Applying for RESEARCH ACADEMIC PROMOTION*

CONTENTS

Click on Show Navigation Pane icon on the tool-bar to use Contents’ links

1. Important Information at a Glance

2. Introduction

3. Definitions

4. Seminar

5. General Information

6. Transparency and Right to Sight Comments on Applicants

7. Eligibility to Apply for Promotion

8. Promotion Process Overview

9. Committee Composition

10. Instructions for the Submission of Applications

   Centre Staff

   Covering Letter

   Completing the Academic Portfolio

   Referees/Assessors

   Documentation Required

11. Recommending Officer Role

*Policy 5.42.16 Promotion of Research Academic Staff, found in the Handbook of University Policies and Procedures, takes precedence should any conflict between the guidelines and policy arise.
Important Information at a Glance

Policy Document
Promotion of Research Academic Staff - Policy 5.42.16
Handbook of University Policies and Procedures

Guidelines
Applying for Research Academic Promotion

Academic Portfolio
Academic Portfolio
http://www.uq.edu.au/shared/resources/personnel/appraisalAcad/AFolio.doc
IT help desk telephone number: 56000

Seminar
see TEDI web-site for details & registration http://www.tedi.uq.edu.au/sdh/

Important Dates
Academic Portfolio discussed with HOS by 15 April 2005 (first round)
30 September 2005 (second round)
Submissions close – 29 April 2005 (first round)
14 October 2005 (second round)

Applications to
Continuing Appointments and Promotions Office
Rms 510 and 507, J D Story Building

Further Information
Phone: 51004, 52346, 51809 Fax: 51677
Email: mailto:r.surman@uq.edu.au
Introduction

This document should be read in conjunction with Policy 5.42.16 Promotion of Research Academic Staff found in the Handbook of University Policies and Procedures (available on the Internet: http://www.uq.edu.au/hupp/contents/view.asp?s1=5).

The research academic promotion process has been developed as a result of the University’s wish to provide more systematic opportunities for appropriately qualified research academic staff to apply for and attain promotion through the academic classification levels, thereby recognising and rewarding the University’s high-achieving researchers. The University of Queensland promotion process is collegial, being peer-reviewed, and transparent in that applicants have the opportunity to view and respond to recommending officer assessments and negative referee reports.

There are two promotion rounds each year for levels B-D and notice of these is distributed via a circular to all Centres, Institutes and Schools. Research professorial promotion applications are accepted at any time and should be directed, in the first instance, to the Senior Deputy Vice-Chancellor, who will determine whether the application should proceed to the Research Professorial Promotion Committee.

Definitions

Applicants may refer to the section Recommending Officer Role (section 11) for clarification on who would be considered their recommending officers in relation to the terminology used in these guidelines. Executive Deans or the Director, Institute for Molecular Bioscience are the approving managers who make the final decision on applications.

Seminar

Research academic staff are strongly encouraged to attend an annual seminar on research academic promotion. With input from the Chair of one of the two Committees (for levels B-D), the Deputy Vice-Chancellor (Research) and the Manager, Continuing Appointments and Promotions, the seminar examines the application and assessment procedures for promotion. The seminar is coordinated by the Manager, Continuing Appointments and Promotions and registrations are taken through the Teaching and Educational Development Institute (TEDI). Staff are encouraged to attend this seminar as early as possible to gain insight into how to plan for a future application. The seminar will be held mid-March 2005. Seminar information will be posted on the TEDI Staff Development web site: http://www.tedi.uq.edu.au/sdh/.

General Information

Applicants should read the criteria for promotion in the Research Academic Promotion policy (HUPP 5.42.16) when considering applying for promotion. Senior staff and ex-committee members may be valuable resources in providing advice.

Staff considering applying for promotion to Associate Professor should be aware that promotion will be based on outstanding performance. The University of Queensland Salary Schedule outlines titles of positions within each level (http://www.uq.edu.au/current-staff/index.html?page=11926).

The successful applicant should be aware that funding contracts (particularly fellowships, other than University of Queensland) sometimes have specific conditions attached to the promotion.

The University of Queensland Act (37A) states that "The University shall not discriminate against any person on the grounds of that person's sex, religion or colour". The policy of equal opportunity applies to all women and men associated with the University. For general and academic staff it refers to...
to all phases of employment including selection and appointment, promotion, training, and terms and conditions of employment.

6 Transparency and Right to Sight Comments on Applicants

Recommending officers are required to discuss their recommendations with candidates, and have candidates sign that they have seen the reports.

On sighting a copy of the recommending officer report the candidate may make a response, directing any such letter to the Manager, Continuing Appointments and Promotions.

Candidates are provided with relevant negative comment from assessors’ reports to provide an opportunity for response.

7 Eligibility to Apply for Promotion

See policy 5.42.16 Promotion of Research Academic Staff

8 Promotion Process Overview

- Applicant completes the Academic Portfolio of Achievement Folios 1, 2 (if relevant), 3 – 5 and submits it to the recommending officer.

- Applicant meets with the recommending officer to review the Academic Portfolio and any other evidence that assists in making the case for promotion. At the completion of the review meeting, the recommending officer completes the Head of School’s Recommendation: Assessment for Continuing Appointment/Promotion/Mid-Term Review/General Performance form and forwards it to the applicant for signing. Where a delegate completes the form, the Head of School, Director of Centre or Institute (Deputy Director for the Institute for Molecular Bioscience) must also sign in the section allocated for stipulating that funds are available for promotion and in the appropriate section on the last page.

- The applicant submits the Academic Portfolio, covering letter, Head of School’s Recommendation: Assessment for Continuing Appointment/Promotion/Mid-Term Review/General Performance form (and referee names and contact details for Levels D and E applicants) to the Manager, Continuing Appointments and Promotions by the due date, or to the Senior Deputy Vice-Chancellor at any time, in the case of Level E applications.

- The relevant committee will interview the applicant.

- The committee will make a recommendation to the approving authority in the case of applicants to Levels B, C and D.

- For promotion to Levels B, C and D the approval will be given by the Executive Dean or the Director, Institute for Molecular Bioscience. Outcomes for Level E applications are determined by the committee considering research Professorial promotion.

- The candidate will be notified concerning the outcome of the application through a letter from the approving authority.

- Promotion takes effect on 1 September for applications considered in the first round of the year and 1 January for applications considered in the second round of the year.

- The Chairperson of the relevant committee meets with unsuccessful candidates on request. Unsuccessful applicants will also receive a brief written statement of advice from the committee.
Committee Composition

Applications will be submitted to the relevant committee.

There is one committee to consider applications (levels B-D) from the Faculties of Arts, Business, Economics and Law and Social and Behavioural Sciences. Its Chair is the Director of Research of one of the three Faculties.

There is a second committee to consider applications (levels B-D) from the Faculties of Biological and Chemical Sciences, Engineering, Physical Sciences and Architecture, Health Sciences, Natural Resources, Agriculture and Veterinary Science and the Institute for Molecular Bioscience. Its Chair is the Director of Research of one of the four Faculties or the Deputy Director (Research), Institute for Molecular Bioscience.

Promotion to Level E will be determined by a committee constituted by:

- Senior Deputy Vice-Chancellor (Chair)
- Deputy Vice-Chancellor (Research)
- Relevant Executive Dean or Director of Institute
- President of the Academic Board
- Head of host School/Director of host Centre
- Senior member of staff from host School or Centre

Such other persons as determined by the Senior Deputy Vice-Chancellor, including persons from outside the University.

Instructions for the Submission of Applications

Applications should be made using Folios 1, 2 (if relevant), 3 to 5 of the Academic Portfolio of Achievement. The Academic Portfolio, introduced for a range of assessment procedures, should be discussed with the recommending officer by the specified date. The candidate has the responsibility to submit the documentation requested to Continuing Appointments and Promotions, Room 510, J D Story Building by the due date.

An electronic version of the Academic Portfolio is available http://www.uq.edu.au/shared/resources/personnel/appraisalAcad/AFolio.doc. The IT help desk telephone number to receive technical assistance for the Academic Portfolio is 56000.

Centre Staff

Centre research academics sometimes have appointments that vary from the traditional research role eg they may be heavily involved in technology transfer. Where this is the case, the applicant should outline the differences in the application and at interview and build a case using the Evaluation of Research section below. Referees should be carefully selected and asked to comment on the candidate’s effectiveness in the context of his/her atypical role.

Covering Letter

Candidates should provide a covering letter, not exceeding 400 words, indicating the purpose of the application and other salient factors. Such a letter might contain, for example, how an application for promotion has strengthened since the last application. Covering letters usually highlight the strengths and/or special contingencies of the application eg peculiarities of the discipline (gathering data might be a particularly lengthy process).

Applicants who will be away during the interview period (1 to 4 months after the application submission date) should indicate their proposed absences from the University on their covering letters. In addition, applicants to levels D or E should provide the names and contact details of referees on the
covering letter. The letter should be addressed to Ms Rhonda Surman, Manager, Continuing Appointments and Promotions.

Completing the Academic Portfolio

(Folio 1) Curriculum Vitae

Complete each section.

(Folio 2) Teaching

Optional. Fill in as appropriate. For detailed information on how to build a teaching case, see Evaluation of Teaching http://www.uq.edu.au/shared/resources/personnel/appraisalAcad/MidFinalPromBooklet.doc.

(Folio 3) Research

Supplementary Notes - The following information has been provided only for the sections that may require further clarification.

(A) Summary Statement of Research Activity

Research activity and achievements are not necessarily limited to scientific research, and may include such categories as the production of works of art or design, artistic endeavours, patented discoveries or technology transfer activities, if they are appropriate to the candidate’s field of scholarship. Focus mainly on evidence since your current appointment.

(B) Research Grants, Contracts and Projects

4. Other Attempts to Gain Funding

While this section is optional, details of an applicant’s attempts to gain funding are of interest to the committee in establishing the direction and level of interest in the candidate’s pursuit of external financial support for research.

(D) Bibliographic Record

This section can be completed by downloading bibliographic details from a web-site managed by the Office of Research and Postgraduate Studies http://www.solutions.uq.edu.au.

In order to assist the committee, candidates should:

(a) list the works as being in one of the following categories (include journal/publisher and page numbers):

   (1) Refereed Publications including those accepted for publication/in press*
   (2) Non-Refereed Publications and Original Contributions, including those accepted for publication/in press*
   (3) Submitted Publications

   *Candidates should be prepared to provide evidence of publications that are listed as accepted or in press.

   Papers deemed as "in preparation" are not to be included. While the committee may note works listed as "submitted", candidates should rely on the works contained in (1), (2) above in establishing their case for promotion;

(b) indicate the category of the work, give as a percentage an indication of your contribution to jointly-authored publications and list the type of contribution made (e.g. originator of idea);

(c) asterisk in the bibliography the four publications which are selected by candidates as their most significant work (must be published or in press); and
(d) provide further information on publications in (4) eg standing of journal, citation count, discipline ranking, rejection rate, standing of publisher for books and chapters, standing of conference papers, national/international etc. Note that some information may not relate to your discipline area and should not be included eg citation counts.

The following section Evaluation of Research should be consulted when making a case on research.

**Evaluation of Research**

**(Scholarship and Original Achievement)**

Evidence of commitment to research, or other evidence of original achievement, will normally be demonstrated by published works including those in refereed journals, refereed conference proceedings, commissioned reports of developmental or applied research or by other original work. This may be demonstrated in a variety of ways including, but not limited to, such works as musical compositions, patents, engineering or architectural designs, or through research which is reflected in instructional material. *This means that while refereed publications or their equivalent are considered core evidence for research, there are other supporting research indicators, as highlighted below.* The following information is provided for further clarification and as a tool for building a case in research.

Research/scholarship covers a large and multi-faceted area and while this list includes many commonly accepted forms of research, it is not meant to be exhaustive (you may wish to include an activity in your application that is not listed below). **Candidates are not expected to be strong in every area.** You should construct a research profile that best highlights your achievements, without necessarily addressing every indicator.

**Possible evidence for Research Activity other than the core evidence of research publications** – significance, scope, innovation and quantity of research undertaken, including:

- Research projects (current and completed)
- External and internal research grants, number and dollar value (current and past grants applied for)¹
- Research collaborations
- Research relationships (collaborative or other) with communities, governments, industry
- Potential significance
- Postgraduate research students supervised - (Supervisor or Associate Supervisor and time to completion)
- Postdoctoral fellows attracted
- Conference presentations (national and international)
- Panel memberships (ARC, NHMRC, etc.)
- Contract research

**Possible evidence for Research Quality, Impact and Outcomes** - measures of the quality of the work, the reputation of the researcher and products of research activity, including:

- Articles in journals: quality/structure of editorial board and refereeing process, rejection rate and citation impact factor of journals and discipline rankings²
- Books, chapters, monographs, published refereed conference papers, edited books, special journal issues, letters to clinical journals (refereed), flexible learning resources/independently published learning resources: reviews of your work; stature of publisher (include whether publisher has national or international standing); stature of series editor where relevant; independence of editor from author; refereeing process; formal licences for use by other Universities
• If related to the candidate's field of scholarship: recorded performances; original compositions; works of art or design; high-level written translation work which entails critical analysis, allied with a significant interpretative dimension; professional products (eg multi-media videos)

• Quality of grants: ARC or other Australian¹ or International Competitive Grants (including grants related to the development of course materials)

• Technical reports: number by invitation, receiving body, evidence of impact, etc.

• Awards: international awards and fellowships, national awards from professional associations, University of Queensland awards (early career, research excellence award etc), awards for the development of software

• Patents, discoveries, other demonstrable intellectual property from research (eg commercialisation), royalty licences, involvement in spin-off companies. Impact and commercial potential of intellectual property or research and successful technology transfer activities.

• Community or government adoption of work and development of high impact policy eg Australian Standards

• Citation counts and discipline rankings²

• Relevant invitations: keynote addresses; invited symposia; expert witness work; seminars at other universities; serving on external; high level selection committees; visiting appointments held at other institutions etc - national and international

• Research collaborations: significant interdisciplinary initiatives; major international collaborations; industry partnerships; successful mentoring (early career researcher, individual and team outcomes)

• Research conferences organised and quality of these conferences

• Editorial and industry board memberships and book series editorships

• Reviewing activity: articles, grants (eg ARC, NHMRC), theses, new software or course materials independently published (national/international)

• Leadership of research-related professional associations

• Media coverage of research

• Postgraduate students: PhD and research masters completions; PhD student publications related to the PhD and published during supervision period; outcomes for PhD students (present employment, etc.); external and international PhD students attracted (Supervisor or Associate Supervisor and time to completion)

• Leadership and project management in major projects

• Invitations to judge events, present displays

¹For a list of Australian competitive grants see [http://www.uq.edu.au/research/orps/?id=11006&pid=4249](http://www.uq.edu.au/research/orps/?id=11006&pid=4249)

²Web of Science which includes Science Citation Index Expanded, Social Sciences Citation Index and Arts and Humanities Index is useful to obtain citation counts - see [http://isi10.newisiknowledge.com/portal.cgi](http://isi10.newisiknowledge.com/portal.cgi) to search databases or [http://www.library.uq.edu.au/training/wos/wos.html](http://www.library.uq.edu.au/training/wos/wos.html) for information on searching. Australian University Indicators on diskette, 1981-1997 contains the number of ISI-indexed papers from each university and discipline and the number of times the papers were cited. Contact Branch Library Managers for access.
Clinical Scholarship

Clinical scholarship recognises the different forms that research and scholarship may take in the clinical environment. Clinical case reports, case reviews, editorial responsibilities for clinical books and journals, and letters to clinical journals are all examples of clinical scholarship. Personal contributions to clinical practice, eg through innovations in clinical techniques, would also be recognised by clinical scholarship. This criterion would also include possession of specialist clinical qualifications, such as membership and fellowship of professional bodies achieved by examination.

Some attributes of the effective clinician are:

- Publication of clinical research findings in appropriate refereed journals of national and international standing
- Presentation of clinical research findings at national/international levels
- Authorship of clinical texts or contribution of chapters in clinical texts
- Editorship of clinical journals
- Requests for participation in professional and scholarly activities (eg invitations to teach clinically by the profession at local/national/international levels)

Achievement of specialist clinical qualifications (eg fellowship of professional colleges)

(Folio 4) Service

The following section *Evaluation of Service* contains a list of items from which candidates can select those which are relevant to their service activities.

Service to the School

- Service as Head/Deputy Head/Acting Head
- Committee involvement – distinguish between membership, chairing or other substantial input (eg responsibility for timetabling)
- Student advising
- Coordinating courses/programs (eg undergraduate, postgraduate or year coordination)
- Coordinating continuing education
- Carrying out performance appraisal
- Performance of specific additional duties volunteered for and/or delegated by Head (eg Workplace Health and Safety Officer, Gender Equity Contact Officer, mentor, etc)
- Organising or performing clinical work on behalf of the school or faculty
- Service as Director of Studies/Director of Research/Academic Advisor

Service to the University

- Membership of Academic Board, its committees or executive
- Support Officer (eg Sexual Harassment Referral Officer)
- Committee membership, including committees, boards, councils (at school, faculty or university level) or union representation
- Membership of school, faculty or university working parties/task forces
• Representing the University at local/national/international events
• Recruitment activity on behalf of the school or faculty, including visits to schools, universities, etc locally, nationally, internationally
• Active involvement in planning for, or representing the University at, Courses and Careers, Expo Uni or other information dissemination or recruitment activity

**External Service (Professional/Community)**

Community service is considered an integral part of the work of the University at all levels. It is strongly encouraged in all aspects of the University’s operations and appropriately recognised in relevant policies.

The University of Queensland’s community service policy (May 1995) defines community service as follows:

Community service at the University of Queensland includes those commercial and non-commercial activities which are undertaken by members of the University and:

- involve interaction with individuals, faculties and organisations, external to the University, enabling them to share in the benefits of university expertise and/or facilities;
- contribute to the social progress, economic growth and/or cultural development of those individuals, faculties and organisations and/or the community in general;
- are offered through the teaching function, the research function, the sharing of expertise, the provision of access to facilities and/or through special programs and services; and
- are linked with the goals and objectives of the University as set out in the Strategic Plan.

The policy identifies the range of activities which are considered as appropriate community service. This listing defines the types of activities included under the banner of community service; clarifies links to the University’s goals and objectives; provides criteria for the purposes of application for promotion or continuing appointment, as well as for reviews of academic Schools; and serves as a framework for quality assurance.

1. **Service through the teaching function**
   - Continuing and community education
   - Continuing professional education
   - Open Learning
   - Placements and service learning
   - Educational alliances with other providers

2. **Service through the research function**
   - Unpaid applied research where the outcomes of the research are directly and immediately applicable to the meeting of a particular community need
   - Community-focused student research

3. **Service through the sharing of expertise**
   - Media comment
   - Public lectures/seminars/workshops
• Relations with the professions including chairing/presidency or membership of boards or professional/discipline associations; editorship/membership of editorial boards of journals; significant organisational contribution to national/international conferences or workshops

• Provision of expertise to organisations e.g. membership/chairing of government, industry or community boards, committees or commissions; advisory work for local, national and international organisations

• Informal provision of expertise to the general community

• Clinical and other specialist services

4. Service through coordination or supervision of access to facilities

• Museums and collections

• Sporting facilities

• Lectures, seminars, workshops, performances

• Libraries

• Access to electronically stored information

5. Service through organisation and/or coordination of special programs and services

• Equity programs

• Schools liaison

• Relations with Alumni and other friends of the University

• Publications

• Secondments and work experience

• Special events

• Union representation

• Student Association activities

The policy regards services offered on a fee-for-service basis as appropriate community service when the service relates to the staff member’s unique area of academic expertise and also furthers the strategic goals and objectives of the school and the University. For the purposes of confirmation of continuing appointment and promotion, commercial services may be included as examples of community service if the service is delivered on behalf of the school and if the payment is received by the school. Academic staff should refer to the Handbook of University Policies and Procedures for guidelines on commercial and consulting work.

(Folio 5) Other Staff Activities

Optional. Fill in as appropriate.

(Folio 7) Nomination of Referees

Not applicable (see Referees/Assessors below).
Referees/Assessors

Applicants to level D provide the contact details of two referees or three referees in the case of promotion to level E, to be contacted by Continuing Appointments and Promotions (only the recommending officer’s referee nominations are required for applicants to levels B and C). Referees must be of international standing in the relevant field(s) and should be listed on the covering letter. Recommending officers and applicants should ascertain referees’ willingness to write reports prior to nominating them.

Recommending officers confidentially supply two names with contact details (all levels) and forward these to the Manager, Continuing Appointments and Promotions.

Preference should be given to external assessors. Assessors should be at the same or higher level as the level at which the candidate is being assessed, and should not be close collaborators with the candidate in research publication. In choosing your research referees, try to obtain people who are independent of you and of the University and who are people of stature in your field of research. It would be helpful to explain why you chose your referees. Applicants may nominate referees they would prefer the committee not to contact.

Numbers of Copies of Documentation Required

- If from Arts, SBS or BEL – 7 copies of everything (not stapled or bound – clipped together)
- If from BACS, EPSA, NRAVS, Health, IMB – 10 copies of everything (not stapled or bound – clipped together)

Double-sided copying is encouraged.

Applications should be addressed and forwarded to:

Ms Rhonda Surman, Manager, Continuing Appointments and Promotions, Personnel Services (Rm 510, J D Story Building) Ph 52346, 51809.

11 Recommending Officer Role

‘Recommending officer’ refers to either the Head of School, Director of Centre or Institute (Deputy Director for the Institute for Molecular Bioscience) or their delegates (often the Chief Investigator or immediate supervisor).

The recommending officer should consult other appropriate members of the Centre/Institute/School concerning applications for promotion. The recommending officer may consult a candidate when selecting assessors, indicating if the candidate has been consulted when determining the recommending officer’s choice of an assessor.

Recommendation Form

Where a delegate completes the Head of School’s Recommendation: Assessment for Continuing Appointment/Promotion/Mid-Term Review/General Performance (http://www.uq.edu.au/current-staff/index.html?page=10606) form, the Head of School, Director of Centre or Institute (Deputy Director for the Institute for Molecular Bioscience) must also sign in the section allocated for stipulating that funds are available for promotion and in the appropriate box on the last page.

Recommending officers are asked to indicate their views of the quality of the candidate’s contribution. It is more useful to the committee to be provided with an assessment of the performance of the candidate in comparison with others in the field, rather than purely summarising the candidate’s activities. This will be especially important in relation to some Centre staff where their appointments do not all translate into ‘traditional’ research outcomes and the indicators of effectiveness are sometimes atypical. Where this is the case, the recommending officer should outline the differences and provide indicators of achievement using the Evaluation of Research section above.
Recommending officers are required to discuss their recommendations with the candidate, and have the candidate sign that he or she has seen the report. The candidate may make a response, directing any such letter to the Manager, Continuing Appointments and Promotions.

Funding (including on-costs) must be established before a candidate may apply for promotion.

Recommending officers should carefully check conditions of grants/funding contracts before signing the recommendation form and before indicating that funds are available, for example some grants do not permit promotion and others do not allow funds from a Source 4 account to fund a promotion. Grants/funding contracts (particularly fellowships, other than University of Queensland) sometimes have specific conditions attached to the promotion. Recommending officers who require further clarification on the condition of a funding contract should contact the Research Grants Unit, Office of Research and Postgraduate Studies.

Nomination of Referees

Recommending officers will be required to nominate two assessors for all applicants, supplying the names, positions, addresses (including email), fax and telephone numbers in full (provided confidentially to the Manager, Continuing Appointments and Promotions).

The Continuing Appointments and Promotions Office writes to recommending officer assessors on behalf of the committee. The committee may appoint assessors other than those nominated by the recommending officer. It would be of great assistance to the committee if recommending officers provided details of the standing of nominated assessors.

Executive Dean report for Research Professorial Promotion

The Executive Dean provides an assessment on candidates for professorial promotion. Where an applicant for professorial promotion would normally be the recommending officer, the Executive Dean or Director, Institute for Molecular Bioscience provides a full assessment on the candidate and assessor nominations.

Applications and enquiries to:

Ms Rhonda Surman, Manager, Continuing Appointments and Promotions, Personnel Services (Rm 510, J D Story) Ph: 52346, 51809 Email: msurman@uq.edu.au Fax: 51809