------|----------|----------|----------------------|
| B | ***Expected to have a growing profile in Teaching, Research and Service/Leadership. Likely to co-ordinate or lead the work of other staff.*** | *as above plus* <br> • Contributions normally expected at undergraduate, honours and postgraduate levels <br> • Responsibility for preparation and delivery of substantial components of courses/units in collaboration with other colleagues as appropriate <br> • Contributions to the effective supervision of honours and Masters level coursework students where appropriate | *as above plus* <br> • An established record of research outputs/creative works in high quality refereed journals/outlets consistent with the discipline <br> • Evidence of quality and impact of outputs including, where appropriate, journal ranking, citation indices, patents awarded, reputation and standing of publishing house or other outlets, independent reviews from distinguished scholars or critics. <br> • National recognition in their field <br> • A co- or chief- investigator in competitive grant applications or evidence of active participation in research collaborations funded by competitive grants <br> • Effective supervision of research honours, research masters and HDR supervision | *as above plus* <br> • Efficient management of internal service roles <br> • Significant contributions to the discipline/profession and community engagement |

**Academic Staff: Teaching and Research**

The *Teaching and Research Academic* will contribute to both teaching and research but the balance of these two activities being variable by agreement through the WPPR process. All T&R staff should contribute to the scholarship of teaching and all should contribute to service and leadership at an appropriate level.

| Level | Outline | Teaching | Research | Service & Leadership |
|---|---|---|---|---|
| C | ***Expected to have an established record of achievement in teaching, research, and Service.*** | *as above plus*<br>• Proven ability to deliver high quality teaching across a range of modes and levels with evidence of ongoing reflective improvement and successful curriculum innovation<br>• Significant and strategically relevant contributions, at Faculty and/or School level(s), to curriculum development and pedagogical innovation | *as above plus*<br>• Evidence of research leadership<br>• High quality research/creative works outputs<br>• Evidence of an established National reputation and growing international profile by, for example, journal standing, citation indices, independent critical acclaim, prizes and awards, or invitations to present at prestigious institutions, events or major conferences<br>• A record of obtaining research income including nationally competitive research grants and/or fellowships<br>• Active and effective record of principal supervision of HDR students | *as above plus*<br>• Efficient and effective performance in an appropriate range of higher-level internal duties and responsibilities<br>• Develop and exercise leadership including, for example, of a research group, a collaborative network, or a School/Faculty-wide initiative etc.<br>• Successful mentoring of less experienced staff |

**Academic Staff: Teaching and Research**

The *Teaching and Research Academic* will contribute to both teaching and research but the balance of these two activities being variable by agreement through the WPPR process. All T&R staff should contribute to the scholarship of teaching and all should contribute to service and leadership at an appropriate level.

| Level | Outline | Teaching | Research | Service & Leadership |
|---|---|---|---|---|
| D | ***Expected to have a consistent record of excellence in teaching and research plus evidence of effective leadership.*** | *as above plus*<br>• Continued demonstration of commitment to excellence in teaching<br>• Leadership of major curriculum initiatives and/or pedagogical developments | *as above plus*<br>• An established record of substantial research income consistent with a national leader in the field of research<br>• Highly productive in research outputs with regular publication in high quality journals, or outputs in other creative outlets consistent with an international reputation in the field<br>• Regular invitations to present at major national or international conferences<br>• Editing significant international works or journals<br>• Established record as a principal supervisor of successful HDR student completions | *as above plus*<br>• A major contribution to the management and collegiality of the institution<br>• Evidence of leadership in the discipline/profession and in community engagement |

**Academic Staff: Teaching and Research**

The *Teaching and Research Academic* will contribute to both teaching and research but the balance of these two activities being variable by agreement through the WPPR process. All T&R staff should contribute to the scholarship of teaching and all should contribute to service and leadership at an appropriate level.

| Level | Outline | Teaching | Research | Service & Leadership |
|---|---|---|---|---|
| E | ***Expected to display the highest levels of performance and leadership, with an established record of academic leadership in furtherance of the strategic goals of the University. Continuing to make high-level contributions to both teaching and research but with an international reputation as an outstanding scholar in at least one of these two core areas.*** | *As above plus either*<br>• An outstanding contribution to scholarship in research<br>**Or**<br>• An outstanding contribution to scholarship in teaching and learning including:<br>　• An established and ongoing record of peer reviewed publications in the highest quality educational journals<br>　• Evidence of an exceptional and ongoing contribution to a field of educational practice including:<br>　　• Citation indices<br>　　• Major international text books<br>　　• Prizes and awards from prestigious international educational bodies<br>　　• Election to learned academies or professional bodies<br>　• Evidence of major international impact on curricular design and/or pedagogy<br>　• Substantial impact on scholarship and teaching practice over time<br>　• Contributions to educational policy development at State and/or National levels | *As above plus either*<br>• An outstanding contribution to scholarship in teaching & learning<br>**Or**<br>• An outstanding contribution to scholarship in research including:<br>　• Evidence of an exceptional and ongoing contribution to the chosen field<br>　• An established and ongoing record of publication in high quality peer-reviewed journals or outputs in creative outlets consistent with leadership in the chosen field<br>　• Evidence of significant citation indices or equivalent esteem measures as appropriate to the field or discipline<br>　• Prizes and awards from prestigious international bodies<br>　• Election to learned academies or professional bodies<br>　• Evidence of substantial impact through either the promulgation of ideas and creative works or through application and exploitation of findings, discoveries or inventions.<br>　• Leadership of major competitive funding initiatives and/or substantive international consortia<br>　• Contributions to Government policy development at State, National or International levels | *As above plus*<br>• Sustained contribution to leadership and governance within the School and Faculty<br>• Sustained contribution to University governance and regular contributions to policy development<br>• Sustained service to the discipline/profession at either state, national or international levels<br>• Sustained commitment to community engagement |

**Academic Staff: Teaching Focussed (including Clinical/Professional Fellows)**

The *Teaching Focussed (TF) Academic* will contribute primarily to teaching and learning associated activities as agreed through the WPPR process. All teaching focussed staff are expected to engage in innovative curriculum design, development and delivery as appropriate to their level. This will require a scholarly engagement with the relevant disciplinary and pedagogical literatures. While publication of scholarly articles in leading journals is desirable at all levels it is essential for promotion to level E. All TF academic staff are expected to contribute to service and leadership at an appropriate level.

| Level | Outline | Teaching | Service & Leadership |
|---|---|---|---|
| A | *Expected to work with the support and guidance of more senior academic staff and to develop Teaching expertise with an increasing degree of autonomy* | • High quality teaching as demonstrated by University approved data from student surveys, peer-review processes and student outcomes<br>• A contribution to teaching delivery commensurate with the role<br>• Contribution to curriculum innovation and content design<br>• Evidence of improvement and innovation in response to student feedback<br>• Involvement in Honours and/or Graduate level teaching where appropriate | • Efficient and effective performance in allocated roles<br>• Contributions to Academic Service, Collegiality and Engagement<br>• Participate in external activities relevant to the discipline/profession and community engagement<br>• Demonstrate high standards of professional behaviour consistent with the University Code of Conduct and Vision, Mission and Values<br>• A sustained contribution to the development of a collegial and supportive working environment |
| B | *Expected to have a growing profile in Teaching and Service/Leadership. Likely to co-ordinate or lead the work of other staff.* | *as above plus*<br>• Contributions normally expected at undergraduate, honours and postgraduate levels<br>• Responsibility for preparation and delivery of substantial components of courses/units in collaboration with other colleagues as appropriate<br>• Evidence of ongoing reflective improvement<br>• Contributions to the effective supervision of HDR students | *as above relevant to Level B plus*<br>• Efficient management of internal service roles<br>• Significant external contributions to the discipline/profession and community engagement |

**Academic Staff: Teaching Focussed (including Clinical/Professional Fellows)**

The *Teaching Focussed (TF) Academic* will contribute primarily to teaching and learning associated activities as agreed through the WPPR process. All teaching focussed staff are expected to engage in innovative curriculum design, development and delivery as appropriate to their level. This will require a scholarly engagement with the relevant disciplinary and pedagogical literatures. While publication of scholarly articles in leading journals is desirable at all levels it is essential for promotion to level E. All TF academic staff are expected to contribute to service and leadership at an appropriate level.

| Level | Outline | Teaching | Service & Leadership |
|---|---|---|---|
| C | *Expected to have an established record of achievement in teaching, and Service.* | *as above plus* <br> • Proven ability to deliver high quality teaching across a range of modes and levels with evidence of ongoing reflective improvement and successful curriculum innovation <br> • Significant and strategically relevant contributions, at Faculty and/or School level(s), to curriculum development and pedagogical innovation <br> • A record of success in winning significant external grants to support teaching projects and initiatives | *as above relevant to Level C plus* <br> • Efficient and effective performance in an appropriate range of higher-level internal duties and responsibilities <br> • Develop and exercise leadership including, for example, a collaborative network, or a School/Faculty-wide initiative etc. <br> • Leadership of teaching initiatives <br> • Contributions to professional development for teaching staff <br> • Successful mentoring of less experienced staff |
| D | *Expected to develop a consistent record of excellence in teaching plus evidence of effective leadership.* | *as above plus* <br> • Continued demonstration of commitment to excellence in teaching <br> • Leadership of major curriculum initiatives and/or pedagogical developments <br> • An emerging record of peer reviewed publications in the highest quality educational journals <br> • Regular invitations to present at major national or international conferences | *as above relevant to level D plus* <br> • A major contribution to the management and collegiality within the University <br> • Leadership of professional development for teaching staff <br> • Evidence of scholarship and leadership in the discipline/profession and in community engagement |

**Academic Staff: Teaching Focussed (including Clinical/Professional Fellows)**
The *Teaching Focussed (TF) Academic* will contribute primarily to teaching and learning associated activities as agreed through the WPPR process. All teaching focussed staff are expected to engage in innovative curriculum design, development and delivery as appropriate to their level. This will require a scholarly engagement with the relevant disciplinary and pedagogical literatures. While publication of scholarly articles in leading journals is desirable at all levels it is essential for promotion to level E. All TF academic staff are expected to contribute to service and leadership at an appropriate level.

| Level | Outline | Teaching | Service & Leadership |
|---|---|---|---|
| E | ***Expected to display the highest levels of performance and leadership, with an established record of academic leadership in furtherance of the strategic goals of the University. Continuing to make high-level contributions to teaching plus an international reputation as an outstanding scholar.*** | *As above plus*<br>• An outstanding contribution to scholarship in teaching and learning including:<br>• An established and ongoing record of peer reviewed publications in the highest quality educational journals<br>• Evidence of an exceptional and ongoing contribution to a field of educational practice including:<br> • Citation indices<br> • Major international text books<br> • Prizes and awards from prestigious international educational bodies<br> • Election to learned academies or professional bodies<br>• Evidence of major international impact on curricular design and/or pedagogy<br>• Substantial impact on scholarship and teaching practice over time<br>• Contributions to educational policy development at State and/or National levels | *As above relevant to level E plus*<br>• Sustained contribution to leadership and governance within the School and Faculty<br>• Sustained contribution to University governance and regular contributions to policy development<br>• Sustained service and leadership to the discipline/profession at either state, national or international levels<br>• Sustained commitment to community engagement |

**Academic Staff: Research Academic**

The *Research Academic (RA)* will contribute primarily through research-based activities with further contributions to Service and Leadership as agreed through the WPPR process. While some contribution to teaching and learning is desirable at all levels it is essential at level D and level E.

| Level | Outline | Research | Service & Leadership |
|---|---|---|---|
| A | *Expected to work with the support and guidance of more senior academic staff to develop a Research programme and deliver research outputs with increasing degrees of autonomy* | • Normally working as part of a research group<br>• Develop a coherent programme of research to be agreed through WPPR process<br>• Participate in applications for competitive funding<br>• Publish/exhibit in high quality journals/outlets, often in collaboration with colleagues, in a manner consistent with disciplinary practice.<br>• Involvement in research honours, research masters and HDR supervision where appropriate | • Efficient and effective performance in allocated roles<br>• Contributions to Academic Service, Collegiality and Engagement<br>• Participate in external activities relevant to the discipline/profession and community engagement<br>• Demonstrate high standards of professional behaviour consistent with the University Code of Conduct and Vision, Mission and Values<br>• A sustained contribution to the development of a collegial and supportive working environment |
| B | *Expected to have a growing profile in Research and Service/Leadership. Likely to co-ordinate or lead the work of other staff.* | *as above plus*<br>• An established record of research outputs/creative works in high quality refereed journals/outlets consistent with the discipline<br>• Evidence of quality and impact of outputs including, where appropriate, journal ranking, citation indices, patents awarded, reputation and standing of publishing house or other outlets, independent reviews from distinguished scholars or critics<br>• National recognition in their field<br>• A co- or chief- investigator in competitive grant applications or evidence of active participation in research collaborations funded by competitive grants<br>• Effective supervision of research honours, research masters and HDR supervision | *as above relevant to level B plus*<br>• Efficient management of internal service roles<br>• Significant external contributions to the discipline/profession and community engagement |

**Academic Staff: Research Academic**

The *Research Academic (RA)* will contribute primarily through research-based activities with further contributions to Service and Leadership as agreed through the WPPR process. While some contribution to teaching and learning is desirable at all levels it is essential at level D and level E.

| Level | Outline | Research | Service & Leadership |
|---|---|---|---|
| C | *Expected to have an established record of achievement in research, and Service.* | *as above plus*<br>• Evidence of research leadership<br>• High quality research/creative works outputs<br>• Evidence of an established National reputation and growing international profile by, for example, journal standing, citation indices, independent critical acclaim, prizes and awards, or invitations to present at prestigious institutions, events or major conferences<br>• A record of obtaining research income including nationally competitive research grants and/or fellowships<br>• Active and effective record of principal supervision of HDR students | *as above relevant to level C plus*<br>• Efficient and effective performance in an appropriate range of higher-level internal duties and responsibilities<br>• Develop and exercise leadership including, for example, of a research group, a collaborative network, or a School/Faculty-wide initiative etc.<br>• Successful mentoring of less experienced staff |
| D | *Expected to have a consistent record of excellence in research plus evidence of effective leadership.* | *as above plus*<br>• An established record of substantial research income consistent with a national leader in the field of research<br>• Highly productive in research outputs with regular publication in high quality journals, or outputs in other creative outlets, consistent with an international reputation in the field<br>• Regular invitations to present at major national conferences and international conferences<br>• Editing international works or journals<br>• Established record as a principal supervisor of successful HDR student completions<br>• Evidence of a sustained commitment to the discipline through high quality teaching and contribution to curriculum development | *as above relevant to level D plus*<br>• A major contribution to the management and collegiality of the institution<br>• Evidence of leadership in the discipline/profession and in community engagement |

**Academic Staff: Research Academic**

The *Research Academic (RA)* will contribute primarily through research-based activities with further contributions to Service and Leadership as agreed through the WPPR process. While some contribution to teaching and learning is desirable at all levels it is essential at level D and level E.

| Level | Outline | Research | Service & Leadership |
|-------|---------|----------|----------------------|
| E | ***Expected to display the highest levels of performance and leadership, with an established record of academic leadership in furtherance of the strategic goals of the University. Continuing to make high-level contributions in research - with an international reputation as an outstanding scholar.*** | *As above plus*<br>• An outstanding contribution to scholarship in research including:<br><br>• Evidence of an exceptional and ongoing contribution to the chosen field<br>• An established and ongoing record of publication in high quality peer-reviewed journals or outputs in creative outlets consistent with leadership in the chosen field<br>• Evidence of significant citation indices or equivalent esteem measures as appropriate to the field or discipline<br>• Prizes and awards from prestigious international bodies<br>• Election to learned academies or professional bodies<br>• Evidence of substantial impact through either the promulgation of ideas and creative works or through application and exploitation of findings, discoveries or inventions<br>• Leadership of major competitive funding initiatives and/or substantive international consortia<br>• Contributions to Government policy development at State, National or International levels<br>• Evidence of a sustained commitment to the discipline through high quality teaching and contribution to curriculum development | *As above relevant to level E plus*<br>• Sustained contribution to leadership and governance within the School and Faculty<br>• Sustained contribution to University governance and regular contributions to policy development<br>• Sustained service and leadership to the discipline/profession at either state, national or international levels<br>• Sustained commitment to community engagement |

# Academic Staff Performance Expectations and Outcomes Framework
### April 2014

The ECU Academic Staff Performance Expectations and Outcomes Framework ("The Framework") is designed to provide Academic staff with clarity on performance expectations in the core areas of academic work at ECU:

- Learning and Teaching;

- Research and Creativity; and

- Academic Leadership and Service.

In defining expectations in each of these core areas of academic work with the Framework, there is explicit reference to contextualised performance against ECU's core strategic priority of *Engaging and Serving our Communities*.

Academic Staff and Line Management will use the Framework in conjunction with, and in support of, other University policies, processes and systems; staff planning, recruitment, induction and probation, performance planning and review, career planning and development, academic workload, academic promotion, and other relevant university wide processes.
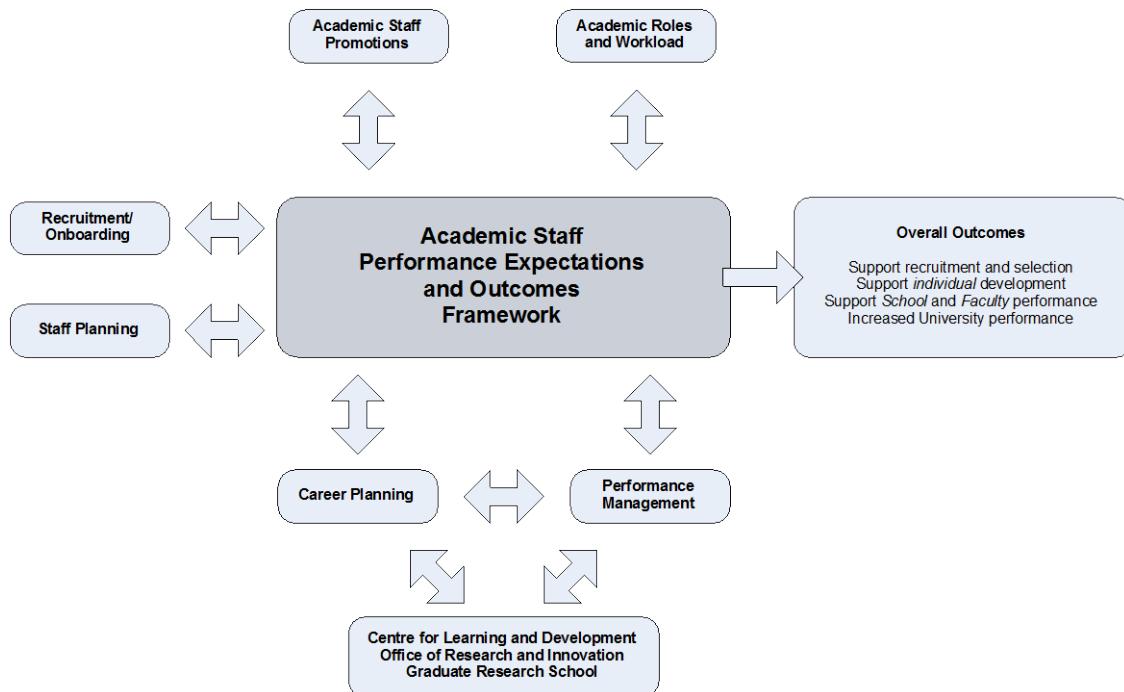


The detailed elements, expectations of performance and required outcomes that comprise the Framework are outlined in the Appendix. The remainder of this document describes the principles around which the Framework has been developed.

**Academic Life Cycle**

1. The Framework differentiates between each Academic Level (Levels A - E) and is designed to capture the progression in level during the course of an Academic career.

2. The Framework is designed in the context of an Academic life cycle in which the broad role of an Academic and the context in which Academic work is carried out develops over time:

| Academic Level | Academic Stage | Context |
|---|---|---|
| Level A | Support and guidance from senior colleagues | School |
| Level B | Build independence | School/ Faculty |
| Level C | Develop, lead and/or innovate | School/ Faculty/University working towards National |
| Level D | Lead, innovate and provide mentorship | School/ Faculty/ University/National/ working towards International |
| Level E | Sustained leadership, innovation and mentorship | School/ Faculty/ University/ National/ International |

- *Level A academics* can expect to be supported and mentored by senior colleagues whilst performing in the areas of academic work at school level.

- *Level B academics* are expected to show evidence of independence and initiative in their work at school and faculty level, but may continue to be mentored by more senior colleagues in support of their further development.

- *Level C academics* are expected to start developing, leading and where possible, innovating in their academic efforts at school, faculty and University level, working towards gaining national recognition, particularly in their field of teaching and/or research.

- *Level D academics* are expected to lead, innovate and provide mentorship to early and mid-career academics as well as develop their own academic professional standing, preferably gaining recognition at a national and/or international level.

- *Level E academics* are expected to sustain and foster excellence in leadership, innovation and mentorship, with recognition established at national and/or international levels.

**Achievement of Outcomes**

3. ECU recognises that the achievement of outcomes and measures in each category will be *subject to relative opportunity* based on the discipline and/or organisational context in which academic work is carried out. The Framework accounts for the achievement of these outcomes and measures based on the following timeframes:

- *Learning and Teaching* outcomes are measured over a 3 year period.

- *Research and Creativity* outcomes are measured over a 5 year period.

- *Academic Leadership and Service* outcomes have timeframes that vary as appropriate.

4. The outcomes highlighted within the Framework are viewed as reasonable expectations of performance for an academic staff member. However, these should not to be used as an absolute but an indication of performance that must be contextualised based on relative opportunity.

5. For fractional full-time academic staff, measures are proportionate to the staff member's FTE. Determining what is valued or considered a priority in terms of work focus and effort, is to be discussed and negotiated between the line manager and staff member.

6. It is an expectation that an academic staff member working at a particular academic level can demonstrate and/or be involved with outcomes at prior academic levels.

**Relationship to Workload**

7. The outcomes described in the Framework are designed in the context of a typical academic workload that is allocated in the following proportions:

   • Teaching: 50%

   • Research: 30%

   • Leadership and Service: 20%

8. The detailed allocation of workloads is governed by the relevant Academic Workload Model in each School and/or Faculty. Individual workload profiles are negotiated with Heads of School and/or Associate Heads of School and will vary by staff member subject to School, Faculty and disciplinary requirements. For example, some Schools require higher levels of research activity and this will be reflected in individual workload profiles and expectations of performance outcomes being scaled accordingly.

**Expectations for Different Academic Roles**

9. The Framework should be applied in the context of the role of an Academic staff member:

   *Teaching and Research Scholar*
   There is an expectation to perform and deliver on outcomes across all the three main areas of work indicated; subject to relative opportunity, academic level and discipline.

   *Teaching Focussed/ Teaching Focussed (Clinical and Professional)*
   As a teaching focused academic, there is an expectation to perform and deliver on the outcomes in the Learning and Teaching and Academic Leadership areas, with a lesser proportion of effort focussed in Research, typically in the Scholarship of Teaching; subject to relative opportunity, academic level and discipline.

   *Research Scholar*
   As a research focused academic, there is an expectation to make a significant contribution and deliver on the outcomes in the Research and Academic Leadership areas; subject to relative opportunity, academic level and discipline.

10. Depending on your academic role, there is an expectation that the Framework and the outcomes to be achieved across the three areas of academic work (Learning and Teaching, Research and Creativity and Academic Leadership) will vary depending on the context of the discipline and subject to relative opportunity within the discipline and/or organisational unit.

11.  As part of the annual review of workload models, a Faculty or School may propose contextualised descriptors or specific targets against the areas of academic work for particular discipline/s. Approval for such changes will be negotiated with the Deputy Vice-Chancellor (Academic) for University-wide acceptance.

**Academic Staff will discuss performance outcomes and measures with their Line Supervisor during probation and/or performance planning and review meetings in accordance with the Management for Performance Policy.**

**Linkages to Other Management Processes**

12.  *Staff Planning, Recruitment and On-boarding*

     The Framework is to be used as a guide by the Senior Leadership of Schools and Faculties to assess and determine the needs of the relevant organisational unit before approving and recruiting an academic position.

     The Framework will be used by Recruitment and Selection Committees for the purposes of assessing and short-listing applications for hiring purposes. Applicants are expected to be able to demonstrate their capacity to achieve and/or sustain the outcomes expected in the Framework. Applicants who do not meet each category in the first instance should use the framework to plan their development towards achieving the relevant expectations.

     Recruitment and Selection Committee members will use the Framework as a guide to assess an applicant's academic achievements in the areas of Learning and Teaching, Research and Creativity and Academic Leadership.

     For the purposes of Probation, the Framework will be used to determine outcomes to be achieved during the term of probation.

13.  *Performance Management*

     Based on the standard academic role, Academic staff are expected to perform across each of the areas of academic work (Learning and Teaching, Research and Creativity and Academic Leadership). Academic staff are required to discuss which performance outcomes and measures are applicable in developing, enhancing and sustaining their academic career, via discussions during management for performance with the relevant line manager.

14.  *Academic Promotion*

     The Framework will be used by the relevant Promotions Committees for the purposes of assessing and reviewing applications for academic promotion. Academic staff will be required to demonstrate sustained improvement toward and/or achievement of the required outcomes or measures highlighted within the Framework in conjunction with the relevant Academic Staff Promotions policies and guidelines. Evidence of sustained progress towards and/or achievement at the next academic level is regarded as highly favourable and will support a successful promotions outcome.

     The Framework provides a clear expectation of what Committees will look for in a successful application. Equally, it provides a guide to potential applicants of what they can be expected to achieve at the next level and where necessary, identify training and career development opportunities.

**Definitions used within the Framework**

*Discipline*
Four- or two-digit Fields of Research (FoRs) as identified in the Australian and New Zealand Standard Research Classification (ANZSRC).

*Engaged Teaching*
Seeks to enhance the learning experience for ECU students and serve the needs of communities through the authentic connection of learning to real life issues, problems and ideas.

*Non-traditional Outputs*
This category includes research outputs which do not take the form of traditional research outputs such as published books, book chapters, journal articles or conference publications. For the purposes of ERA, these include original creative works, live performance of creative works, recorded/rendered creative works and curated or produced substantial public exhibitions and events.

*Publications*
This category includes traditional research outputs (i.e. books, book chapters, journal articles or conference papers) which have been published.

*Research Impact (Engaged Research)*
With its strong emphasis on collaboration and partnerships, ECU encourages research that is undertaken in close partnership with local communities, industries and corporate and government organisations, and is developing several measures of the impact of that research.

*Research Informed Teaching*
Research Informed Teaching at ECU aims to bring the two key functions of a University (research and teaching) closer together. It may involve:
- students learning about others' research;
- students learning to do research;
- students learning about their discipline through research, or inquiry-led curricula; and/or
- research that informs staff about their teaching.

For more information on Research Informed Teaching, refer to the ECU Curriculum Framework website found on the intranet.

*Research Outputs Recognised by ECU*
This category includes any research outputs submitted to and accepted by the Office of Research and Innovation for the purposes of reporting to the Government for either HERDC and/or ERA.

*Significance (refer to Research and Research Scholarship)*
This refers to the quality and/or impact of the work or publication; including the transfer of knowledge internally and with the wider community that ECU was established to serve.

*Timely Completion*
This refers to the completion of a higher degree by research within a funded timeframe.

# Academic Staff Performance Expectations and Outcomes Framework – Learning and Teaching

| Learning and Teaching Performance Descriptors | Level A<br>**With support and guidance from senior colleagues:** | Level B<br>**Build independence:** | Level C<br>**Through the development of leadership and innovation:** | Level D<br>**Through leadership, innovation and mentorship:** | Level E<br>**Through sustained leadership, innovation and mentorship:** |
|---|---|---|---|---|---|
| **Context** | School | School/ Faculty | School/ Faculty/ University working towards National | School/ Faculty/ University/ National working towards International | School/ Faculty/ University/ National/ International |
| **Qualifications** | Completed 4 years of tertiary study. Preferably a Masters and be studying for a PhD | Normally have a PhD and/or relevant qualifications and/or professional, performance or creative works and/or experience | | | |
| | **Focusing on ECU's Learning and Teaching Principles and engaged learning and teaching, lead efforts in:** | | | | |
| **1. Teaching Performance** | Evidence of sustained achievement and/or improvement against ECU's teaching targets<br>(Measures 'over a 3 year period' include unit, lecturer and tutor UTEI scores). | | | | |
| **2. Research-Informed Teaching** | Demonstrating evidence of research-informed and/or contemporary teaching practices within discipline: | | Demonstrating evidence of research-informed and/or contemporary teaching within and/or *across disciplines. May include the dissemination of teaching practices*: | Demonstrating evidence of research-informed and/or contemporary teaching within and/or *across disciplines. May include mentoring and leading others in learning and teaching practices:* | Demonstrating evidence of research-informed and/or contemporary teaching within and/or *across disciplines. May include mentoring and leading others in learning and teaching practices which lead to the dissemination of new knowledge:* |
| | Evidenced by one or more of the following:<br>• Reflective practice and inquiry to improve own learning and teaching performance;<br>• Using student feedback to improve learning and teaching outcomes; and/or<br>• Delivery of curricula that are research or inquiry-led. | Evidenced by one or more of the following:<br>• Reflective practice and inquiry to improve own learning and teaching performance; and/or<br>• Applying contemporary research findings in the curriculum; and/or<br>• Actively demonstrating sound application of | Evidenced by one or more of the following:<br>• Using ECU small grant(s) to research learning and teaching issues, needs or excellence; and/or<br>• Developing students' research skills through curriculum activities; and/or<br>• Coordinating and | Evidenced by one or more of the following:<br>• Leading research project(s) or team(s) exploring the improvement of learning and teaching outcomes; and/or<br>• Participating in externally funded learning and teaching projects, e.g. those funded by the Office of Learning and Teaching (OLT); and/or | Evidenced by one or more of the following:<br>• Participating in learning and teaching benchmarking activities; and/or<br>• Participating in national bodies associated with improving learning and teaching; and/or<br>• Leading national projects or team(s) in learning and |

| Learning and Teaching Performance Descriptors | Level A<br>With support and guidance from senior colleagues: | Level B<br>Build independence: | Level C<br>Through the development of leadership and innovation: | Level D<br>Through leadership, innovation and mentorship: | Level E<br>Through sustained leadership, innovation and mentorship: |
|---|---|---|---|---|---|
| Context | School | School/ Faculty | School/ Faculty/ University working towards National | School/ Faculty/ University/ National working towards International | School/ Faculty/ University/ National/ International |
|  |  | Undergraduate Curriculum Framework in units; and/or<br>• Sharing learning and teaching outcomes; and/or<br>• Development and/or delivery of curricula that are research or inquiry-led. | embedding the Undergraduate Curriculum Framework in courses; and/or<br>• Demonstrating sound integration of research outcomes into everyday learning and teaching practices; and/or<br>• Development and/or delivery of curricula that are research or inquiry-led. | • Leading and mentoring early career teachers in innovative teaching practices; and/or<br>• Development and/or delivery of curricula that are research or inquiry-led. | teaching projects; and/or<br>• Development and/or delivery of curricula that are research or inquiry-led. |
| **3. Engaged Teaching** | Through community, industry and/or professional collaboration and reflective practice in your teaching performance, demonstrate evidence of engaged learning and teaching: | | | As a discipline expert, *lead* colleagues and/or teams in collaborative learning partnerships: | As a discipline expert, *initiate and lead colleagues and/or teams* in collaborative learning partnerships: |
|  | Evidenced by:<br>• Being part of a team or individual, build on existing community, industry and/or professional contacts that contribute to learning and teaching practices. | Evidenced by one or more of the following:<br>• Developing *partnerships* that lead to academic scholarship within the context of the discipline; and/or<br>• *Unit or Course development* that responds to current issues, needs or improvement in the workplace; and/or<br>• Internationalisation for the development of ECU students, and offshore partners, through curriculum, student mobility, cross-cultural learning. | | Evidenced by one or more of the following:<br>• *Identifying and developing innovative opportunities* within and/or across disciplines that respond and inform current issues, needs or improvement in the workplace; and/or<br>• Providing leadership and mentorship in developing *sustained* partnerships for academic scholarship; and/or;<br>• Furthering opportunities for Internationalisation, developing partnerships and networks for ECU students, staff and programs and offshore partners. | |

## Academic Staff Performance Expectations and Outcomes Framework – Research and Creativity

| Research and Creativity Performance Descriptors | Level A<br>With support and guidance from senior colleagues at: | Level B<br>Build independence: | Level C<br>Through leadership and innovation: | Level D<br>Through leadership, innovation and mentorship: | Level E<br>Through sustained leadership, innovation and mentorship: |
|---|---|---|---|---|---|
| Context | School | School/ Faculty | School/ Faculty/ University working towards National | School/ Faculty/ University/ National working towards International | School/ Faculty/ University/ National/ International |
| | Focusing on ECU's research strengths and engaged research, lead efforts in: | | | | |
| 4. Research and Research Scholarship | Produce recognised publications, creative works and/or non-traditional research outputs | | | | |
| | Measures over 5 years:<br>• *5 or more* research outputs | Measures over 5 years<br>• *5-10* research outputs of which *1-2 are of significance* | Measures over 5 years:<br>• *8-15* research outputs of which *2-3 are of significance* | Measures over 5 years:<br>• *12-20* research outputs of which *4-5 are of significance* | Measures over 5 years:<br>• *15- 25* research outputs of which *6 or more are of significance* |
| 5. Research Income | • Obtain competitive internal research grants; and/or<br>• Obtain appropriate funding from other recognised sources; and/or<br>• Obtain external competitive research grants. | | • Obtain *nationally competitive* and/or other major external research grants; and/or<br>• Obtain appropriate funding from other recognised external sources. | • Obtain *nationally and internationally competitive* and/or other major external research grants; and/or<br>• Obtain appropriate funding from other recognised external sources. | |
| 6. Research Training | | As a *Principal, Co-Principal or Associate Supervisor, supervise Honours or HDR students to completion*, subject to relevant ECU policies and standards, and where possible, Level D and E academics to provide supervisory mentorship to colleagues. | | | |

| Research and Creativity Performance Descriptors | Level A<br>**With support and guidance from senior colleagues at:** | Level B<br>**Build independence:** | Level C<br>**Through leadership and innovation:** | Level D<br>**Through leadership, innovation and mentorship:** | Level E<br>**Through sustained leadership, innovation and mentorship:** |
|---|---|---|---|---|---|
| **Context** | School | School/ Faculty | School/ Faculty/ University working towards National | School/ Faculty/ University/ National working towards International | School/ Faculty/ University/ National/ International |
| **7. Engaged Research and Impact** | • Through academic, professional or other external partnerships, contribute to the translation of research to address the needs and priorities for a sustainable community; and/or<br>• Demonstrate research impact through metrics relevant for the discipline. | | • Through academic, professional or other external partnerships, *lead or contribute to local or national research linkages that will result in the transfer of knowledge,* addressing the needs and priorities for a sustainable community; and/or<br>• Demonstrate research impact through metrics relevant for the discipline. | • Through academic, professional or other external partnerships, *lead a collaborative national or international research group that will result in the transfer of knowledge,* addressing the needs and priorities for a sustainable community; and/or<br>• Demonstrate research impact metrics relevant for the discipline. | |

# Academic Staff Performance Expectations and Outcomes Framework – Leadership and Service

| Academic Leadership Performance Descriptors | Level A<br>With support and guidance from senior colleagues at: | Level B<br>Build independence: | Level C<br>Through leadership and innovation: | Level D<br>Through leadership, innovation and mentorship: | Level E<br>Through sustained leadership, innovation and mentorship: |
|---|---|---|---|---|---|
| **Context** | **School** | **School/ Faculty** | **School/ Faculty/ University working towards National** | **School/ Faculty/ University/ National working towards International** | **School/ Faculty/ University/ National/ International** |
| **8. Academic Leadership and Service – Internal**<br><br>**(University Service and Enterprise)** | Develop the appropriate leadership capability, where: ||||| |
| | | | Leadership roles may include Course Coordinator, Program Director, Research Centre Director (Level II) | In addition to Level C, leadership roles may include Head of School, Associate Dean | In addition to Levels C and D, leadership roles may include Executive Dean, Research Centre Director (Level III) |
| | As a Unit Coordinator, coordinate and contribute to units, courses and relevant reviews; and actively contribute and be involved at school, faculty and university meetings, events (e.g. graduation, open days, expos and student recruitment activities) and committee work; and ||||| |
| | • Work with others and in teams, establishing networks within discipline; and/or<br>• Gain an understanding of learning and teaching, research and university governance; and/or<br>• Sound management of sessional staff. | | In addition to Levels A and B,<br>• Establish networks within and across disciplines that lead to mutual collaboration on projects; and/or<br>• *Actively contribute* towards the development and implementation of school/faculty policies; and/or<br>• *Actively contribute* to working parties, curriculum and/or research committees. | In addition to Levels A to C,<br>• Provide leadership and mentorship to early and mid career academics; and/or<br>• *Demonstrate significant contribution* towards the development and implementation of university wide policies; and/or<br>• *Lead and contribute* to working parties, curriculum and/or research committees; and/or<br>• *Lead a collaborative team* that attracts local/ | In addition to Levels A to D,<br>• Play a lead role and significantly contribute to collaborative innovation, changes and improvements across ECU; and/or<br>• Exercising leadership in the achievement of ECU's strategic priorities. |

| Academic Leadership Performance Descriptors | Level A<br>With support and guidance from senior colleagues at: | Level B<br>Build independence: | Level C<br>Through leadership and innovation: | Level D<br>Through leadership, innovation and mentorship: | Level E<br>Through sustained leadership, innovation and mentorship: |
|---|---|---|---|---|---|
| **Context** | School | School/ Faculty | School/ Faculty/ University working towards National | School/ Faculty/ University/ National working towards International | School/ Faculty/ University/ National/ International |
| | | | | national/ international visitors to engage in learning and teaching and research and creative projects. | |
| **9. Academic Professional Standing – External and Engagement** | Develop the appropriate level of recognition as a discipline expert *by way of invitations to any of the following (as relevant to the discipline)*: | | | | |
| | As part of a team,<br><br>• Develop leadership capacity by being mentored by others and active involvement in relevant projects with community/ industry professions;<br>• Recognition of achievements and/or outcomes;<br>• Membership of relevant professional body, where relevant. | In addition to Level A,<br><br>• Recipient of prizes and awards;<br>• Speaker and/or active participation at conferences and/or industry events;<br>• Participation of and/or a member of an organising external committee;<br>• Recognised participation in consultancy projects. | In addition to Levels A and B,<br><br>• Referee articles in scholarly journals;<br>• Review and/or production of scholarly textbooks;<br>• Examiner of Honours, Masters and/or PhD theses;<br>• Reviewer of Honours, Masters, and/or PhD proposals;<br>• Member of learning and teaching and/or research grants board or panel(s);<br>• Referee for external competitive grants. | In addition to Levels A to C,<br><br>• Serve on editorial boards and/or Editor of national and/or international journals;<br>• Keynote speaker and/or chairperson at conferences and/or industry events;<br>• Editor of a Prestigious Work of Reference;<br>• Fellowship of a Learned Academy or Professional Body or Membership of AIATSIS;<br>• Recipient of a Nationally Competitive Research Fellowship;<br>• Membership of a Statutory Committee;<br>• Selection for national/ international boards, curriculum councils, boards of relevant organisations;<br>• Participation and/or membership of high level commissions, relevant peak bodies, arts funding bodies, accredited committees, reviews at other institutions;<br>• Provision of expert advice to government inquiries and national policies;<br>• International readers;<br>• Ministerial appointments;<br>• Written recognition (e.g. letters) from government ministers/ directors. | |

# CREATIVE WORKS –RESEARCH OUTPUTS COLLECTION

This document should be read in conjunction with the *ASPIRE Guidelines* and the *RAS Step-by-Step User Guide*.

## Definition of Research[1]

Research is defined as the creation of new knowledge and/or the use of existing knowledge in a new and creative way so as to generate new concepts, methodologies and understandings. This could include synthesis and analysis of previous research to the extent that it leads to new and creative outcomes.

This definition of research is consistent with a broad notion of research and experimental development (R&D), one that recognises research as comprising 'creative work undertaken on a systematic basis in order to increase the stock of knowledge, including knowledge of humanity, culture and society, and the use of this stock of knowledge to devise applications. It also encompasses pure or strategic basic and applied research. Applied research is original investigation undertaken to acquire new knowledge but directed towards a specific, practical aim or objective (including a client driven purpose).

This definition encompasses practice-based and practice-led research in the creative and performing arts.

In addition to meeting the above definition of research, eligible creative works outputs must have been published or made publicly available within the given collection year. Evidence of the date of publication must appear either on the research output or other verification material/website link.

## Research Statements

Creative works must be submitted together with a research statement i.e. a written statement of no more than 1,900 characters which identifies the research component of the output.

Statements will be required to identify the following:

- Research Background – field, context, research question;
- Research Contribution – innovation, new knowledge;
- Research Significance – evidence of excellence.

Exemplar research statements, by discipline, can be found at *Appendix A*.

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[1] OECD (2002), *Frascati Manual: Proposed Standard Practice for Surveys on Research and Experimental Development*, OECD: Paris, as used by the Department of Industry for the annual Higher Education Research Data Collection (HERDC) and the Australian Research Council (ARC) for the Excellence in Research for Australia (ERA) initiative.

Internal peer review panels will support the Office of Research and Innovation (ORI) to evaluate submitted creative works to ensure they meet the definition of research, as captured in the research statement, and to confirm level of significance i.e. the quality of the work based on prestige of venue, extent and/or contribution to knowledge.

The level of significance of the work will be defined as either Major, Substantial or Minor; these are defined in more detail at a discipline[2] level in *Appendix B*.

In light of this assessment, thought should be given by researchers to submitting research outputs that evidence the highest quality, particularly if there is the likely intent in the future to republish the work via what might be considered to be a higher quality medium.

**Creative Works – Research Output Categories**

There are four main categories of creative works:

1. Original Creative Work;
2. Live Performance of Creative Work;
3. Recorded or Rendered Creative Work; and
4. Curated or Produced Substantial Exhibition or Event.

These categories follow ERA's organisation and act as umbrellas of the more familiar disciplinary divisions (as in the former CPAI). Invariably, there will be artworks that cross such divisions, in which case the artist/s involved should choose a principal discipline for his/her output and clearly outline interdisciplinary aspects in the written research statement.

Categorisation of the outputs should not be confused with the assignment of relevant Field of Research (FoR) codes, which also provide descriptions of the discipline and nature of the work. Creative works may only be submitted and assigned to Humanities and Creative Arts FoRs.

Each of the categories, and their associated sub-categories, are described in more detail below. Where it is unclear which category and sub-category would be most appropriate to select, the default option should be chosen i.e. Original Creative Work – Other.

## *Original Creative Works*: **VISUAL ART**, visual art, craft, photographic image, diagram, map, sculpture, installation; **DESIGN/ARCHITECTURAL WORK**, realised, constructed, fabricated or unrealised building and design projects; **TEXTUAL WORK**, novel, poetry collection, art reviews, scripts and essays for exhibition catalogues; **OTHER**, scholarly editions, scholarly translations, public policy reports and other creative works that do not fit the other research types e.g. music score.

Research outputs are only eligible under this category where the relevant researcher is the creator of the work rather than, for example, the curator of an exhibition of creative works produced by others. The exhibition of an original creative work can be used to demonstrate that the work has been made publicly available, but each instance of such an output can only be claimed once. Exhibited creative works can be submitted as either:

- a single item exhibited as an individual creative work; or
- a group of works exhibited as a cohesive/thematic collection of the work of a single creator.

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[2] Disciplines align with the four internal peer review panels i.e. Visual Arts and Design, Music, Performance and Journalism and Creative Writing.

> In most instances an artist's solo exhibitions in significant galleries, major sculptural commissions, invitation to participate in a biennial/festival or award of national prize or mainstream creative writing publications will be eligible for the major category. However, there are instances where artists participate in major exhibitions or short story publications where a pro-rata condition may apply e.g. a national retrospective of 3-5 landscape artists. Single art works exhibited in multi-artist exhibitions would normally be considered as eligible for substantial or minor categories dependent on the context of that work.

It should be noted that, in regards to textual creative works, the extent information provided should normally be a total word count in addition to any other expression e.g. page numbers.

## *Live Performance of Creative Works*: MUSIC, new work or a demonstrably new or innovative interpretation or production of an existing work; THEATRE, new work or a demonstrably new or innovative interpretation or production of an existing work, DANCE, new work or a demonstrably new or innovative interpretation or production of an existing work; OTHER, performance-based creative works that do not fit the other performance sub-types.

For this output type, the actual public performance is what is being claimed. Verification documentation may be in the form of a recording of the performance, performance programs or reviews etc.

> Performing arts are invariably collaborative investigations wherein each major disciplinary artist plays his/her role or multiple roles. Provided that the creating artist can justify the research involved in his/her discipline's contribution as distinct, he/she can enter a separate work as composer, arranger, choreographer, playwright, scenario, lighting, props or stage designer, dramaturge or theatre director, etc. Interpreters, such as musicians or performers should take into consideration the roles played which vary between principal actors and musicians and ensemble players. Composer/performers and equivalents in dance and theatre (playwright and director) should enter a single output, acknowledging the multiple roles of their contributions in the research statement.

## *Recorded/Rendered Creative Works*: FILM AND VIDEO/TV, works specifically devised for the screen media; RECORDED PERFORMANCES, in music, dance and theatre etc. that have been specifically created for a recorded medium and/or broadband transmission; EXPERIMENTAL WORKS IN RECORDED MEDIUMS/INTER-ARTS, often produced in collaboration with multi-disciplinary artists or in conjunction with new technology experiments; NEW MEDIA/DIGITAL CREATIVE WORK, creative 3D modelling, including digital outputs of architectural and design projects, computer programs, games and visual art works; WEBSITE DESIGN/WEB EXHIBITION, the researcher needs to be the designer of a website with evidence of artistic intention (commissioned by an arts organisation for principally artistic purposes) or creator of the creative works featured in the website. Curated web based exhibitions of the creative work of others must be submitted as curated exhibitions; OTHER, other recorded/rendered works not listed.

For this output type, the research component is contained within the recording/rendering, not the performance, writing or composition. Simple documentations of live performances of creative works without a research component are not eligible to be submitted as this research output type, but may be submitted as supporting material under live performances.

Film and TV present one set of problems with respect to artistic/research intervention and the internet quite another. The principle, contested in the web environment, by which assessment for research purposes is based, is on peer review of some form. So if the applicant artist is able to justify some form of peer reviewed process (other than an online hit function) in their claim it will be considered. Film and TV are complex environments, involving multiple collaborators, therefore, claims in this category need to be substantiated within the research as well as the disciplinary environment.

## *Curated or Produced Substantial Public Exhibitions and Events:* WEB-BASED EXHIBITION, the curation and/or production of an internet website presenting a collection of creative works where the internet is the medium of the exhibited works; **EXHIBITION/EVENT**, collection of creative works or performances exhibited together for the first time, in that particular arrangement, in a recognised gallery, museum, or event. This should be accompanied by a well researched publication that includes the date and location of the exhibition; **FESTIVAL**, bringing together innovative work or existing works in an innovative format or through a theme that provides new perspectives and/or experiences; **OTHER**, curated or produced substantial public exhibitions and events that do not fit into the other sub-categories.

Multiple exhibitions/performances/events cannot be counted as multiple research outputs where the repeated exhibitions/performances/events do not introduce a new research component to the work. For example, a touring exhibition can only be counted once. Multiple exhibitions/performances/events may be counted where each subsequent exhibition/event introduces a new and distinctive research component to the work that builds upon the initial research component of the original exhibition/event.

Contributions to recurring exhibitions and events may be submitted. For example, the Biennale of Sydney is a recurring event meaning that the curation of each occurrence is unique rather than a repeat of the previous occurrence.

Note: exhibition catalogues written by curators should be submitted as Original Creative Works, in the Textual work sub-category

The editing of a book, journal or magazine will be deemed curation where it involves most or all of the following supported by verifying documentation: conceiving of the publication's unifying theme; commissioning or selecting of articles; editing of submissions; communication with reviewers and authors; sourcing of images; writing of headlines, subheadings or contextualising text; decision-making in relation to scope, format, design and distribution of the publication; short forewords, afterwords, prefaces, and introductions. Note: longer prefaces or introductions that involve other research can be submitted separately as Original Creative Works (Textual Work or Other).

# Research Statement Exemplars

## Visual Arts and Design

| Background | Contribution | Significance |
|---|---|---|
| Global Echo was a group project of 100 invited artists from the University of Central Lancashire, Preston; Wirral Metropolitan College, Brigham; Young University, Utah, USA; Sheffield Hallam University; Edith Cowan University, Perth, Australia; Indus Valley School of Art & Architecture, Karachi, Pakistan; Parsons School of Design; The University Of New York, USA and Edinburgh College of Art. The resulting collection of prints toured four countries throughout 2011, including being hosted by ECU's Spectrum Project Space during August 2011. ECU contributed 20 artists to the project, enabling emerging printmakers to gain international exposure and to a large and diverse audience. Each artist produced a limited edition of ten prints to contribute to a series of boxed prints to enable each institution to hold a copy of the project and the artworks in their respective art collections. | The artists involved created original prints using a range of traditional and contemporary techniques based on the conceptual theme of globalisation and cosmopolitanism. The collection of prints and the resulting exhibition offered a diversity of interpretations of a theme, held together within a common technical language that crosses cultures and boundaries. In this respect the project made a connection between artists from different continents and through this produced a body of work that improved our understanding of globalisation and cosmopolitanism in a practical and creative way. | In addition the exhibition toured internationally at both institutional and local public galleries, which enabled academics, students and the public to view the work. The exhibition was reviewed in a number of local publications including the West Australian newspaper, which served to disseminate information to a wider audience and to offer critique of the project in terms of reflection and feedback. |

| Background | Contribution | Significance |
|---|---|---|
| Field: Photomedia production Context: Two series of photographic works exhibited as part of the 'Remix' group exhibition at the Art Gallery of WA, from April 16 to August 15 2011. 'Erick's Café' comprised of 7 pigment prints; 'American Photographs' comprised of 12 pigment prints. Research Question: The title of the exhibition 'Remix' suggests a process of re-formulation. How are Western Australian contemporary artists "sampling" original genres, types and previous incarnations of art-making and reformulating them into new, innovative and original works? | 'American Photographs' is a heuristic inquiry into the iconic American road trip, and a reliving and a re-imagining of the frontier experience as imparted through fiction and popular music. Synthesising the work of previous American photographers such as Robert Frank and Stephen Shore, and using them as guides through the landscape of the American Southwest, these photographs rework previous images of the region into a contemporary document. The portrait photographs in the series 'Erick's Café' are taken around a small café in a provincial town of Niort in France. Produced from serendipitous encounters with local people these works use pictorial strategies that reference Caravaggio paintings, but position them within a contemporary context. | Emerging from a process of research, studio visits and meetings between the Curator of Contemporary Art at the Art Gallery of WA, Jenepher Duncan, and many Western Australian artists, the 'Remix' exhibition brought together a select, but diverse range of contemporary artistic practices in painting, sculpture, design, photography, textile, and film. The Art Gallery of Western Australia is one of the nation's most important galleries. It is a gallery of international significance. A 70-page catalogue was produced of the exhibition. |

| Background | Contribution | Significance |
|---|---|---|
| European regions and cities still retain their unique identities, which makes for a dense and compelling engagement with the old world, the trace of past empires and the nowness of it as you walk through it, stalk and sometimes photograph. I walk constantly in the old world, no car, no train…defining the space the buildings occupy, the history they represent and the politics they suggest. Contrasting the bulk and scale of the city against the figurative representations of the people who both inhabit and work in the metropolis. By describing, mapping, reporting and subjectifying the buildings themselves I also try to suggest the kind of interior life they hold hidden. | This readymade guide encouraged me to work photographs of objects that are signifiers and metaphors for the hierarchic commercial, spiritual and aesthetic life of the city. My most recent bi-fold work, The New York Times, June, July, August, 2010 is a 36-page work. The collage work imbedded in the piece are cut and collected newsprint photos from the Village Voice and New York Times newspapers which I read on a daily basis for three months. The album is a snapshot of the life and times I lived in, shared with New York City and the rest of the world for twelve weeks. | Evidence of Noorderlicht's respected international status does not come only from the enormous number of submissions from photographers world-wide for the Noorderlicht International Photofestival. The exhibition itself also has attracted wide interest outside The Netherlands. Showing at Noorderlicht is clearly a must for both Dutch and foreign professional photographers. This year Noorderlicht received 1200 submissions; 87% of these came from other countries. The 90 photographers who ultimately took part in Metropolis - City Life in the Urban Age come from 36 different countries, representing all six continents. |

## Music

| Background | Contribution | Significance |
|---|---|---|
| Cat Hope collaborated in a live performance of her own composition with Japanese sound artist Kouhei Harada in a 30 minute performance at Test Tone, a series held at the Super Deluxe club in Roppongi, Tokyo, Japan on the 11th of October 2011.  The collaboration featured Hope's bass guitar and analogue effect pedals with Harada's guitar through digital processing, and the screening of a large projection created by Hope, that was effected by the sound of the performance using Max MSP Jitter software, enabling the colours and shapes of the video to mirror and react to the sound. At the same concert were French and US artists. | This performance investigates the timbral difference of digital and analogue effects on rock instruments such as guitar and bass. In addition, it explores ways that video can be linked into live musical performance in a meaningful way. Hope has built up her bass noise performance style over ten years and this performance juxtaposes her style with new digital models. The use of video showing a bass performance in Australia (of other bass players) creates a perception of time and space to accompany the sounds. | The concert was attended by over 200 people, and Test Tone is known as the premiere experimental electronic music concert series in Tokyo as demonstrated by the calibre of artists that perform there. Being invited by the curator was a demonstration of the esteem in which Hope's work is held internationally, and the recording of the concert is due to be released on Japanese label Viral along with other collaborative tracks by Hope and Harada.  The travel to Japan was funded by the WA Dept for the Arts 'Art Flight' program, a state peer reviewed grant process |

| Background | Contribution | Significance |
|---|---|---|
| This is a unique musical ensemble that is a cross cultural collaboration primarily between US saxophonist George Garzone with Australians Jamie Oehlers and Graham Wood. The group endeavours to collaborate on original compositions as well as standard jazz repertoire to create a unique combination of cultural influences and musical concepts. The research question is: Can cross cultural collaborations truly reflect conceptual and technical differences within composition and improvisation? | These performances combine specifically written original compositions as well as modern adaptations of standard repertoire designed for the group. The combination of cultural influences and concepts provides a unique platform for group improvisation and interpretation of materials. Both Jamie and George have unique intervallic approaches to improvisation; the combination and adaptation of these elements into the music creates new materials for further development and exploration aside from creating a unique musical experience during the performance. | These performances took place in both New York and Australia at highly recognised performance venues; "Cornelia St Cafe" and "The Ellington Jazz club" to full houses. Repeat performances have been offered around Australia and again in New York, for which new materials devised after the latter performances will be created. The performance in New York was recorded live and podcast at the time of performance via a New York music website. |

| Background | Contribution | Significance |
|---|---|---|
| The Phuket International Blues Rock Festival is a festival held across four days in Phuket, Thailand. John Meyer's Blues Express performed there in 2011, as one of the featured acts, representing Australian Blues. The performances featured original music composed by the performers, and modern interpretations of traditional blues songs. My role in this group is as a contemporary blues influenced drumset artist. | Performances with John Meyer's Blues Express require a highly improvisational, interactive approach to traditional Blues music. The ensemble draws from styles such as Jazz, Latin, Funk, and Fusion. The drumset parts move away from the traditional accompaniment role, into a supportive, soloistic voice, along with the guitar. The original music draws from traditional blues concepts, however the harmonic, rhythmic structure of the material is extended to incorporate Jazz and World music influences. The music is heavily based around improvisation, making each performance unique. | John Meyer's Blues Express performed at three different venues for the Phuket International Blues Rock Festival. This festival is a prestigious International event that supports the Phuket Rotary Children's Fund, to whom proceeds are donated. The festival also has a wider scope than its title suggests, with acts ranging from pop, country and eclectic world music and fusion. There is considerable interaction between artists, and from this interaction, and attendance of performances, new material has been written, which will be documented on a forthcoming recording. Following the success of the performances, John Meyer's Blues Express was invited back to the festival in 2012, as a headline act. |

## Performance

| Background | Contribution | Significance |
|---|---|---|
| Morning Song was commissioned for the opening ceremony of CHOGM. Michael Askill and I created a music and dance segment to highlight the cultural diversity of the participants and embodying the values of the Commonwealth within a unique Australian artistic landscape. | Our work reflected shared values of the Commonwealth and Australia: giving voice to the voiceless, bringing people together, promoting cultural expression and exchange. Our methodology echoed inclusiveness, using an existing composition of Michael's, Lemurian Dances, over which he composed new music. As choreographer, I followed the same methodology, basing my new work on a development from an existing work, Sacracuma. Morning Song was born. The impulse of the old parenting the new thus influenced the structure of the work: traditional performing art forms of dancing, operatic singing and symphonic instrument playing were combined/juxtaposed with modern modalities of narration and audiovisual projection. In the process, the dancers, who had limited music training, faced the challenge of reading the complex score. We invented a non-traditional notation structure based on counts and bars and superimposed aural/visual cues to form an easily comprehensible notation. This document reflected more than just the score - it honoured our departure point of the old giving rise to the new. | My selection as choreographer resulted from organisers of the Commonwealth Festival viewing a performance of Sacracuma. The opening ceremony was broadcast live or recorded to 54 Commonwealth member countries. Morning Song represented a new invention in Australian music and choreography, showing a vibrant Australian performing arts landscape. It spoke of our shared humanity and the hope for a better future. The notation structure was the result of necessity fathering invention and deserves further investigation. |

| Background | Contribution | Significance |
|---|---|---|
| The live performance of Virgie in which I was the sole performer premiered at The Bowery Poetry Club for the 15th Annual New York International Fringe Festival and played for four nights over the 14-24 August 2011. Developed and rehearsed over 2010-2011 Virgie was co-directed by Emily McLean and Mark Storen and produced by Western Australian independent performance company theMOXYcollective. A central research question confronted the nature of fact and fiction in relation to meta-theatricality, particularly in relation to notions of narrative linearity, intimate storytelling and shadow work in relation to space, time and sound. | 'Virgie' was written over a period of two months in Berlin where I was exposed to myriad performance works that challenge the role of the performance maker, performance and spectator. 'Virgie was the culmination of a desire to link the performance styles that inform my work in a new, innovative one woman show and to premiere this piece at a noteworthy curated Fringe Festival. The 2011 production of 'Virgie' was ostensibly about remembering a forgotten Australian pioneer told through a fusion of music, sound, design, language, narrative and performance styles and placed in front of an international audience. | The Blue Room Theatre provided in kind assistance in development and rehearsal space and I received a Western Australian Department of Culture and the Arts grant to attend the largest multi-arts festival of its kind in North America where over 75,000 people attended 180 shows. There were twelve reviews and online notices for the show including curtainup.com that described the show as a "feisty solo performance". I am extremely proud that I was able to showcase myself as a performer and the story of such a courageous Australian woman to an international audience. |

| Background | Contribution | Significance |
|---|---|---|
| The Western Australian Premier of Andrew Bovell's play "When the Rain Stops Falling" was performed in the Heath Ledger Theatre at the State Theatre Centre from 29th October to 13th November 2011. I played the key role of the older Elizabeth Laws in this production that was directed by Adam Mitchell. | In When the Rain Stops Falling the writer Andrew Bovell creates a multi-layered tale of a family for whom voices of the past echo into the future, telling of betrayal, abandonment and love. My character was the key link in this tale of four generations of interconnected stories. There was an elder and a younger Elizabeth Laws (played by WAAPA graduate Alison Van Reiken): so we had to match our vocal and physical characterisations. My character was 1980's development of Alison's 1950's London dialect. Vocal rhythms and idiosyncrasies had to be created. This was doubly interesting as I taught Alison and so we had a common language to develop our research. My character was on stage for most of the play providing a physical and intricate lynch pin for all of the stories. | The production played to full houses and was extremely favourably reviewed in State and National press including web sites. There were three WAAPA Acting graduates that I had taught Voice in this production spanning 16 years of my teaching and research in the field of Voice at WAAPA: this was acclaim for the excellence of WAAPA training and for me as a teacher and performer in the peak theatre performance forum in Western Australia. I received considerable public accolades and acknowledgement for my performance. |

## Journalism and Creative Writing

| Background | Contribution | Significance |
|---|---|---|
| Inherited is a work of literary fiction published in Australia by UWA Publishing. This collection of short fiction comprises 19 stories that combine story-specific subject research with an ongoing exploration of the short story form - in particular, testing its elasticity in structure and the accretion of meaning possible through techniques of condensation and fragmentation. It also reflects ongoing research interests in identity, generativity and what the past brings to bear on the present, through themes of inheritance and legacy, | Inherited unifies 19 structurally and stylistically diverse pieces through a structural framework grouping stories under headings that themselves tell a story; together, these create a map allowing the reader to navigate the collection through its associations. Techniques such as hybridity, mosaic structures and dual narratives help to build layers of meaning that belie the brevity of the stories. The effects have been noted in reviewers' comments, e.g. 'each stunning story contains multiple layers of meaning' (Angela Meyer); 'The gathering of disparate | Inherited is published by UWA Publishing, recently shortlisted for the esteemed title of Small Publisher of the Year in the 2012 Australian Book Industry Awards. It has been extensively reviewed nationally, locally and through online channels. Geordie Williamson, The Australian's chief literary critic, highlighted the work in his roundup of the season's best reading in December 2011, and in The Australian's feature on 'Books of the Year', critic Angela Meyer chose Inherited as 'best short story collection'. I have been an invited guest at this year's Perth and Margaret River |

| Background | Contribution | Significance |
|---|---|---|
| memorialisation and loss. | elements often has a surreal edge, which works to highlight the stories' psychologically astute studies of lives in the various stages the sub-headings point to' (Felicity Plunkett). | writer's festivals. |

| Background | Contribution | Significance |
|---|---|---|
| In an increasingly transnational world, the study of regionalism has received heightened attention across numerous disciplines. "International regionalism" argues that a writer can be based locally and internationally, with global interests and regional concerns. Poetry provides a powerful medium for tracing the poet's movements between different places. In particular, the plant life of a region can be a marker of natural, cultural and personal identities. How does poetry record experiences of dislocation, identity shift and spiritual renewal through intense awareness of the ecology and boundaries of a new place and across regions? | Katoomba Incantation: Collected Poems contributes to a growing body of Australian and international literary responses to ecology. In particular, the work explores my passage from North America to Western Australia since 2008 in terms of responses to landscapes. Informed by Australian and American nature poetry, the collection demonstrates an attempt to make sense of places through interest in the botanical differences between hemispheres. With 10 new poems and 28 previously published ones, Katoomba Incantation spans ten years of research in landscape poetry. The collection contributes to nature writing as a genre of poetry in Western Australia. | Katoomba Incantation is published by an Indian publisher, Cyberwit. It is distributed through Amazon, Tower Books, PrintAsia.com, Facebook, Paperbackswap.com, Cyberwit Online Bookstore and Pronto.com. It is listed as available for review on the Cordite Poetry Review website. Locally, it is on the shelves of Teahouse Books (Denmark) and Peter Cowan Writers' Centre (Joondalup). In 2012, I published a refereed article "The Six Seasons" in Transformations (University of Queensland). This paper refers extensively to Katoomba Incantation. The collection stems from my PhD thesis, Plants, People and Place (passed 2011). |

| Background | Contribution | Significance |
|---|---|---|
| This piece was prompted by a situation that arose last October, when the ABC insisted that a grassroots citizen media organisation that had offered it free footage of an event that involved 800 civilians being arrested and seven people being killed, provide additional footage before it would report on the event. The organisation had used all of its bandwidth budget uploading and downloading footage that had been shown on Al Jazeera and the ABC was demanding fresh, never-before-seen footage. The organisation put out a call via Facebook for donations to fund the bandwidth to supply the ABC with footage. In its Lateline report the ABC claimed credit for having "obtained" the footage, and no mention was made of organisation that provided it or the philanthropists who funded the bandwidth. | This piece was written in a bid to draw attention to the thoughtlessness of this standard journalistic process and its implications, in terms of fair and balanced reportage of international events. Creative care was taken in framing it in a way that the ABC would find palatable, despite it being a criticism of an ABC practice. | This piece prompted a change in ABC's practice in terms of attributing material to grassroots media organisations, as evidenced in live links and credits to the organisation that inspired this piece. Through the comment stream on the article and in follow up conversations in other online forums it is contributing to an evolving understanding of the risks and rewards of conflict reporting by local journalists in oppressive contexts. |

# Level of Significance Definitions by Sub-Discipline

When submitting creative works, researchers self-assess and nominate the level of significance. The role of the internal peer review panels is to confirm this level in accordance with the following descriptors. These definitions are guides only, providing general principles to support quality assessment and may not apply exactly in all cases. It is ultimately the decision of the peer review panel to agree on the level of significance on the basis of the written research statements and other evidence provided in support of the submission.

In light of the dependence upon the additional information submitted with the output to confirm its level of significance, researchers should consider the most appropriate verification material to provide which would assist the panel(s) with their validation and decision-making process. Some examples are also provided in the following discipline-based significance level descriptors.

Finally, it should also be noted that the level of significance is associated with the output submitted rather than the outlet. So, although the relevant venue or event may be major, and contributes in the assessment of the significance of the creative work in question, it is the significance of the work itself that is of consideration.

## Visual Arts and Design

### Major

The output should be the equivalent of a solo exhibition of original art or design works exhibited for the first time or in a major retrospective and evidence some form of peer process (grant, festival, commission, invitation). It should be verified through exhibition and publication by a recognised gallery or art museum of national or international standing. The output should reflect the culmination of perhaps 2-3 years of investigation for example, undertaken by an artist with an established national/international reputation in the field.

A curated exhibition should be presented at a major venue (state, national or international art museum/gallery) or through an extended Australian or international tour at significant venues. The type of output should be by a sole curator (does not preclude the involvement of exhibition designers, public and education program staff, administrators or assistants, etc.), and should consist of artworks not previously shown in public or not shown in relation to the curatorial theme and/or strategies.

Each work should be individually listed in a catalogue usually containing critical essays, identifying the timing and location of the exhibition.

### Substantial

The output should be the equivalent of a solo exhibition of original art or design works exhibited for the first time and evidence some form of peer process (grant, festival, commission, invitation). It should be verified through exhibition and publication by a recognised gallery or art museum of state or national standing, along with evidence of invitation.

The output should reflect a sustained body of work of a period of approximately 6-12 months of investigation for example, such as would earn the artist(s)/designer(s) a recognised national reputation in the field. Each work should be individually listed in a catalogue identifying the timing and location of the exhibition.

A curated exhibition should be presented at a major state or national venue or through an Australian tour at significant venues. The output should be undertaken solely by the artist researcher(s) and consist mainly of work previously not exhibited or not shown in relation to the curatorial theme and/or strategies.

A curated output should reflect sustained effort of approximately 6-12 months of work for example, undertaken by a curator/researcher with a recognised national reputation in the field.

*Minor*

The output should be the equivalent of a solo exhibition of original art or design works exhibited for the first time and by invitation. It should be verified through exhibition and publication by a recognised gallery or art museum of state or regional standing, along with evidence of invitation.

The exhibition should reflect a sustained body of work of perhaps up to 6 months of investigation for example such as would establish a reputation for the artist(s)/designer(s) in the field. Each work should be individually listed in a catalogue identifying the timing and location of the exhibition.

A curated exhibition should be shown in an art museum or gallery of state or regional significance or a reputable commercial gallery, or toured through a major state touring agency. It should be created solely by the named artist researcher(s) and consist mainly of previously unpresented material.

A curated output should reflect a sustained body of work of up to 6 months of investigation for example and be such as to establish a reputation for the curator.

# Music

The performance (live), composition (original art work), recording (rendered) and curation of music.

*Major*

The output should be a major original musical work, collection of musical works or a major work of scholarly and creative interpretation, presented or broadcast in a venue of major public prominence in national/international contexts (or of major electronic prestige). There should be evidence of some form of peer process (grant, festival, commission, invitation).

The output/s should reflect a sustained body of work of perhaps 2-3 years of investigation for example, undertaken by artist(s) with recognised national/international reputation(s) in the field. Works presented overseas are likely to fall in this category. Works that have been claimed in the past at a local or national event must show considerable development to be claimed again.

*Substantial*

The output should be a substantial original musical work, collection of works or a substantial work of scholarly and creative interpretation, presented or broadcast in a venue/broadcaster of national significance (or of appropriately substantial electronic prestige). There should be evidence of some form of peer process (grant, festival, commission, invitation).

The output should reflect sustained effort of perhaps 6-12 months of investigation for example and be such as to earn the artist(s) a recognised national reputation(s) in the field.

*Minor*

The output should be a minor original musical work or a minor work of scholarly and creative interpretation for presentation in a venue of regional/state significance (or broadcaster of appropriate electronic prestige)

The output should reflect a sustained body of work of up to 6 months of investigation for example and be such as to establish a local/regional reputation for the artist/s.

# Performance

*Major*

The output should be a major performance/creation of considerable length, the culmination of perhaps 2-3 years of investigation for example, by a leading performer (actor, musician, dancer) or director, choreographer, designer or conductor, being appropriately reviewed, documented and archived. There should be evidence of some form of peer process (grant, festival, commission, invitation).

The work in the output should be undertaken by an artist with a substantial, recognised body of work of national/international significance and be accompanied by a professional form of documentation (e.g. a published program) identifying author, director, choreographer, designer or conductor (as is appropriate), timing and location of the performance.

*Substantial*

The output should be a substantial single performance by a leading performer (actor, musician, dancer), or a director, choreographer, designer or conductor - the performance being appropriately reviewed, documented and archived. There should be evidence of some form of peer process (grant, festival, commission, invitation).

The output should reflect sustained work of about 6-12 of investigation for example by the artist with a recognised national/state reputation and be accompanied by a professional form of documentation (e.g. a published program) identifying author, director, choreographer, designer or conductor (when appropriate), timing and location of the performance.

A dance output should be one substantial work or a substantial collection of original choreographic work/s or a substantial innovative interpretation of an existing work, presented in a venue of national/state prominence or recorded on appropriate media such as film, video, CD ROM. It should be such as to earn the artist a recognised national/state reputation, and be accompanied by a program which identifies the timing and location of the performance, lists the team including composer, director, designer and dancers and gives details of the creative process and input of each member of the creative team.

*Minor*

The output should be a single minor performance, original choreographic work or innovative interpretation of existing work, the culmination of up to 6 months for example of investigation, by a leading performer (actor, musician, dancer), or a director, choreographer, designer or conductor. The performance being appropriately reviewed, documented and archived or presented in a public performance of local prominence or recorded on appropriate media such as film, video, CD ROM.

The output should be such as to earn or establish a reputation for the researcher/s or artist/s and be accompanied by a professional form of documentation (e.g. a published program) identifying author, director, choreographer, designer or conductor (when appropriate), timing and location of the performance, listing the creative team, including composer, director, designer and dancers and giving details of the creative process and input of each member of the creative team.

# Journalism and Creative Writing

*Major*

This should be a major creative output such as a play, script, novel, novella or book-length collection of short fiction or poems, published and offered for sale under the imprint of a recognised commercial press or publisher, or a set of feature-length articles, or a ground-breaking news piece with immediate and substantial social or political outcomes that is the result of considerable research published nationally or internationally in reputable media for the first time. This type of work could also be a play or documentary of considerable length performed or broadcast for the first time in a venue of national/international prominence or on the

electronic media. The play or documentary should be accepted for production by a recognised institution or professional company. The work should be appropriately reviewed, documented and archived.

The output should be written solely by the author(s) and published for the first time, and should reflect sustained work of at least 2-3 years of investigation by an artist with a national/international reputation or such as to earn the writer(s) a national/international reputation in the field. This includes journalism written in a relatively brief period that necessarily draws on several years of research on the topic.

The output should have been subject to an independent editorial process. It should be documented in a widely accessible, professional form which identifies the author, timing, and location of performance where applicable, including a fair copy of the final version of the script or equivalent used as the basis for that performance.

## Substantial

This should be a creative output such as a substantial poem or series or chapbook of poems, a short novella, a substantial short story, a journal article or book chapter, or a translation of a substantial and significant work in another language, bound separately or as a part of a collection of works and offered  for professional, scholarly or commercial distribution under the imprint of a recognised press or publisher, or recorded for multi-media distribution, or broadcast on the electronic media. The output could also be a set of feature-length articles, a ground-breaking news piece with identifiable social and political impact, a substantial documentary segment, or a substantial creative work such as a play, script or a creative documentary performed or broadcast for the first time in a venue of national prominence or on the electronic media. The play or documentary should be accepted for production by a recognised institution or professional company. The work should be appropriately reviewed, documented and archived. The output should be written solely by the author(s), and should reflect sustained work of at least 6-12 months of investigation such as to earn the artist a recognised national/state reputation. This includes journalism written in a relatively brief period that necessarily draws on a sustained period of research on the topic.

The output should have been subject to an independent editorial process, and it should be accompanied by a professional form of documentation (e.g. a published program) identifying author, timing and location of the performance where appropriate.

## Minor

This should be a relatively small-scale creative output such as a single article, an opinion piece, a short story, a poem or series of poems, a TV or radio segment, or a translation of a literary work in another language, published or broadcast for the first time in a reputable outlet/literary publication and offered for professional, scholarly or commercial distribution or broadcast on the electronic media. Journalism should reflect considerable contextual knowledge, include more than one source and adhere to the industry's code of ethics. The work must be original to the extent that it places in the public domain facts or perspectives not previously accessible to the public. The output could also be a play, script or a creative documentary performed or broadcast for the first time in a venue of state prominence or on the electronic media. The play or documentary should be accepted for production by a recognised institution or professional company. The output should be appropriately reviewed, documented and archived. The output should be written solely by the author(s) such as to establish a reputation for the artist and should be accompanied by a professional form of documentation (e.g. a published program) identifying author, timing and location of the performance.

Works are judged on a case-by-case basis, involving research statement, size of work, and prestige of publication venue. It is acknowledged that there is no direct correlation between a work's size and its quality. However, to qualify as minor, works (of any size) need to be deemed to be of professional quality. Venue is an important marker of this, and a venue of sufficient professional standing will have an independent editorial process. The output must not have been selected or self-published by the author. Publication in community-based ventures is an important part of engagement with, and support of, the broader community but, unless independent refereeing or editorial processes can be demonstrated, publication in such venues is unlikely to be deemed research.
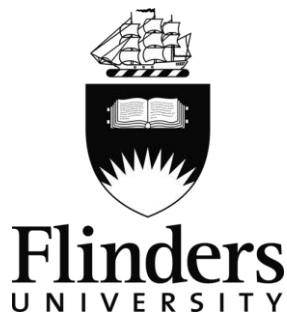
## Academic Staff Performance Review
# GUIDE TO FORM A

## Applicable to:

➢ **Staff on probation in continuing posts**
➢ **Staff in convertible posts**
➢ **Staff progressing through a salary scale within a classification**
➢ **Staff likely to be applicants for promotion within the next three years**
➢ **Heads/Deputy Heads of Academic Organisational Units, and academic supervisors**
➢ **Any other staff member who chooses to complete Form A instead of Form B**

*Revised: November 2007*

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## PART 1: OVERVIEW

**1.1** **[Introduction]** All academic staff (other than casual staff) are required to undertake a performance review, normally on an annual basis, in accordance with the University's *Academic Staff Performance Review Scheme*. The objectives of the *Scheme* are to:

- assist staff to develop academically and professionally and to provide them with reliable information on the University's expectation of performance;
- assist the University and staff jointly to plan the work of staff to achieve desired goals; and
- assist supervisors in monitoring and assessing a staff member's performance.

Members of the senior executive and Cost Centre heads are required also to report annually against the specific performance goals identified in their letter of appointment.

**1.2** **[Categories of staff]** Under the Scheme, academic staff are categorised into two groups, *Category A* and *Category B*.

**1.2.1** **[Category A staff]** The majority of academic staff in the University will be in Category A, which comprises:

- staff on probation;
- staff in convertible posts;
- staff progressing through the salary scale for their level;
- staff likely to be applicants for promotion in the next three years; and
- staff occupying positions of responsibility, eg Heads/Deputy Heads of AOU, academic supervisors.

Staff in this category are required to undertake a comprehensive performance review with their supervisor on an annual basis. Specifically the review seeks to:

- record the staff member's activities across the four areas of academic activity described in the Academic Profiles;
- identify and evaluate the activities undertaken since the last review with respect to all four areas of academic activity;
- agree on responsibilities to be carried out in the coming year with respect to all four areas of academic activity;
- indicate future plans with respect to each of the four areas of academic activity;
- confirm that the staff member has complied with or indicated future plans to undertake the University's requirements with respect to:
  - mandatory orientation and induction training;
  - reporting on outside professional activities undertaken, in accordance with the Policy on Outside Professional Activities;
  - student evaluation of teaching and topics; and
  - Occupational Health, Safety & Welfare training.
- evaluate goals that had been set for the previous year and to set goals for the current and longer term;
- identify opportunities, problems or factors that may have affected goals/outcomes and the support that the staff member requires to achieve current and longer term goals; and
- identify particular areas or issues which need addressing in advance of a planned forthcoming application for confirmation of continuing appointment (tenure), for conversion to a continuing post, or promotion.

The review may also identify relevant skills that a staff member possesses and which are not currently utilised by the AOU.

**1.2.2** **[Category B]** comprises staff undertaking a performance review primarily for staff development purposes, and will normally include staff:

- in continuing posts;
- at the top of the salary scale for their level;
- not on probation; and
- not considering applying for promotion in the next three years.

In other words, these staff are in a stable situation with respect to their career at the University. Notwithstanding this, staff in *Category B* may complete the more comprehensive *Form A* if they so wish.

**1.3** **[Guide to *Form A*]** This guide has been developed specifically to assist academic staff to complete the report for the academic performance review (*Form A*) and should be read prior to completion of the form. Part 2 of this Guide outlines the review process, while detailed explanatory notes for staff and their supervisors and Cost Centre heads are provided in Part 3.

**1.4** **[Academic Profiles]** The *Academic Profiles* form the basis for the reporting of an academic staff member's activities and plans under the *Academic Staff Performance Review Scheme* and for evaluation of applications for confirmation of appointment (tenure) and conversion to a continuing post. In some cases, AOUs have identified specific expectations which better reflect the distinct characteristics and needs of the AOU and staff should address any specific AOU expectations in addition to addressing the general expectations for all staff.

Please note that you are not expected to perform across all criteria under each area of academic activity nor at the same level for each of the criteria. However, you should provide evidence that a range of these criteria have been met. Please note also that there is no significance in the order of the dot points under each area of activity in the profiles.

**1.5** **[Curriculum Vitae]** All staff are advised to maintain an up-to-date *curriculum vitae*. Staff in *Category A* will be required to provide a copy of their *curriculum vitae* with their report form for their annual review. Staff applying for promotion, confirmation of continuing appointment or conversion to a continuing appointment will be required to submit a current *curriculum vitae* as part of their application.

**1.6** **[Designated Supervisor]** As provided for by policy, all staff members have a nominated supervisor and are advised in writing of the name and position of that supervisor. For Heads/Deputy Heads of AOUs, the supervisor will normally be the Executive Dean; for other staff the supervisor will normally be the Head or Deputy Head of the AOU in which the staff member is employed. The Vice-Chancellor will normally be the supervisor of an Executive Dean.

**1.7** **[Supervisory Staff]**
The performance review of Heads/Deputy Heads of AOUs and academic supervisors will include staff supervisory as well as academic responsibilities. The review of these aspects of the performance of Heads/Deputy Heads of AOUs will be based on the roles and responsibilities set out in the University's policy *Heads of Academic Organisational Units*. The review of the supervisory responsibilities of supervisors who are not Heads of AOUs will be based on the relevant provisions of the clause on 'Staff Guidance and Personnel Management' in that policy.

**1.8** **[Orientation and Training Requirements]** Staff are required to undertake induction and training in a number of critical areas (see 2.4.2). There are also additional specific training requirements for supervisors, about: Occupational Health, Safety and Welfare; and the role of a supervisor, including the operation of the Academic Staff Performance Review Scheme.

1.9 **[Confidentiality]** Review reports and records of review meetings remain confidential to the staff member and the supervisor. Where there is a change in supervisor, the previous year's report and record of the review meeting will be passed on by the previous to the new supervisor. If a staff member objects to this, s/he will need to provide satisfactory reasons to the Head of Cost Centre, who will determine the matter.

Staff members may make whatever use of any information contained in the report to serve their own needs and requirements. Any other use of the information will be agreed with the staff member.

1.10 **[Resource Materials]** Before completing *Form A*, staff are encouraged to familiarise themselves with the range of relevant documents on web pages noted below:

*Performance Management:*
http://www.flinders.edu.au/ppmanual/review.html

*Academic Staff Performance Review Policy:*
http://www.flinders.edu.au/ppmanual/staff/asprp.html

*Academic Profiles:*
http://www.flinders.edu.au/ppmanual/staff/acprofiles.html

*Heads of Academic Organisational Units Policy:*
http://www.flinders.edu.au/ppmanual/staff/headsaou.html

*Policy on Evaluation of Teaching:*
http://www.flinders.edu.au/ppmanual/policySecretariat/evalteach.htm

*Teaching Review Guide:*
http://www.flinders.edu.au/teach/t41/evaluate/peer.php

*Evaluation Tools : Interpreting Results:*
http://www.flinders.edu.au/teach/set/results.php

*Policy on Course and Topic Evaluation, Monitoring and Review*
*http://www.flinders.edu.au/ppmanual/policySecretariat/topiceval.htm*

*Outside Professional Activities:*
   *Policy*
   http://www.flinders.edu.au/ppmanual/staff/outprofactivities.html

   *Guidelines*
   http://www.flinders.edu.au/ppmanual/staff/outprofactivitiesguidelines.html

*Professional development and training offered by SDTU*
http://www.flinders.edu.au/staffdev/

*Occupational Health and Safety role/responsibilities/training information*
http://www.flinders.edu.au/ohsw/index.html

## PART 2:  REVIEW PROCESS

**2.1**  **[General]** The following information and explanatory notes are designed specifically to assist those staff who are undertaking the Academic Staff Performance Review primarily to fulfil requirements with regard to their current academic position/situation. *Category A* comprises those staff who are on probation, staff in convertible posts, staff who are progressing through the salary scale for their level, staff who are considering applying for promotion in the next three years, and staff who are currently in positions of responsibility such as a Head or Deputy Head of an AOU or academic supervisor.  Staff who do not fit this category (see 1.3 above) should refer to the *Guide to Form B*.

**2.2**  **[Forms]**

    **2.2.1**  **[Form A]** is used by *Category A* staff for their annual performance review.

    **2.2.2**  **[Form B]** is used by *Category B* staff for their annual performance review.

    **2.2.3**  **[Form C]** is used by *Category A* staff to apply for promotion.

    **2.2.4**  **[Form D]** is used by *Category A* staff apply for confirmation of continuing appointment or appointment to a continuing post following conversion of the post to continuing.

All forms are available from the University's *Performance Management* web page.

**2.3**  **[Professional Development]** The annual academic performance review for staff in *Category A* also provides an opportunity for staff and supervisors to discuss professional development issues.  The professional development process is an integral part of running and managing the University.  There should be strong links between a Cost Centre's plans (and therefore the University's plans) and the planning and review of staff working in each School or Department or Unit in the Cost Centre.  Staff require a clear idea about whether their performance matches expectations and must be provided with opportunities to develop skills and knowledge.   Similarly, there must be strong links between reviews and any staff development and training activities undertaken and also links with career planning.  Professional development does not only pertain to attendance at courses.  It includes the reorganisation of responsibilities and workload, as far as possible, to allow staff the opportunity to extend, expand and change their patterns of activity.

**2.4**  **[Staff on probation in a continuing post or in a convertible post]**

    **2.4.1**  The University's *Probation for Academic Staff* policy provides for specified probationary periods for academic staff.  All academic staff who have been appointed to either a convertible or a continuing position are subject to the provisions of the policy.

    **2.4.2**  **[At commencement of the probationary period]** Normally in the first month of the appointment the staff member and supervisor should discuss and clarify
        ◊   the requirements of the position, including duties and expectations
        ◊   level of performance required with regard to the relevant academic profile
        ◊   orientation, induction and training requirements.  Note that staff new to the University would normally be required to undertaking the following training:
            •  university-wide orientation and induction
            •  Flinders Foundation of University Teaching for all new academic staff
            •  Supervision of higher degree research students
            •  Coordination of student placements
        ◊   the outcomes expected during the probationary period

    ◊    general obligations with respect to due care, diligence and skill in the performance of their work, familiarity and compliance with University policies, compliance with University directions; and

    ◊    the staff member's work plan

At this time the operation of the Academic Staff Performance Review Process should also be discussed.

**2.4.3** Applications for confirmation of continuing appointment or appointment to a continuing post following conversion of the post to continuing are made using the application form, *Form D.* At approximately 6 months before the probation end date the staff member and supervisor will be alerted that Form D should be prepared (the *Guide to Form D* contains more information).

Form A  and *Form D* have been developed as complementary documents to encourage staff to use as much information as is relevant from *Form A* when preparing a future application for confirmation of continuing appointment or conversion to a continuing post. Staff are encouraged therefore, when completing *Form A* in the months/year prior to formal application, to acquaint themselves with the detail and format of *Form D*, and in particular, the need for the staff member to draw on their record of activities since their probationary period commenced. This will assist with the completion of *Form D* at the appropriate time.

**2.5** **[Staff progressing through salary points within a classification (incremental progression)]**

**2.5.1** The University's *Incremental Progression* policy requires that advancement to the next incremental step is subject to a staff member's satisfactory performance over the preceding twelve months.

**2.5.2** Staff who are progressing through salary points within a classification are required undertake the more comprehensive academic performance review, ie *Form A.* If the performance review occurs within three months of the increment date, it can serve as the method of assessment for considering incremental progression. If not, an interim assessment for purposes of incremental progression should be conducted.

**2.6** **[Staff considering applying for promotion in the next three years]**

**2.6.1** The University's *Promotion to Levels B, C and D - Policy and Procedures* and *Promotion to Levels D Plus and E - Policy and Procedures* and the *Academic Profiles* policy provide information in relation to staff considering applying for promotion to the level of:

- Lecturer (Level B) or
- Senior Lecturer (Level C) or
- Associate Professor/Reader (Level D)
- Professor (Level D Plus and E)

**2.6.2** Staff considering applying for promotion within the next three years are advised to discuss the matter with their supervisor at their review meeting.

**2.6.3** Applications for promotion are made using *Form C.*

**2.6.4** *Form A* and the Application Form (*Form C*) have been developed as complementary documents so as to encourage staff to use as much information as is relevant from *Form A* when preparing an application for promotion. Staff are encouraged therefore, when completing Form A in the months/year prior to formal application for promotion, to acquaint themselves with the detail and format of *Form C*, and in particular, the need for the staff member to draw on their record of activities since their appointment or promotion to the current position. This will assist with the completion of *Form C* at the appropriate time.

**2.7** **[Heads/Deputy Heads of AOUs and academic supervisors]** Staff occupying positions of responsibility such as Heads of AOUs, Deputy Heads of AOUs and other academic

supervisors must complete *Form A*. This will enable those staff and their supervisors to pay due attention to their significant management and administrative responsibilities and also identify problems and any support or training required with respect to these added responsibilities.

**2.8 [Review Process]**

**2.8.1 [Frequency and Timing of Review]** Staff will meet annually with their supervisor and normally early in the year so that current responsibilities and future plans can be discussed and confirmed. Both the individual staff member and the supervisor may initiate reviews but the supervisor will be responsible for ensuring that reviews occur at the agreed time.

New staff should meet with their supervisor within the first month of taking up their appointment (see 2.4).

Staff who are absent on leave, for example Outside Studies Program, maternity leave, sick leave, leave without pay, at the time the performance review round is conducted in their unit must still undertake the performance review upon their return if their leave is for a period of less than six months. Staff who are on leave for a period longer than six months will not normally be required to undertake their performance review in that year.

**2.8.2 [Preparation and submission of Review Form]**

- Documentation for the academic performance review must be provided on the approved form, ie for *Category A* staff, *Form A* must be completed.
- Staff are required to submit, with the completed *Form A*, a full current *curriculum vitae* which includes relevant information on the four areas of academic activity.
- Staff should read this *Guide to Form A* and, in particular, the explanatory notes in Part 3 of this Guide prior to completing the Form.
- All staff should complete Section I, Section II and Section III of *Form A*.
- Staff are encouraged where appropriate to make use of all or some of the information that has been previously presented for an earlier review meeting with their supervisor.

**2.8.3 [Review Meeting]**

- The supervisor is responsible for scheduling a review meeting with the staff member. The meeting should be scheduled normally within four weeks of receiving the completed *Form A* from the staff member. Alternatively, the supervisor may provide a schedule of the review meetings ahead of time. In this case, the staff member must ensure the completed *Form A* is submitted to the supervisor well in advance of the scheduled date of their review meeting.
- The review meeting will generally be scheduled for at least one hour.
- The review meeting will consist of a number of elements including:

  - a review of the previous year's activities and goals with respect to all four areas of academic activity;
  - discussion and confirmation of the major work responsibilities for the coming year;
  - discussion of the staff member's future goals with respect to each of the four areas of academic activity, and any assistance that may be required to achieve the goals;
  - discussion of any obstacles or issues which are impeding or likely to impede achievement of goals/outcomes;
  - identification of particular areas or issues which need addressing in advance of a planned forthcoming application for confirmation of

continuing appointment, for appointment to a continuing post following conversion of the post to continuing, or for promotion; and

- confirmation that the staff member has complied with University requirements, such as:
    - participation in specific orientation and induction training
    - seeking approval for and documenting  outside professional activities undertaken, as required by the Policy on Outside Professional Activities
    - undertaking student evaluation of teaching

- The review meeting provides an opportunity for the staff member and the supervisor to clarify, elaborate, discuss and reflect on issues.  It is important that both the staff member and supervisor are adequately prepared and that sufficient time has been allocated to allow issues to be dealt with appropriately.

- At the end of the review meeting, both the staff member and supervisor should attempt to reach agreement on any assistance that is to be provided to the staff member and any professional development that should be undertaken by the staff member in order to meet her/his goals, tasks and skill requirements.  Such support may include access to facilities and the reallocation of workload.  It is recognised that it may not be possible for a supervisor to provide particular forms of support and assistance required by the staff member and this should be recorded on the *Record of Review Meeting Form.*

### 2.8.4    [Record of Review Meeting]

- Following the review meeting, the supervisor will provide to the staff member a brief written summary of the major issues arising at the review meeting using the *Record of Review Meeting Form* as a guide.  The staff member may add further comments if desired before signing the record as an accurate record of the major issues discussed at the meeting.  The Form will then be returned to the supervisor for signature.

- A copy of the record of the meeting along with the original of the completed *Form A* will be kept by the staff member and the original of the record of the meeting and a copy of the Form will be kept by the supervisor.  The review report (*Form A*) and the record of the review meeting remain confidential to the staff member and the supervisor.

- In situations where there is a change in supervisor, the previous year's completed *Form A* and *Record of Review Meeting* will be passed on by the previous to the new supervisor.  Where a staff member specifically objects to their form and/or record of meeting being passed on to a new supervisor, the staff member will need to provide satisfactory reasons to the Head of Cost Centre, who will determine the matter.

### 2.8.5    [Report to Head of Cost Centre]

- Following each review round, supervisors will inform the Cost Centre head in writing that the performance reviews which they are required to undertake have been completed and report on matters, in general terms, which properly concern the head of Cost Centre, such as staff development needs, leave plans, resources implications and policy matters.

- It is the responsibility of each head of Cost Centre and supervisor to coordinate the professional development needs of staff which may arise from the reviews, in accordance with Cost Centre policies.

# PART 3:  EXPLANATORY NOTES

(question numbers refer to those used in *Form A*)

**Note #3: Academic and professional qualifications (Q3)**
You should state the name of your qualification, the institution from which it was obtained and the year it was conferred.

**Note #4: Current higher degree enrolment or other postgraduate enrolment (Q4)**
You should state the name of the course, the institution that you are enrolled in, and the year you expect to complete.

**Note #8: Appointment fraction (Full-time/Part-time) (Q8)**
You should indicate whether you are employed full-time or part-time.  If part-time, please specify the fraction you work eg 0.5, 0.2 etc.

**Note #9: Date/s of previous academic performance review/s (Q9)**
All staff members are required to undertake a performance review on an annual basis.  Please show the month and year of all previous performance reviews undertaken in accordance with the *Academic Performance Review Scheme*.

**Note #12.1: Teaching and Related Duties - Activities since last review (Q12)**
You should refer to the relevant *Academic Profile* (see 1.4) and use the Profile as a framework for responding to this question.

In keeping with the University's *Policy on Evaluation of Teaching*, student evaluation of teaching will be undertaken, for each academic staff member with teaching duties, at least every two years, and may be undertaken more frequently as appropriate (eg to evaluate the effectiveness of a newly introduced teaching approach, for staff who may be seeking promotion and/or confirmation of continuing appointment).

You may elect to be involved in a peer evaluation or review process to gain feedback about your teaching.  At least one report of peer review/feedback on aspects of teaching is to be included in applications for promotion (*Form* C) or for confirmation of appointment for staff on probation (*Form D*).

SET reports may be supplemented by other forms of student evaluation of teaching.

If you are a topic coordinator, the topic in question must be evaluated at least twice every five years, using the topic evaluation component of the SET instrument.

**Note #12.2: Teaching and Related Duties - Proposed activities for current year (Q12.2)**
You should describe plans for the current year in relation to your contribution to undergraduate and postgraduate teaching and supervision of honours and postgraduate students.

**Note #12.3: Teaching and Related Duties - Future plans (Q12.3)**
You should describe any plans you may have regarding the development of new topics or courses or the development of teaching in your discipline.

**Note #13.1: Research and/or creative activity - Activities since last review (Q13.1)**
You should refer to the relevant *Academic Profile* (see 1.4) and use the Profile as a framework for responding to this question.

**Note #13.2: Research and/or creative activity - Proposed activities for current year (Q13.2)**
You should outline any major research or creative projects you are currently engaged in, when you expect to complete these projects, and anticipated outcomes, including publications.

**Note #13.3: Research and/or creative activity - Future plans (Q13.3)**
You should provide brief details of any plans for future research and/or creative activity.

**Note #14: Administration and Service to the University (Q14)**

**Staff except for Heads and Deputy Heads of AOUs**
All academic staff are expected to contribute to administrative duties within the AOU. For Level A staff these contributions are most frequently minor. For all other levels, some significant departmental duty/duties would be the norm. Academic staff are also expected to participate in Cost Centre and University activities, eg serving on a committee or working party. The range and nature of activities may vary over time for an individual staff member depending on their academic level, their particular interests and/or the needs of the AOU.

**Heads and Deputy Heads of AOUs**
Academic staff who are Heads or Deputy Heads of AOUs are advised to refer to the University's policy on *Heads of Academic Organisational Units* for assistance in completing this section of the report form.

The primary role of a Head of an AOU is to provide academic and administrative leadership to the AOU. The Head is also normally the nominated supervisor of academic staff in the AOU. Heads of AOUs have responsibilities in the following general areas:

- academic leadership
- AOU governance
- staff guidance and personnel management
- financial and infrastructure management

Clause 3 of the policy on *Heads of Academic Organisational Units* provides more detailed information about the nature of these responsibilities.

Heads and Deputy Heads of AOUs are advised to address the responsibilities listed above when preparing an application for review of their performance by the Head of Cost Centre. The list is by no means exhaustive and Heads of AOUs may wish to add to it. It is expected that Heads of AOUs will negotiate priorities from within the above list with their Head of Cost Centre for action in the current year.

**Note #14.1: Administration and Service to the University - Activities since last review (Q14.1)**
You should refer to the relevant *Academic Profile* (see 1.4) and use the Profile as a framework for responding to this question.

**Note #14.2: Administration and Service to the University - Proposed activities for current year (Q14.2)**
You should describe your current administrative responsibilities in the AOU, Cost Centre and/or University, including membership of committees and working parties and indicate how you will contribute to the AOU, Cost Centre and the University in the coming year.

**Note #14.3: Administration and Service to the University – Future plans (Q14.3)**
You should provide brief details of any plans for future administrative responsibilities in the AOU, Cost Centre and/or University.

**Note #15: Professional activity including service to the Community (Q15)**

- [Participation in professional associations] Most academic staff are members of an association based on their discipline. Some academic staff work in disciplines which educate and train people for particular professions, such as nursing, teaching, accounting, medicine or social work and they may be eligible to participate as professionals in the relevant professional associations. Academic staff are expected to make an active contribution to their discipline and/or profession.

- [Service to the community] In addition, most academic staff actively contribute to the community on the basis of their field of expertise. Such contribution takes the form of various types of community service which are included in the Profile.

- [Outside professional activities] Knowledge can be advanced through consultancy or commissioned work conducted for government or government authorities, industry or private enterprise, community organisations and groups etc, whether that work is paid or not.

**Note #15.1: Professional performance including Service to the Community - Activities since last review (Q15.1)**
You should refer to the relevant Academic Profile (see 1.4) and use the Profile as a framework for responding to this question.

You should also take note of the **Policy on Outside Professional Activities**, as it sets out requirements about the staff member's obligation to document outside professional activity and the supervisor's obligation to monitor such activity (normally as part of the annual performance review process).

The information provided in this section should include a general description of the activities undertaken by you over the review period (including the contribution to your profession and/or how the service to the general community relates to your University role) and include:

- your actual time commitment to the activity(s)

- any positive impact on the University's reputation and visibility in the community

- any adverse impact on performance of normal University duties

- management of any actual or potential conflicts of interest arising from the activity, if any

- earnings from the activity and any financial compensation owed to the University, if any

    □ Where the earnings are from activity covered by an approved *Application for Permission to Conduct Outside Activities* (refer cl 4.5 of the policy) – you only need identify the activity and the date of Cost Centre Head approval.

    (Note: as earnings etc are accounted for in the *Application* form, they do not need to be repeated here.)

    □ Otherwise, where the earnings arise from activity of the type that is normally associated with the academic or scholarly work or professional standing of a staff member (ie do not need formal written approval under the Policy on Outside Professional Activities), you need to provide the information indicated. (Ref cls 4.3.1 and 6.3)

    (Note: in the case of publishing contracts/royalties received directly by a staff member
    · if the amount earned is less than or equal to $15,000, you need only declare that the earnings fall at or below $15,000
    · if the amount earned is more than $15,000 per work or subject matter for the review year, you should provide information about the earnings and indicate the what arrangements have been made to distribute them as per the Intellectual Property Policy (cls 3 and 7))

Instances where approval under the *Policy on Outside Professional Activities* should have been but was not sought should now be disclosed retrospectively. Completion of the Application form, retrospectively, will ensure that all the relevant issues associated with the activity can be appropriately addressed.

**Note #15.2: Professional performance including service to the community - Proposed activities for current year (Q15.2)**
You should describe your activities for the current year, including your expected contribution to the profession and the community and/or consultancies that are currently underway or will be undertaken.
Regarding the latter, please indicate whether the activity(s) is covered by an approved Application for Permission to Conduct Outside Activities or, if not, when approval will be sought.

**Note #15.3: Professional performance including service to the community - Future plans (Q15.3)**

You should provide brief details of any plans for future activities in this area.

**Note #16: Periods of leave or other absences from the University (Q16)**
You should indicate the dates that you have been away from the University for a substantial period since the last review.  This includes absence through maternity or sick leave, leave without pay, Outside Studies Program, etc.

**Note #17: Special circumstances (Q17)**
You should advise of any matters which may have affected the progress of your career, eg significant career interruptions, family obligations, illness, membership of an EO designated group etc.

**Note #18.1: Orientation and training (Q18.1)**
You should provide information about the completion of any mandatory training, such as:

        □ Flinders Foundations of University Teaching
        □ Supervision of Higher Degree Research students
          *(for staff new to the supervision of Higher Degree Research Students)*
        □ Coordination of student placements
          *(for staff new to placement coordination)*
        □ Occupational Health, Safety & Welfare
        □ Supervisor training
          *(for staff appointed to supervisory positions)*

You should detail the date(s) the training was completed, and provide reasons if mandatory training was not undertaken/completed.

**Note #18.2: Other training (Q18.2)**
You should also provide information about other training undertaken, such as:

        □ Academic development courses offered by the Staff Development & Training Unit
        □ Other relevant training

You should provide the name(s) and date(s) of the course(s) undertaken, and indicate relevance to agreed goals/plans.

**Note #19: Achievements/problems with respect to previous year's goals (Q19)**
You should reflect on your activities since the last review and the goals that were agreed with your supervisor and list your achievements as well as any problems and factors that may have affected your performance.

**Note #20: Support/training required to achieve current year's activities and goals (Q20)**
You should reflect on your activities for the current year and indicate the support that you may require to carry out these activities.  Support might include academic development courses offered by SD&TU, access to facilities and, in some circumstances, re-allocation of workload.

**Note #21: Principal goals for the next two to three years and longer term (Q21)**
Look ahead and indicate planned or desired goals for the medium and longer term.  Separate the proposed activities as follows:
- Medium term (2-3 years)
- Longer term (more than 3 years)

**Note #22: Support/training required to achieve medium/longer term activities and goals (Q22)**
You should reflect on your activities and goals for the medium and longer term and indicate the support and/or training that you may require to carry out these activities.  Support might include access to facilities and reallocation of workload.  Separate the proposed activities as follows:
- Medium term (2-3 years)
- Longer term (more than 3 years)

**Note #23: Issues/obstacles to achieving goals/outcomes (Q23)**
You should reflect on your activities for the current year and your goals for the medium and longer term and identify any issues or obstacles which might inhibit you from achieving the outcomes you want.

**Note #24: Occupational Health and Safety Responsibilities (Q24)**
You should report on what your OHS responsibilities were for the review period, how you discharged them, any training you undertook and plans for the next review period.

**Note #25: Signature and Date (Q25)**
You should sign and date the hard copy of your review form prior to forwarding it to your supervisor.

**Academic Staff Performance Review**
# GUIDE TO FORM B

## Applicable to:

➢ **Staff whose performance review is primarily for staff development purposes (ie staff who are not required to complete Form A)**

*Revised: November 2007*

# CONTENTS

## PART 1:  OVERVIEW

**1.1** **[Introduction]** All academic staff (other than casual staff) are required to undertake a performance review, normally on an annual basis, in accordance with the University's *Academic Staff Performance Review Scheme*.  The objectives of the *Scheme* are to:

- assist staff to develop academically and professionally and to provide them with reliable information on the University's expectation of performance;
- assist the University and staff jointly to plan the work of staff to achieve desired goals; and
- assist supervisors in monitoring and assessing a staff member's performance.

Members of the senior executive and Cost Centre heads are required also to report annually against the specific performance goals identified in their letter of appointment.

**1.2** **[Categories of staff]** Under the Scheme, academic staff are categorised into two groups, *Category A* and *Category B*.

**1.2.1** **[Category A staff]** The majority of academic staff in the University will be in *Category A*, which comprises:

- staff on probation;
- staff in convertible posts;
- staff progressing through the salary scale for their level;
- staff likely to be applicants for promotion in the next three years; and
- staff occupying positions of responsibility, eg Heads/Deputy Heads of AOU, academic supervisors.

Staff in this category are required to undertake a comprehensive performance review with their supervisor on an annual basis.

**1.2.2** **[Category B]** comprises staff who do not fit the descriptions of staff who are required to complete *Form A*.  Such staff are likely to be:

- in continuing posts;
- at the top of the salary scale for their level;
- not on probation; and
- not considering applying for promotion in the next three years.

In other words, these staff are in a stable situation with respect to their career at the University.  Notwithstanding this, staff in *Category B* may complete the more comprehensive *Form A* if they so wish.

Staff in *Category B* will be undertaking the review primarily to:

- evaluate goals that had been set for the previous year, to report achievements and to set goals for the current and longer term;
- agree on responsibilities to be carried out in the coming year with respect to each of the four areas of academic activity;
- identify opportunities, problems or factors that may have affected performance and the support that the staff member would require to achieve current and longer term goals; and
- confirm that the staff member has complied with the University's requirements with respect to:
  - mandatory training;
  - reporting on outside professional activities undertaken, in accordance with the Policy on Outside Professional Activities;

- student evaluation of teaching and topics; and
- Occupational Health, Safety and Welfare training.

The review may also identify relevant skills that a staff member possesses and which are not currently utilised by the AOU.

1.3 **[Guide to *Form B*]** This guide has been developed specifically to assist academic staff to complete the report for the academic performance review (*Form B*) and should be read prior to completion of the form. Part 2 of this Guide outlines the review process, while detailed explanatory notes for staff and their supervisors and Cost Centre heads are provided in Part 3.

1.4 **[Academic Profiles]** The *Academic Profiles* form the basis for the reporting of an academic staff member's activities and plans under the *Academic Staff Performance Review Scheme* and for evaluation of applications for confirmation of appointment (tenure) and conversion to a continuing post. In some cases, AOUs have identified specific expectations which better reflect the distinct characteristics and needs of the AOU and staff should address any specific AOU expectations in addition to addressing the general expectations for all staff.

Please note that you are not expected to perform across all criteria under each area of academic activity nor at the same level for each of the criteria. However, you should provide evidence that a range of these criteria have been met. Please note also that there is no significance in the order of the dot points under each area of activity in the profiles.

1.5 **[Curriculum Vitae]** All staff are advised to maintain an up-to-date *curriculum vitae*. Staff in *Category B* may provide a current *curriculum vitae* in place of a written report on their activities for their annual review.

1.6 **[Designated Supervisor**] As provided for by policy, all staff members have a nominated supervisor and are advised in writing of the name and position of that supervisor. For Heads/Deputy Heads of AOUs, the supervisor will normally be the Executive Dean; for other staff the supervisor will normally be the Head or Deputy Head of the AOU in which the staff member is employed. The Vice-Chancellor will normally be the supervisor of an Executive Dean.

1.7 **[Supervisory Staff]**
The performance review of Heads/Deputy Heads of AOUs and academic supervisors will include staff supervisory as well as academic responsibilities. The review of these aspects of the performance of Heads/Deputy Heads of AOUs will be based on the roles and responsibilities set out in the University's policy *Heads of Academic Organisational Units*. The review of the supervisory responsibilities of supervisors who are not Heads of AOUs will be based on the relevant provisions of the clause on 'Staff Guidance and Personnel Management' in that policy.

1.8 **[Orientation and Training Requirements]** Staff are required to undertake induction and training in a number of critical areas (such as Flinders Foundation of University Teaching, supervision of higher degree research students, coordination of student placements. There are also additional specific training requirements for supervisors, about: Occupational Health, Safety and Welfare; and the role of a supervisor, including the operation of the Academic Staff Performance Review Scheme.

1.9 **[Confidentiality]** Review reports and records of review meetings remain confidential to the staff member and the supervisor. Where there is a change in supervisor, the previous year's report and record of the review meeting will be passed on by the previous to the new supervisor. If a staff member objects to this, s/he will need to provide satisfactory reasons to the Head of Cost Centre, who will determine the matter.

Staff members may make whatever use of any information contained in the report to serve their own needs and requirements. Any other use of the information will be agreed with the staff member.

**1.10** **[Resource Materials]** Before completing *Form B*, staff are encouraged to familiarise themselves with the range of relevant documents from the web pages noted below:

*Performance Management:*
http://www.flinders.edu.au/ppmanual/review.html

*Academic Staff Performance Review Policy:*
http://www.flinders.edu.au/ppmanual/staff/asprp.html

*Academic Profiles:*
http://www.flinders.edu.au/ppmanual/staff/acprofiles.html

*Heads of Academic Organisational Units Policy:*
http://www.flinders.edu.au/ppmanual/staff/headsaou.html

*Student Evaluation of Teaching:*
http://www.flinders.edu.au/ppmanual/policySecretariat/evalteach.htm

*Teaching Review Guide:*
http://www.flinders.edu.au/teach/t41/evaluate/peer.php

*Evaluation Tools : Interpreting Results:*
http://www.flinders.edu.au/teach/set/results.php

*Outside Professional Activities:*
  *Policy*
  http://www.flinders.edu.au/ppmanual/staff/outprofactivities.html

  *Guidelines*
  http://www.flinders.edu.au/ppmanual/staff/outprofactivitiesguidelines.html

*Professional development and training offered by SDTU*
http://www.flinders.edu.au/staffdev/

*Occupational Health and Safety role/responsibilities/training information*
http://www.flinders.edu.au/ohsw/index.html

## PART 2: REVIEW PROCESS

**2.1** **[General]** The following information and explanatory notes are designed specifically to assist those staff who are undertaking the Academic Staff Performance Review primarily for staff development purposes.

**2.2** **[Forms]**

    **2.2.1** **[Form A]** is used by *Category A* staff for their annual performance review.

    **2.2.2** **[Form B]** is used by *Category B* staff for their annual performance review. Staff who do not fit this category (see 1.3 above) should complete *Form A*.

    **2.2.3** **[Form C]** is used by *Category A* staff to apply for promotion.

    **2.2.4** **[Form D]** is used by *Category A* staff apply for confirmation of continuing appointment or appointment to a continuing post following conversion of the post to continuing.

All forms are available from the University's *Performance Management* web page.

**2.3** **[Professional Development]** The professional development process is an integral part of running and managing the University. There should be strong links between a Cost Centre's plans (and therefore the University's plans) and the planning and review of staff working in each School or Department or Unit in the Cost Centre. Staff require a clear idea about whether their performance matches expectations and must be provided with opportunities to develop skills and knowledge. Similarly, there must be strong links between reviews and any staff development and training activities undertaken and also links with career planning. Professional development does not only pertain to attendance at courses. It includes the reorganisation of responsibilities and workload, as far as possible, to allow staff the opportunity to extend, expand and change their patterns of activity.

**2.4** **[Review Process]**

    **2.4.1** **[Frequency and Timing of Review]** Staff will meet annually with their supervisor and normally early in the year so that current responsibilities and future plans can be discussed and confirmed. Both the individual staff member and the supervisor may initiate reviews but the supervisor will be responsible for ensuring that reviews occur at the agreed time.

    Staff who are absent on leave, for example Outside Studies Program, maternity leave, sick leave, leave without pay, at the time the performance review round is conducted in their unit must still undertake the performance review upon their return if their leave is for a period of less than six months. Staff who are on leave for a period longer than six months will not normally be required to undertake their performance review in that year.

    **2.4.2** **[Preparation and submission of Review Form]**

- Documentation for the academic performance review must be provided on the approved form, ie for *Category B* staff, *Form B* must be completed.
- Staff are strongly encouraged to maintain a current *curriculum vitae* which includes relevant information on the four areas of academic activity, and submit the *curriculum vitae* with the completed Form. Where a staff member does not have a current *curriculum vitae*, a written summary of activities in the four areas must be provided in accordance with Q12 of the Form.

- Staff should read this *Guide to Form B* and, in particular, the explanatory notes in Part 3 of this Guide prior to completing the Form.
- All staff should complete Section I, either Q11 or Q12 in Section II (see above), and Section III of *Form B*.
- Staff are encouraged where appropriate to make use of all or some of the information that has been previously presented for an earlier review meeting with their supervisor.

### 2.4.3 [Review Meeting]

- The supervisor is responsible for scheduling a review meeting with the staff member. The meeting should be scheduled normally within four weeks of receiving the completed *Form B* from the staff member. Alternatively, the supervisor may provide a schedule of the review meetings ahead of time. In this case, the staff member must ensure the completed *Form B* is submitted to the supervisor well in advance of the scheduled date of their review meeting.
- The review meeting will generally be scheduled for at least one hour.
- The review meeting will consist of a number of elements including:
  - a review of the previous year's activities and goals with respect to all four areas of academic activity;
  - discussion of the major work responsibilities and goals for the current year and of the staff member's medium and longer term goals and any assistance that is required to achieve the goals;
  - discussion of any obstacles or issues which are impeding or likely to impede achievement of goals/outcomes; and
  - confirmation that the staff member has complied with University requirements, such as:
    - participation in specific orientation and induction training
    - seeking approval and documenting outside professional activities undertaken, as required by the Policy on Outside Professional Activities
    - undertaking student evaluation of teaching and topics

- The review meeting provides an opportunity for the staff member and the supervisor to clarify, elaborate, discuss and reflect on issues. It is important that both the staff member and supervisor are adequately prepared and that sufficient time has been allocated to allow issues to be dealt with appropriately.
- At the end of the review meeting, both the staff member and supervisor should attempt to reach agreement on any assistance that is to be provided to the staff member and any professional development that should be undertaken by the staff member in order to meet her/his goals, tasks and skill requirements. Such support may include access to facilities and the reallocation of workload. It is recognised that it may not be possible for a supervisor to provide particular forms of support and assistance required by the staff member and this should be recorded on the *Record of Review Meeting Form.*

### 2.4.4 [Record of Review Meeting]

- Following the review meeting, the supervisor will provide to the staff member a brief written summary of the major issues arising at the review meeting using the *Record of Review Meeting Form* as a guide. The staff member may add further comments if desired before signing the record as an accurate record of the major issues discussed at the meeting. The Form will then be returned to the supervisor for signature.
- A copy of the record of the meeting along with the original of the completed *Form B* will be kept by the staff member and the original of the record of the meeting and a copy of the Form will be kept by the supervisor. The review report (*Form B*) and the record of the review meeting remain confidential to the staff member and the supervisor.

- In situations where there is a change in supervisor, the previous year's completed Form and Record of the meeting will be passed on by the previous to the new supervisor.  Where a staff member specifically objects to their form and/or record of meeting being passed on to a new supervisor, the staff member will need to provide satisfactory reasons to the Head of Cost Centre, who will determine the matter.

### 2.4.5 [Report to Head of Cost Centre]

- Following each review round, supervisors will inform the Cost Centre head in writing that the performance reviews which they are required to undertake have been completed and report on matters, in general terms, which properly concern the head of Cost Centre, such as staff development needs, leave plans, resources implications and policy matters.
- It is the responsibility of each head of Cost Centre and supervisor to coordinate the professional development needs of staff which may arise from the reviews, in accordance with Cost Centre policies.

# PART 3:  EXPLANATORY NOTES

(question numbers refer to those used in *Form B*)

**Note #3: Academic and professional qualifications (Q3)**
You should state the name of your qualification, the institution from which it was obtained and the year it was conferred.

**Note #4: Current higher degree enrolment or other postgraduate enrolment (Q4)**
You should state the name of the course, the institution that you are enrolled in, and the year you expect to complete.

**Note #8: Appointment fraction (Full-time/Part-time) (Q8)**
You should indicate whether you are employed full-time or part-time.  If part-time, please specify the fraction you work eg 0.5, 0.2 etc.

**Note #9: Date/s of previous academic performance review/s (Q9)**
All staff members are required to undertake a performance review on an annual basis.  Please show the month and year of all previous performance reviews undertaken in accordance with the *Academic Performance Review Scheme*.

**Note #11: Curriculum Vitae (Q11)**
You are encouraged to submit a current *curriculum vitae*.  The *curriculum vitae* must include relevant information on the four areas of academic activity, including the specific information as indicated:

- **teaching and related duties**

  **Note #11.1: Student Evaluation of Teaching and Topics (Q11 & 12)**
  In keeping with the University's *Policy on Evaluation of Teaching*, student evaluation of teaching will be undertaken, for each academic staff member with teaching duties, at least every two years, and may be undertaken more frequently as appropriate (eg to evaluate the effectiveness of a newly introduced teaching approach, for staff who may be seeking promotion and/or confirmation of continuing appointment).

  You may elect to be involved in a peer evaluation or review process to gain feedback about your teaching.

  SET reports may be supplemented by other forms of student evaluation of teaching.

  If you are a topic coordinator, the topic in question must be evaluated at least twice every five years, using the topic evaluation component of the SET instrument.

- **research and/or creative activity**

- **administration and service to the University**

- **professional activity (including service to the community)**

  **Note #11.2: Outside professional activity (Q11 & 12)**

  You should also take note of the **Policy on Outside Professional Activities**, as it sets out requirements about the staff member's obligation to document outside professional activity and the supervisor's obligation to monitor such activity (normally as part of the annual performance review process).

  The information provided in this section should include a general description of the activities undertaken by you over the review period (including the contribution to your profession and/or how the service to the general community relates to your University role) and include:

⸺ your actual time commitment to the activity(s)
⸺ any positive impact on the University's reputation and visibility in the community
⸺ any adverse impact on performance of normal University duties
⸺ management of any actual or potential conflicts of interest arising from the activity, if any
⸺ earnings from the activity and any financial compensation owed to the University, if any

☐ Where the earnings are from activity covered by an approved *Application for Permission to Conduct Outside Activities* (refer cl 4.5 of the policy) – you only need identify the activity and the date of Cost Centre Head approval.

(Note: as earnings etc are accounted for in the *Application* form, they do not need to be repeated here.)

☐ Otherwise, where the earnings arise from activity of the type that is normally associated with the academic or scholarly work or professional standing of a staff member (ie do not need formal written approval under the Policy on Outside Professional Activities), you need to provide the information indicated. (Ref cls 4.3.1 and 6.3)

(Note: in the case of publishing contracts/royalties received directly by a staff member
· if the amount earned is less than or equal to $15,000, you need only declare that the earnings fall at or below $15,000
· if the amount earned is more than $15,000 per work or subject matter for the review year, you should provide information about the earnings and indicate the what arrangements have been made to distribute them as per the Intellectual Property Policy (cls 3 and 7))

Instances where approval under the *Policy on Outside Professional Activities* should have been but was not sought should now be disclosed retrospectively. Completion of the Application form, retrospectively, will ensure that all the relevant issues associated with the activity can be appropriately addressed.

If you submit a *curriculum vitae* with this form you are not required to complete Q12 of Section II. If attaching a current *curriculum vitae* you should tick the boxes at Q11 and proceed to Q13.

**Note #12: A list of activity since appointment or promotion to current position at Flinders (Q12)**
If you are not submitting a current *curriculum vitae* you must respond to Q12. Please list activities under each heading in chronological order, and note the following requirements:

• under 'Topics Taught' you must also provide information about student evaluation of teaching and topics, as per Note #11.1 above
• under 'Contribution to the Profession' you must also provide details of outside professional activity undertaken, as per Note #11.2 above

**Note #13: Periods of leave or other absences from the University (Q13)**
You should indicate the dates that you have been away from the University for a substantial period since the last review. This includes absence through maternity or sick leave, leave without pay, Outside Studies Program, etc.

**Note #14: Special circumstances (Q14)**
You should advise of any matters which may have affected the progress of your career, eg significant career interruptions, family obligations, illness, membership of an EO designated group etc.

**Note #15: Achievements/problems with respect to previous year's goals (Q15)**
You should reflect on your activities since the last review and the goals that were agreed with your supervisor and list your achievements as well as any problems and factors that may have affected your performance.

**Note #16: Principal goals for the current year and the medium and longer term (Q16)**
In this context, medium term means in the next two to three years and longer term means in the next three to five years.

You should describe your principal goals for the current year and for the medium and longer term. Such goals might include the development of new topics or courses or curriculum changes in your discipline; new postgraduate research opportunities and supervisions; the development of new or expanded research interests or creative activity; different or increased role in university administration and/or professional and community activity.

Separate the proposed goals for the current year and the future as follows:
- current year
- subsequent years

**Note #17.1: Orientation and training (Q17.1)**
You should provide information about the completion of any mandatory training, such as:

- □ Supervision of Higher Degree Research students
  *(for staff new to the supervision of Higher Degree Research Students)*
- □ Coordination of student placements
  *(for staff new to placement coordination)*
- □ Occupational Health, Safety & Welfare
- □ Supervisor training
  *(for staff appointed to supervisory positions)*

You should detail the date(s) the training was completed, and provide reasons if mandatory training was not undertaken or completed.

**Note #17.2: Other training (Q17.2)**
You should also provide information about other training undertaken, such as:

- □ Occupational Health, Safety & Welfare (new or updating previous training)
- □ Academic development courses offered by the Staff Development & Training Unit
- □ Other relevant training

You should provide the name(s) and date(s) of the course(s) undertaken, and indicate relevance to agreed goals/plans.

**Note#18: Support/training required to achieve goals for the current year and medium and longer-term goals (Q18)**
Staff should reflect on their activities and goals for the current year and the medium and longer term and indicate the support that they may require to carry out these activities. Support might include academic development courses offered by SD&TU, access to facilities and, in some circumstances, re-allocation of workload. Separate the proposed activities as follows:

- Current year
- Subsequent years

**Note #19: Issues/obstacles to achieving goals/outcomes (Q19)**
Staff should reflect on their activities for the current year and their goals for the medium and longer term and identify any issues or obstacles which might inhibit them achieving the outcomes they wish.

**Note #20: Occupational Health and Safety Responsibilities (Q20)**
You should report on what your OHS responsibilities were for the review period, how you discharged them, any training you undertook and plans for the next review period.

**Note #21: Signature and Date (Q21)**
You should sign and date the hard copy of your review form prior to forwarding it to your supervisor.

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# Academic Position Classification Standards

## 1. Level A

### 1.1 General Standard

A Level A academic is expected to make contributions to the teaching effort of the institution, particularly at undergraduate and graduate diploma level and to carry out activities to develop his/her scholarly, research and or professional expertise relevant to the profession or discipline.

### 1.2 Specific Duties

Specific duties required of a Level A academic may include:

- The conduct of tutorials, practical classes, demonstration workshops, student field excursions,

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clinical sessions and/or studio sessions;

- The preparation and delivery of lectures and seminars provided that skills and experience demonstrate this capacity;

- The conduct of research;

- Involvement of professional activity;

- Consultation with students;

- Marking and assessment primarily connected with subjects in which the academic teaches;

- Production of teaching materials for students for who the academic has responsibility.

- Development of subject material with appropriate guidance from the subject or course coordinator;

- Limited administrative functions primarily connected with subjects in which the academic teaches;

- Acting as subject coordinators provided that skills and experience demonstrate this capacity;

- Attendance at departmental and/or faculty meetings and/or membership of a limited number of Committees.

A Level A academic will not be required to teach primarily in subjects which are offered only at Masters level or above.

A Level A academic shall work with support and direction from academic staff classified at Level B and above and with an increasing degree of autonomy as the academic gains in skill and experience.

The most complex levels of subject co-ordination should not be carried out by a Level A academic.

## 1.2 Skill Base

A Level A academic will normally have completed four years of tertiary study in the relevant discipline and/or have equivalent qualifications and/or professional experience. In many cases a position at this level will require an honours degree or higher qualifications, an extended professional degree, or a three year degree with a postgraduate diploma. In determining experience relative to qualifications, regard is had to teaching experience, experience in research, experience outside tertiary education, creative achievement, professional contributions and/or contributions to technical achievement.

# 2. Level B

## 2.1 General Standard

A Level B academic is expected to make contributions to the teaching effort of the institution and to carry out activities to maintain and develop his/her scholarly, research and/or professional activities relevant to the profession or discipline.

## 2.2 Specific Duties

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Specific duties required of a Level B academic may include:

- The conduct of tutorials, practical classes, demonstrations, workshops, student field excursions, clinical sessions and studio sessions;

- Initiation and development of subject material;

- Acting as subject coordinators;

- The preparation and delivery of lectures and seminars;

- Supervision of the program of study of honours students or of postgraduate students engaged in course work;

- Supervision of major honours or postgraduate research projects;

- The conduct of research;

- Involvement in professional activity;

- Development of course material with appropriate advice from and support of more senior staff;

- Marking and assessment;

- Consultation with students;

- A range of administrative functions the majority of which are connected with the subjects in which the academic teaches;

- Attendance at departmental and/or faculty meetings and/or membership of a number of committees.

## 2.3 Skill Base

A Level B academic shall have qualifications and/or experience recognised by the institution as appropriate for the relevant discipline area. In many cases a position at this level will require a doctoral or masters qualification or equivalent accreditation and standing. In determining experience relative to qualifications, regard is had to teaching experience, experience in research, experience outside tertiary education, creative achievement, professional contributions and/or to technical achievement.

# 3. Level C

## 3.1 General Standard

A Level C academic is expected to make significant contributions to the teaching effort of a department, school, faculty or other organisational unit or an interdisciplinary area. An academic at this level is also expected to play a major role in scholarship, research and/or professional activities.

## 3.2 Specific Duties

Specific duties required of a Level C academic may include:

- The conduct of tutorials, practical classes, demonstrations, workshops, student field excursions,

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clinical sessions and studio sessions;

- Initiation and development of course material;

- Course co-ordination;

- The preparation and delivery of lectures and seminars;

- Supervision of major honours or postgraduate research projects;

- Supervision of the program of study of honours students and of postgraduate students engaged in course work;

- The conduct of research;

- Significant role in research projects including, where appropriate, leadership of a research team;

- Involvement in professional activity;

- Consultation with students;

- Broad administrative functions;

- Marking and assessment;

- Attendance at departmental and/or faculty meetings and a major role in planning or committee work.

## 3.3 Skill Base

A Level C academic will normally have advanced qualifications and/or recognised significant experience in the relevant discipline area. A position at this level will normally require a doctoral qualification or equivalent accreditation and standing. In determining experience relative to qualifications, regard shall be had to teaching experience, experience in research, experience outside tertiary education, creative achievement, professional contributions and/or to technical achievement. In addition a position at this level will normally require a record of demonstrable scholarly and professional achievement in the relevant discipline area.

# 4. Level D

## 4.1 General Standard

A Level D academic is expected to make a significant contribution to all activities of the organisational unit or interdisciplinary area and play a significant role within their profession or discipline. Academics at this level may be appointed in recognition of distinction in their disciplinary area.

## 4.2 Specific Duties

Specific duties required of a Level D academic may include:

- The conduct of tutorials, practical classes, demonstrations, workshops, student field excursions, clinical sessions and studio sessions;

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- The development of a responsibility for curriculum/programs of study;

- Course coordination;

- The preparation and delivery of lectures and seminars;

- Supervision of major honours or postgraduate research projects;

- Supervision of the program of study of honours students and of postgraduate students engaged in course work;

- The conduct of research, including, where appropriate, leadership of a large research team;

- Significant contribution to the profession, and/or discipline;

- High level administrative functions;

- Consultation with students;

- Marking and assessment;

- Attendance at departmental and faculty meetings.

## 4.3 Skill Base

A Level D academic will normally have the same skill base as a Level C academic. In addition there is a requirement for academic excellence which may be evidenced by an outstanding contribution to teaching and/or research and/or the profession.

# 5. Level E

## 5.1 General Standards

A Level E academic is expected to exercise a special responsibility in providing leadership and in fostering excellence in research, teaching, professional activities and policy development in the academic discipline within the department or other comparable organisational unit, within the institution and within the community, both scholarly and general.

## 5.2 Specific Duties

Specific duties required of a Level E academic may include:

- Provision of a continuing high level of personal commitment to, and achievement in, a particular scholarly area.

- The conduct of research.

- Fostering the research of other groups and individuals within the department or other comparable organisational unit and within the discipline and within related disciplines.

- Development of research policy.

- Supervision of the program of study of honours students or of postgraduate students engaged in course work.