

**GUIDELINES FOR
CONFIRMATION AND PROMOTIONS COMMITTEE
MEMBERS**

Please note that these Guidelines do not apply to the Faculty of Health and Behavioural Sciences confirmation and promotion processes

Table of Contents

1. INTRODUCTION

2. ASSESSMENT OF APPLICANTS

[2.1 Assessing Continuing Appointment](#)

[2.2 Assessing Promotion](#)

[2.3 Performance Relative to Opportunity](#)

3. COMMITTEE MEMBERSHIP

[3.1 Principles of Membership](#)

[3.2 Local Confirmation and Promotions Committee \(LCPC\)](#)

[3.3 Academic Confirmation and Promotion Advisory Committee \(ACaPAC\)](#)

4. COMMITTEE PROCEDURES

[4.1 Mid-term Review](#)

[4.2 Enhanced Appraisal](#)

[4.3 Final Review](#)

[4.4 Promotion](#)

5. SOURCES OF INFORMATION

1. INTRODUCTION

The University's consideration of applications for continuing appointment and promotion is conducted through merit-based and peer-review processes outlined below. These Guidelines are pertinent to the following processes, which are conducted by the Local Confirmation and Promotions Committee:

- Mid-term review for Levels B – D (third year of a five year probation), conducted by the Local Confirmation and Promotions Committee;
- Enhanced Appraisal for Levels B - D, conducted by the staff member's Head and the current or immediately preceding LCPC Representative;
- Final review for continuing appointment (Levels B – D), considered by the Local Confirmation and Promotions Committee (LCPC); and
- Promotion (Levels C and D), considered by the Local Confirmation and Promotions Committee (LCPC)

Applications for mid-term review, enhanced appraisal and final review for continuing appointment for Level A and for promotion to Level B are considered via recommendations/advice from the Head to the relevant Executive Dean/Institute Director and are not addressed in these Guidelines, nor are confirmation and promotions processes pertinent to the Faculty of Health and Behavioural Sciences.

For those involved in assessing these applications, the obligation to maintain fair and transparent benchmarks must remain paramount. Furthermore, membership of these Committees requires a commitment to maintaining the principles outlined in section 3 below.

2. ASSESSMENT OF APPLICANTS

To maintain fair and equitable processes, clear benchmarks must be applied in assessing applications, as set out in the policy [Criteria for Academic Performance](#) (PPL 5.70.17). An applicant's case should be supported by concrete evidence (be evidence-based). Academic roles are categorised under the headings of teaching, scholarship of teaching and learning, research/creative work and service and engagement (which are conducted in a clinical context for Clinical Academic staff) for each type of academic category and level. However, within these categories there is a wide range of activities which academic staff may undertake. The patterns of academic activity vary widely across different academic categories and disciplines. In addition to the individual category and level descriptions, Committees should be mindful of the important introductory sections in the *Criteria for Academic Performance* policy that set the context for consideration against the Criteria. The [Guidelines on Evidencing Academic Achievement](#) list some of the indicators that applicants may use to highlight the activities, quality and impact of their contributions.

2.1 Assessing Continuing Appointment

PPL 5.70.17 "A staff member on a probationary appointment, therefore, should aim to establish that they can achieve and maintain standards expected for that level as appropriate for the discipline... a staff member seeking confirmation at Level B will have the Level B criteria applied. Recognition of trajectory, based on available evidence, may be appropriate." Committees considering a staff member on a probationary appointment must establish that there is a trajectory which demonstrates that the applicant can achieve and maintain standards expected for that level as appropriate for the discipline. For example, in some cases a staff member will have had insufficient opportunity to supervise a PhD student to completion, in which case the trajectory may be taken into account based on evidence that the student is making good progress (for example milestones, conference presentations or publications with the student).

2.2 Assessing Promotion

PPL 5.70.17 "In assessing the performance of staff members seeking promotion, the criteria for the level being sought will be applied, in conjunction with the policy [Academic Promotion \(Level A-D\) \(PPL 5.80.12\)](#). For example, a staff member seeking promotion to Level C will have the Level C criteria applied. Some recognition of trajectory, based on available evidence, may be appropriate." PPL 5.80.12 states that "Promotion is mainly dependent on **demonstrated ability** and **achievement** since the applicant's appointment to the position

currently held at the University. Secondary evidence may be derived from work undertaken during earlier career stages that has underpinned the achievement of the relevant standard for promotion.”

2.3 Equal Opportunity and Performance Relative to Opportunity

(PPL 5.70.17 *Criteria for Academic Performance*)

“Consistent with The University of Queensland Prevention of Discrimination and Harassment policy (PPL 1.70.06a), and state and federal Acts, a staff member should not be treated less favourably due to their sex, relationship status, pregnancy, parental status, breastfeeding, age, race, impairment, religious belief or religious activity, political belief or activity, trade union activity, lawful sexual activity, gender identity, sexuality, family responsibilities, or association with, or relation to, a person identified on the basis of any of these attributes. Some of these attributes may impact on a staff member's capacity to work uninterrupted and/ or on a full-time basis.

The University is committed to providing an equal opportunity environment for its staff in its performance appraisal, continuing appointment and promotion process through the principle of performance relative to opportunity. The quality of the staff member's performance will be assessed against the standard for that level. In terms of expectations for activity and output, consideration will be given to the fraction at which they are employed, periods of absence and/ or personal circumstances. Where information about a staff member's personal circumstances is provided, that information will remain confidential to the assessing committees.”

For example a staff member may be absent from work due to six months parental leave or because of a temporary illness. Their performance/‘output’ is not assessed for the time that they are away. Consideration is also given for the time it takes to re-establish their research program, and possible inability to travel and present at overseas conferences. Committees should also be mindful of non-traditional patterns of achievement that may be demonstrated by women, Aboriginal and Torres Strait Islander peoples and people with a disability / impairment, for example an interrupted pattern to research output.

3. COMMITTEE MEMBERSHIP

3.1 Principles of Membership

General Principles

Members of the Local Confirmation and Promotions Committee should not themselves be subject to probation.

The Level C member should not be an applicant for promotion during the term of their appointment on the Committee. When a member of the Local Confirmation and Promotions Committee declares their intention to apply for promotion, he/she will stand down from the Committee for that year and a replacement will be identified by the Chair. It is helpful for this to be indicated to the Chair as soon as possible, in order to find an appropriate replacement.

Confidentiality

Committee members will respect the confidentiality of the Committee’s deliberations, associated documentation and the privacy of the staff member, including any personal circumstances, at all times.

Conflicts of interest

LCPC Committee members must declare all conflicts of interest to the Chair of the LCPC in the first instance, who will determine the level of conflict and take appropriate action including referring the matter to the Chair of the Academic Confirmation and Promotions Advisory Committee (ACaPAC), where appropriate. Where a member of the ACaPAC has a potential conflict of interest they must declare the matter to the Chair of the ACaPAC.

Examples of potential conflicts of interest include; personal relationships, collaborations, and mentoring roles. According to the level of conflict, the Chair may choose to take one of the following actions:

1. allow the member to participate in the deliberations, however, ensuring that the Committee is not unduly influenced by the member
2. allow the member to remain for the discussions around the applicant, however, ensuring that an undue influence is not permitted and that the member does not participate in the voting or decision-making processes around the applicant
3. require the member to withdraw from all discussion and deliberations on the applicant

Adverse comments

Applicants are provided with any adverse comments contained in the referee reports (the identity of the referee remains anonymous). Committees in liaison with the Secretary should ensure that applicants have been provided with the opportunity to respond to adverse comments.

Training session

Members are required to attend an annual training session which is coordinated by the Central HR Division.

3.2 Local Confirmation and Promotions Committee (LCPC)

Membership

The Local Confirmation and Promotions Committee is comprised of:

- A chair who is the Executive Dean or Director of the cognate Institute(s);
- One Level E staff member who is the Local Committee's representative on another Local Committee;
- One Level E representative from another Local Committee; and
- Four staff (one staff member at Level E, two at Level D and one at Level C) from the Faculty/cognate Institute(s).

A quorum will be the Chair, the external LCPC representative and two other members.

In exceptional circumstances, an additional member may be submitted to the Chair of the ACaPAC at the time of informing the committees for purposes of organisational representation. The additional member must be approved by the Academic Board with the formation of the Committee.

The members of the LCPC will be chosen by the Executive Dean in consultation with the Director(s) of any cognate Institute(s) and the President of the Academic Board, in consideration of the following:

- balance of representation across faculty and cognate institute(s)
- experience across academic categories
- gender balance
- balance over time and retaining 'corporate history/knowledge' i.e. balance between new and experienced members

One of the Level E members will be appointed to the role of Deputy LCPC representative (see **Duration of Role** below).

Human Resources staff provide secretarial support for each Committee.

Organisational Coverage of Committees

The LCPCs will cover the following faculties and institutes:

- Business, Economics and Law
- Engineering, Architecture and Information Technology, Australian Institute for Bioengineering and Nanotechnology and Sustainable Minerals Institute
- Humanities and Social Sciences, Institute for Teaching and Learning Innovation and Aboriginal and Torres Strait Islander Studies Unit
- Medicine, Queensland Brain Institute and Institute for Molecular Bioscience
- Science, Centre for Advanced Imaging, Queensland Alliance for Agriculture and Food Innovation and Global Change Institute

Duration of Committee Term

Local Committee members will normally serve for two years. The LCPC Representative plays a key role on both their own Faculty/Institute LCPC and another LCPC, therefore, it is desirable that the *Deputy* LCPC representative normally serve as a Deputy for 2 years before undertaking the role of LCPC Representative for a further 2 years. This is to develop the skills of the Deputy before they commence the important position of LCPC Representative and to assist in retaining consistency in benchmarking standards over time.

Role of the LCPC

Continuing Appointment (Levels B-D)

The LCPC conducts mid-term review and makes decisions regarding confirmation of continuing appointment for all categories of academic appointments for Levels B – D, for a faculty and cognate institute(s).

The current, or immediately preceding, LCPC Representative will provide input to the enhanced appraisal for academics on a 3 year probation. The LCPC input at the second appraisal will be through a review of the documentation rather than attending an appraisal interview.

The LCPC's deliberations on final review result in one of the following outcomes:

1. Confirmation of continuing appointment.
2. Non-confirmation of continuing appointment.
3. Extension of probation for either one or two years.

The LCPC produces dot-points for the feedback discussion where a non-confirmation or extension of probation decision has been made. Dot points must be accurate and should highlight the main issues pertinent to the case (for example any performance relative to opportunity matters that were considered, extenuating circumstances supporting an extension of probation, why it would have been a "no" decision as an alternative to an extension of probation). These are confirmed by the Chair after the LCPC has discussed them at the meeting where the decision is made.

In cases where the LCPC's decision does not agree with the recommendation from the Head, the Chair of the LCPC informs the Head.

Promotion

Local Committees consider promotions to Levels C and D for all academic categories. For promotions, the LCPC's deliberations result in one of the following decisions:

1. Promotion
2. Unsuccessful application

The LCPC produces dot-points for the feedback discussion where an application is unsuccessful. Dot points must be accurate and should highlight the main issues pertinent to the case (for example any performance relative to opportunity matters that were considered). These are confirmed by the Chair after the LCPC has discussed them at the meeting where the decision is made.

The Secretary of the Committee will forward all of the relevant documentation and notification of outcomes on decisions made by the LCPC to the Academic Confirmation and Promotion Advisory Committee. The Secretary will ensure that the decisions made by the Local Committee are recorded and checked by the Chair of the Local Committee before forwarding them to the Academic Confirmation and Promotion Advisory Committee. The Academic Confirmation and Promotion Advisory Committee provides overall outcomes and statistics to the University through the Academic Board.

In cases where the LCPC's decision does not agree with the recommendation from the Head, the Chair of the LCPC informs the Head.

3.3 The Academic Confirmation and Promotions Advisory Committee (ACaPAC)

Membership

The Academic Confirmation and Promotions Advisory Committee is comprised of:

- Academic Board President (Chair)
- Provost (or nominee)
- Executive Deans (2)
- Heads of Schools (2)
- Academics (3) from Levels C, D, E; not an Executive Dean, not a Head of School; from faculties or institutes not represented by Executive Deans or Heads of Schools on this committee
- HR Director or nominee

4. COMMITTEE PROCEDURES

4.1 Mid-term Review (Levels B – D)

Procedures

Members of the Local Committee will receive the documentation for each applicant (via a USB or email attachment). Each Committee member should examine the evidence contained in the applicant's documentation against the criteria for the relevant level (see section 2). The mid-term review is a formative process which focuses on strategies to enhance performance in preparation for final review. The mid-term review feedback should identify any areas requiring improvement and development for confirmation to be achieved.

Applicants are not interviewed by the Committee. At the mid-term review Committee meeting, the Chair will call for a discussion of each applicant and ensure that the letter of feedback to each applicant reflects the shared view of all Committee members. This letter should be finalised in a timely way after the meeting. Mid-term review occurs separately and prior to promotion deliberations. The Chair will ensure that feedback letters are sent to each applicant (copied to the applicant's Head) in a timely way following the mid-term review meeting. In some cases the Committee will request that a meeting take place between the Chair of the Local Committee (or nominated LCPC representative), the applicant and/or the Head. The purpose of this meeting is to further elaborate on the written feedback and to highlight actions that should be taken by the applicant and/or the Head. The applicant may also request that such a meeting take place.

When the feedback meeting has been completed, the nominated member of the LCPC will advise the Secretary of the LCPC who will record the fact that the meeting has been held.

4.2 Enhanced appraisal (academic staff on a 3 year probationary term) (Levels B – D)

The academic staff member and supervisor will arrange a mutually suitable time for an enhanced appraisal during the second year of probation, according to the published [Annual Submission Dates](#). The enhanced appraisal process is a formative process which focuses on strategies to enhance performance in preparation for final review. At the enhanced appraisal the supervisor should provide developmental advice and modify Form B - Achievements and Objectives accordingly. The supervisor will then complete (with the Head if the supervisor is not the Head) Form D - Assessment and Recommendation for Continuing Appointment and Promotion, setting out formative advice and an assessment of the applicant's achievements to date.

The second appraisal will include input from either the current, or the immediately preceding, LCPC Representative. This will assist in maintaining University standards via an external member with a broader understanding of University requirements. The LCPC input at this second appraisal will be through a review of the documentation rather than attending an appraisal interview. If the LCPC Representative has serious concerns regarding progress of the staff member, which differs from the view held by the Head, the LCPC Representative will consult with the Head (and the Executive Dean where a resolution cannot be reached).

4.3 Final Review

Procedures

Members of the LCPC will receive the documentation for each applicant (on a USB or via an email attachment). Prior to the Committee meeting, each member should analyse the applicant's documentation against the relevant criteria for that level.

At the Committee meeting, the Chair will call for a discussion of each applicant and ensure that a decision is reached that reflects the consensus view of the Committee. The Committee will weigh the evidence presented by the applicant's documentation and the referee reports to assess whether the evidence justifies a clear conclusion that the applicant either has or has not met the criteria. Extensions of probation of one or two years may be granted in extenuating circumstances and where the alternative decision would be 'No' to confirmation. Applicants will not be interviewed by the committee. In some cases further information may be requested from the applicant and/or additional referees may be sought by the Committee.

The LCPC produces dot-points for the feedback discussion where a non-confirmation or extension of probation decision has been made. Dot points must be accurate and should highlight the main issues pertinent to the case (for example any performance relative to opportunity matters that were considered, extenuating circumstances supporting an extension of probation, why it would have been a "no" decision as an alternative to an extension of probation). These are confirmed by the Chair after the LCPC has discussed them at the meeting where the decision is made. HR advice will be required before an extension of probation is determined (for example, contracts of appointment must permit an extension).

The Secretary of the Committee will forward all of the relevant documentation and notification of outcomes on decisions made by the LCPC to the ACaPAC. The Secretary will ensure that the decisions made by the Local Committee are recorded and checked by the Chair of the Local Committee before forwarding them to the ACaPAC. The ACaPAC provides overall outcomes and statistics to the University through the Academic Board.

In cases where the LCPC's decision does not agree with the recommendation from the Head, the Chair of the LCPC informs the Head just prior to the staff member receiving the notification of outcome.

The Chair of the LCPC and LCPC Representative upon request of the applicant, will meet with applicants who are not confirmed in their continuing appointment or who receive an extension of probation. Applicants' Heads may be invited to feedback meetings in the case of an extension of probation.

Appeals are considered by the Provost and must be based on a procedural error that had a substantial and significant impact on the decision.

Refer to the [Academic Submission Timetable](#) for submission dates.

4.4 Promotion (Levels C-D)

Procedures

Members of the LCPC will receive the documentation for each applicant (on a USB, via an email attachment or via UQJobs). Applications are submitted online through UQJobs. Panel members may also view applications online. Prior to the Committee meeting, each member should analyse the applicant's documentation. 'Areas of Focus' may also be distributed to the Committee. This document allocates areas of particular focus (either teaching, scholarship of teaching and learning, research or service) to individual Committee members to explore at interview.

Promotion applicants are interviewed by the LCPC. The Committee will usually have a pre-interview discussion to discuss the approach they wish to take and any particular issues that should be addressed. Interviews are normally scheduled for approximately 25 minutes, with an additional 10 to 15 minutes for discussion regarding the Committee's decision on the applicant and any further matters that need to be discussed prior to the next applicant's interview.

The applicant has 5 minutes or less at the commencement of the interview to précis their application and to provide a brief update if they wish. Interview questions should target those areas that may require further clarification (particularly any areas of concern) that are not clear from the written application. The Chair may call for a discussion of each applicant after their interview and/or at the conclusion of the interviews for the day. Committees generally find it easier to come to an initial assessment of the applicant after the interview and then review all of the cases for the day at the end of the session. Committees may also wish to reflect on all of their decisions at the end of the series of meetings.

The Chair will ensure that a decision is reached on applicants, reflecting the view of the Committee. The Committee will weigh the evidence presented by the application and the referee reports to assess whether the evidence justifies a clear conclusion that the applicant either has or has not met the criteria.

The LCPC produces dot-points for the feedback discussion where a decision not to promote has been made. Dot points must be accurate and should highlight the main issues pertinent to the case (for example any performance relative to opportunity matters that were considered). These are confirmed by the Chair after the LCPC has discussed them at the meeting where the decision is made.

The Secretary of the Committee will forward all of the relevant documentation, including notification of outcomes on decisions made by the LCPC to the ACPAC. The Secretary will ensure that the decisions made by the Local Committee are recorded and checked by the Chair of the Local Committee before forwarding them to the ACPAC. The Chair of the ACPAC will ensure that a report on the 'round' for the year is prepared and presented to the Academic Board and to the Provost.

If the LCPC's decision does not agree with the Head's recommendation on the applicant, the Chair informs the Head just prior to the staff member receiving a notification of outcome.

Unsuccessful applicants are encouraged to avail themselves of the opportunity for a feedback meeting with the Chair of the LCPC and LCPC Representative to discuss ways of strengthening a future application. Appeals are considered by the Provost and must be based on a procedural error that had a substantial and significant impact on the decision (and must be received within 21 days of notification).

Refer to the [Academic Submission Timetable](#) for submission dates. Promotion to the new level is effective from 1 January of the following year.

5. SOURCES OF INFORMATION

Mid-term Review, Enhanced Appraisal and Final Review for Continuing Appointment:

<https://staff.uq.edu.au/information-and-services/human-resources/performance-review/academic-staff>

Academic Promotion (up to Level D)

<https://staff.uq.edu.au/information-and-services/human-resources/performance-review/academic-promotion>

Enquiries should be directed to the relevant faculty or institute Human Resources Business Partner:

- BEL - capbel@uq.edu.au
- EAIT, AIBN and SMI - capeait@uq.edu.au
- HASS, ITALI and ATGIS - caphass@uq.edu.au
- HABS - caphabs@uq.edu.au
- Medicine, IMB and QBI - capmed@uq.edu.au
- Science, QAAFI, CAI and GCI - capscience@uq.edu.au

Guidelines for Confirmation and Promotions Committee Members (16/02/18)

<https://staff.uq.edu.au/files/314/confirmation-promotion-committee-guidelines.pdf>