From: Catherine Pugsley
To: AMOD
Cc:

Subject: 4 yearly review of modern awards: AM2w014/229
Date: Thursday, 9 June 2016 5:14:42 PM
Attachments: Witness statement of Prfofessor Peter Coaldrake.pdf

Dear AMOD team

4 yearly review of modern awards – Education Group (AM2015/6)

AM2014/229 – Higher Education (Academic Staff) Award 2010

Further to the material filed on 6 June in the above matter, AHEIA attaches witness statement of Professor Peter Coaldrake in reply to the NTEU submissions, witness statements and documentary material filed on 11 March 2016. This statement was not filed on 6 June as the witness has been overseas, and has returned to Australia today.

Yours sincerely

Catherine Pugsley | Workplace Relations Consultant | Australian Higher Education Industrial Association |
phone: 03 9614 5550 | direct: 03 8611 0514 | mobile: 0413 643 753 | fax: 03 9614 3125 |
catherine.pugsley@aheia.edu.au | www.aheia.edu.au |

IN THE FAIR WORK COMMISSION

Fair Work Act 2009

S 156 - Four Yearly Review of Modern Awards – Education Group (AM2015/6)

AM2014 Higher Education (Academic Staff) Award 2010 [MA000006]

WITNESS STATEMENT OF PROFESSOR OWEN PETER COALDRAKE AO

1. My name is Owen Peter Coaldrake and my business address is the Chancellery, Queensland University of Technology, George Street, Brisbane Queensland. I am Vice-Chancellor of Queensland University of Technology (**"QUT"** or **''University''**). I have held that position since April 2003, and am the longest-serving incumbent Vice-Chancellor in Australia. Prior to taking up this position, I was Deputy Vice-Chancellor at QUT from 1994 to 2003.

2. I hold a Bachelor of Arts (Hons) from James Cook University (1973), a PhD from Griffith University (1978) and was made DUniv by Griffith University in 2015. I have held a number of scholarships and awards, including a Fulbright Postdoctoral Fellowship at George Washington University, Washington DC (1980-81) and a Fulbright Senior Scholar Award at the University of Arizona (2001-2). My professional appointments include:

   - Member, Higher Education Management Review (Hoare Committee) 1995
   - Convenor, Australian Technology Network (ATN) 2003-2004 and 2013-2015 and Member, Board of Directors, Universities Australia (previously Australian Vice-Chancellors' Committee) 2006-2008
   - Deputy Chair of the Board, Universities Australia 2008-2009
   - Chair of the Board, Universities Australia 2009-2011
   - Panel Member, Review of Research Policy and Funding Arrangements (Watt Review) 2015
   - Chair, Fulbright Scholarship National Selection Committee 2015- continuing.

3. I have published widely in the field of higher education policy and governance. Major publications include:

- <u>Raising the Stakes: Gambling with the Future of Universities</u> (with Lawrence Stedman), University of Queensland Press, 2013. (2016 revised edition in press)

- <u>Academic Work in the Twenty-first Century, Changing Roles and Policies</u> (with Lawrence Stedman), DETYA, September 1999

- <u>On the Brink: Australia's Universities Confronting their Future</u> (with Lawrence Stedman), University of Queensland Press, 1998.

4. In addition to my work in academia, I have significant experience in public sector management. From 1990 to 1994 I was Chair of the Queensland Public Sector Management Commission. This was a full-time statutory role, leading the Goss Government's reforms of the Queensland public sector.

About Queensland University of Technology

5. QUT is a connected, relevant and collaborative institution that seeks to solve real-world challenges. It is a member of the Australian Technology Network, along with the University of South Australia, Curtin University, University of Technology Sydney, and RMIT University. QUT is ranked in the top 2 per cent of universities worldwide (Times Higher Education World University Rankings 2015-16) and is one of Australia's fastest growing research universities. The University's research is very favourably assessed by external agencies (eg. Australian Government 2015 ERA). Staff and students work and study in technology-rich, world-class precincts. The University is well known for its strong links to, and collaboration with, industry and government.

6. The University has over 50,000 students and offers academic programs from bachelor degrees to PhD in business, creative industries, education, health, science and engineering, and law. Some 25 per cent of enrolments are postgraduate, and 17 per cent of students come from overseas.

7. The University employed 11,152 staff over the 2015 calendar year, at an employment cost of $546 million. As at 31 March 2015, the university's FTE was 4,869.3, of which 48 per cent were employed on an ongoing basis, 32 per cent fixed-term and 19 per cent casually. The majority of staff members (55 per cent) were engaged in professional

positions, followed by academic at 42 per cent and senior staff at 3 per cent. The University experienced steady growth in FTE between 2013 and 2015 at just over 7 per cent, while employment costs grew by just over 13 per cent. This accounted for 57.2 per cent of the University's total revenue.

Changes in the higher education sector and the impact on academic work

8. For some decades now, the higher education sector in Australia and overseas has been undergoing significant change, and the pace of change continues to accelerate. A number of emerging trends present challenges to the higher education sector, including advances in technology, reduced public funding, increased competition and amplified student expectations. There is a general consensus that these trends are driving change in the way academic work is done now and will be conducted in the future. More specifically, we expect to see greater diversification of existing academic roles, the emergence of new roles that support different components of academic work, the establishment of specialised professional teams to bring together the required mix of capabilities, and an increase in the prevalence of industry partnerships.

9. QUT has already begun to make a successful shift towards the new ways of undertaking academic work, demonstrated through an increase in effective multi-disciplinary collaboration, real world engagement, transformative learning and teaching, e-research and strategically aligned internationally focused research.

10. Without doubt, these contemporary demands can rub against traditional academic values. This has often been expressed as a sterile dichotomy between managerialism and collegiality. Indeed, academic unions have used the word ''management'' in a pejorative way when negotiating with University representatives, and even some Vice-Chancellors have preferred to use the word ''leadership''.

11. The golden age of democratic collegiality in universities, in the form of management by representative committees, lasted in Australia until the 1970s and 1980s, by the end of which period the financial crisis arising from cuts in government funding began to bite. Since that time it has been ever more apparent that the basis on which traditional collegial government rested, that of a community of scholars, would not suffice to deal with the need to manage changes that were occurring in all organisations. Nor could it

be reconciled with the desire of universities to reap the benefits of these changes by acting as entrepreneurial organisations, willing and able to grow by fitting what they did to the needs of government, business or other sectors of the community.

12. The most important of these changes was the fact that money, whether public or private, no longer came without strings attached. Funds were either earmarked at the outset, or else allocated on grounds of efficiency and effectiveness. Professional management was a necessity; it was not, as some have tried to portray it, an economic rationalist fad. Academic status and power could not be held constant across all areas as some individuals and disciplines proved better able to access funding than others, and as individual performance became ever more important to institutional prosperity.

13. It follows from the above that the supposed dichotomy between managerialism and collegiality is as unhelpful as that between leadership and management. In reality, contemporary university management is a complex amalgam of administration, academic decision making, financial management, strategic planning and marketing, residing in a large organisation with multiple stakeholders and subject to ongoing shifts in priorities and demands. To say that an approach to such complexity is either managerial or collegial adds little.

14. Universities now have clearer expectations about the outputs they expect from academics. In particular, there is an increased expectation in relation to research outputs. This has been reflected in world research rankings, in which Australia is now achieving better outcomes. My observation would be that the hours per week worked by academics have likely increased over the past 20 years. However, my view is that a competent academic should be able to complete their work within an indicative average of 5 days per week across 46 weeks per year, as set out in QUT's University-wide Framework for Academic Workload Allocation.

15. I understand that the NTEU claim in these proceedings seeks, for the first time, to regulate working time for academics in an industrial award. Academics view their work as a vocation rather than as a mere job, and are driven by their desire to advance knowledge in their chosen field. This ideal is reinforced by non-assigned hours, indeed assigned hours would cut across academic freedom. The non-regulation of working hours for academics is a feature of academic terms and conditions internationally. The inclusion of regulation of working hours in an industrial award would mean that

Australian academics would be working under quite different arrangements from those of their international peers. Academia is a global market, with staff often moving internationally to take up appointments.

Academic Promotion

16. The way in which academics at QUT move from one classification level to another is through the promotion process. This is not a process of reclassification against the descriptors for academic work that appear in the enterprise agreement. It is a process of review by the academic's senior and other peers, which focuses on demonstrated accomplishment across the areas of academic work: teaching; research and scholarship; and service. The concept of peer review is fundamental to academia: for example, publications such as journal articles are peer-reviewed.

17. There are two processes for promotion at QUT: for Levels B and C, and for Levels D and E. For promotion from Level A to Level B or Level B to Level C, the staff member's supervisor will provide them with an indication of the necessary achievements and evidence, performance standards and a timeline for promotion. The promotion plan will normally cover a period of one to three years, and is subject to consultation and confirmation by the executive dean of faculty. At the conclusion of the period covered by the promotion plan, the executive dean will review the promotion plan and associated documents to determine whether the promotion will be approved. Attached are the following documents relevant to promotion: The QUT Policy for Promotion for Academic Staff (**Attachment A**); the two promotion processes (**Attachment B**); the Academic Promotion Plan (Levels A to C) (**Attachment C**).

18. For promotion from Level C to Level D, or Level D to Level E, applications are assessed by the Promotions Committee. The Committee comprises:

- The Chancellor or nominee as chair
- The Vice-Chancellor or nominee
- One member nominated by and from the University Academic Board
- One distinguished member from the professions, industry or government, nominated by the Vice-Chancellor

- Two academic staff of the University at Level D or E, elected by and from all the full-time and part-time academic staff, one of whom is at Level D and one at Level E

- One distinguished academic (who may be external to the University) nominated by the Vice-Chancellor.

19. The Position Classification Standards at Clause 17 of the enterprise agreement are not used to assess applicants for promotion: they play no role in this.

20. We are now able to measure at least some aspects of academic work usefully. In particular, research, publications and related activity can be benchmarked nationally. Internal benchmarking is meaningless in an institution that is ambitious and seeking to advance against national and international standards. Nor should we apologise that the standards used for promotion are higher than they were. The standards set in 2016 are certainly higher than they were three to five years ago, and one would hardly expect otherwise.

21. The Australian promotion process of peer review rather than reclassification is also the process used internationally, particularly in the United Kingdom, the United States, Canada and New Zealand. As with the introduction of regulation of hours in an industrial award, a system whereby an industrial tribunal could determine the classification of an academic staff member would put Australia significantly out of step with its international peers.

22. Australia's universities compete with each other for the same resources: students, research grant money. They also compete for the talent pool of academics. Skilled academics can, and do, make rapid advancement via the promotion process. If a university abandoned its promotion process, it would lose talented staff to other institutions.

Professor Owen Peter Coaldrake AO

9 June 2016

Attachment A

QUT University Policy (Manual of Policy and Procedures)

B/5.3 Promotion for academic staff

Contact Officer	Associate Director, Policy and Workplace Relations
Approval Date	05/03/2014
Approval Authority	Vice-Chancellor
Date of Next Review	01/03/2017

5.3.1 Policy statement

Recognition and reward of the accomplishments of staff is essential to the motivation, attraction and retention of quality staff. QUT is committed to recognising and rewarding such accomplishments which further its vision and goals.

In line with this commitment, QUT provides academic staff with access to a promotion scheme which focuses on demonstrated accomplishment across the areas of teaching, research and scholarship, and service. These areas cover the diversity of academic activities and recognise disciplinary differences.

Staff are guided and assisted in career development and opportunities for promotion through the University's Performance planning and review for academic staff (B/9.2).

5.3.2 Definitions

For the purposes of this policy:

- "research staff" means research-only academic staff appointed at Levels B - D
- "head of school" means the head of a school or equivalent and includes the Deputy Vice-Chancellor (Learning and Teaching) for staff in the Learning and Teaching Unit
- "executive dean" means the executive dean of a faculty or equivalent and includes the Deputy Vice-Chancellor (Learning and Teching) for staff in the Oodgeroo Unit
- "faculty" means faculty or equivalent
- "promotion committee" refers to University Promotion Committee.

5.3.3 Eligibility

To apply for promotion an academic staff member must:

- hold an on-going or fixed-term appointment (which may be either full-time or part-time), and
- have a minimum period of service with QUT of one year at the time of application.

Fixed-term appointees are eligible to be promoted within the term of their contract.

Sessional academic staff members are ineligible for promotion.

Eligible academic and research staff may apply for promotion to the next higher level to their substantive appointment only.

Staff members who are not successful in their application for promotion to Level D or Level E in one year may not apply for promotion in the following year except in the circumstances below:

- where the staff member's application in the previous year was a first application, or
- where the Vice-Chancellor decides, on the basis of material provided by a staff member, that because of extenuating circumstances the staff member will be significantly disadvantaged by not being able to apply in the next promotion round.

5.3.4 Timing of promotion rounds

Promotion rounds will be conducted annually for promotion to Levels D and E.

Promotion to Levels B and C will occur through the PPR-AS process. Eligible academic staff members may submit their Promotion Plan and evidence of completion for promotion to Level B or C at a time agreed by the staff member and their supervisor. Under this process, promotion is outcomes-focussed and evidence based against the criteria for promotion, and the promotion date does not need to be linked to either the timing of the staff member's PPR-AS cycle or their incremental progression date.

5.3.5 Approving authority

Promotion to Levels D and E will be approved by the Vice-Chancellor on the recommendation of the University Promotion Committee (B/5.5).

Promotion to Levels B and C will be approved by the executive dean, on the recommendation of the head of school.

5.3.6 Confidentiality

All material and deliberations relating to promotion applications will be treated in the strictest confidence by all participants of the promotion process.

5.3.7 Role of PPR Supervisor

All academic staff have a supervisor for the purposes of the Performance Planning and Review for Academic Staff (PPR-AS) process (B/9.2). Supervisors are expected to provide guidance, information and feedback to current and prospective applicants for promotion.

For promotion to Levels D and E, meetings to provide feedback between unsuccessful applicants and the Vice-Chancellor will be attended by heads of school or PPR supervisors (B/5.3.8). Based on this feedback, the supervisor will guide the staff member's performance and development through the PPR process.

5.3.8 Criteria for promotion

The criteria for promotion are:

- teaching
- research and scholarship, and
- service.

The level of attainment and examples of accomplishment required for promotion to each level are provided in the table entitled Criteria for Promotion available at Academic Promotion on the Human Resources website.

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 Level D and so on. However, some examples have been repeated at higher academic levels for clarity and guidance.

An applicant for promotion is **not** expected to demonstrate achievement in **all** of the examples provided for the level of promotion being sought. Furthermore, these examples do not represent an exhaustive list of achievement for each level and the nature of achievement may vary based on disciplinary norms.

Applicants for promotion will be assessed on the evidence they provide in respect of the criteria for the relevant level. The expectations are outlined in the table Criteria for Promotion available on the Human Resources website.

5.3.9 Promotion process: to Levels D and E

(a) Qualifications and equivalent accreditation or standing

To be considered for promotion to a higher level, an applicant for promotion to Level D or Level E will normally have a doctoral qualification in the relevant discipline area.

Applicants who do not possess such qualifications will be required to make a case for equivalent accreditation or standing. Guidelines for Judging Equivalent Accreditation or Standing are available on the Human Resources website.

The Promotion Committee will determine whether qualification requirements are met in accordance with the Promotion Committee Procedures.

(b) Weighting by applicant

Applicants will nominate the percentage weight they wish to be given to each of the three criteria for consideration by the Promotion Committee for Levels D and E in assessing their application.

Weightings assigned by an applicant will be within the ranges set for each level (unless an applicant

applies for promotion as a research or teaching intensive staff member) and must total 100%. These ranges reflect the University's expectations of a staff member's profile and accomplishments for each academic level.

The range for each criterion is:

Teaching	20 - 60%
Research and Scholarship	20 - 60%
Service	20 - 50%

Research or Teaching Intensive Applicants

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.

A research or teaching intensive applicant may wish to consult with the executive dean prior to submitting an application to the Promotion Committee.

(c) University Promotion Committee procedures

The Promotion Committee will assess applications in accordance with the Promotion Committee Procedures on the Human Resources website.

(d) Evidence

The Promotion Committee will make its determination solely on the documentary evidence listed below and, where applicable, any further information provided by the applicant during an interview. Promotion Committee members shall not introduce any new information into the process unless the Committee is seeking to verify claims made by the applicant.

The following documentary evidence is used by the Promotion Committee:

- Application

It is essential that applicants consult the Information for Applicants booklet for additional information in relation to the preparation and submission of applications for promotion.

- Executive dean's report

The Promotion Committee will be provided with a written report, prepared by the executive dean, which contains an evaluation of the applicant's suitability for promotion, framed against the promotion criteria. A copy of this report will be forwarded to the applicant when it is provided to the Promotion Committee.

The report will be prepared in consultation with the staff member's PPR-AS supervisor and the relevant institute director/s where applicable. The report will also be informed by advice received from the senior academic staff of the school / faculty.

Where the executive dean is a member of the Promotion Committee, the staff member may request

that the report be prepared by a senior academic within the faculty appointed by the executive dean.

The report should include an assessment and rating (out of 10) of the applicant's accomplishments in each of the criteria for promotion. A single score (out of 10) is then calculated by applying the weightings nominated by the applicant to the ratings for each of the criteria. In determining the rating for each criterion, the head of school / executive dean may refer to the rating scale applied by the Promotion Committee (refer to the Promotion Committee Procedures).

- Applicant updates, which may be submitted prior to shortlisting and/or interview and may include a response to the executive dean report

- University level reports as appropriate, eg: research and consultancy reports (from the Research Achievement Database) and the Academic Analytical Profile

- Referees' reports, as determined relevant by the Committee

The Secretary of the Promotion Committee may seek reports from referees nominated by the applicant as determined by the Committee at either the shortlisting or interview stage (refer to the Promotion Committee Procedures or Information for Applicants booklet).

(e) Notification and feedback

The Secretary, University Promotion Committee, will inform the applicant verbally, then in writing, of the outcome of their application. An unsuccessful applicant will be invited to meet with the Vice-Chancellor and their head of school or PPR supervisor if nominated by the head of school to receive feedback on their application. Written notification will include the Promotion Committee's ratings for each criterion and the total weighted score.

Feedback to unsuccessful applicants will be as immediate as practicable after the application has been declared unsuccessful and in time to enable an unsuccessful applicant to appeal on the grounds of process.

(f) Effective date of promotion

The effective date of promotion for successful applicants is 1 August of the year in which the promotion round commences.

(g) Appeals

An applicant may appeal only on the grounds of process.

An appeal on the grounds of process may be lodged with the Human Resources Director within two months of the date of written advice to the applicant on the outcome of an application. The appellant will outline their reasons for the appeal.

The Human Resources Director will convene a panel comprising:

- the Registrar or nominee, and
- a nominee of the NTEU.

The panel will review the process that was followed by the University Promotion Committee in respect of the applicant who has appealed.

Where the panel concludes that there has been no breach of process, the panel will advise the

appellant accordingly. There will be no further right of appeal. Where the panel concludes that there has been a breach of process, then all relevant documentation will be referred to the Chair of the University Promotion Committee with a recommendation to address the breach of process.

(h) Withdrawal of application

A staff member may notify the Secretary of the University Promotion Committee of their intent to withdraw their application for promotion to Level D or Level E. If notice of such intent is received prior to shortlisting of applications by the Committee, the application will not be considered or included as a valid application for that promotion round. If notice of intention to withdraw an application for promotion is received after shortlisting of applications by the Committee, the application will be considered to be a valid application and the outcome of shortlisting recorded.

5.3.10 Promotion process: Levels B and C

(a) Promotion Plan

A promotion plan for a staff member seeking promotion from Level A to Level B, or from Level B to Level C will be developed through the PPR-AS process. Following initial discussion, and after consultation with the executive dean, the PPR-AS supervisor will provide the staff member with an indication of the necessary achievements and evidence, performance standards and a timeline for promotion. The promotion plan will normally cover a period of one to three years.

The staff member may request the nomination of an alternative supervisor for the purpose of developing the promotion plan. Any alternative supervisor must be approved by the executive dean.

In determining the required achievements, the PPR-AS supervisor should be cognisant of the staff member's current teaching/research/service profile and their preferred future profile. The staff member will then develop a promotion plan to be endorsed by the head of school and then forwarded to the executive dean for consideration and consultation as appropriate, prior to approval. The staff member will receive written confirmation of the approved promotion plan from the executive dean.

The Promotion Plan will be completed in addition to the PPR-AS Activity Statement, which is prepared as part of the annual PPR-AS cycle.

The Promotion Plan will be aligned with the Criteria for Promotion to Level B or Level C, as appropriate. The Promotion Plan should take into account:

- professional and disciplinary norms
- differences in the opportunity provided or available for career development, and
- the importance of quality not just quantity of accomplishment.

In the case of part-time staff, quantity of output should be considered on a pro-rata basis. However, the same quality of accomplishment as full-time staff will be expected.

The Promotion Plan, and any changes to the plan that may arise from periodical review/s, will be agreed and endorsed in writing by the staff member's PPR-AS supervisor, head of school and executive dean.

(b) Qualifications and equivalent accreditation and standing

To be considered for promotion to Level B, academic staff will normally have a masters or doctoral qualification in the relevant discipline area. For promotion to Level C, a doctoral qualification in the relevant discipline area will normally be required. Applicants who do not possess such qualifications

will be required to make a case to the executive dean for equivalent accreditation or standing.

The staff member and supervisor should establish the requisite qualifications or equivalent standing as part of the [Promotion Plan](#).

(c) Indigenous staff members

Indigenous staff members may request that the supervisor, head of school and executive dean seek advice on Indigenous knowledges prior to developing the Promotion Plan or at the time of assessing an application. The initial point of contact for such advice is the Indigenous Employment Coordinator (Human Resources Department) who will assist with sourcing an Indigenous academic to provide the required advice.

(d) Referral to executive dean

Where the staff member and supervisor do not concur on the content of the Promotion Plan or its completion, the staff member may refer the matter to the executive dean. The staff member will be invited to meet with the relevant executive dean and head of school or the PPR supervisor to discuss the Promotion Plan.

(e) Review of Promotion Plan

If circumstances arise which would impact on the attainment of the objectives agreed to in the promotion plan, or the timeline in which they would be achieved, the staff member may seek their PPR-AS supervisor, head of school and executive dean's approval to amend or withdraw the plan.

(f) Promotion approval documents

For promotion to be approved, the following documents must be provided to the supervisor and executive dean:

- a copy of the staff member's Promotion Plan, as developed through the PPR-AS process, and
- evidence that achievements identified in the Promotion Plan have been met
- a current CV.

The staff member may elect to include the names of up to four referees with these documents.

(g) Promotion approval

The executive dean will review the promotion plan and associated documents to determine whether the promotion will be approved and inform the applicant verbally, then in writing, of the outcome.

Where an application is not successful, the staff member may meet with the executive dean and their PPR-AS supervisor to receive feedback.

(h) Effective date of promotion

The effective date of promotion for successful applicants to Level B or Level C is the date of approval, or as otherwise determined, by the executive dean.

(i) Appeals

An applicant may appeal only on the grounds of process.

An appeal on the grounds of process may be lodged with the Human Resources Director within two months of the date of written advice to the applicant on the outcome of an application. The appellant will outline their reasons for the appeal.

The Human Resources Director will convene a panel comprising:

- the Registrar or nominee, and
- a nominee of the NTEU.

The panel will review the process that was followed by the PPR-AS supervisor, head of school and executive dean in respect of the applicant who has appealed. The panel will report its findings and, where relevant, make recommendation/s to the Senior Deputy Vice-Chancellor via the Human Resources Director.

The Senior Deputy Vice-Chancellor will make a decision on the matter, and report that decision in writing to the staff member, the executive dean and the head of school. Where the Senior Deputy Vice-Chancellor concludes that there has been no breach of process, the Senior Deputy Vice-Chancellor will advise the staff member accordingly. The decision of the Senior Deputy Vice-Chancellor will be final and there will be no further right of appeal. Where the Senior Deputy Vice-Chancellor concludes there has been a breach of process, all relevant documentation will be forwarded to the executive dean with a recommendation to address the breach of process.

5.3.11 Promotion while on probation

Where a successful applicant is serving a probationary period, the remaining period of probation will be waived and the appointment confirmed at the academic level of the promotion. If any special conditions attached to the applicant's probation are not met at the time the promotion is approved, then these conditions will continue to apply through PPR-AS. For example, a requirement that the staff member continues to make progress towards a higher degree or teaching qualification (eg the Graduate Certificate in Academic Practice) may be included as an agreed goal in the PPR-AS Activity Statement.

5.3.12 Use of title for research staff

Successful applicants for promotion as research staff will be given the following rank (and title where applicable):

Level	Rank
B*	Research Fellow / Senior Research Associate*
C	Senior Research Fellow
D	Principal Research Fellow (with title of Associate Professor)
E*	Senior Principal Research Fellow / Professorial Fellow* (with title of Professor)

* appropriate rank determined by the executive dean

5.3.13 Resignation prior to completion of the promotion process

Where an applicant for promotion tenders their resignation from the University prior to a promotion being approved, their application will be regarded as withdrawn.

Related Documents

MOPP B/9.2 Performance planning and review for academic staff

MOPP B/5.5 University Promotion Committee

[Promotion for Academic and Research Staff](#) (Information for Applicants, Criteria for Promotion and [Promotion Committee Procedures](#))

Modification History

Date	Sections	Source	Details
05.03.14	All	Vice-Chancellor	Policy revised and consolidated (B/5.3 Promotion for academic staff (Levels C, D and E) and B/5.4 Promotion for academic staff (Level A and Level B)) to reflect the PPR-based process for promotion to Level C
07.12.11	B/5.3.2	Vice-Chancellor	Policy revised to reflect change of title - Manager, Oodgeroo Unit to Director, Oodgeroo Unit (effective 01.01.2012)
15.12.07	B/5.3.2	Vice-Chancellor	Removed reference to QUT Carseldine and Executive Director, Northern Campuses (position disestablished from 31.12.07)
03.12.07	All	Vice-Chancellor	Revised policy (endorsed by Vice-Chancellor's Advisory Committee 21.11.07)
27.07.07	All	Human Resources Director	Policy renumbered to B/5.3 (formerly B/10.1)
16.04.07	All	Vice-Chancellor	Revised policy (endorsed by Vice-Chancellor's Advisory Committee 04.04.07)
28.03.06	All	Vice-Chancellor	Revised policy
17.11.05	B/10.1.7, B/10.1.11	Vice-Chancellor	Revised policy and "criteria for promotion" table to comply with Higher Education Workplace Relations Requirements (HEWRR)
02.06.04	B/10.1.4, B/10.1.10, B/10.1.11	Council	Revised constitution of promotion committees to include an Indigenous staff member when an application from an Indigenous staff member is being considered; revised rating process for assessing applicants and amended appeals timeframe (endorsed by Planning and Resources Committee 19.05.04); effective from 2004 promotions round.
11.12.01	B/10.1.7	Vice-Chancellor	Amended "criteria for promotion" table
24.10.01	All	Council	Approved new policy (replaces personal appointment to professor or associate professor and personal appointment to senior lecturer or lecturer)

Source: https://qutvirtual4.qut.edu.au/group/staff/people/reward-and-recognition/academic-promotion

Academic promotion

QUT is committed to recognising and rewarding those achievements which further the University's mission. In addition, QUT needs to continue to attract and appoint the highest performing academics at all levels to achieve our ambitions and expectations.

QUT provides academic staff with access to a promotion scheme which focuses on demonstrated achievement and a commitment to ongoing performance across the areas of teaching, research and scholarship, and service.

Separate processes are in place for promotion to Levels B and C and promotion to Levels D and E.

- Promotion to Levels B and C
- Promotion to Levels D and E

Promotions to Levels B and C

On this page
- Information session
- Eligibility
- Criteria for promotion
- Promotion plan
- Promotion application
- Contacts
- Related pages

Promotion to Level B or C occurs through the Performance Planning and Review (PPR-AS) process (MOPP B/9.2) and involves the development of a Promotion Plan in consultation with the applicant's PPR supervisor. Under this process, promotion is outcomes-focussed, and an application may be submitted at any time, as agreed between the staff member and supervisor.

Information session

The presentation and criteria handout from the Information Session held on 3 June are now available.

Eligibility

To apply for promotion from Level A to B, or from Level B to C, an academic staff member must:

- Hold an on-going or fixed-term appointment (which may be either full-time or part-time), and

- Have a minimum period of service with QUT of one year at the time the application for promotion (not promotion plan) is submitted.

Sessional academic staff members are ineligible for promotion.

Successful promotion will not extend the term of the applicant's contract.

To be considered for promotion to Level B, applicants will normally have a masters or doctoral qualification in the relevant discipline area. To be considered for promotion to Level C, applicants will normally have a doctoral qualification in the relevant discipline area. Applicants who do not possess such qualifications will be required to make a case to the Executive Dean for equivalent accreditation or standing.

Criteria for promotion

Applicants for promotion will be assessed on their achievement in respect of the criteria for promotion to Level B or C, which are as appropriate:

- teaching;
- research and scholarship, and
- service.

The level of attainment and examples of accomplishment required for promotion to Levels B, C D and E are provided in the criteria for promotion.
Evidence of accomplishment in all three criteria will normally be required. However, the staff member's current teaching/research/service profile and their preferred future profile should be taken into account when identifying activities to be included in the promotion plan.

An applicant for promotion is not expected to demonstrate achievement in all of the examples provided in the table criteria for promotion. Furthermore, these examples do not represent an exhaustive list of achievement for each level and the nature of achievement may vary based on disciplinary norms.

Promotion plan

In conjunction with their PPR-AS supervisor, applicants for promotion from Level A to B, and Level B to C, will, through the PPR-AS process, develop a Promotion Plan of approximately 4 to 6 pages detailing the necessary achievements and performance standards. A timeline for promotion, including review dates as required, should also be specified. The Promotion Plan will be completed in addition to the PPR-AS Activity Statement, which is prepared as part of the annual PPR-AS cycle.

The Promotion Plan will be aligned with the criteria for promotion to Level B or C as appropriate.

The applicant and supervisor should establish the requisite qualifications or equivalent standing as part of the Promotion Plan.

Download the Promotion Plan template.
Download the Sample Promotion Plan.

Promotion application

An application for promotion to Level B may be submitted at a time agreed by the academic staff member and their supervisor. Under this process, promotion is outcomes-focused and applications do not need to be linked to either the timing of the individual's PPR-AS cycle or the applicant's incremental progression date.

Applications must include:

- A copy of the staff member's promotion plan.
- Evidence that achievements identified in the Promotion Plan have been met (up to 10 pages).
- A current CV (up to 10 pages).
- Where relevant, a copy of the case for equivalent standing or accreditation and the Executive Dean's approval of the case, plus evidence that the case has been made.
- A staff member may also elect to include the names of up to 4 referees.

Applications must be endorsed by the Head of School and then forwarded to the Executive Dean for approval.

Contacts

For further information:

- Talk to your PPR-AS supervisor
- Contact the HR Project Officer (hrprojectofficer@qut.edu.au, x84161)

Related pages

- MOPP B5/3 Promotion for academic staff

- [Criteria for promotion](#)
- [Process flow](#)
- [Promotion plan template](#)
- Guidelines for submitting a case for [equivalent standing or accreditation](#) for promotion.

Source:

Academic promotion

QUT is committed to recognising and rewarding those achievements which further the University's mission. In addition, QUT needs to continue to attract and appoint the highest performing academics at all levels to achieve our ambitions and expectations.

QUT provides academic staff with access to a promotion scheme which focuses on demonstrated achievement and a commitment to ongoing performance across the areas of teaching, research and scholarship, and service.

Separate processes are in place for promotion to Levels B and C and promotion to Levels D and E.

- Promotion to Levels B and C
- Promotion to Levels D and E

Promotions to Levels D and E

On this page
- Eligibility
- Promotion information
- Criteria for promotion
- Application process
- Application requirements
- Application specifications
- Examples of successful promotion applications
- Application submission process
- Timeline
- Contacts
- Promotion statistics
- Academic analytic profile
- Related documents

Promotion rounds for promotion to levels D and E are conducted annually, with applications closing in April/May of each year.

Applications for promotion to level D and E are considered by the [University Promotion](#) Committee.

Eligibility

Academic staff employed on an on-going or fixed-term basis, with a minimum period of service with QUT of one year at the time of application, are eligible to apply for promotion to levels D-E.

Academic staff holding a substantive appointment may apply for promotion to the next level to that appointment - for example, staff holding a substantive appointment at level D may apply for promotion to level E. Promotion granted to staff members employed on a fixed-term basis does not extend the period of the contract.

Promotion information

A range of information is available to assist staff with their application for promotion. [Applicants are strongly encouraged to attend the Promotion information sessions.](#)

Please contact the Project Officer, Human Resources Department (extension 84161, email: hrprojectofficer@qut.edu.au) if you require further information.

Criteria for promotion

The criteria for promotion are:

- teaching;
- research and scholarship, and
- service.

The level of attainment and examples of achievement required for promotion to each level are provided in the table entitled [Criteria for Promotion (PDF file, 142KB)](#).
Evidence of achievement 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. However, some examples have been repeated at higher academic levels for clarity and guidance.

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 (PDF file, 142KB)](#) demonstrate achievement for each of the three criteria at the level required to be recommended for promotion. Applicants should consider the quantitative measures available to demonstrate their achievements such as references to national benchmarking data and similar information.

Application process

It is essential that you consult the [Information for Applicants: Promotion to Levels D and E booklet](#) and [MOPP](#) includes detail on the process, criteria for promotion and preparing and submitting your application..

Application requirements

Applications may include the following (note that some components are essential):

1. [Application form](#) (essential):

   - Please complete the online application form located on the '**Jobs @ QUT**' webpage, based on your Faculty, Institute or Division.

2. Curriculum Vitae (essential)

   - Up to 20 pages

3. Supporting evidence (optional)

   - Up to 20 pages

4. Research and consultancy (Promotions) report for the years 2011 - 2015 (essential)

   - Download report from the [Research Achievement Database](#) and upload with your other documents (pdf format preferred)

5. Approvals in relation to pre-application processes (essential, if applicable)

6. Case for [equivalent accreditation or standing (PDF file, 31KB)](#) (essential, if applicable)
   - Up to 2 pages.

Application specifications

Applications must meet the following specifications:

- be completed in a minimum of '10' point type, portrait orientation
- have the following minimum margins:
  - 2.5cm left-hand side
  - 2 cm right-hand side, top and bottom
- be within the page limits prescribed for each section (see above). Applications in excess of the limit will not be accepted

- be legible: original documents reduced in size for inclusion in the 'Supporting Evidence' must remain clear and readable.

Examples of successful promotion applications

Examples of successful promotion applications from previous promotion rounds are available on the academic promotion sharepoint site.

Application submission process

- Access online application form through the Jobs at QUT webpage
- Follow the instructions under 'How to apply' to register and access the application portal.
- Complete the application form, uploading supporting documentation as appropriate.
- You can access a partially completed application form by returning to the 'Jobs at QUT' advertisement, and clicking 'Access existing application' (you will need your log in details from registration).
- Identify and contact referees to gain permission/confirm availability.
- Submit final application online, following the link included in the call for applications email.

Note: There is a 20mb size limit for each file you upload through the application process. You can upload your CV and supporting evidence as separate documents, each with a limit of 20mb. If either of these documents is over this size limit, please upload the file to fileshare (instructions available here) and email the link to the Human Resources Department who will ensure that the file is added to your application.

Application information
- Application form
- Information for Applicants: Promotion to Levels D and E Booklet

Timeline
- **Call for applications: by 28 March 2016**
- **Closing date: 28 April 2016**
- **Shortlisting: end June 2015**
- **Interviews: early July 2015**

Contacts

For further information on the promotion process and policy, please contact the Human Resources Department (x84161).

Promotion statistics

The Learning and Teaching Unit have conducted an analysis of QUT's promotion outcomes over the last several years. For information on success rates across the University, by faculty and by dominant criteria (teaching, research, service):

1. go to Business Objects in QUT Virtual

2. select Dashboard view

3. click on the 'Quality' tab and then 'Academic'

4. view reports in the 'Promotions' folder.

Academic analytic profile

The Academic Analytic Profile is currently being developed. Your profile may contain information which may assist you in preparing your promotion application. To view your personal Academic Analytic Profile please contact the evaluations team at evaluations@qut.edu.au

Related documents

- [Application Form](#)
- [Promotion for Academic Staff policy](#) (MOPP)
- [Information for Applicants Booklet (PDF file, 258KB)](#)
- [Criteria for Promotion (PDF file, 142KB)](#)

Source: https://qutvirtual4.qut.edu.au/group/staff/people/reward-and-recognition/academic-promotion/information-sessions-and-workshops

Information sessions and workshops

Overview

These sessions provide an overview of the QUT academic promotion process and tips on the preparation of promotion applications for academic staff seeking promotion to Level D or E.

Topics covered

- 2016 timeline
- QUT's promotion policy and process
- Promotion criteria
- Information provided to the Academic Promotions Committee
- Writing the application and making an effective case for promotion.

Target group

Academic staff seeking promotion to D or E this year or in subsequent rounds. Promotion Committee members are also encouraged to attend.

Session details

Two information sessions are scheduled for 2016:

- Gardens Point: Thursday 3 March 2016, 2.00 – 5.00pm. Research Forum Room P419, Level 4, Science and Engineering Centre
- Kelvin Grove: Monday 7 March 2016, 9.00am – 12.00pm. IHBI Seminar Room, Q430

Session preparation

Prior to attending these sessions, participants should familiarise themselves with QUT's Promotion Policy and process as outlined in the Information for Applicants booklet 2016 [DOC file, 109 KB].

How to register

Please register through StaffConnect for the information session.

Go to StaffConnect:

1. From the StaffConnect main menu, select My HR

2. Select Personal Development

3. Select Training, then Training Request

4. Click on Add New Record to view list of courses

5. Locate APD - Academic Career Development category and select the session (there will be 2 listed so ensure you select the relevant campus)

6. Click on PROMN - Promotion Sessions for Academic Staff

7. Click Nominate (located on the far right-hand side of the page)

8. Complete the necessary fields and click Insert

9. Once your nomination is received, you will receive a confirmation email.

If you have not received a confirmation email 48 hours prior to your selected session, please contact the HR Project Officer on hrprojectofficer@qut.edu.au to confirm your registration have been received.

Closing date

The closing date for applications for promotion to Levels D and E will be 28 April 2016.

Related pages

University Promotion Committee

Promotions to Level D and E

ACADEMIC PROMOTION PLAN
Level A to Level B
Level B to Level C

QUT

Name

School/Department

Faculty/Division

Promotion being sought to   **Level B** ☐   **Level C** ☐

Appointment type: ☐ Ongoing   ☐ Fixed-term
                        ☐ Full time   ☐ Part time: Fraction %_____

Gender: ☐ Male   ☐ Female

Period of service with QUT
(indicate any breaks in service)

Supervisor

Head of School/Department

Instructions for completing the Promotion Plan

1. The staff member and their supervisor discuss the staff member's promotion plans during the Performance Planning and Review (Academic Staff) (PPR-AS) process.

2. Following initial discussion, and after consultation with the Executive Dean/Head of Division, the PPR-AS supervisor will provide the staff member with an indication of the necessary achievements and evidence, performance standards and a timeline for promotion. These will be documented in the Promotion Plan which will normally be 4-6 pages in length and cover a period of one to three years. The Promotion Plan will be completed in addition to the PPR-AS Activity Statement, which is prepared as part of the annual PPR-AS cycle.

3. Where the supervisor is not the Head of School/Department, the supervisor forwards the Promotion Plan to the Head of School/Department for approval. The Promotion Plan is forwarded to the Executive Dean/Head of Division for consideration and consultation, as appropriate, prior to approval.

4. When the staff member believes that they have accomplished the identified achievements, they will meet with their supervisor, providing evidence of achievements and standards attained. If the supervisor agrees that all achievements and performance standards have been attained, the staff member and supervisor will complete and sign Section C. The form, with a copy of the staff member's CV and all supporting evidence, is forwarded to the staff member's Head of School/Department for endorsement.

5. Following endorsement by the PPR-AS Supervisor and Head of School, a promotion application (comprising this plan, a CV and supporting evidence) is forwarded to the Executive Dean/Head of Division for approval.

6. Successful promotion applications are forwarded to the Human Resources Department for inclusion on the staff member's personnel file and for personnel records to be amended.

7. Where a successful applicant is serving a probationary period, the remaining period of probation shall be waived and the appointment confirmed at the academic level of the promotion. If any special conditions attached to the applicant's probation are not met at the time the promotion is approved, then these conditions will continue to apply through PPR-AS.

Additional resources

[MOPP B/5.3 Promotion for academic staff](#)

[Promotion for Academic and Research Staff Website](#)

[Criteria for Promotion](#)

[Performance Planning & Review Website](#)

Section A
Qualifications and equivalent accreditation or standing

In order to be considered for promotion to Level B, applicants will normally have a masters or doctoral qualification in the relevant discipline area. For promotion to Level C, applicants will normally have a doctoral qualification. Applicants who anticipate that they will not possess the requisite qualification at the time of submitting a completed application for promotion will be required to make a case to the Executive Dean/Head of Division for equivalent accreditation or standing. The applicant's case for equivalent accreditation or standing must be approved by the Executive Dean at the time the promotion plan is developed, and attached to the promotion plan.

Requisite qualification: _____

Highest qualification attained: _____

Current studies: _____

Expected completion date: _____

Section B
Activities, performance standards and timeframe

Notes for completing

- The Promotion Plan will be aligned with the [Criteria for Promotion](#) to Level B or C, as appropriate. The Promotion Plan should take into account:

  o professional and disciplinary norms
  o differences in the opportunity provided or available for career development, and
  o the importance of quality not just quantity of accomplishment.

  In the case of part-time staff, quantity of output should be considered on a pro-rata basis. However, the same quality of accomplishment as full-time staff will be expected.

- In determining the required achievements, the PPR-AS supervisor should be cognisant of the staff member's current teaching/research/service profile and their preferred future profile.

- An applicant for promotion is **not** expected to demonstrate achievement in **all** of the examples provided in the [Criteria for Promotion](#). Furthermore, those examples do not represent an exhaustive list of achievements for each level and the nature of achievement may vary based on disciplinary norms.

Criterion	Agreed objectives (set at the commencement of the Plan)	Evidence of outcomes/impact to meet objectives (recorded on completion of the Plan)

Teaching
 	
An applicant must be able to demonstrate a very sound (Level B)/ high (Level C) level of competence in teaching and related activities and evidence of a scholarly approach to teaching. Such presentation could involve presentation of a teaching portfolio.
	Demonstrate a high level of competence in and a scholarly approach to learning and teaching which is underpinned by a well-articulated and documented teaching policy and an indication how this is articulated in practice:
	
	• *The criteria for promotion provides some examples under:*
	  o *Curriculum and course design;*
	  o *Teaching;*
	  o *Assessment and feedback;*
	  o *Supporting student success;*
	  o *Teaching leadership.*	

Research *An applicant must be able to provide evidence of conduct of research and scholarship at an appropriate level.*	*Establish a national reputation (national recognition) for the quality and impact of research and scholarship.* *Articulate strategy to develop research:* • *Leadership* • *Team contribution* • *Mentoring* • *Funding* • *Collaboration.*	
Service *An applicant must be able to demonstrate regular (Level B)/ a high level of (Level C) participation and competence in service roles.*	*Develop public/professional recognition/standing in the discipline.* *Philosophy/approach/strategy:* • *Outcomes* • *Influence* • *Leadership*	

TIMEFRAME FOR COMPLETION OF ACTIVITIES

REVIEW DATE/S

UNDERTAKINGS AND SIGNATURES

I have participated in the preparation of this document and note the achievements and performance standards that I am to achieve within the agreed timeframe in order to be promoted to:

    Level B ☐   *Level C* ☐

_____   _____

Staff member's signature   **Date**

I/We agree that upon attainment of the requisite qualification (Section A) and all achievements and standards (Section B) identified in this Promotion Plan, within the agreed timeframe, the staff member will qualify for promotion to Level B/C (as indicated above).

_____   _____

Supervisor's signature   **Date:**

_____   _____

Head of School's signature   **Date**

_____   _____

Executive Dean's signature   **Date**

Section C
Confirmation of attainment of agreed achievements and standards

Checklist for promotion application:
- Promotion Plan
- CV (up to 10 pages)
- Supporting evidence
- Case for equivalent standing (if required)

ENDORSEMENT BY SUPERVISOR/HEAD OF SCHOOL/HEAD OF DEPARTMENT

I/We confirm that the requisite qualification (Section A) and all achievements and performance standards (Section B) have been achieved within the agreed timeframe and thus recommend that the applicant nominated in this Promotion Plan be promoted to:

Level B ☐   Level C ☐

_____   _____

Supervisor's signature   **Date:**

_____   _____

Head of School's signature   **Date**

DECISION OF EXECUTIVE DEAN

☐   ***Approved.*** *I agree that the requisite qualification (Section A) and all achievements and standards (Section B) have been attained and the applicant is thereby promoted to:*

Level B ☐   Level C ☐

Effective date of promotion:

☐   ***Not approved.*** *The application is not approved. Reasons for this decision are provided in an attachment to this form. I will invite the applicant to a meeting with the executive dean and head of school/supervisor to receive feedback on their application.*

_____   _____

Executive Dean's/Head of Division's signature   **Date**

Where the applicant's promotion is approved, please forward this completed form to the HR Department.
This form will be maintained on the staff member's personnel file.