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Introduction

Based on current UTS age profile and trends regarding retirement, UTS will need to replace one-third of its current academic workforce over the next decade. This process will occur in a challenging environment where there is increasing competition for limited talent (between other higher education institutions and public and private sectors, nationally and internationally) and where academia is increasingly perceived as a less attractive career option. Furthermore, academic work and the nature of activities in Universities have changed. As part of addressing UTS’s workforce renewal in a challenging environment, it is imperative to rethink and update the current assumptions surrounding academic work.

Given the breadth of the above issues, a comprehensive review of academic career structures, performance management, promotion, progression, reward and development frameworks was proposed. The project is expected to involve a program of work undertaken in phases over the next 3+ years. The first phase of the project, the subject of this background paper, is scheduled for completion during 2011.

The UTS Academic Careers Project is a subsidiary project of the Australian Technology Network Workplace Productivity Program project known as the Pay and Career Structures Project, currently in its final year of work. The ATN engaged Mercer to investigate the drivers of attraction and retention; provide career pathways for both academic and professional staff; and to recognise achievement through competitive rewards and conditions. Given the breadth of the project and differences in outcomes being sought by different universities in relation to the above areas, it was agreed that more could be achieved through separate projects undertaken by each university and the sharing of outcomes of the different projects.

By the end of the overall UTS project, we will have comprehensively reviewed academic career structures, performance management, promotion, progression, reward and development frameworks.

This background paper describes the project, its strategic context and the current career and promotion arrangements at UTS (Sections 1 through 3), and summarises key features from a range of career frameworks in other relevant organisations and their related progression and promotion systems (Sections 4 and 5).

The breadth of background information reviewed to develop this paper is located in the Appendices, together with an extensive list of additional resources (refer to Appendix 12). Some readers may wish to delve into these resources for a greater understanding of that background. No single model or approach has been found to be ‘best fit’ for UTS’s needs.

This paper is intended as a resource for the development of a new career and promotion framework appropriate to UTS’s vision, purpose and strategic objectives. Progression and promotion are integral to any academic career framework and as such, a review of UTS’s current arrangements is being undertaken in parallel with the development of the framework. Further research and wide consultation with the UTS academic community will be undertaken as part of the Academic Careers Project.
1 The Academic Careers Project at UTS

A comprehensive review of academic career structures, performance management, promotion, progression, reward and development frameworks is being undertaken so as to strategically and proactively address issues arising from the current and future higher education environment, nationally and internationally (see Section 2) and UTS’s strategic needs within that environment. The project is expected to involve a program of work undertaken in phases over the next 3+ years. The first phase of the project (Phase 1) is scheduled for completion during 2011.

Phase 1 includes:

1. **Career Framework** - the development of an academic career framework, which would provide the foundational structure to underpin a range of practical outcomes. The use of the term ‘framework’ in this context refers to an overarching model or approach which shows career path options and flexibility to transition over the course of a career.

2. **Promotion Review** - the review of the academic promotion mechanism to reflect current and anticipate future requirements for career progression for the range of academic roles.

3. **Management and Leadership Development Priorities** – identification of performance and development priorities that enable/support career progression in the academic manager career stream.

It is anticipated that at the end of Phase 1 of this Project, UTS will have an academic career and promotion framework which will:

- recognise the diversity of our current academic workforce
- anticipate the future requirements and drivers for academic work
- anticipate the career expectations of the next generation of academics
- provide a broader range of career path options
- provide a more explicit performance and development focus and
- provide transparent linkages between strategic objectives and individual contributions.
The UTS Academic Careers Project is a subsidiary project of the Australian Technology Network Workplace Productivity Program (WPP) project known as the Pay and Career Structures Project. The Australian Technology Network of Universities (ATN) engaged Mercer to:

- investigate the drivers of attraction and retention
- provide career pathways for both academic and professional staff
- recognise achievement through competitive rewards and conditions

The work undertaken by Mercer in the initial part of the WPP project focused on role definition for academic staff and included a consultative process involving meetings with key stakeholders and small focus groups of academics and managers at each ATN university, including UTS. This work was used as a foundation for the UTS Academic Careers Project.

Given the breadth of the project and differences in outcomes being sought by different universities in relation to the above areas, it was agreed that more could be achieved through separate projects undertaken by each university and the sharing of outcomes of the different projects. The university-specific projects and the sharing of outcomes took place in late 2010. UTS’s project was supported by human resources consultancy, OPPEUS International.
2 Strategic Context

2.1 Higher Education Sector

Ageing of the Australian population has become an issue of substantial national significance given the closing gap in the ratio of working age to retiree populations. Australian university academic employees have a significantly older age structure than the workforce as a whole. Therefore, over the next decade, there is a substantial workforce renewal need facing Australian universities.

This “replacement task” has been apparent to the higher education sector for some time. ¹ Efforts to renew the aging workforce have not produced a ‘younging’ of the age structure of Australian universities.² In fact, replacement strategies have resulted in the employment of new staff in older age groups so the percentage of the academic population aged 50+ has remained fairly stable³.

In addition to the substantial “replacement task”, Australian universities have a significant growth period ahead in order to deliver on the government’s 2009 objective of lifting from 32 to 40% the proportion of 25-34 year olds with tertiary qualifications in the country.

¹ Hugo and Morriss, 2010, p4
² Ibid, p7
³ Ibid, p7
2.2 UTS Drivers for Workforce Development

2.2.1 UTS Strategic Plan

UTS’s vision is to be a world leading university whose purpose is to advance knowledge and learning to progress the professions, industry and communities of the world. In UTS’s strategic plan 2009-2018, Professor Ross Milbourne, Vice-Chancellor states:

“The achievement of our vision relies upon the attraction and retention of high quality people; passionate about knowledge, learning, discovery and creativity and engaged with national and international research and professional communities. Our success will depend upon us fostering the right culture.”

In order to successfully deliver on its strategic objectives, UTS is engaging in a comprehensive process of identifying future workforce requirements, focusing on the period from 2010 to 2014. The Report of the UTS Workforce Planning Process 2009 recommends “UTS give priority to strategies that directly expand the potential pool of academic staff, facilitate the growth and development of future workforce capability from within and increase and diversify the pipeline for new career academics. Inherent in this is also the requirement to redefine academic roles and career paths as current structures will not fully deliver UTS’s future workforce needs.”

Noting that universities nationally and internationally are in the same or a similar position with regard to an aging workforce and workforce renewal, one approach by direct competitors for academic talent involves providing more explicit career options, expectations and paths. To be successful in attracting and retaining staff, UTS needs to be amongst the lead group to leverage its career frameworks.

2.2.2 Workforce Renewal

The current age profile of UTS points to significant levels of retirements of ‘baby boomers’ over the next decade (as shown below). One-third of the University’s current academic workforce will need to be replaced over this period.
UTS’s workforce planning ‘demand forecast’ for skill gaps in 2009 identified academic staff renewal as a growing gap area in every faculty. Academic leadership capability was also identified as a priority and growing gap area. These gaps arise at least partly from the age profile of our current academic staff and managers.

<table>
<thead>
<tr>
<th>Unit</th>
<th>Teaching &amp; Research</th>
<th>Research</th>
<th>Manager</th>
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**2.2.3 Skills Shortage**

The ‘talent pool’ of appropriately qualified young people is limited, especially given the increasing demand for PhD qualifications for academic appointments and the decline in PhD completions in many areas in Australia over recent years. Academic career development is a lengthy investment. According to Hugo and Morriss (2010), “*it takes a long time to develop well qualified academics - between 7-9 years just to reach the first step on the academic career rung*” (i.e. from school leaver to Associate Lecturer).
In the specific case of academics who deliver courses to Professionals, accreditation in that Profession may involve years of supervised practice.\(^4\)

The talent supply shortage is exacerbated by increasing competition from the professions for the limited number of PhD graduates\(^5\).

UTS needs to address the potential reality that those attracted to a career in higher education may not always possess PhDs nor a desire to create new knowledge through research. This presents particular issues for those Faculties (e.g. Business and FEIT) which need to meet qualification requirements in order to maintain accreditation with external professional bodies. However, career options for individuals without higher qualifications and research skills, but with skills to deliver UTS core business requirements, may be needed in order for UTS to meet its commitments.

### 2.2.4 Attraction & Retention challenges

The process of workforce renewal in a limited talent pool presents UTS with a substantial challenge. To further complicate our task, there would appear to be concerns regarding the attractiveness of the academic profession in Australia which are impinging on recruiting and retention of academics\(^6\).

Retention of existing staff is also an issue for UTS. As competition for high quality academic staff increases with global shortages, the University is vulnerable to losing staff to more attractive options and to active poaching by other institutions, particularly with the University’s reputation within industry continuing to improve.

Some specific attraction and retention issues identified include the following:

- job security and development opportunities for some research only / research intensive academic staff

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\(^4\) Hugo and Morriss, 2010, p19

\(^5\) Ibid, p31

\(^6\) Coates, 2009, p28
the current fixed-term and reversionary nature of appointments to academic management roles

the perception that teaching is not sufficiently recognised or valued, even though it occupies a prominent place in the UTS strategic plan and for our reputation

the capacity to transition older workers, who do not wish to retire at 60, to more flexible academic roles which offer shorter hours and/or the opportunity to focus on the type of work they enjoy and discard the work they don't like.

2.2.5 Changing Demands

Traditionally, academic staff at UTS have been employed as 'teaching and research academics' whose duties include teaching, research and service. UTS also employs cohorts of 'research-focused' staff and casual academic staff.

The nature of the activities of Universities is changing particularly in response to increasing student demands, developments in information technology, globalisation of education and increased regulation by governments (i.e. AUQA/TEQSA, My Universities, etc). This has an impact on the nature of academic work, including the variety and complexity of tasks undertaken by academic staff, and the capabilities needed within our academic workforce.

A need for more commercial, partnership and entrepreneurial skills and higher levels of expertise with technology within our academic workforce has been identified, in addition to the more traditional teaching and research skills. As the nature of academic work becomes broader and more complex, maintaining the current expectations of academic staff becomes unsustainable.

As part of addressing UTS’s workforce renewal in a challenging environment, it is imperative to rethink and update the current assumptions surrounding academic work.
2.2.6 Organisational Context

"We need to preserve the friendly, collaborative, equitable and outward-looking way we work, as well as encourage a more entrepreneurial, innovative and performance-oriented culture."

Professor Ross Milbourne, UTS Strategic Plan 2009-2018

There is a range of contextual or cultural factors which are important elements for consideration of academic careers and career development. They include, for example:

- The high value placed on peer-review / evidence based processes for the assessment of quality of academic work and the recognition of capability.
- Academics tend to consider their careers as centred primarily on their discipline and operating within a cross-institutional disciplinary context, not as specific to a particular University or national higher education system.
- The deeply embedded notion of 'academic freedom' now located within an environment where organisational outcomes are emphasised, including specific quantitative measures.
- The tradition of 'collegiality' and 'mentoring' being maintained, while more structured workplanning and review mechanisms are being increasingly deployed.

The above, and others, represent significant features of the academic career. Their role and effect within any career framework need to be carefully considered.
3 UTS’s Current Career and Promotion Arrangements

UTS does not have a clearly articulated career framework. Its elements, however, are described in a number of different documents and instruments such that a career framework can be compiled (refer to 3.2 below followed by a summary of features in 3.3 and 3.4). The categories of academic staff covered by the UTS academic career framework are described in section 3.1 below.

3.1 Categories of Academic Staff

3.1.1 Academic Staff (A-E)

The majority of academic staff at UTS have traditional, integrated “teaching and research” academic roles at Levels A to E. UTS also employs research intensive academics (on Levels A-E) and casual academic staff who may be considered as ‘teaching only’. UTS’s sessional mode of employment allows continuing or fixed-term employment of academic staff from Levels A to E for less than the full year (e.g. during semesters or other defined blocks of time during a year) who do not necessarily perform the full range of academic duties. (Note: Sessional employment is not casual employment. Sessional academic staff have the same entitlements as part-time and full-time academic staff.)

Academic staff, excluding casuals, undertake their workload in accordance with their Faculty workload policy/guidelines which align to the principles within the Academic Workload Allocation clause of the Academic Staff Agreement 2010. Workload allocation determines how work activities are distributed across the areas of teaching, research and service.

Academic staff are eligible for progression from Level A-B and promotion to Levels C, D, E.

3.1.2 Distinguished Professors

Distinguished professors are classified at Level E so the arrangements applicable to other academic staff apply to them. They are eminent persons appointed by the Vice-Chancellor to enhance UTS’s academic profile and reputation. They are employed on a fixed-term basis usually for 5 years in accordance with the “Appointment of Distinguished Professor by Invitation Vice-Chancellor’s Directive”.

3.1.3 Academic Managers

Most academic managers are members of the Senior Staff Group including Heads of School, Group Heads, Associate Deans, Deputy Deans and Deans. While, positions such as Program Directors, Research Directors, Heads of Department, and Centre Directors have significant leadership and management responsibilities, they are classified as academic positions. Such positions may be considered academic
management positions and may attract remuneration in addition to a base academic salary.

Heads of Department, Heads of School, Associate Deans, Deans and equivalent positions are appointed through a recruitment and selection process in accordance with the Appointment Directive applicable to the academic management position. Most are employed on a three-year reversionary basis (i.e. the appointee reverts to a substantive continuing academic position upon the conclusion of the fixed-term academic management appointment). Deans are normally employed on a fixed-term basis for four years.

### 3.2 Elements of the UTS Current Career and Promotion Arrangements

The following describe the key elements of the current career and promotion arrangements at UTS:

#### 3.2.1 Academic Staff Agreement 2010

The following clauses from the Agreement are relevant to the current academic career framework (http://www.hru.uts.edu.au/manual/2ea/academic/index.html):

i. Promotion and progression (Clause 19) – This clause makes provision for progression (rather than promotion) from Level A to Level B.

ii. Academic Workload Allocation (Clause 36): This clause makes provision for Faculty Workload Policies/ Guidelines and sets out the principles for workload allocation. Further information about workload arrangements is set out under 3.2.3 below.

iii. Modes of Employment and Categories of Appointment (Clauses 39 and 40) – These clauses make provision for sessional employment and casual employment, respectively, and fixed-term employment.

iv. Classification structure and pay rates (Schedule 1) – This schedule describes the levels A to E and steps within those levels in terms of the pay rates applicable. It includes requirements for minimum classification (at Step 3 of Level A) for academic staff who possess a relevant PhD or are required to undertake subject coordination duties.

v. Minimum Standards for Academic Levels (Schedule 3) and Activity descriptors for casual academic staff (Schedule 4): The MSALs differentiate between the level of complexity, autonomy, leadership and achievement required at each academic level. There are separate MSALs for “teaching and research academic staff” and “research academic staff”. The MSALs have been found to
be sufficiently general that they would not prohibit other academic career paths.\footnote{In NTEU vs University of Southern Queensland, Brisbane 17 September 2003 (C2002/3229), the Australian Industrial Relations Commission found the MSALs did not prohibit the University from the creation and offering of teaching scholar positions.}

### 3.2.2 Promotion and Progression Instruments

UTS has had formal promotion arrangements documented in policies, directives or guidelines (i.e. instruments) since the early 1990s. The instruments have been subject to amendment over the past 20 years but the promotion criteria have not changed significantly. The current promotion and progression instruments are:

- **Annual Academic Promotion Vice-Chancellor’s Directive and Guidelines.**
- **Progression from Level A to B Guidelines and Procedures** – Introduced in 2005 in order to implement a new provision within Enterprise Agreement (Academic Staff) 2004 which allowed for progression (rather than promotion) from Level A to Level B.
- **Promotion for ARC Fellows and CRC Researchers to Salary Level C Directive** - introduced in 1999 in response to requirements from the Australian Research Council (ARC) to provide opportunity for promotion to ARC Fellows (appointed at Level B).

A summary of the criteria for promotion and progression is provided in Appendix 1.
3.2.3 Faculty Workload Policies/Guidelines

Each Faculty has developed its own workload policy/guidelines based on the provisions of the Academic Staff Agreement 2010.

The agreement states that academic workload will embrace the full range of academic responsibilities (casual, sessional and research staff are excluded from this requirement) but allows for the appropriate mix of academic activities to vary during a staff member’s career. The agreement defines the “normal pattern of academic workload” to be “40% teaching, 40% research and 20% other activities” and requires that the majority of academic staff on continuing and fixed-term appointments be engaged on this workload pattern.

The agreement therefore allows for variations in workload patterns. Such variations are defined and embedded in the Workload Policy/Guidelines of some Faculties. Such Faculties make explicit reference to workload patterns which are intensive or have emphasis in one or more areas of academic activity (e.g. “teaching intensive” or “teaching emphasis”; “research intensive” or “research emphasis”).

3.2.4 Appointment Directives

The following directives set out arrangements related to the recruitment, selection and appointment of Distinguished Professors and Academic Managers.

- Appointment of Deans Policy
- Appointment of Associate Deans Vice-Chancellor's Directive
- Appointment of Heads of School Vice-Chancellor's Directive
- Appointment of Heads of Department Vice-Chancellor’s Directive
- Appointment of Distinguished Professor by Invitation Vice-Chancellor's Directive
### 3.3 Attractive Features

The following are positive aspects of the current academic career and promotion arrangements:

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<th>Explanation</th>
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| **Sessional employment**                 | • A flexible mode of employment that has not been used extensively at UTS  
                                         • Not necessarily required to perform the full range of academic duties and may therefore be appointed to focus on one or two academic areas.  
                                         • Appointments made on a fixed-term basis for teaching intensive and research intensive roles.  
                                         • Provides an alternative to casual academic employment which offers job security beyond one semester (potentially on a continuing basis)  
                                         • Provides flexibility for individual staff members and their supervisors to agree workload patterns focused on particular academic area/s based on the strengths and preferences of individuals and the needs of the Faculty  
                                         • Allows Faculties to develop their own workload allocation guidelines which accommodate the specific requirements of the different disciplines within Faculties  
                                         • Permits staff to change their workload pattern from semester to semester or year to year, subject to the needs of the Faculty and the staff member’s career objectives  
                                         • Allows for variations in workload patterns; however, the normal workload pattern for the majority of academic staff is recognised as 40% teaching, 40% research and 20% other activities.  
                                         • Simple process for progression from Level A to B  
                                         • Promotion process is committee based. It works reasonably well and is streamlined and efficient.  
                                         • Processes and the quality of the documentation (i.e. Directives, Guidelines, application form, website, etc) have been improved over time |

| **Workload clause**                      |                                                                                                                                                                                                             |
| **Progression and promotion process**    |                                                                                                                                                                                                             |
### Feature | Explanation
--- | ---
**Progression and promotion criteria** | - Sufficiently flexible to provide for disciplinary differences.
- Not prescriptive about qualification requirements. Faculties are therefore able to adjust their expectations in relation to qualification or their equivalent over time based on Faculty needs and circumstances. For example, the Faculty of Business has specific qualification requirements for promotion and progression in order to maintain its accreditation with the Association to Advance Collegiate Schools of Business (AACSB).
- Allow for advancement primarily on the basis of teaching and educational development (provided contributions are made in other areas of academic work). The records consistently show that a significant proportion of staff are promoted based on outstanding performance in teaching. This is in contrast with the perception of many academic staff.
**Academic supervisor role** | - Promotion Directive includes explicit expectations in relation to the role of the academic supervisors
- Role to provide guidance, information and feedback to current prospective applicants for promotion
- Establishes a link between the performance and development and promotion processes
**Academic managers** | - Titles and roles of academic managers are not prescribed by UTS so Faculties can develop an academic management structure that meets their needs
- Fixed-term reversionary arrangements for academic managers allow the staff member to return to his/her academic position at the end of term if he/she does not continue in an academic management role. The continuing academic role provides job security.
### 3.4 Features of Concern

The following features of the current academic career and promotion arrangements have been identified as being in need of review:

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| **Appointment of teaching focused academics** | • Although the workload clause in the Academic Staff Agreement 2010 does not preclude teaching focused workload profiles, UTS tends to fulfil its need for such teaching focused staff primarily through casual academic employment (there are a small number of sessional academic staff who are designated as teaching focused).  
  • The 2009 working party of the Teaching & Learning Committee Supporting Casual Academic Staff Report raised the issue of the long term use of casual academic staff, i.e. those who perform teaching repetitively semester after semester for many years; and that some of these casuals are looking for some increase in job security and career opportunities. The new Early Career Development Fellowships introduced under the Academic Staff Agreement 2010 for may facilitate career opportunities for casual academic staff who meet the eligibility requirements. |
| **Promotion for non-traditional academics** | • The Annual Academic Promotion Directives and Guidelines contemplate promotion in the context of a teaching and research academic who works across the three primary areas of academic work – i.e. teaching, research and service.  
  • Promotion arrangements do not cater for:  
    - research intensive staff who may not be allocated sufficient teaching to meet the requirements under the current promotion criteria (this group of staff is growing at UTS)  
    - sessional staff who are not required to perform the full range of academic duties (the sessional mode of employment is described in 4.1.1 – sessional employment is different from casual).  
    - academic staff who agree to workload profiles which focus on teaching, industry engagement, service and/or administration. Staff may agree to such workload profiles based on personal preferences/strengths, or to assist the University to achieve its strategic objectives. These staff can be performing at a high level and making significant and valued contributions to the University, but not meet the criteria for promotion (i.e. they may not meet the |
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<th>Feature</th>
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<tr>
<td>Appointment vs. promotion</td>
<td>minimum satisfactory standard for research).</td>
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<tr>
<td>criteria</td>
<td>• This suggests a ‘disconnect’ between the workload allocation, performance management and promotion arrangements</td>
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<td></td>
<td>• There is a “disconnect” between appointment criteria and promotion criteria.</td>
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<td>• Academic staff unsuccessful in application for promotion have sometimes been able to secure higher level positions through recruitment and selection processes at UTS or at other universities. In the latter case, if UTS wishes to retain the staff member, it would have to match the level of appointment and remuneration offered by the competitor.</td>
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<tr>
<td>Promotion criteria:</td>
<td>For over 20 years, the promotion criteria have been categorised into the three areas of:</td>
</tr>
<tr>
<td></td>
<td>1) teaching and educational development,</td>
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<td>2) research, scholarship and the advancement of knowledge and its applications, and</td>
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<td></td>
<td>3) contributions to the University and the community.</td>
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<td>• The detailed requirements and examples of evidence have adjusted over time but have not been comprehensively reviewed. A review of the criteria could consider the following:</td>
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<td>- Promotion committees’ criticisms of the promotion criteria as being too open to interpretation and for not providing sufficient guidance to make determinations.</td>
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<td>- Academic staff criticism of the perceived variability of standards and feedback regarding applications between promotion rounds.</td>
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|                              | - Views of many academics that the existing promotion
<table>
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<th>Feature</th>
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| criteria are too narrow and rigid given the variety within their roles, and others that do not feel valued or recognised for their contribution⁸ | - The impact on the nature of academic work from increasing student expectations and responses.  
- The evidence that academic staff should provide to support the claims that they make in promotion applications, taking into consideration discipline differences.  
- Inclusion of expectations regarding standards of behaviour or compliance with the Code of Conduct. Nothing in the promotion or progression arrangements prohibits a staff member, who has been subject to formal disciplinary action for misconduct, serious misconduct or a breach of the Code of Conduct, from applying for and being granted promotion. Applicants for promotion are not required to set out their case or provide evidence of ethical behaviour, a collegial approach and adherence to the principles of equity and diversity.  
- The impact of government initiatives which measure our performance in teaching, learning and research (e.g. Excellence in Research (ERA), Tertiary Education Quality and Standards Agency and the Sustainable Research Excellence initiative).  
- Linkages to current and future UTS strategic objectives.  
- Linkages to national priorities such as the Research Workforce Strategy and the Workforce Development Initiative.                                                                                   |

⁸ Based on focus groups with academic staff across the ATN Universities - Mercer, 2008, ATN Attraction and retention project: proposed program of work p.29
<table>
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<tr>
<th>Feature</th>
<th>Explanation</th>
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| **Academic supervision** | Strategy for the tertiary education sector (as recommended by Skills Australia<sup>9</sup>).  
• In practice, not all supervisors are effectively fulfilling their role to guide and inform staff in relation to promotion.  
• Supervisors are responsible for workload allocation and performance and development. The effectiveness of the integration of workload allocation, performance management, career development and promotion is dependent on the arrangements within the Faculty and the skills of individual supervisors. Matrix arrangements can add an additional level of complexity.  
• Supervisors are not required to attend professional development to ensure that they have the skills to perform their role as a supervisor effectively.  
• Supervisory relationships between academic managers and their staff have tended to be relatively short-term/transient (given the short appointment terms for many academic manager appointments). This may have a limiting impact on the joint development and implementation of medium-long term career plans. |
| **Promotion Quotas**     | UTS determines the quotas in advance of each round of promotion to Level D and E.  
• The quota has prevented a staff member from being promoted on only a few occasions.  
• While quotas are in place, there is always the potential for a staff member who meets the criteria for promotion to be unsuccessful due to the imposition of the quota. This represents a potential retention risk as the staff member may |

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<sup>9</sup> Skills Australia, 2010, p.65
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<tr>
<td>Academic managers</td>
<td>- The appointment directives for academic managers have not kept up with the creation of new academic management positions (e.g. Group Heads, Deputy Deans).&lt;br&gt;- All academic management positions are made for fixed periods and, in the case of Heads of School and Associate Deans, there are limits on the number of terms that an incumbent can have.&lt;br&gt;- The choices for these staff when they reach the limit on their terms are to find a different management position (there are not many from which to choose), return to their substantive academic position and its lower salary, or find an academic management role at another university.&lt;br&gt;- This represents a retention risk in the critical leadership skill area, identified as a priority and growing gap area.</td>
</tr>
<tr>
<td>Distinguished Professors</td>
<td>- Appointment as a Distinguished Professor can only be on a fixed-term basis for up to five years.&lt;br&gt;- In some cases they are given an underlying continuing Professor appointment in order to attract or retain them but the title “distinguished” cannot be offered on a continuing basis.</td>
</tr>
<tr>
<td>Research intensive staff</td>
<td>- Research staff critical to the success of UTS’s research strategy are often appointed on a fixed-term basis due to the uncertainty of grant funding.&lt;br&gt;- If appointments of such staff were on a continuing or longer fixed-term basis (e.g. at least three years), they could contribute to teaching through higher degree supervision. This would utilise their expertise, broaden the scope of their work and provide both teaching and research benefits to UTS.</td>
</tr>
</tbody>
</table>
4 Career Frameworks in Other Organisations

The purpose of this section is to present some Academic Career and Promotion Models from other Universities and similar organisations with a research focus. We draw upon the elements of these models which best suit UTS’s unique environment.

Research has been undertaken on the career frameworks from a large number of Australian and overseas universities (see list in Appendix 3), as well as other aligned industries (such as highly technical organisations with significant research and development functions). Those with features of interest have been selected to include in this paper. Key features of these frameworks are summarised below.

Details of each organisation’s career framework (and promotion and progression processes) are found in the following Appendices:

4. University of Southampton (US)
5. University of Queensland (UQ)
6. Edith Cowan University (ECU)
7. Queensland University of Technology (QUT)
8. Macquarie University (MU)
9. La Trobe University (LTU)
10. A Commercial R&D function (CR&D)
11. CSIRO
## 4.1 Key Features of Interest

The following key features appear in the Career Frameworks listed above. UTS features have been included for comparative purposes.

<table>
<thead>
<tr>
<th>Feature</th>
<th>Description</th>
<th>Sample Organisations</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Alternate paths</strong></td>
<td>There are alternate career paths for Academics to focus on based on their skills, knowledge, experience and preference. There are a minimum of three types of roles (QUT, LTU) and up to seven (ECU).</td>
<td>All organisations</td>
</tr>
</tbody>
</table>
| **Four Core elements/themes recognised in all Academic roles** | - Teaching & Learning  
- Research/Creativity  
- Service to University  
- Engagement with Community  
Each University has a slightly different focus – these are summarised in 6.2 below | All Universities |
| **Teaching and Research is core stream** | This is seen as the role of most academics – with a balance of Teaching, Research and Service/Engagement | All Universities |
| **Other common roles** | - Teaching Focused/Intensive  
- Research Focused/Intensive | UQ, ECU, US, LTU, UTS |
| **Other roles in some Universities** | - Academic Leadership  
- Clinical Academic  
- Practitioner Scholar (see below)  
- Enterprise | ECU, UQ, ECU, UQ, ECU |
| **Flexibility** | - Recognises that different roles have different mixes and/or weightings of the core elements  
- These are applied with some flexibility, though minimum expectations (and sometimes weightings) are set out in the criteria for each role | US, CR&D, LTU, QUT, UTS (not formalised in guidelines) |
| **Management of people and resources** | Is either  
- separately recognised | ECU |
<table>
<thead>
<tr>
<th>Feature</th>
<th>Description</th>
<th>Sample Organisations</th>
</tr>
</thead>
</table>
| **Professional and/or clinical expertise and experience** | - Recognised as part of a role as an academic in professional Schools/ Departments/ Faculties  
  - A **Clinical Academic** at UQ contributes principally to teaching in the university and/or clinical setting, clinical research and engagement with the relevant clinical profession.  
  - A **Practitioner Scholar** is a specialist role at ECU which may be particularly relevant for UTS.  
  - Practitioner Scholar / Clinical Academic enables appointees to demonstrate their achievements through a different mix of activities which do not fit the traditional definition of academic staff and teaching and learning.  
  - An example is a joint appointment with a hospital of a clinical specialist in nursing  
  - Recognition of previous professional careers | LTU, ECU, UTS, UQ |
| **Movement between streams**              | - It is possible for Academics to move emphasis and between career streams during their career  
  - The process/requirements for this is very transparent  
  - However, there is no “automatic right” to select an alternate career stream. Needs of the organisation need to be taken into account and Dean/HoS has the right to balance an individual workload focus to meet the needs of the Faculty/School | US, UQ |
| **Recognition of Scholarship of teaching and pedagogic research** | Either  
  - Embedded in the Teaching & Learning criteria  
  - Separate  
  - In Research and Scholarly Activity | Macquarie, US (for education focused roles) |
| **Integration between HR processes**      | - The career model is a foundation of a number of related HR policies & processes – recruitment, appointment, progression, performance management and workload | US, LTU, CR&D |
### Feature Description

- Used to ensure alignment and integration across all these HR processes

<table>
<thead>
<tr>
<th>Illustration of the model</th>
<th>Used to ensure alignment and integration across all these HR processes</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Some organisations have illustrations which summarise their career model and progression</td>
</tr>
<tr>
<td></td>
<td>This provides staff and others with a clear snapshot of the model and assists those with a visual learning style</td>
</tr>
<tr>
<td>US, CR&amp;D</td>
<td></td>
</tr>
</tbody>
</table>

### 4.2 Foci of University Career Structures

Each University has a core of four foci in their career structures:

1. Teaching & Learning
2. Research/Creativity
3. Service to University
4. Engagement with Community

However, in each group, the activities are slightly differently. Often 'service to University' and 'engagement with community' are combined.

<table>
<thead>
<tr>
<th>University</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>University of Southampton (US)</td>
<td>• Teaching activity and related education development</td>
</tr>
<tr>
<td></td>
<td>• Research, scholarship and creative activity</td>
</tr>
<tr>
<td></td>
<td>• Administration, management and leadership in the university and wider community</td>
</tr>
<tr>
<td></td>
<td>• Consultancy and enterprise activity</td>
</tr>
<tr>
<td>University of Queensland (UQ)</td>
<td>• Teaching</td>
</tr>
<tr>
<td></td>
<td>• Scholarship of Teaching</td>
</tr>
<tr>
<td></td>
<td>• Research and Creative Work</td>
</tr>
<tr>
<td></td>
<td>• Service and Engagement</td>
</tr>
<tr>
<td>Edith Cowan University (ECU)</td>
<td>• Teaching and Learning</td>
</tr>
<tr>
<td></td>
<td>• Research and Creativity</td>
</tr>
<tr>
<td></td>
<td>• Engagement (with broader community)</td>
</tr>
<tr>
<td></td>
<td>• Service and Enterprise on behalf of the University</td>
</tr>
<tr>
<td>University</td>
<td>Description</td>
</tr>
<tr>
<td>------------------------------------------------</td>
<td>-----------------------------------------------------------------------------</td>
</tr>
<tr>
<td>Queensland University of Technology (QUT)</td>
<td>• Teaching</td>
</tr>
<tr>
<td></td>
<td>• Research and scholarship</td>
</tr>
<tr>
<td></td>
<td>• Service</td>
</tr>
<tr>
<td>Macquarie University (MU)</td>
<td>• Teaching</td>
</tr>
<tr>
<td></td>
<td>• Research</td>
</tr>
<tr>
<td></td>
<td>• Community Engagement (incorporates internal leadership &amp; service)</td>
</tr>
<tr>
<td>La Trobe University (LTU)</td>
<td>• Teaching and supervision</td>
</tr>
<tr>
<td></td>
<td>• Research and scholarly activity</td>
</tr>
<tr>
<td></td>
<td>• University service, management and leadership:</td>
</tr>
<tr>
<td></td>
<td>• Professional and community service, management and leadership</td>
</tr>
<tr>
<td>University of Technology, Sydney</td>
<td>• teaching and educational development</td>
</tr>
<tr>
<td></td>
<td>• research, scholarship and the advancement of knowledge and its applications</td>
</tr>
<tr>
<td></td>
<td>• contributions to the University and the community</td>
</tr>
</tbody>
</table>
5 Progression and Promotion Systems in Other Organisations

The following key features appear in the Progression & Promotion systems, including UTS:

<table>
<thead>
<tr>
<th>Feature</th>
<th>Description</th>
<th>Sample Organisations</th>
</tr>
</thead>
</table>
| **Centralisation / decentralisation of Promotion Committees** | • One central Committee for all promotions B-E - consistency of criteria & process  
  • Multiple committees (Faculty and/or University-wide) depending on level | LTU                  |
| **Frequency of Promotion Committee meetings**               | • Annually (i.e. one round only)  
  • Monthly (10x p.a.)                                           | ECU, UQ, QUT, MQ, UTS, UTS                                      |
| **Weighting of roles**                                     | • Some universities have an official weighting system  
  o promotions committees can weight the application of criteria according to the focus of an applicant’s role and category of application  
  o Candidates provide their own weighting for promotion purposes  
  • Others have moved away from prescribed weighting, but do take into account the nature/requirements of the role and workload | ECU, UQ, QUT, LTU                                                |
| **Movement between career streams possible in promotion process** | • It is possible for Academics to be promoted into a different career stream  
  • The process/requirements for this is very transparent in some cases | US, US, UQ                                                     |
| **Criteria allow for non-PhD promotion**                   | • Equivalent qualifications and extensive professional experience recognised  
  • Flexibility of criteria to attract professionals with significant industry experience  
  • Evidence required to achieve exemption | ECU, LTU, UTS                                                    |
<table>
<thead>
<tr>
<th>Feature</th>
<th>Description</th>
<th>Sample Organisations</th>
</tr>
</thead>
</table>
| **Key additional skills & capabilities**    | - Some models recognise that technical skill and knowledge on its own is not sufficient  
- They include the requirements to achieve minimum levels of other capabilities (e.g. people leadership, project management, business development) to gain promotion | CR&D, LTU            |
| **Demonstration of achievement**            | Two alternative approaches to be promoted to a level:  
- must have demonstrated all the capabilities/criteria required for that level  
- Or  
- be “well advanced” towards meeting the criteria for the next level | CR&D, UQ, LTU, MU, UTS |
| **Link to Performance Management**          | - Requirement for applicants to achieve particular levels of performance in their formal performance review | US, ECU, CR&D        |
| **Link to Workload**                        | - Workload policy and practice taken into account when assessing promotion | ECU, LTU             |
| **Impact and outcomes focus**              | - Evidence of outcomes achieved and impact of work is required (not input focused)  
- Five yearly review of contribution | LTU, ECU, UTS        |
| **Evidence Matrix**                         | - Describes the nature of evidence required for promotion at each level and in each of area of focus. | LTU, QUT, UQ         |
| **Quotas for promotion to different levels** | - Some universities state they do not impose quotas  
- At the discretion of the university  
- Others not stated explicitly, so it is assumed no quotas | MU, ECU, UTS        |
Appendix 1: Extracts from UTS Promotion and Progression Criteria

Suitability for promotion / progression is judged on three criteria:

- qualifications
- performance and standing (for progression to Lecturer this is called “performance”)
- leadership within the University and personal standing (does not apply to progression to Lecturer)

Qualifications

“For progression to level B the staff member will have qualifications and experience recognised by the University as appropriate to perform all the duties of a Lecturer in the relevant discipline area. 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 technical achievement. In disciplines where there is an expectation that academic staff will possess a doctoral qualification, applicants for promotion will be expected to possess a doctorate. Because of the nature of their work, research-only applicants must have a doctorate. As a minimum requirement for all applicants, documentary evidence should be provided of a research component as part of a higher degree, or substantial progress towards a doctorate.”

For promotion to C, D and E “applicants must possess high academic and professional qualifications, as appropriate to their discipline or field. In those disciplines or fields where doctorates are common, or when applicants in the field or discipline historically have been expected to have doctorates, the University generally expects its staff to be so qualified. In some disciplines or fields, doctorates are unusual and a Master's degree, or its equivalent, may be regarded as the appropriate advanced qualification. In other disciplines or fields, a higher degree and substantial relevant professional experience at a high level may be regarded as comparable to a doctorate.

For promotion to Senior Lecturer documentary evidence should be provided of a research component as part of a higher degree, or substantial progress towards a doctorate. For promotion to Associate Professor and Professor, applicants must possess a doctorate or present a body of evidence to show equivalence to a doctorate.”

Performance and Standing

Performance (for progression) or performance and standing (for promotion) will be assessed in terms of the level of contribution to the following three areas of activity –

1. teaching and educational development,
2. research, scholarship, and the advancement of knowledge and its applications and
contribution to the University and the community.

<table>
<thead>
<tr>
<th>Level</th>
<th>Contribution Level</th>
</tr>
</thead>
</table>
| Lecturer        | Consistently exceed performance normally expected of a level A academic  
|                 | Capacity to perform at the level of Lecturer and to pursue a successful academic career  
|                 | At least competent performance across each of the three areas                                                                                                                                                       |
| Senior Lecturer | An outstanding contribution to either (1) teaching and educational development or (2) research and a satisfactory contribution to each of the other two areas  
|                 | OR  
|                 | A major contribution to any two areas and a satisfactory contribution to the third                                                                                                                                 |
| Associate Professor | An outstanding contribution to either (1) teaching and educational development or (2) research and a major contribution to each of the other two areas  
|                  | OR  
|                  | Outstanding contributions to any two areas and a satisfactory contribution to the third                                                                                                                               |
| Professor       | An outstanding contribution to any two areas and a major contribution to the third                                                                                                                                 |

Leadership and personal standing (applies to promotion - not applicable to progression)

The University expects that academic staff will have a high personal standing in terms of ethical behaviour, a collegial approach and support for equity and diversity in the University community.

Leadership is defined as the ability to guide, inspire and influence others in the attainment of stated goals.

<table>
<thead>
<tr>
<th>Level</th>
<th>Expectation</th>
</tr>
</thead>
<tbody>
<tr>
<td>Senior Lecturer</td>
<td>Indications of a capacity for academic leadership within the University</td>
</tr>
<tr>
<td>Associate Professor</td>
<td>capacity for academic leadership (leadership potential)</td>
</tr>
<tr>
<td>Professor</td>
<td>Proven ability to provide significant academic leadership (leadership ability)</td>
</tr>
</tbody>
</table>
Appendix 2: Mercer Defined - Components of Academic Roles/Work

The ATN project identified the core components of academic work as set out below. These core components are not viewed as exclusive, but rather having points of overlap. It is assumed that scholarship can be demonstrated in all core components.

a. Learning and teaching:

The creation, and continued development, of learning opportunities through:

- the design and delivery of programs that focus on co-creation of knowledge and promote independent learning
- involvement in the scholarship of teaching through ongoing reflection and improvement of existing, or development of new, innovative, teaching methods.

Activities include:

- Design & development of learning programs and/or frameworks
- Deliver learning programs (teaching)
- Engaging with diverse student groups
- Design & application of evaluation and assessment
- Reflective practice in learning & teaching
- Scholarly approach to learning
- Student learning support

b. Research:

To identify opportunities, secure means and conduct translational research, to create knowledge that delivers value to society and is aligned with university priorities. Activities include:

- Undertake research activity
- Manage relationships with research teams
- Post-graduate student supervision
- Utilisation & publication of research outcomes
- Securing of research funding
- Management of research funding
c. **Partnership and engagement:**

The mutually beneficial process of delivering value through the formation of dynamic, long-term relationships:

- With external organisations, industry partners, professions and the community, through identifying areas of mutual benefit, securing resources and exchanging expertise for positive impact and/or outcomes
- Within the university, through being an active and engaged citizen, proactively identifying and pursuing opportunities to support and enhance research and learning outcomes

Activities include:

- Scholarship and professional application
- Profile the individual and/or university within the broader community
- Knowledge exchange
- Entrepreneurial orientation
- Profession interaction & consulting
- Teamwork & mentoring
- Interdisciplinary scholarship

d. **Leadership and administration:**

- Provide direction to, and define, the academic environment governing research, learning and engagement for within the university, either through contribution to the university or by undertaking formal managerial or leadership responsibilities
- Fulfil administrative requirements underpinning the delivery of Learning & Teaching, Research and Partnership & Engagement activities

Activities include:

- Academic coordination & administration
- Governance involvement
- People management
- Financial management
- Quality management
- Risk management
The interaction between the four key components, as well as the emphasis on the individual components will differ according to the specific academic role in question. For example, graphical representations of an academic role under three different career paths are provided below:
Appendix 3: List of Universities on which research has been undertaken

The career frameworks and/or promotion arrangements of a large number of Australian and overseas universities including those listed below have been examined. This examination was undertaken on the basis of information publicly available on websites.

### Australia

<table>
<thead>
<tr>
<th>Region</th>
<th>Universities</th>
</tr>
</thead>
<tbody>
<tr>
<td>NSW</td>
<td>University of NSW</td>
</tr>
<tr>
<td></td>
<td>University of Sydney</td>
</tr>
<tr>
<td></td>
<td>Macquarie University</td>
</tr>
<tr>
<td></td>
<td>University of Wollongong</td>
</tr>
<tr>
<td>Australian Capital Territory</td>
<td>Australian National University</td>
</tr>
<tr>
<td></td>
<td>University of Canberra</td>
</tr>
<tr>
<td>Queensland</td>
<td>University of Queensland</td>
</tr>
<tr>
<td></td>
<td>University of Southern Queensland</td>
</tr>
<tr>
<td></td>
<td>Queensland University of Technology</td>
</tr>
<tr>
<td>Victoria</td>
<td>University of Melbourne</td>
</tr>
<tr>
<td></td>
<td>Deakin University</td>
</tr>
<tr>
<td></td>
<td>Monash University</td>
</tr>
<tr>
<td></td>
<td>La Trobe University</td>
</tr>
<tr>
<td>South Australia</td>
<td>University of South Australia</td>
</tr>
<tr>
<td>Western Australia</td>
<td>Edith Cowan University</td>
</tr>
</tbody>
</table>

### United Kingdom

Southampton University
Oxford Brookes University
Bristol University

### North America

Massachusetts Institute of Technology
Georgia Institute of Technology (University System of Georgia)
University of British Columbia
California Institute of Technology
Appendix 4: University of Southampton

The following summary is extracted from the University website. (http://www.southampton.ac.uk/hr/managing/promotion/academicpromotionguidesforcandidate.pdf)

Summary of Career Framework

The purpose of having a clear academic promotion process is to promote academic and research staff whose performance demonstrates particular merit in:

- teaching activity and related education development
- research, scholarship and creative activity
- consultancy and enterprise activity
- administration, management and leadership in the university and wider community
- to provide a fair and equitable method of assessment which will also encourage a diverse range of applicants to put themselves forward and
- to enable flexibility in assessment in order that the various ways in which staff contribute to achievement of the University's vision can be rewarded on the basis of consistently applied standards.

Figure 1: Southampton Career Model

Figure 1 above illustrates the main academic career possibilities for staff concentrating on a teaching and/or research career. The aim is to ensure that the university recognises staff through the academic career route most appropriate to them and the School. It recognises that some staff will be wholly engaged in either research or education throughout their career, whilst others will have a more balanced portfolio. It also recognises that the emphasis may change throughout a career.

Promotion and Progression

The academic promotion process applies to all staff whose posts are predominantly involved in academic research and/or academic teaching. Such posts might also be involved in education development and enterprise or consultancy but these elements in themselves do not necessarily indicate that a post is academic in nature.
Progression through each career path is dependent upon satisfying broadly equivalent skills and capability standards at each Level. All academic paths provide staff with the potential opportunity to reach Level 7, subject to outstanding performance. Those with significant achievements in research and education/teaching reaching Level 7 would be given the title of Professor/Chair. Those whose equivalent achievements relate predominantly to learning and teaching or enterprise might, subject to the University’s agreement to the work profile and to a suitable position being available, be appointed as University Directors of Education or Directors of Enterprise respectively.

Candidates will not be considered for promotion unless they have been rated as successful in achieving their personal objectives (including their proactive contribution to meeting the School’s strategic and financial targets). Heads of School must confirm this on the application form. This is an indication that the current role is being performed adequately, not necessarily that the individual meets the requirements of the Level above.

**Extract of Criteria**

Below is an extract of the Criteria for Level 7 (i.e. equivalent to Professor):

(source: Pages 13-14
http://www.southampton.ac.uk/hr/managing/promotion/academicpromotionguidesforcandidate.pdf)

**EDUCATION, RESEARCH AND ENTERPRISE PATHWAY – LEVEL 7**

**REPRESENTATIVE ACADEMIC WORK ACTIVITIES**

**Personal Chairs: RESEARCH**

a. Lead the development, coordination and implementation of research strategy.

b. Plan and lead research activities of outstanding quality and national/international repute in a major subject area.

c. Develop and make a leading contribution to collaborative partnerships with other educational institutions or external bodies.

d. Oversee staff teams and resource management processes necessary to deliver research plans.

e. Lead major funding bids which develop and sustain research support for the specialist area and advance the reputation of the School and the University.

f. Lead the process of acquiring, analysing and interpreting research data and information, ensuring appropriate techniques, approaches, models and methods are selected, developed or devised for the purpose.

g. Secure the publication of key results in leading peer reviewed international journals, conferences, exhibitions etc., which further develop an already sustained individual and team reputation in the subject area.

h. Provide expert advice externally e.g. government bodies, industry.

**IN MORE EDUCATION–FOCUSED ROLES: PERSONAL CHAIRS: (C TO H BELOW WILL ALSO APPLY)**

a. Lead sustained, high quality contributions to pedagogical research, as evidenced under “Research” above.

b. Ensure the sustained publication of high quality pedagogical research results, through leading publications, books and national/international conferences.
UNIVERSITY DIRECTORS OF EDUCATION: (A AND B ABOVE WILL APPLY TO A LESSER DEGREE BUT EVIDENCE IS REQUIRED OF ACTIVITY IN C TO H BELOW)

c. Institutionalise and champion innovation in all learning and teaching activities, leading the development of academic educational policies across a major part of the University.

d. Be recognised by the appropriate national bodies on curriculum development and quality assurance, reflecting an acknowledged national and/or international reputation as an expert in teaching, assessment or other educational methods.

e. Oversee the design and development of the overall curricula within a discipline, taking responsibility for the quality of courses and learning programmes.

f. Lead the development and clarification of teaching and learning standards within the Faculty/University.

g. Lead and review innovative approaches to teaching which advance techniques and standards, contribute to University policy and serve as a contribution to broader debate.

h. Make a leading contribution to debate nationally/internationally about teaching and learning policy, methods and practices.

DIRECTORS OF ENTERPRISE:

In addition to two or more Research statements above:

a. Lead the business development, coordination and implementation of applied research or consultancy strategy, of significant scale, turnover and importance to the University.

b. Accountable for increasing and sustaining substantial research/enterprise income from all sources.

b. Plan and lead consultancy- or research-based enterprise activities of outstanding quality and national/international repute, which advance the reputation of the University.

c. Develop and lead significant business partnerships with external organisations, including cross-disciplinary activities and collaborations.

d. Plan and lead the exploitation of significant research outcomes in the commercial world.

e. Oversee staff teams and resource management processes necessary to deliver enterprise plans, taking overall responsibility for the quality of work and high levels of income generation.

f. Provide expert advice externally e.g. government bodies, industry etc.

LEADERSHIP

a. May act as Head of School on a rotation basis.

b. Take lead responsibility for the appointment, development and management of all staff in the School/Consultancy Unit and for the handling of major processes e.g. forward planning, financial management, teaching, consultancy or research quality.

c. Contribute to the running and strategic direction of the University through designated committee, representative or project activities.

d. Sit on national and international bodies, act as an advisor to government and in other significant external advisory capacity.

e. Manage responses to government consultations and policy, where appropriate, and act as lead University spokesperson with regard to the subject.

f. Contribute to the development of the University’s profile in the UK and internationally.
Features

- The illustration (Figure 1) describes the career framework (and its multiple dimensions) in a simple and easily interpreted manner
- Has Research focused, Teaching Focused and Balanced career paths
- Has flexible career paths – enables individuals to change tracks throughout their career
- Performance in current role a pre-requisite to any promotion
- Recognises the importance of undertaking and dissemination of pedagogic research and the enhancement of teaching and learning excellence
- Incorporates leadership (management of people and resources) at higher levels
- No leadership stream – embedded in criteria
Appendix 5: University of Queensland (UQ)

Summary

The following summary has been extracted from the University website. (http://www.uq.edu.au/hupp/index.html?page=69611&pid=25173)

An academic staffing profile that spans the continuum from research-only (RO) through teaching and research (T&R) to teaching-focused (TF) appointments. There is also a separate clinical academic (CA) track.

There is recognition that research-only academics are vital contributors to the university’s research culture. Similarly, there is recognition that full academic positions with a focus on teaching and the scholarship of teaching strengthen the University’s profile in teaching and associated scholarship.

These categories notwithstanding, there is a commitment to retaining the T&R academic appointment as the predominant academic position at UQ, with the recognition that for any individual the mix of activities may change over the span of a career.

A description of the four broad activities which form an academic profile at the University of Queensland is given below.


**Figure 2: UQ Career Framework**

A more detailed description of the activities for academics in each of these four areas at UQ is below.
UQ Career Model in more detail

<table>
<thead>
<tr>
<th>Teaching</th>
<th>Scholarship of Teaching</th>
<th>Research and creative work</th>
<th>Service and engagement</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Being familiar with the latest developments in one's discipline.</td>
<td>• Developing, practising, evaluating, and communicating improved pedagogies, learning processes, curricula, policies and learning materials.</td>
<td>i. Undertaking activities that fulfill the DEEWR criteria for research. The definition of research is consistent with a broad notion of research and experimental development (R&amp;D) as comprising &quot;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&quot;. R&amp;D is classified by the ABS to include (in addition to pure basic research, strategic basic research, and applied research), experimental development including creative work and performance insofar as they are directly related to original basic and applied research.</td>
<td>• Contributing to activities that benefit the organisational unit (School, Faculty, Institute, University).</td>
</tr>
<tr>
<td>• Being informed by current ideas for teaching in that discipline.</td>
<td>• Having an understanding of how people learn and what practices are most effective in the context of the discipline or the profession (pedagogical content knowledge), and how these practices may be specifically related to training and standards in a particular professional context.</td>
<td>ii. Undertaking activities that support research and meet this definition of research including:</td>
<td>• Providing effective leadership in any area of University activity.</td>
</tr>
<tr>
<td>• Undertaking teaching (and associated coordination) in a range of settings appropriate to the discipline.</td>
<td>• Applying these understandings to work that</td>
<td>• management of staff who are either directly engaged in research or are providing professional, technical or clerical support or assistance to those staff;</td>
<td>• Providing effective links between the University and the external community, including clinical and professional activities, in particular so that:</td>
</tr>
<tr>
<td>• Supervision of students undertaking postgraduate research or advanced specialty programs.</td>
<td>i. breaks new ground and is innovative</td>
<td>• supervision of students undertaking postgraduate research.</td>
<td>i. teaching is fully informed by professional practice;</td>
</tr>
<tr>
<td>• Undertaking reflection, review and continuous improvement of curricula, teaching resources and teaching approaches.</td>
<td>ii. can be replicated and elaborated</td>
<td>iii. Involvement in technology transfer and commercialisation.</td>
<td>ii. research is fully informed by needs of government and industry;</td>
</tr>
<tr>
<td>• Applying new ideas in the discipline or profession and new ideas about teaching to teaching practice.</td>
<td>iii. is documented and subject to peer review.</td>
<td></td>
<td>iii. students have opportunities to undertake community engagement;</td>
</tr>
</tbody>
</table>

For more details on the Scholarship of Teaching and Learning, see [www.uq.edu.au/teaching-learning/index.html](http://www.uq.edu.au/teaching-learning/index.html)
Academic Roles and Mix of duties

The activities described above will normally be carried out by academics at UQ in one of three main roles:

- **Teaching and Research Academic (T&R):** The T&R academic will contribute principally to teaching and research. A contribution to the scholarship of teaching is encouraged and contribution to service is expected.

- **Research–only Academic (RO):** The RO academic will focus effort on research, including supervision of RHD students consistent with the University's rules about supervision. Some participation in undergraduate and postgraduate teaching is encouraged and contribution to service is expected.

- **Teaching-focussed Academics (TF):** The TF academic will contribute principally to teaching and to the scholarship of teaching. Maintenance of currency with the discipline or professional practice and a contribution to service is expected.

- **Clinical Academic (CA):** The Clinical Academic will contribute principally to clinical teaching in an undergraduate, postgraduate and/or professional teaching setting and to clinical research. Contributions to engagement with the relevant clinical profession are expected. Where engagement includes clinical innovation, evidence of dissemination and impact of the innovation is expected.

Changing the Mix of Duties

Across the course of an academic's career, it is possible to shift from one type of academic role to another by varying the mix of duties.

- For a move from TF to T&R: Undertaking a viable and productive research program, showing the capacity to win competitive research grants, and being a member of a suitable research group/team.

- For a move from RO to T&R: Undertaking programs to enhance teaching and supervisory skills, and taking on a full teaching, course co-ordination and research higher degree supervision load.

- For a move from T&R to TF: Demonstrating excellence in teaching, making contributions to the “scholarship of teaching”, taking on teaching leadership roles such as program co-ordinator, undertaking projects such as curriculum review, or chairing relevant school committees related to teaching.

- For a move from T&R to RO: undertaking a viable and productive research program that would justify an RO appointment.

- For a move from TF to CA: contributing as a member of a suitable clinical research group to a viable and productive research program, supervision of postgraduate students and/or students in advanced or speciality programs, strong engagement with the clinical profession, which may include contributions to clinical innovation.
For a move from T&R to CA: a high level of clinical expertise, undertaking clinical research, strong engagement with the clinical profession, which may clinical innovation, supervision of students which may include advanced or speciality programs.

Promotion Process

- There is one promotion round each year, with out-of-cycle exceptionally considered.
- The criteria for the level being sought is applied, in conjunction with the policy Academic Promotion and the candidate's own weighting of teaching, scholarship of teaching, research and service/engagement to reflect their different strengths. (For example, a staff member seeking promotion to Level C will have the Level C criteria applied (in conjunction with the candidate’s weighting of each area)). The promotion guidelines provide the following ranges for weightings:

  - Teaching and research academics - Teaching 30-50% Research 30-50% Service 10-30%
  - Teaching focused academics - Teaching 40-70% Scholarship of Teaching 20-50% Service 10-30%
  - Research only academics - Research 60-90% Teaching 0-20% Service 10-20%
  - Clinical Academics – Teaching 10-60% Research 20-70% Service 20-50%

- Promotion is mainly dependent on demonstrated ability and achievement since the candidate's appointment to the position currently held at the University. Secondary evidence may be derived from work undertaken during earlier career stages that has underpinned the achievement of the relevant standard for promotion.

Extract of Criteria

The following is an extract of the Criteria for part of the UQ criteria.

"3.2 Teaching-focused academic staff

The Role of the Teaching Focussed Academic (TF)

The TF academic will contribute principally to teaching and to the scholarship of teaching. Maintenance of currency with the discipline or professional practice and a contribution to service is expected.

Level B

In addition to the requirements at Level A, a Level B teaching focussed academic will have a developing record in teaching, the scholarship of teaching and/or professional achievement as appropriate to their disciplinary area. They may coordinate and/or lead the activities of other staff, as appropriate to the discipline. They will show the potential for leadership in teaching and learning.

In teaching, a Level B academic will contribute at undergraduate level, take responsibility for the preparation and delivery of substantial course modules and coordinate one or more courses, including collaboration in curriculum design and delivery where appropriate. A Level B academic will undertake a range of activities which contribute to maintaining currency with the discipline. Some involvement in Honours and (where appropriate) Research Higher Degree supervision would usually be expected.

A Level B academic will have a developing profile in the scholarship of teaching. Activity in this area will bring together high levels of discipline-related expertise and pedagogical content knowledge. It will be innovative, able to be replicated and elaborated, documented and subject to peer review. The Level B
academic will take an active role in obtaining funding to support such activity in the form of individual or collaborative projects and fellowships.

In service and engagement, a Level B academic will demonstrate efficient management of allocated internal service roles and will actively contribute to the profession and the community, especially in roles related to teaching and learning.


**Features**

- Recognition of four possible career streams – Research only, Teaching Focused and Reach & Research Academic

- Guidance of the types of activities for an individual to move from one career stream to another (e.g. Teaching Focus to Teaching & Research)

- Recognition of the Scholarship of Teaching and clear expectations that Teaching-Focused academics have this as a core component of their role

- No leadership stream – embedded in some criteria

- Little recognition of the importance of broader management skills (e.g. financial management, people management, etc) required in managing a project/program/school/faculty

- Not necessarily “whole of career” focus – primarily achievement in current role

- For promotion applicants provide their own weighting to emphasis contribution levels within their portfolios relevant to their appointment type / career stream
Appendix 6: Edith Cowan

Summary of Career Framework

Areas of Academic Achievement

There are four (4) areas of academic achievement:

1. **Teaching and Learning**

   Teaching and Learning recognises the role of academics as teachers in the dissemination of knowledge and the student-centred nature of learning.

2. **Research and Creativity**

   Research and Creativity focuses on the generation of new knowledge or creative output.

3. **Engagement**

   Engagement at ECU denotes a particular form of interaction between the University and the broader community. This interaction is characterised by a two-way flow of benefits - central to ECU’s approach, that some academic goals can only be achieved through input from the wider community the University was established to serve.

   The key element in successful engagement between a university and a community is mutuality. In short, there should be benefits for both parties if engagement is to be meaningful, sustained and successful.

4. **Service and Enterprise on behalf of the University**

   **Service to the University** recognises the range of university-based administrative and management responsibilities and may include service to the university of an entrepreneurial nature.

   **Enterprise** recognises the demonstrated capacity of an academic to attract substantial capital or operating income for the University, or other tangible benefits that have helped to change significantly the academic profile of a scholarship or research area.

   Enterprise also includes recognition of the strong and positive relationships that an academic has developed with external stakeholders, with the result that opportunities available for the University and its reputation have been notably enhanced. Such opportunities would be recognised as having university-wide significance, even if they impact largely on a particular school or research centre.

   Applicants applying under the “Enterprise” category must provide evidence of significant achievement in Enterprise on behalf of the University.
Academic Roles

There are seven roles in the Promotions structure

- Teaching and Research Scholar - the standard academic role
- Teacher Scholar
- Research Scholar and Creative Artist
- Practitioner Scholar*
- Academic Leadership
- Enterprise
- Research or Creative Artist ONLY

* enables appointees to demonstrate their achievements through a different mix of activities which do not fit the traditional definition of academic staff and teaching and learning. An example is a joint appointment with a hospital of a nursing clinical specialist.

Weightings

ECU has a weighting system (expressed as percentage ranges) which recognises that staff have different strengths and preferences within the criteria and would wish to have these taken into account in the assessment of their promotion applications.

The University Promotion Advisory Committee and the Faculty/Centre Promotion Advisory Committee identify the combination of weightings that produces the best outcome for the applicant.

Applicants will be assessed and the weights applied in accordance with the assigned academic role / category of application. Most applications fall within the academic role of Teaching and Research Scholar. Other academic roles / categories of application (as identified above) may only nominate to be assessed on the basis of one of these roles if they are currently or have been, contracted, seconded or formally assigned by the Head of the Faculty or Centre to work on the basis nominated.

AN EXTRACT OF 2 WEIGHTINGS

Teaching and Research Scholar (Standard Academic Role)

The following percentage ranges apply:

<table>
<thead>
<tr>
<th></th>
<th>To Level B (Lecturer)</th>
<th>To Level C (Senior Lecturer)</th>
<th>To Level D (Ass. Professor)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Teaching &amp; Learning</td>
<td>40– 60%</td>
<td>25 – 55%</td>
<td>20 – 60%</td>
</tr>
<tr>
<td>Research &amp; Creativity</td>
<td>30 – 50%</td>
<td>25 – 55%</td>
<td>20 – 60%</td>
</tr>
<tr>
<td>Engagement</td>
<td>10 – 20%</td>
<td>10 – 30%</td>
<td>10 – 30%</td>
</tr>
<tr>
<td>Service and Enterprise on behalf of the University</td>
<td>0 – 10%</td>
<td>10 – 20%</td>
<td>10 – 40%</td>
</tr>
</tbody>
</table>
Academic Leadership

The University recognises the need to reflect the important work undertaken by academic staff in leadership roles. Heads of School, Associate Deans, or equivalent may elect to apply under the category of "Teaching and Research Staff" or "Academic Leadership". Where an applicant who holds one of the roles stated above elects to be assessed under the category of "Academic Leadership" the following weightings shall apply.

<table>
<thead>
<tr>
<th></th>
<th>To Level C (Senior Lecturer)</th>
<th>To Level D (Ass. Professor)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Teaching &amp; Learning</td>
<td>20 – 60%</td>
<td>15 – 60%</td>
</tr>
<tr>
<td>Research &amp; Creativity</td>
<td>20 – 60%</td>
<td>15 – 60%</td>
</tr>
<tr>
<td>Engagement</td>
<td>10 – 30%</td>
<td>10 – 30%</td>
</tr>
<tr>
<td>Service and Enterprise on behalf of the University</td>
<td>10 – 30%</td>
<td>10 – 50%</td>
</tr>
</tbody>
</table>

Promotion & Progression Process

Promotions are considered annually.

A summary of the process from the policy:

(a) Promotion to Levels B to C (Lecturer to Associate Professor)

For Levels B to D an Academic staff member must demonstrate that they meet the criteria for promotion through notable and continuing sustained performance across all the areas of academic achievement for their role.

Level B and C promotion decisions are made by the Dean/Executive Dean recommendations from the Faculty/Centre Promotion from the University Promotion Advisory Committee.

Level D promotion decisions are made by the Vice-Chancellor after receiving recommendations from the University Promotion Advisory Committee.

(b) Promotion to Level E (Professor)

An Academic staff member must demonstrate that they meet the criteria for promotion to Professor through a sustained contribution, by means of leadership, innovation and the promotion of excellence at the organisational, national and international level in disciplines that are significantly aligned with ECU's strategic direction.

The Professorial Appointment Committee will determine promotion outcomes based on the strength of the case made by the applicant. Part of the process is to request distinguished assessors external to the University to provide critique on the scholarship and standing of the applicant.
**Extract of Criteria**

Below is an edited extract of the promotion criteria for ECU:


**Level C (Senior Lecturer)**

**Qualifications and/or Relevant Experience**

A PhD or equivalent qualification or professional experience and achievement is required for promotion to Level C, except in the creative and performing arts or under other very exceptional circumstances.

Applicants for promotion to Level C who do not have the required qualification must make their case for recognition of relevant experience and achievement or other exceptional circumstances.

Relevant professional experience, involving a high level of expertise, will be considered in place of such qualifications in appropriate circumstances, where supported by evidence.

A lack of appropriate qualifications or experience may prevent an applicant being promoted.

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**Standard of Performance Expected for Promotion**

A Level B staff member is expected to make contributions to the teaching effort of the institution, and to carry out activities to maintain and develop his/her professional activities relevant to the profession or discipline.

Lecturers (Level B) will normally have a PhD and/or have relevant qualifications and/or professional, performance or creative experience. Teaching activities include initiation and development of unit materials and may include the supervision of honours and research students. Applicants should show evidence of independence and initiative in or Research and Creativity. They are expected to undertake a range of School and Faculty administrative activities, primarily associated with their teaching activities.

(i) For promotion to Level C, Level B applicants are expected to demonstrate achievement of the criteria under their Academic Role / Category of application set out in the table below.

In all cases these criteria represent the minimum (threshold) standards and the applicant also needs to demonstrate "an overall competitive case".

<table>
<thead>
<tr>
<th>Academic Role / Category of application</th>
<th>For promotion to Level C, Level B applicants are expected to demonstrate performance that is at least:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Teaching &amp; Research Scholar</td>
<td>&quot;good&quot; in two or more areas, at least one of which must be teaching and learning or research and creativity.</td>
</tr>
<tr>
<td>Teacher Scholar</td>
<td>&quot;very good&quot; in teaching and learning, and &quot;satisfactory&quot; in another area; or &quot;good&quot; in two or more areas, one of which must be teaching and learning.</td>
</tr>
<tr>
<td>Research Scholar / Creative Artist</td>
<td>&quot;very good&quot; in research and creativity, and &quot;satisfactory&quot; in another area; or &quot;good&quot; in two or more areas, one of which must be research and creativity.</td>
</tr>
</tbody>
</table>
### Academic Role / Category of application

<table>
<thead>
<tr>
<th>For promotion to Level C, Level B applicants are expected to demonstrate performance that is at least:</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Practitioner Scholar</strong></td>
</tr>
<tr>
<td>“very good” in teaching and learning, or research and creativity and “satisfactory” in another area; or</td>
</tr>
<tr>
<td>“good” in two or more areas, one of which must be teaching and learning or research and creativity.</td>
</tr>
<tr>
<td><strong>Academic Leadership</strong></td>
</tr>
<tr>
<td>“very good” in service and enterprise on behalf of the University and “satisfactory” in teaching and learning or research and creativity; or</td>
</tr>
<tr>
<td>“good” in two or more areas, one of which must be teaching and learning or research and creativity, and service and enterprise on behalf of the University.</td>
</tr>
<tr>
<td><strong>Enterprise</strong></td>
</tr>
<tr>
<td>“very good” in service and enterprise on behalf of the University (with a particular focus on Enterprise on behalf of the University), and “satisfactory” in teaching and learning or research and creativity; or</td>
</tr>
<tr>
<td>“good” in two or more areas, one of which must be teaching and learning or research and creativity, and service and enterprise on behalf of the University (with a particular focus on Enterprise on Behalf of the University).</td>
</tr>
<tr>
<td><strong>Research or Creative Artist only</strong></td>
</tr>
<tr>
<td>“very good” in research and creativity and “satisfactory” in another area.</td>
</tr>
</tbody>
</table>

(ii) Applicants for promotion to Level C must as part of their application, present evidence that they are **well advanced towards meeting** the expectations and standards of what is required at Level C.

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### Referee Reports

For applicants to Level C, **at least one referee must be external** to the University.

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### Notes

- Satisfying the minimum levels of performance is a prerequisite to promotion, but alone is not sufficient for promotion.
- Applicants must, as part of their application, present evidence that they are **well advanced towards meeting** the expectations and requirements of what is required at the next level.
- Evidence of performance in the areas of academic achievement in all cases requires a demonstration not only of activity, but of the quality of outcomes and their significance to the University, state, national, and/or international communities.
Features

- Multiple roles with different balances of work to enable flexibility suited to individual skills/preferences
- “Core” role is still the balanced model – Research and Teaching - Clear process to be assigned to a role other than Teaching and Research Scholar; takes into account University needs
- Weighting of promotion criteria based on role focus
- Strong link to performance in current role
- Evidence-based
- Outcomes on quality and significance of impact internally and externally
- Too many categories add complexity
- Requirement of applicants being “well advanced towards meeting the expectations and requirements of what is required at the next level” is open to interpretation and could lead to inconsistency of decision-making
Appendix 7: Queensland University of Technology (QUT)

Summary of Promotion System

The criteria for promotion are:

- teaching
- research and scholarship, and
- service

Applicants for promotion need to demonstrate accomplishment and weight their application in relation to the criteria. The following weighting ranges "reflect the University's expectations of a staff member's profile and accomplishments for each academic level":

<table>
<thead>
<tr>
<th></th>
<th>To level C</th>
<th>To level D</th>
<th>To level E</th>
</tr>
</thead>
<tbody>
<tr>
<td>Teaching</td>
<td>20 - 60%</td>
<td>20 - 60%</td>
<td>20 - 60%</td>
</tr>
<tr>
<td>Research and Scholarship</td>
<td>20 - 60%</td>
<td>20 - 60%</td>
<td>20 - 60%</td>
</tr>
<tr>
<td>Service</td>
<td>20 - 40%</td>
<td>20 - 50%</td>
<td>20 - 50%</td>
</tr>
</tbody>
</table>

For research or teaching intensive applicants, the Policy states the following:

"Applications for promotion from staff who do not contribute in all three criteria will be allowed for staff members in research or teaching intensive roles. Under this arrangement, an applicant will weight one criterion (either teaching or research and scholarship) above the specified maximum. Such an applicant will be regarded as a research or teaching intensive staff member and be expected to have a weighting of up to 80% in either teaching or research and scholarship and a minimum weighting of 20% in one other criterion or a minimum weighting of 20% across the two remaining criteria."

The level of attainment and examples of accomplishment required for promotion to each level are provided in the table entitled Criteria for Promotion (see extract below). Evidence of accomplishment in all three criteria will normally be required except where an applicant is seeking promotion as a research or teaching intensive staff member.

The examples of achievement under each criterion for promotion to each level are cumulative. That is, the examples of achievements relevant to promotion from Level B to Level C also apply to promotion from Level C to D and so on.

Applicants for promotion will be assessed on their relative overall merit in respect of the criteria for the relevant level. The expectations outlined in the table Criteria for Promotion demonstrate accomplishment for each of the three criteria at the level required to be recommended for promotion.

(Source: [http://www.hrd.qut.edu.au/staff/promotion/levelcde.jsp#criteria](http://www.hrd.qut.edu.au/staff/promotion/levelcde.jsp#criteria))

Extract of Criteria

The Level B and C criteria for Teaching; Research and scholarship; and Service are:
## Teaching

<table>
<thead>
<tr>
<th>Promotion to Level B</th>
<th>Promotion to Level C</th>
</tr>
</thead>
<tbody>
<tr>
<td>An applicant must be able to demonstrate a very sound level of competence in teaching and related activities and evidence of a scholarly approach to teaching. Such demonstration could involve presentation of a teaching portfolio.</td>
<td>An applicant must be able to demonstrate a high level of competence in teaching and related activities and evidence of a scholarly approach to teaching. Such demonstration could involve presentation of a teaching portfolio.</td>
</tr>
<tr>
<td>- Preparation and delivery of a range of learning experiences.</td>
<td>- Supervision of programs of study for final year undergraduate or honours, or post graduate coursework students.</td>
</tr>
<tr>
<td>- Supervision of programs of study for final year undergraduate students.</td>
<td>- Supervision of honours or post graduate research projects and students.</td>
</tr>
<tr>
<td>- Associate supervision of project work of honours or post graduate coursework students.</td>
<td>- Teaching which can be regarded as innovative rather than just the application of techniques.</td>
</tr>
<tr>
<td>- Consultation with students.</td>
<td>- Innovative contribution to the methodology of teaching and learning.</td>
</tr>
<tr>
<td>- Conduct of both formative and summative assessment.</td>
<td>- Promoting student development and welfare, such as participating in a student mentoring scheme.</td>
</tr>
<tr>
<td>- Contribution to improved teaching and learning, including the introduction of new or improved teaching and learning processes.</td>
<td>- Contribution to the substantial improvement of existing award units and the introduction of new units.</td>
</tr>
<tr>
<td>- Effective participation in teaching teams.</td>
<td>- Initiation and development of subject material.</td>
</tr>
<tr>
<td>- Contribution to the quality assurance and improvement of academic programs.</td>
<td>- Contribution to the design of new and existing courses, subject areas, majors, years or units.</td>
</tr>
<tr>
<td>- Participation in the design and implementation of existing courses.</td>
<td>- Mentoring for the purpose of developing teaching competence in others.</td>
</tr>
<tr>
<td>- Effective participation in the implementation of the Faculty Teaching and Learning Strategy.</td>
<td>- Formal evaluations consistently at an `above average’ standard by current or past course participants and senior colleagues and evaluations of teaching materials for use in universities.</td>
</tr>
<tr>
<td>- A record of at least ‘average’ reports from formal student evaluations of teaching.</td>
<td>- Evidence of quality outcomes in post graduate supervision such as SEPS, timely completions, etc.</td>
</tr>
<tr>
<td>- Progress toward appropriate tertiary qualifications in higher education teaching.</td>
<td>- Appropriate tertiary qualifications in higher education teaching, or significant progress towards such qualifications.</td>
</tr>
<tr>
<td>- Scholarly teaching including:</td>
<td>- Scholarly teaching including:</td>
</tr>
<tr>
<td>- the implementation of novel approaches to integrating scholarly development into teaching programs</td>
<td>- the development of novel approaches to integrating scholarly development into teaching programs</td>
</tr>
<tr>
<td>- contribution to the formation of productive cross disciplinary linkages.</td>
<td>- contribution to the formation of productive cross disciplinary linkages.</td>
</tr>
</tbody>
</table>
Research and scholarship

<table>
<thead>
<tr>
<th>Promotion to Level B</th>
<th>Promotion to Level C</th>
</tr>
</thead>
<tbody>
<tr>
<td>An applicant must be able to provide evidence of conduct of research and scholarship at an appropriate level.</td>
<td>An applicant is expected to demonstrate a high level competence in research and scholarship.</td>
</tr>
<tr>
<td>Achievements in a number of areas which may include, but will not be limited to, the following examples:</td>
<td>Evidence of achievement for promotion to Level B; and</td>
</tr>
<tr>
<td>- Research in or related to the discipline area(s) of the applicant.</td>
<td>Achievements in a number of areas which may include, but will not be limited to, the following examples:</td>
</tr>
<tr>
<td>- Publications (e.g. articles in refereed journals; professional journals; edited books; patents - provisional and/or innovative - etc), presentations which indicate a contribution to the area of expertise.</td>
<td>- National recognition of the quality and impact of the research and scholarship undertaken including:</td>
</tr>
<tr>
<td>- Contribution to departmental and university team research.</td>
<td>- Major authorship of publications</td>
</tr>
<tr>
<td>- Collaborative research with other organisations/educational institutions.</td>
<td>- Thesis examination</td>
</tr>
<tr>
<td>- The practice and/or critique of creative works and design, including their public exhibition.</td>
<td>- Invitations to address national conferences/seminars</td>
</tr>
<tr>
<td>- Successful grant applications including internal grants.</td>
<td>- The award of prizes</td>
</tr>
<tr>
<td>- Research into tertiary education and/or continuing education from the perspective of the applicant's discipline</td>
<td>- Member of editorial boards</td>
</tr>
<tr>
<td>- Relevance of research and scholarship to QUT's mission and goals.</td>
<td>- Citations</td>
</tr>
<tr>
<td>- Contribution to QUT’s research culture including collaborative work with other QUT staff in research programs.</td>
<td>- External research funding</td>
</tr>
<tr>
<td>- Applied research to serve a useful social or commercial purpose (regardless of whether the work is publishable in its own right or subject to commercial in confidence limitations).</td>
<td>- Publications (e.g. articles in refereed journals; professional journals; edited books; patents - provisional and/or innovative - etc), presentations which indicate a significant contribution to the area of expertise.</td>
</tr>
<tr>
<td>- Leadership in QUT’s research culture including involvement or inclusion of other QUT staff to research programs, research mentoring.</td>
<td></td>
</tr>
</tbody>
</table>
Service

<table>
<thead>
<tr>
<th>Promotion to Level B</th>
<th>Promotion to Level C</th>
</tr>
</thead>
<tbody>
<tr>
<td>An applicant must be able to demonstrate regular participation and competence in service roles.</td>
<td>An applicant must be able to demonstrate a high level of participation and competence in service roles.</td>
</tr>
<tr>
<td>Achievements in a number of areas which may include, but will not be limited to, the following examples:</td>
<td>Evidence of achievement for promotion to Level B; and</td>
</tr>
<tr>
<td>- Contribution to administration, policy development and/or membership of School, Faculty or University committees.</td>
<td>Achievements in a number of areas which may include, but will not be limited to, the following examples:</td>
</tr>
<tr>
<td>- Membership of relevant professional bodies or community groups or participation in professional practice or in the development and delivery of continuing education programs for the profession.</td>
<td>- Public or professional standing or recognition.</td>
</tr>
<tr>
<td>- Contribution to the development of the Faculty/School strategic/operational plans including social justice objectives.</td>
<td>- Developing and maintaining relevant links with the community, industry and government.</td>
</tr>
<tr>
<td>- Involvement in consulting work with the community, industry and government conducted through the University.</td>
<td>- Development and delivery of continuing education programs for the profession.</td>
</tr>
<tr>
<td>- A range of administrative functions connected with units taught in the School.</td>
<td>- Participation in professional bodies and learned societies.</td>
</tr>
<tr>
<td>- Contributions to cross faculty and cross sectoral cooperation in pursuit of University objectives.</td>
<td>- Involvement in the wider community and contribution to external boards, committees, commissions or similar bodies of relevance to the University.</td>
</tr>
<tr>
<td>- Trade Union service, including local, state and federal involvement</td>
<td>- A range of administrative functions connected with units and/or courses taught in the School.</td>
</tr>
<tr>
<td><strong>Note:</strong> Activities associated with private practice as defined in the MOPP D/7.1 will not be considered as evidence of service (or any other criterion) for the purpose of promotion.</td>
<td>- Involvement in or responsibility for management or administrative activities within a Faculty, School or area.</td>
</tr>
<tr>
<td><strong>Note:</strong> Activities associated with private practice as defined in the MOPP D/7.1 will not be considered as evidence of service (or any other criterion) for the purpose of promotion.</td>
<td>- Contribution to the development of the University's strategic and top level plans and to Faculty or School operational plans</td>
</tr>
</tbody>
</table>

Features

- Has flexibility to include teaching-focused and research-focused roles
- Does recognise leadership as a part of ‘Service’
- Clearly articulates status of private practice in the promotions policy
- Does not recognise contribution to the university (i.e. leadership) in its own right
- No clear articulation of career paths
Appendix 8: Macquarie University (MU)

Summary of System

(source: http://www.hr.mq.edu.au/PolicyForms/DevelopingatMacquarie/AcademicPromotion.html)

Applicants for promotion will be expected to demonstrate that they meet the “Promotion and Selection Criteria” of the level to which they seek promotion. The selection criteria represent the minimum level of experience, skills and knowledge expected at each level. These criteria are stated with regard to the form and level of contribution a person can be expected to make to the three elements of academic endeavour – teaching, research and community engagement – at each academic level.

Applications will be assessed against the following criteria by a Faculty based committee for promotion to Level B and University Committee for promotion to Levels C, D and E. The criteria are indicative only, and if overall performance is of the appropriate standard, not every criterion will need to be met.

Teaching

- Teaching performance [T1]
- Leadership in learning and teaching [T2]
- Student-focussed learning and teaching [T3]
- Research-enhanced learning and teaching [T4]
- Scholarship of teaching [T5]

Research

- Research performance [R1]
- Leadership in research [R2]
- Research mentoring and training [R3]
- Research collaborations [R4]

Community Engagement

- Contributions to the University, faculty and/or department community [C1]
- Contributions to community and professional organisations, government agencies, NGOs, public intellectual discussion and the general community [C2]

It is also understood that experience will be subject to opportunity and the relevant requirements of the discipline area; and that the University values an interdisciplinary approach at all levels and in each of the three elements – teaching, research and community engagement. The policy also states: “The weight given to teaching, research and community engagement will take account of an applicant’s workload allocation and nature of appointment.”

The criteria are cumulative such that the criteria of each previous level must also be met.
Qualification or Minimum Requirements

For a Level B and above qualifications are “a completed Doctoral Degree OR evidence of peer reviewed independent research and/or standing/reputation considered to be of an equivalent standard in the discipline area”.

Promotion & Progression Process

Case for Promotion

When applying the applicants must put forward a case demonstrating achievement in all three areas, with:

- applicants for Levels B and C emphasising excellence in at least one
- applicants for Level D emphasising excellence in at least two
- applicants for Level E demonstrating excellence in all three elements

Centralised vs decentralised process

<table>
<thead>
<tr>
<th>Level being promoted to</th>
<th>Committee</th>
<th>Approval of promotion</th>
<th>Decentralised or centralised</th>
</tr>
</thead>
<tbody>
<tr>
<td>Lecturer</td>
<td>Faculty Promotion Committees</td>
<td>Vice-Chancellor</td>
<td>Decentralised process but centralised approval</td>
</tr>
<tr>
<td>Senior Lecturer, Associate Professor and Professor</td>
<td>Central Promotion Committees</td>
<td>Vice-Chancellor</td>
<td>Centralised</td>
</tr>
</tbody>
</table>

Alignment between promotion and appointment criteria

“Promotion and Selection Criteria” are contained in Attachment A of the Policy. The selection criteria represent the minimum level of experience, skill and knowledge expected (1) Teaching (2) Research and (3) Community Engagement at each level. The criteria apply to appointment and promotion.

Links between promotion and performance management

In order to be eligible for promotion, applicants must complete their Performance Development and Review in the preceding year.

Quotas

No quotas - “The University does not impose quotas on the number of positions available at any of the levels to which promotion may be sought”.
## Extract of Criteria

<table>
<thead>
<tr>
<th>Level C</th>
<th>Teaching</th>
<th>Research</th>
<th>Community Engagement</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Meet the requirements of Level B, plus:</td>
<td>Meet the requirements of Level B, plus:</td>
<td>Meet the requirements of Level B, plus:</td>
</tr>
<tr>
<td></td>
<td>- Extensive experience in the design and delivery of quality curriculum and unit material as evidenced by students, supervisors and / or peers. [T2]</td>
<td>- Evidence of independent and original contributions to research which have a significant impact on their field of expertise. [R1, R2]</td>
<td>- Evidence of ability to successfully administer and co-ordinate an award program. [C1]</td>
</tr>
<tr>
<td></td>
<td>- Evidence of a developed and explicit teaching philosophy. [T5]</td>
<td>- A record of high quality refereed publications or other demonstrated scholarly activities. [R1]</td>
<td>- Evidence of a significant contribution to professional activities relevant to the discipline and/or community at a national level. [C2]</td>
</tr>
<tr>
<td></td>
<td>- Evidence of leadership in teaching at the discipline level. [T1, T2]</td>
<td>- National recognition within the area of research speciality. [R2]</td>
<td>- Demonstrated ability to improve the student experience. [C1, C2]</td>
</tr>
<tr>
<td></td>
<td>- Display innovation in curriculum and pedagogy. [T1, T2]</td>
<td>- An active research program and a history of successful research programs. [R1]</td>
<td>- Evidence of significant contribution to Faculty committees and/or projects. [C1]</td>
</tr>
<tr>
<td></td>
<td>- Evidence that current pedagogical research informs learning and teaching practice. [T4]</td>
<td>- Evidence of capacity to build productive research collaborations. [R4]</td>
<td>- Positively raised Macquarie University's profile by involvement in media, or higher level public discussion. [C2]</td>
</tr>
<tr>
<td></td>
<td>- Evidence of capacity to build productive learning and teaching collaborations. [T2]</td>
<td>- A demonstrated ability to attract internal or external research funding. [R1]</td>
<td></td>
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<tr>
<td></td>
<td>- A demonstrated ability to attract internal or external learning and teaching funding. [T5]</td>
<td>- A demonstrated ability to attract and successfully supervise postgraduate research students to completion. [R3]</td>
<td></td>
</tr>
<tr>
<td>Level</td>
<td>Teaching</td>
<td>Research</td>
<td>Community Engagement</td>
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<tr>
<td>D</td>
<td>Meet the requirements of Level C, plus:</td>
<td>Meet the requirements of Level C, plus:</td>
<td>Meet the requirements of Level C, plus:</td>
</tr>
<tr>
<td></td>
<td>• Evidence of an enacted teaching philosophy informed by the scholarship of teaching. [T5]</td>
<td>• Evidence of major original contributions to the field of study that influenced thinking and/or practice in the field. [R2]</td>
<td>• Evidence of a contribution to the governance and collegial life within the University. [C1]</td>
</tr>
<tr>
<td></td>
<td>• Demonstrated leadership in incorporating research into learning and teaching. [T4, T5]</td>
<td>• An active research program and a substantial record of academic publications and/or of successful research programs. [R1]</td>
<td>• Evidence of a major contribution in University committee work and/or contributions to the wider community. [C1, C2]</td>
</tr>
<tr>
<td></td>
<td>• Evidence of leadership in teaching beyond the discipline. [T1, T2]</td>
<td>• Leadership at a national level in the area of research speciality. [R2]</td>
<td>• Positively raised Macquarie University's profile as a recognised expert in a field. [C2]</td>
</tr>
<tr>
<td></td>
<td>• Evidence of mentoring staff in learning and teaching. [T2]</td>
<td>• Demonstrated ability to build research collaborations. [R4]</td>
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<td>• A record of invitations to examine theses, assess competitive grant applications, present papers, and/or other peer esteem indicators. [R2]</td>
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<td>• A demonstrated ability to attract external research grants. [R1]</td>
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<td></td>
<td>• A demonstrated ability to attract and successfully supervise a significant number of postgraduate research students to completion. [R3]</td>
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</tbody>
</table>

Features

- Each criteria is multifaceted
- Scholarship of teaching included in the Teaching criteria
- Mixture of decentralisation and centralisation of the promotions process
- As there are so many facets, how are they weighted?
Appendix 9: La Trobe University (LTU)

Summary of Framework

La Trobe University changed its Academic Promotion Policy in 2009. Key features include:

- Everyone is expected to make a contribution in all four assessment areas below:
  1) teaching and supervision;
  2) research and scholarly activity;
  3) University service; and
  4) professional and community service.
- Promotion occurs based on one of three major foci:
  1. Excellence in Research
  2. Excellence in Teaching
  3. Excellence in both Research & Teaching
- Promotion awarded on the basis of the **quality and impact of contributions** to the University’s goals in teaching and research. (e.g. now not enough to be on a University Committee – need to demonstrate what contribution personally made to the Committee’s work)
- The promotions process is **evidence** based. The University has developed an **Academic Promotions Evidence Matrix** to clearly outlines examples of evidence of performance and achievement at each level of appointment across the four assessment areas. (see Section 3)

An extract of the Latrobe Academic Promotions Policy:

“For the purposes of this policy...:

**research and scholarly activity** includes:
- discovery and innovation,
- creative works,
- scholarship of teaching and learning,
- scholarly integration or synthesis, and
- knowledge transfer or application.

**Teaching and supervision** includes:
- subject teaching,
- laboratory or studio-based teaching,
- supervision of individual students in clinical placements, and of honours theses,
- supervision of postgraduate research higher degree students.

**University service, management and leadership** includes:
- contributions to program, School, Faculty, regional and University goals.

**Professional and community service, management and leadership** includes:
- contributions to a wide range of external bodies and forms of knowledge transfer.
In each of these four areas, academic work should be informed by a critical reflection on existing knowledge and best practice. Achievement should be supported with three kinds of evidence:

- externally peer-reviewed outputs;
- documentation of appropriate preparation and professional development;
- feedback and evaluations from relevant people such as referees, students, supervisors or external partners.

Applicants for promotion to Level E will be expected to provide evidence of excellence in research/scholarship and/or teaching and supervision that is recognised internationally. They will also be expected to provide evidence of leadership such as leadership in promoting research, developing research training, fostering excellence in teaching and encouraging academic staff development; and leadership in a discipline, program, School within the University and within the wider community.

Applicants for promotion at all levels are encouraged to provide evidence of leadership, appropriate for that level, whether of a formal or informal kind, which enhances teaching and/or research at the University. The University will recognise and reward academics whose teaching and research is interdisciplinary or innovative in ways that may challenge existing disciplinary conventions.

The University will also recognise excellence and leadership in clinical or professional practice as part of the role of an academic in professional Schools/Departments/Faculties. (source: http://www.latrobe.edu.au/policy/documents/academic-promotions-policy-2009-05-20.pdf)

Promotion & Progression Process

Key features:

- Academic promotion criteria will be consistent with selection criteria, probationary review criteria and the University’s performance management framework

- One centralised Promotions Committee for all promotions (to Levels B to E). Committee comprises of the DVC, a Professor from each Faculty and other nominations from the Vice Chancellor to “balance” the committee (e.g. gender or disciplinary)

- Promotions committee meets monthly - 10 times per annum (not January or June)

- All applications have to be approved by the Disciplinary Head, Head of School and the Faculty Dean before submission to the Promotions Committee

- There is a two stage process at the Promotions Committee stage, with overall elapsed time between 2-3 months

  1. Application reviewed to see if enough evidence for promotion.
     - If so, internal and/or external assessors/peer reviewers selected (nominated by Applicant and Head of School) to assess either whole of application or more likely, specific areas identified by the Promotions Committee
     - If not, feedback provided on areas requiring improvement

  2. Final decision made by Promotions Committee based on application and assessor reports

- Committee makes recommendation to VC (and informs Academic Board)
• Salary increase occurs next pay period first full pay period after VC’s approval (previously had to wait until 1 January)

• No time limit on re-application – but must show something significant has changed since the last application (e.g. major grant, award, book published etc)

• Takes a **whole of career approach** not just achievements since last promotion – i.e. adjustments made to research output expectations if the applicant had a significant academic management role during some period in their career
## Evidence Matrix Extracts


### La Trobe University Evidence Matrix - Generic for all levels

#### Academic Promotions Matrix

<table>
<thead>
<tr>
<th>Professional and Community Service, Management and Leadership</th>
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<tbody>
<tr>
<td><strong>Types of Evidence Required</strong></td>
</tr>
<tr>
<td>Academic Disciplines and/or Professions</td>
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<td></td>
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<tr>
<td><strong>Externally peer-reviewed articles or other independently assessed measures of quality and impact</strong></td>
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</table>

*Policy Database Document Reference Number 34000.
La Trobe University Evidence Matrix – Specific for Level B

<table>
<thead>
<tr>
<th>Academic Promotions Matrix</th>
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</thead>
<tbody>
<tr>
<td><strong>Level B</strong></td>
</tr>
<tr>
<td>Types of Evidence Required</td>
</tr>
<tr>
<td>Co-authorship or authorship of TEL reports</td>
</tr>
<tr>
<td>Development of curriculum/subject</td>
</tr>
<tr>
<td>Successful participation in LTU funded TEL project</td>
</tr>
<tr>
<td>Delivery of paper at LTU or equivalent TEL conference</td>
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<tr>
<td>Positive peer review of curriculum/subject by School evaluator</td>
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<tr>
<td>External peer-reviewed outputs or other independent measures of quality and impact</td>
</tr>
<tr>
<td>Successful completion of LTU 5 day TEL program or equivalent</td>
</tr>
<tr>
<td>Participation in LTU and/or equivalent TEL conferences or workshops</td>
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<tr>
<td>Feedback, evaluations and assessments from students, graduates, colleagues, managers, external parties, etc.</td>
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</tbody>
</table>

Last updated 19 May 2009
Features

- Outcomes and contributions focused
- Evidence Matrix very clear on expectations of evidence to be provided; is a living document and will be updated periodically
- Application needs Discipline Head, Head of School and Dean approval before being submitted
- Two stage process for promotion – Committee determines nature of additional evidence/peer review required and who does it
- Allows different foci – teaching, research and both
- Whole of career perspective
- Leadership expected at all levels
- One Committee of senior academics (professorial level) who meet frequently - may provide consistency at all levels and in all faculties (but is it too much of a significant organisational commitment to promotion)
- Regular meetings of the Promotions Committee – allows individuals to submit promotions when the evidence is gathered – should prevent premature requests as no artificial deadlines imposed (i.e. annual or bi-annual) but there is no time limit on resubmission
Appendix 10: Commercial R&D Framework (ComR&D)

Summary of Framework

This is a career model developed for the R&D Division of a major manufacturer. The Division aimed to become more aligned with the requirements of the business and wanted flexible career structure to recognise and reward people as they developed skills in their technical areas of expertise and also more broadly. There were two major areas of expertise – Product Performance and Manufacturing Process.

![Commercial R&D Career Framework](image)

**Figure 3: Commercial R&D Career Framework**
Translated to the Academic career structures, the framework could look like this *(Note: this is illustrative only and is not yet fully developed for use within UTS’s framework):*

**Figure 4: Translated concept Framework**

**Promotion & Progression Process**

Role descriptions and selection criteria were built around the Career Matrix. To be promoted into a higher level role, an individual needed to provide evidence of what they had done to meet or exceed the criteria of the shaded minimum requirements for the role. The also needed to have an above satisfactory performance rating on their current role. The criteria requirements were embedded into the performance review process and on application for recognition at a higher level role.

Promotion reviews would occur at the same time as the annual performance review, and in between on request by the individual’s manager.

**Extract of Criteria**

Each cell of the matrix has a detailed set of criteria as illustrated:
A more detailed abstract:

A. Managed and consistently met customer expectations within the scope of a customer project role. Identified opportunities to improve R&T's customer service.

and

Assisted others in the completion of projects through proactive knowledge sharing.

and

B. Independently delivered customer solutions for two or more medium/large or several small projects by applying breadth and/or depth of knowledge within one or more of the Manufacturing Processes areas listed in Level B including:

- Actively kept up to date with relevant business, technical and legislative developments affecting the industry in general and Manufacturing Processes in particular;
- Conducted interviews and discussions, and sustained relationships with customers' middle management;
- Defined problem approach, including where appropriate, developing new techniques or processes to solve complex Manufacturing Process issues;
- Analysed, applied and contributed to Company's best practices knowledge of the product area(s);
- Developed conclusions, recommendations and implementation strategies and evaluated the practicality of implementing them;
- Developed and presented innovative, practical solutions to customer middle management; and
- Showed active drive towards the successful implementation of solutions.

and

Recognised by customers for expertise in their Process area(s) and regularly sought by customers to provide advice on complex issues.
Features

- Flexible and multifunctional
- Transparent
- University can utilise the matrix to plan for and determine:
  - Organisation skills requirements
  - Succession planning
  - Training and development planning
  - Project assignment
  - Performance management
  - Salary structure
- Individuals can utilise the matrix to:
  - Undertake career planning
  - Set objectives
  - Design a Development Plan including project and T&L experience required to move to the next level
- Requires strong performance management process and staff development process
Appendix 11: CSIRO

Summary of Career Framework

At CSIRO, there are two main career areas:

- research scientists/engineers
- research support services

Each stream offers a different career path depending on skills, career objectives and the sort of work individuals seek. Careers can often switch between the two streams.

CSIRO is one of Australia's largest employers of research scientists and engineers but like UTS, also requires people with diverse skills in a broad range of areas.

In the Science Engineering career area, the four research capability streams are consulting, scientists/engineers, management and projects.

Consulting

Research Consultants initiate, develop, lead and promote CSIRO's research capability for the benefit of Australia's economy, society and/or environment by forming strategic partnerships with industry. In this role you may establish multi-organisational, collaborative research programs leading to the delivery of results for clients.

Opportunity to pursue new ideas and approaches, build and maintain alliances, collaborate on the uptake of research results and play a lead role in preparing detailed research proposals and project reports.

Entry requirement: PhD or equivalent, together with relevant practical experience, or managerial and/or commercial qualifications, and significant experience and depth of understanding of science either from a research or industry perspective.

Scientists and engineers

As a Research Scientist/Engineer opportunity to conduct innovative research leading to scientific achievements that are aligned with CSIRO's strategies.

May be engaged in scientific activity ranging from research to the investigation of specific industry or community problems.

Opportunity to build and maintain networks, play a lead role in securing project funds, provide scientific leadership and pursue new ideas and approaches that create new concepts.

Entry requirement: PhD or equivalent and proven research ability in your field.

Management

In Research Management - initiate, develop, lead and promote CSIRO's research capability for the benefit of Australia's economy, society and/or environment.

Provides management and/or leadership of research, client relationships, staff and other resources and ensure delivery of scientific results to clients.

May also be responsible for the establishment and facilitation of multi-team and multi-organisational collaborative research programs aligned with CSIRO's strategic goals.

Entry requirement: PhD or equivalent and/or managerial qualifications combined with significant experience and understanding of science from either a research or industry background.
Projects

In the Research Projects area - collaborate in scientific activities with other research people by assisting with detailed planning, undertaking experimental and observational work, and in carrying out the more practical aspects of the work.

At senior levels, may be involved in providing consulting services, science management and/or industry liaison.

There are 9 levels within the organisation (see below).

Progression & Promotion

Individuals in roles Level 7 and above are subject to 5 yearly performance reviews conducted by a CSIRO Review Panel. This panel either recommends no change to level, a promotion or reversion to a previous level.

Extract from CSIRO Enterprise Agreement

38. APPOINTMENT, MERIT PROMOTION AND ADVANCEMENT –CSOF LEVEL 7 AND ABOVE

(a) An officer’s classification is not linked to the officer’s tenure. Classification at CSOF Level 7 and above (all functional areas) on appointment to CSIRO or following merit promotion, is held on an ongoing basis (as it is for lower CSOF levels), but at level 7 and above is. The Officer’s Business Unit will be represented on the Review Panel, with the remaining members being external to the Business Unit concerned. In relation to a specified term officer, the 5 year period will commence on appointment or reappointment. This paragraph does not operate to extend a specified term officer’s employment beyond the end of the term for which they are employed.

The review will assess the staff member’s performance against the Classification Level Descriptors in Schedule 6, as expanded in CSIRO’s Work Classification Standards and related documentation, and will initially utilise existing material and information. As a result of this initial assessment, the Panel may:

(i) Approve continuation at the existing level;

(ii) Recommend consideration of promotion to a higher level; or

(iii) Seek additional information through discussion with the officer and the officer’s line managers, if the Panel is unable to support continuation based on the initial assessment.

(b) Continuation at the existing level

Continuation at CSOF 7 or CSOF 8 will be dependent on the officer demonstrating the required level of performance for the classification concerned and in all functional areas, other than Research Scientist/Research Engineering and Research Consulting, a management requirement for the work to continue to be performed at the higher level.

(c) Recommendation for consideration of merit promotion to a higher level

The Review Panel can make a recommendation that a case be prepared for merit promotion to a higher level. In this case, CSIRO’s normal reclassification processes will apply (see clauses 36 and 42).

(d) Reversion

If, after considering the additional evidence provided under subclause (a)(iii) of this clause, the Review Panel determines that, on balance, an officer’s performance during the period under review, was below the required standard, the officer will be informed of this finding and will be given 28 days in which to provide the Review Panel with a more detailed submission in support of retention at the higher level. The Review Panel may grant an extension beyond 28 days in exceptional circumstances, such as an extended absence from the workplace. The officer will be given the opportunity to address the Review Panel in relation to the submission. In assessing the officer’s submission, the Review Panel may seek clarification and evidence through further consultation and discussion with the officer concerned and the officer’s line managers. If,
after further consideration the Review Panel determines that reversion remains the appropriate course of action, the officer will be notified in writing of the Review Panel's determination.

Reversion will take effect 14 days from the date on which the officer is notified.

Review Panel’s final determination. Where an officer declines to submit a case for retention at the higher level, the reversion will take effect 28 days from the date on which the officer was informed of the Review Panel's initial finding.

The level to which the officer reverts as a result of a 5 year review will be no lower than the maximum of the next CSOF level below the officer's existing level.

Nothing in this clause precludes an officer from exercising appeal rights under CSIRO's Terms and Conditions.

**Extract of Criteria**

There are nine levels in the CSIRO Agreement. Levels 6-9 are most relevant to the UTS context:

<table>
<thead>
<tr>
<th>Level</th>
<th>Descriptor</th>
</tr>
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</table>
| 6     | Within broad guidelines, manages one or more highly significant projects or services, or undertakes work that has impact on the development of scientific or technological knowledge, on industry or on the community. This requires the application of high levels of disciplinary expertise or managerial knowledge. Demonstrates broad insight and significant skills in areas of expertise. Ability to deal with concepts requiring well developed deductive, evaluative and investigative skills that lead to outstanding work. Leadership, planning and negotiation skills, accountability for resources, initiation and management of change and well developed representation skills are commonly features of this level  
OR  
Within broad guidelines on research project objectives, undertakes scientific or engineering research requiring a considerable degree of originality, creativity and innovation and the application of expert scientific or engineering knowledge. Has demonstrated ability in research planning and execution, and the judgement and tenacity required to reach research goals. May provide leadership to staff within the project, and may be responsible for the management of human, financial and material resources. |
| 7     | Under broad guidance about objectives, manages a very significant administrative program. This requires a high degree of resource management and leadership ability. Has extensive expert knowledge, and considerable ability in planning and executing projects and implementing results. Typically provides expert administrative leadership to colleagues, with significant conceptual and creative input. Plans at the subprogram level, comprising a range of related projects, to meet objectives. Typically seeks, allocates and monitors significant resources. Has a significant role in negotiating complex, sensitive or contentious issues.  
OR  
Under broad guidance about research project objectives, undertakes scientific or engineering research requiring substantial originality, creativity and innovation and the application of expert scientific or engineering knowledge. Has proven capacity to identify research opportunities consistent with Business Unit's objectives. Considerable ability in research planning, execution and/or ability to implement research results. The scientist's or engineer's research has had a significant influence on their field of research. Typically provides scientific or engineering leadership to more junior colleagues. May plan and provide project leadership to meet objectives and seek, |

QUALIFYING STATEMENT:

In levels 3, 4, 5 and 6 of the above classification level descriptors, “knowledge and skills” refers to the appropriate level of professional, technical, administrative or managerial knowledge and skills as specified in the CSIRO’s Work Classification Standards.
<table>
<thead>
<tr>
<th>Level</th>
<th>Descriptor</th>
</tr>
</thead>
</table>
| 8     | Allocate and monitor resources.  
OR  
Functions as a senior specialist.  
Under broad guidance about objectives, assists in the overall strategic management of a Business Unit or manages a major scientific, engineering or administrative program. This requires a high degree of resource management and leadership ability. Has extensive expert knowledge of his/her field, and outstanding ability in planning and executing programs and implementing results. Typically provides expert scientific, engineering or administrative leadership to colleagues, with significant conceptual and creative input.  
Plans at the program level, comprising a range of related projects, to meet objectives. Seeks, allocates and monitors substantial resources. Has a major role in negotiating more complex, sensitive or contentious issues.  
OR  
Under broad guidance about research program objectives, undertakes outstanding scientific or engineering research requiring a high degree of originality, creativity and innovation. The scientist's or engineer's achievements represent a substantial advancement in scientific knowledge or for industry or for the community. Has extensive scientific or engineering knowledge, and outstanding ability in research planning, execution and/or implementing research results. Typically has an international reputation in a significant field of science or engineering or industrial application and provides expert scientific or engineering leadership to research colleagues. May plan at the program level, typically for multiple projects, to meet objectives and seek, allocate and monitor resources. May have a major role in negotiating complex, sensitive or contentious issues.  
OR  
Functions as a senior specialist.  
Note: Special promotion criteria apply to advancement within this level. |
| 9     | Responsible for the management of a research division or equivalent group. This requires outstanding strategic and resource management, and leadership and communication ability, coupled with sound understanding of the commercial application of scientific and technological innovations. Has extensive expert scientific, engineering or administrative knowledge, and outstanding ability in planning, execution and implementing results, combined with significant entrepreneurial skill. Provides pivotal leadership reflecting considerable vision matched by strategic planning skills, achievement, drive and focus on outcomes. Seeks, allocates, monitors and is accountable for very substantial human, financial and material resources. Carries overall responsibility for negotiating complex, sensitive and contentious issues.  
OR  
Has such eminence in a significant field of science or engineering that appointment as a CSIRO Fellow is warranted.  
OR  
Functions as a senior specialist.  
Note: Special promotion criteria apply to advancement within this level. |
Features

- Has four career streams
- Recognises both PhD and professional experience
- Can advance in both management and research focused roles
- Five yearly independent review of performance against criteria helps prevent complacency – option to confirm current level, recommend promotion or if performance not meeting standard, a demotion to the top of the level below
- Clear promotion (and appeals) process
- Descriptors in Enterprise Agreement – can only be amended when new Enterprise Agreement is negotiated rather than in response to changes within the organisation
Appendix 12: References and Resource Documents


Department of Innovation, Industry, Science and Research (2010). *Meeting Australia’s Research Workforce Needs*


Mercer (2008). *ATN Attraction and retention project: proposed program of work*

Mercer (2009). *Role Definition for Academic Staff*

Skills Australia (2010) *Australian Workforce Futures: A National Workforce Development Strategy*

UTS Internal Documents

Academic Staff Agreement 2010

Report of the UTS Workforce Planning Process 2009

The following directives set out arrangements related to the recruitment, selection and appointment of Distinguished Professors and Academic Managers.

- Appointment of Deans Policy –
  http://www.hru.uts.edu.au/manual/3rec_sel/recruit.html#3.8

- Appointment of Associate Deans Vice-Chancellor's Directive -

- Appointment of Heads of School Vice-Chancellor's Directive -

- Appointment of Heads of Department Vice-Chancellor's Directive -

- Appointment of Distinguished Professor by Invitation Vice-Chancellor's Directive -
Other Universities and Organisations

University of Southampton (US)
Academic Promotions Guide for Candidates
http://www.southampton.ac.uk/hr/managing/promotion/academicpromotionguidesforcandidate.pdf

University of Queensland (UQ)

Edith Cowan University (ECU)

Queensland University of Technology (QUT)
http://www.hrd.qut.edu.au/staff/promotion/levelcde.jsp#criteria

Macquarie University (MU)
http://www.hr.mq.edu.au/PolicyForms/DevelopingatMacquarie/AcademicPromotion.html

La Trobe University (LTU)

A Commercial R&D Function (CR&D)
Oppeus International Pty Ltd

CSIRO