ACADEMIC PROMOTIONS POLICY AND PROCEDURE

CONTENTS

1 PURPOSE

1.1 CQUniversity manages a promotion system for academic employees that is fair, equitable and transparent, and recognises and rewards individual merit and achievement.

1.2 This policy and procedure outlines the process for academic promotion to reward and recognise academic employees who have demonstrated outstanding achievements.

2 SCOPE

2.1 This policy and procedure applies to all CQUniversity academic employees, excluding honorary, adjunct, casual or sessional staff, clinical title holders, and visiting appointments. Fixed term employees are eligible for promotion.

3 POLICY STATEMENT

3.1 Academic promotions form part of CQUniversity's performance framework and align with the University's values and strategic and organisational goals.

3.2 CQUniversity is committed to a fair, transparent and rigorous academic promotions process based on individual merit and sustained achievement.

3.3 Academic employees who meet the criteria set out in this policy and procedure will be offered an opportunity to apply for promotion each year.

3.4 Promotion will be evaluated on evidence of performance in the areas of engagement (including social innovation), leadership, learning and teaching, research, and service.

3.5 Upon proven attainment of a relevant Doctoral Qualification, any fixed-term or continuing Level A academic employee will be appointed to a minimum of Level A6 from the next pay period. Level A employees holding a relevant Doctoral Qualification and demonstrating satisfactory performance will automatically progress to level B1 after 12 months at Level A8.

3.6 Applicants must have participated in professional and career development discussions regarding their promotion aspirations and have the support of their supervisor prior to applying for promotion.

3.7 Applicants will be assessed on their demonstrated performance and outcomes in accordance with the Central Queensland University Enterprise Agreement 2017, Academic Profiles Procedure and any other relevant governance documents.

3.8 The Academic Promotions Committee shall manage the promotions process in a confidential manner based on the Academic Promotions Committee Terms of Reference and in accordance with this policy and procedure.

3.9 The Vice-Chancellor and President may approve out-of-round promotions in exceptional circumstances.

Academic career path

3.10 The Enterprise Agreement provides for career progression based on experience and achievement.

3.11 Academic employees normally apply for promotion to a higher academic level when they reach the top of the level at which they are appointed, and their achievements, performance and goals are supported under the Performance Review, Planning and Development (PRPD) and/or Performance Enhancement Program (PEP) process.

3.12 Academics who are not at the highest step of their academic level may apply for promotion if they reasonably believe their achievements and qualifications are sufficient to qualify them for the next academic level.

Academic promotion principles

3.13 An academic promotions round will be conducted annually, generally from June to October.

3.14 Successful promotions take effect from 1 January the year following the promotion round.

3.15 An academic employee may apply for promotion only once every two years unless invited to do so by the Academic Promotions Committee.

3.16 The outcome of previous applications for promotion is not relevant to a current promotion round.

3.17 Applicants can only be considered for promotion to the academic level specified in the application. For example, an application for promotion from Level B to Level D that is unsuccessful will not be considered for promotion to Level C.

3.18 Unsuccessful applicants in one year will be given advice by the Academic Promotions Committee about when a subsequent application is appropriate, but in no instance will this be more than two years.

3.19 Recommendations for promotion are made by the Academic Promotions Committee to the Vice-Chancellor and President. Refer to the Academic Promotions Committee Terms of Reference for more information.

3.20 Applications must be submitted online by the specified closing date and may be rejected if not prepared according to the requirements set out in this policy and procedure. An applicant may withdraw without penalty up until the deadline for submission of the Final Statement of Application. This means the applicant

is still eligible to apply for promotion the following year. However, if an applicant does not formally withdraw and does not submit an application by the deadline, they have not met the requirements and will be found ineligible to apply for promotion the following year.

3.21 Applicants must submit an Expression of Interest in Applying for Academic Promotion (EOI) prior to submitting a full application. This EOI must be acknowledged by the applicant's Dean as evidence of support for an applicant's aspiration to promotion.

3.22 Applicants are responsible for ensuring the accuracy of their application and the availability of their referees.

3.23 Feedback will be provided to unsuccessful applicants by the Chair upon request.

4 PROCEDURE

Eligibility

4.1 An employee must be employed with CQUniversity in a continuing or fixed term role for at least 12 months before applying for academic promotion.

4.2 All eligible employees may only apply for promotion once every two years, except where invited by the Academic Promotions Committee.

4.3 Employees applying for promotion should normally have a doctoral qualification (or equivalent).

Criteria

4.4 Applications for academic promotion will be assessed using criteria for performance outlined in the Enterprise Agreement. This document requires applicants to be able to demonstrate sustained and outstanding capability in the following areas of achievement:

- engagement, including social innovation (practiced across academic activity)

- international collaboration, engagement and/or internationalisation of the curriculum.

- leadership

- learning and teaching

- scholarship of learning and teaching

- research and innovation

- contribution to research – in both an applicant's discipline as well as learning and teaching related research

- service.

4.5 Appointment category

Category	Teaching	Scholarship/ Research	Service/ Engagement	EFTSL limit
Teaching intensive	75	15	10	33
Teaching scholar	65	25	10	29
Teaching and research	55	35	10	25
Research focussed	30	60	10	15
Research intensive	20	70	10	10

4.6 Teaching academics will be able to have excess teaching load recognised as a contribution to scholarship of learning and teaching for the purposes of applying for promotion, provided that the contribution has not been recognised in another way, such as with workload relief. All other requirements of promotion must be satisfied. Refer to the Academic Profiles Procedure for more information.

Application

Expression of interest (EOI)

4.7 An EOI must be acknowledged by the applicant's Dean and submitted before a Final Statement of Application may be submitted. An EOI may be rejected if incorrect details are provided by the applicant.

4.8 The EOI includes:

- applicant details
- current appointment details
- eligibility criteria
- academic level to which promotion is sought.

4.9 An EOI must be submitted approximately three weeks after the promotion round opens.

4.10 Deans must acknowledge the EOI as evidence of support for the applicant's intention to apply for promotion. If a Dean does not support the EOI, an applicant may submit a request for reconsideration, but may still proceed with an application for promotion.

4.11 Applicants have approximately seven weeks to finalise their Statement of Application after the EOI is submitted.

Internal reports

4.12 After an EOI is approved, reports for each applicant from CQUniversity's internal systems in the following areas will be requested:

- research activities – including publications, grants and research higher degree supervision
- learning and teaching activities – including at least one teaching evaluation
- engagement – including social innovation.

4.13 These reports will be provided to the Academic Promotions Committee as additional background on each applicant.

Referees

4.14 Applicants must nominate referees to support their application for academic promotion. Referees will be required to submit a report by the same date the Final Statement of Application is due.

4.15 The number and type of referees required depends on the academic level to which promotion is being sought:

- Level B – three referees
- Level C – three referees, one of whom must be external to the University*
- Level D – four referees, two of whom must be external to the University*
- Level E – four referees, three of whom must be external to the University and at least one of whom must be international*.

Referees who are external to the University are people who have not been a CQUniversity employee during the three years preceding the application.

4.16 It is the applicant's responsibility to ensure their nominated referees:

- hold levels of appointment at or above the level to which promotion is being sought
- are not the Vice-Chancellor and President nor their Deputy/Pro Vice-Chancellor/Dean, Director or Head of Course/Department or member of the Committee
- are not their supervisors, other than in exceptional circumstances

- receive a copy of their application to their referee to enable appropriate comments to be made

- have submitted their report by the required deadline.

4.17 Applicants must ensure they provide a copy of their Statement of Application to their referee.

4.18 Applications may be rejected if referee reports do not conform with the requirements outlined above.

Dean's recommendation

4.19 Deans must submit a Recommendation for Promotion Form. This recommendation should reflect the progress and achievements of the applicant in accordance with their annual PRPD/PEP process and feedback during their preparation for promotion.

4.20 Applicants must submit a final draft of their Statement of Application to their Dean to enable an informed recommendation to be prepared.

4.21 The Dean must submit their recommendation within two weeks of receiving an applicant's Statement of Application.

4.22 Applicants can continue to make minor adjustments to their application during this period.

Statement of application

4.23 The Statement of Application must provide a clear account of the applicant's achievements over the last five years, or since their last promotion, to demonstrate readiness for promotion.

4.24 The Statement must be clear, concise and coherent and demonstrate achievement of the expectations outlined in the Academic Profiles Procedure and the Enterprise Agreement at the relevant level, and provide clear evidence to support achievements.

4.25 It must be no longer than 10 pages (a list of publications may be in addition to this).

4.26 The Statement should include an Executive Summary page as a mechanism to highlight achievements and to assist the Committee in assessing applications. This would be included in the 10 page limit.

4.27 The Statement must provide evidence of:

- sustained performance – ongoing capacity to perform at the academic level to which promotion is sought, including demonstration of advanced professional practice and evidence of scholarly activity in the applicant's discipline

- leadership – contribution to governance, strategic direction, planning, capacity building, engagement in professional bodies, editing or refereeing or evaluation of other activities, engagement in critical public debate and social innovation, building strong international partnerships and student opportunities

- work completed – work in progress will only be taken into consideration where the work can be reasonably appraised

- two or three examples that best illustrate achievements rather than a catalogue of all experience

- equivalent accreditation and standing where further formal study is not undertaken, demonstrated by:
  o a detailed portfolio
  o comparison of attainment, eg an extensive record of internationally-recognised peer-reviewed publications would be regarded as equivalent to a PhD
  o extensive professional publication (eg, high quality journalism) and/or performance
  o proven industry recognition.

4.28 Evidence may include:

- letters of support or commendation

- background information about post-graduate or research programs

- feedback from participants at workshops or seminars

- letters of support acknowledging contribution of service

- recent media opportunities/newspaper articles

- details of significant invitations and activities contributing to the applicant's profession

- details of professional development activities, or

- evidence of University aligned international collaboration, engagement and/or internationalisation of the curriculum activity.

4.29   Statements should be saved as a single PDF document in the following format:

- single sided

- 12 point, Arial font

- single spaced

- A4 pages

- numbered pages

- 10 pages maximum (publications list is in addition to this length).

4.30   Statements should include a copy of the Dean's Recommendation as the first page.

4.31   An application may be rejected if it does not meet these requirements and format. Applicants are encouraged to use the Academic Promotions Checklist at Appendix 3 before submitting an application.

4.32   Late applications will not be accepted other than in exceptional circumstances as determined by the Committee Chair.

List of publications

4.33   Applicants must submit a List of Publications from the last five years as part of their application. There is no page limit but the list must set out publications in categories listed below.

    A.   Books
        A1   Authored – research
        A2   Authored – other
        A3   Edited
        A4   Revision/New edition

    B.   Book Chapter

    C.   Journal Articles
        C1   Refereed article in a scholarly journal
        C2   Other refereed contribution to a scholarly journal
        C3   Non-refereed articles
        C4   Letters or notes

    D.   Major Reviews

    E.   Conference Publications
        E1   Full written paper – refereed
        E2   Full written paper – non-refereed
        E3   Extract of paper
        E4   Edited volume of conference proceedings

    F.   Audio Visual Recordings

    G.   Computer Software

H. Technical Drawing/Architectural and Industrial Design/Working Model

I. Patents

J. Other Creative Works
   J1   Major written or recorded work
   J2   Minor written or recorded work
   J3   Individual exhibition of original art
   J4   Representation of original art

K. Other

Academic promotions committee

4.34   The Academic Promotions Committee will assess applications to determine whether:

- the application meets the criteria as detailed in this policy and procedure

- the application demonstrates sustained academic performance and achievement commensurate with the level to which the person is applying.

4.35   The Committee may reject applications for any level that do not meet these requirements.

4.36   The Committee will also determine if any additional information is required, or if any applicants for promotion to Levels B and C may be promoted without interview.

Interviews

4.37   The Committee will invite interviews as follows:

- Levels B and C – applicants who have not submitted a sufficiently strong or clear application

- Levels D and E – all applications who the Committee has assessed as meeting the requirements outlined in this Policy and Procedure.

4.38   Dates for interviews will be set at the beginning of the promotions round and are generally held in Rockhampton.

4.39   It is the applicant's responsibility to ensure they are available in person on the day of the scheduled interview. Requests for changes to scheduled dates or to attend the interview via virtual technology will be rejected. Host Schools or Directorates will be responsible for costs associated with travel to attend an interview.

4.40   Applicants who decline an interview will have their applications considered solely on the basis of the information submitted in the application, including referee reports and publication list.

4.41   The Committee may seek additional reports from up to two independent referees chosen by the Committee. Applicants will be advised if additional referees are sought.

4.42   An external member will be appointed to the Committee by the Vice-Chancellor and President for consideration of applicants applying for promotion to Levels D and E.

4.43   Where an application for promotion is made by an Indigenous employee, the Committee may be increased to include the Pro-Vice-Chancellor (Indigenous Engagement).

Recommendation for promotion

4.44   The Committee will submit recommendations for promotion to the Vice-Chancellor and President for final determination at the conclusion of interviews.

4.45   Refer to the Academic Promotions Committee Terms of Reference for more details.

Outcome

4.46 The Vice-Chancellor and President will advise applicants of the outcome of their application in writing.

4.47 Notice will then be provided to the University Executive, including Deans and Associate Vice-Chancellors in the first instance, followed by the broader University community.

Appeals

4.48 Applicants will have an opportunity to appeal a decision regarding a promotion application decision only on the grounds of procedural irregularity.

4.49 Applicants may appeal in writing to PACDirector@cqu.edu.au within five working days from the deemed date of receiving written notice of the outcome of their promotion application decision.

4.50 In exceptional circumstances, an appellant may request additional time to appeal by applying in writing to the Committee Secretary, who will request written approval from the Vice-Chancellor and President.

Appeals panel

4.51 The Committee Chair will convene an Academic Promotions Appeals Panel within five working days of receiving the written appeal in writing, comprising:

- Vice-Chancellor and President's nominee
- a Deputy Vice-Chancellor
- a Professor of the University
- Director, People and Culture (or nominee).

4.52 Committee members who made the original recommendation regarding the appellant's application, shall not be Panel members.

4.53 The Panel may request written or verbal statements from any Committee members and/or applicants to assist their deliberations in regard to the appeal.

4.54 The Panel may make any of the following recommendations after receiving an appeal:

- dismiss the appeal
- refer the matter to the original Committee for a re-hearing
- make any such other recommendations as it thinks just, including allowing the appellant to make a new application earlier than would otherwise be allowed under this Policy and Procedure.

Appeals outcome

4.55 The Panel will submit a recommendation to the Vice-Chancellor and President regarding determination of the appeal.

4.56 The Director, People and Culture will advise the appellant and the Committee Chair in writing of the appeal decision, the reason/s for the decision, and any outcomes resulting from the decision.

5   RESPONSIBILITIES

Compliance, monitoring and review

5.1 The Vice-Chancellor and President, Director, People and Culture, and Secretary to the Academic Promotions Committee are responsible for implementing, monitoring, reviewing and ensuring compliance to this policy and procedure.

Records management

5.2 Employees must manage records in accordance with the Records Management Policy and Procedure. This includes retaining these records in a recognised University recordkeeping information system.

5.3 University records must be retained for the minimum periods specified in the University Sector Retention and Disposal Schedule on the Queensland State Archives website.

6 DEFINITIONS

6.1 Terms not defined in this document may be in the University glossary.

Terms and definitions

Academic employee: employed by CQUniversity according to the position descriptions relating to Academic Levels A-E, Principal Research Employees and English Language Centre employees and casual academic employees.

Promotion: transition from one classification level to another (eg, from Level A to Level B, or from Level B to Level C). Promotion for academic employees occurs as a result of demonstrated performance in the areas of engagement (including social innovation), leadership, learning and teaching, research and service, according to the position held and at the level specified in the Enterprise Agreement, Academic Profiles Document and any other relevant governance documents.

Research: activities related to research performance, leadership in research, research mentoring and training, and research collaborations. Refer to the Academic Profiles Procedure for more information.

Service-related work/engagement: contributions to internal University, faculty and/or department communities, and contributions to external community and professional organisations, government agencies, non-government organisations, public intellectual discussion and the general community.

Teaching: activities related to teaching performance, leadership in learning and teaching, student-focussed learning and teaching, research-enhanced learning and teaching, and the scholarship of teaching. Refer to the Academic Profiles Procedure for more information.

7 RELATED LEGISLATION AND DOCUMENTS

Academic Profiles Procedure

Academic Promotions Committee Terms of Reference

Central Queensland University Enterprise Agreement 2017

Delegation of Authority Policy (FMPM)

8 FEEDBACK

8.1 Feedback about this document can be emailed to policy@cqu.edu.au.

9 APPROVAL AND REVIEW DETAILS

Approval and Review	Details
Approval Authority	Vice-Chancellor and President
Advisory Committee to Approval Authority	Vice-Chancellor's Advisory Committee
Administrator	Provost
Next Review Date	05/06/2022

Approval and Amendment History	Details
Original Approval Authority and Date	Executive Committee of Council 08/08/2001
Amendment Authority and Date	Council 28/04/2003; Registrar and Chief Compliance Officer 06/052005; Vice-Chancellor and President 14/02/2006; Director, Human Resources 16/05/2006; Deputy Vice-Chancellor 24/07/2006; Vice-Chancellor and President 07/06/2007; Pro Vice-Chancellors 03/07/2007; Vice-Chancellor and President 31/08/2007; Vice-Chancellor and President 20/05/2008; Vice-Chancellor and President 15/06/2009; Vice-Chancellor and President 27/07/2010; Vice-Chancellor and President 09/05/011; Vice-Chancellor's Advisory Committee 05/2015; Vice-Chancellor's Advisory Committee 11/05/2016; Vice-Chancellor and President 5/06/2019.
Notes	This document was formerly known as the Academic Promotions Principles (09/05/2011). This document replaced and consolidated the Academic Promotions Policy and Academic Promotions Procedure (11/05/2016).

10   APPENDICES

Appendix 1: Overview

Preparation

10.1   It is important to properly prepare for promotion. Applicants should typically be preparing for promotion 12-24 months in advance of submitting an application. Tips to prepare include:

- discuss your intention and readiness for promotion with your Dean

- include aspirations for promotion in your PRPD or PEP

- check your eligibility for promotion

- familiarise yourself with the assessment criteria for promotion

- attend an Academic Promotions Information Session

- talk to colleagues who have recently achieved promotion

- contact potential referees.

Expression of interest

10.2   Submit an EOI

- ensure all details are correct, including academic level applied for and appointment category

- ensure your Dean is aware of your intention and will support your EOI.

10.3   Your Dean must acknowledge this EOI Form before your application can proceed. If your Dean does not support your EOI, you may submit a request for reconsideration.

Referees

10.4   You must nominate referees in accordance with the requirements set out this procedure. These referees will be contacted by the People and Culture Directorate (PAC) and requested to provide a referee report.

10.5   You should provide a copy of your Statement of Application to your referees to enable them to provide an informed referee report. You are responsible for ensuring your nominated referees submit their reports to PAC by the deadline (the same date as the Statement of Application is due). If reports are not submitted in time, your application may be rejected.

Dean's recommendation

10.6   You must submit a final draft version of your Statement of Application to enable your Dean to prepare an informed Recommendation for Promotion. If you do not agree with the Recommendation, you can submit a Response to Recommendation Form with your Statement of Application for consideration by the Academic Promotions Committee.

Statement of application

10.7   Submit a Statement of Application (maximum of 10 pages). Ensure evidence of how you meet the criteria is clearly outlined. Publications will be additional to the 10 pages. Late applications or those that do not meet the requirements set out in this policy and procedure will be rejected. You must also submit a copy of your Statement to your referees.

Internal reports

10.8   The Academic Promotions Committee will receive internal reports providing data on research grants and outputs (where relevant), learning and teaching activities, and engagement activities for each applicant.

Committee assessment

10.9 The Committee will assess the Statement of Application, Internal Reports and Referee Reports for each applicant, and determine whether applications meet the criteria as detailed in this policy and procedure. The Committee will invite interviews for:

- Level B and C applicants who have provided insufficient information or where clarification is required

- all Level D and E applicants.

Committee recommendation

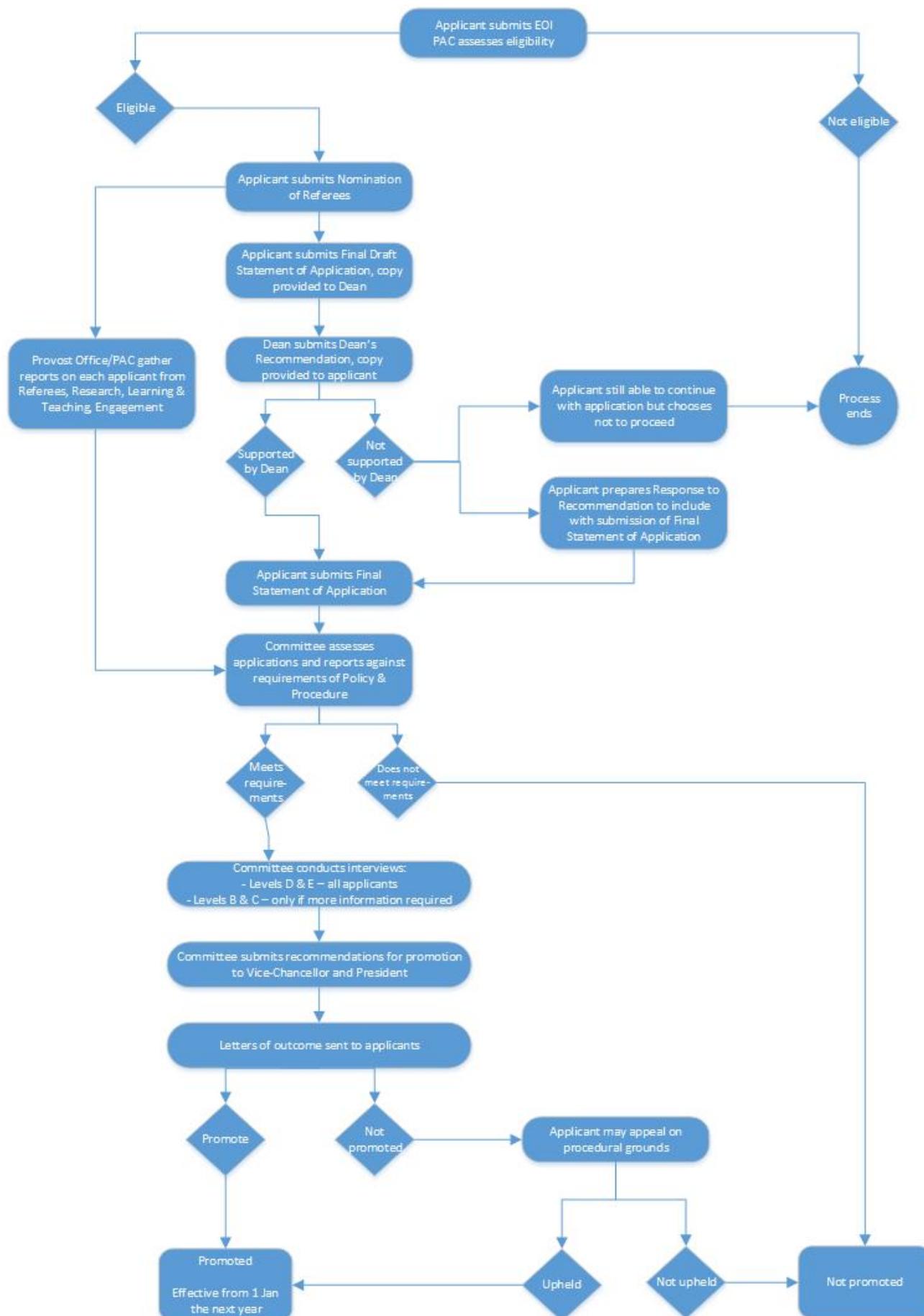10.10 The Committee will make recommendations for promotion to the Vice-Chancellor and President.

Outcome

10.11 The Vice-Chancellor and President will make a final determination and inform applicants, University Executive, and the broader University.

Appeals

10.12 An appeals process will be available to unsuccessful applicants on the basis of procedural irregularity.

Appendix 2: Flowchart of promotion process

Applicant submits EOI
PAC assesses eligibility

Eligible

Not eligible

Applicant submits Nomination of Referees

Applicant submits Final Draft Statement of Application, copy provided to Dean

Provost Office/PAC gather reports on each applicant from Referees, Research, Learning & Teaching, Engagement

Dean submits Dean's Recommendation, copy provided to applicant

Applicant still able to continue with application but chooses not to proceed

Process ends

Supported by Dean

Not supported by Dean

Applicant prepares Response to Recommendation to include with submission of Final Statement of Application

Applicant submits Final Statement of Application

Committee assesses applications and reports against requirements of Policy & Procedure

Meets require-ments

Does not meet require-ments

Committee conducts interviews:
- Levels D & E – all applicants
- Levels B & C – only if more information required

Committee submits recommendations for promotion to Vice-Chancellor and President

Letters of outcome sent to applicants

Promote

Not promoted

Applicant may appeal on procedural grounds

Promoted

Effective from 1 Jan the next year

Upheld

Not upheld

Not promoted

Appendix 3: Application checklist

Preparation

Have you discussed your promotion aspirations in your PRPD/PEP?	
Have you discussed your interest in promotion with a recently promoted colleague? Have you checked the dates for the Academic Promotion Round?	
Have you read the Academic Promotions Policy and Procedure?	
Do you meet the criteria to apply for promotion?	
Do you have your supervisor's support to apply for promotion?	
Have you indicated to your Dean that you intend to apply for promotion and that you will be seeking a support for your promotion application?	
Have you attended an Academic Promotion Information Session?	

Expression of Interest in Applying for Academic Promotion (EOI)

Are your contact details correct?	
Have you identified the level to which you would like to apply for promotion, eg Level D?	
Have you identified the correct appointment category, eg teaching scholar?	
Have you identified referees and provided their correct contact details?	
Is your Dean aware you will be submitting an EOI?	

Statement of Application

Is it in 12 point, Arial font?	
Is it single spaced?	
Is it on A4 pages?	
Is it 10 pages or less?	
Have you numbered all pages?	
Have you included a copy of your Dean's Recommendation?	
Have you clearly indicated your academic achievements?	
Have you provided evidence to support your achievements?	
Does your application demonstrate your achievement of the expectations outlined in the Academic Profiles Procedure at the appropriate Level?	
Does your application address all the relevant areas of service: - engagement, including social innovation (practiced across academic activity) - leadership - learning and teaching - scholarship of learning and teaching - research and innovation - contribution to research-related learning and teaching - service - international collaboration, engagement and/or internationalisation of the curriculum	
Does your application demonstrate your achievement of the expectations outlined in the Academic Profiles Procedure for your category?	

List of publications

Have you included a full list of your publications from the last five years	
Is it in the correct format?	

Before submitting

Have you done a final check of your application, including for spelling and grammar?	
Did you ask one of your professional colleagues to read your application and provide feedback?	
Is it in a single PDF document?	
Is the application ready on or before the deadline?	

After submitting

Have you sent a copy of your application to all nominated referees?	