GUIDE TO FORM C
(Promotion to Levels B, C or D)

Revised: December 2012
(for use in 2013 promotion round)
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1.1 [Introduction] Promotion is intended to recognise and reward sustained excellence assessed on merit as demonstrated by service in the University, and it provides an opportunity for academic staff to achieve their career goals and aspirations. At Flinders, the promotion process is linked with the performance review process which all academic staff are required to undertake on an annual basis in accordance with the Academic Staff Performance Review Scheme. Within this review process, specific forms are used for different categories of staff (Forms A and B) and Form C has been developed as a separate but complementary form for the purposes of applying for promotion. Staff members intending to apply for promotion are therefore encouraged to use as much information as is relevant from Form A when preparing their application for promotion.

1.2 [Guide to Form C] This Guide has been developed specifically to assist eligible staff at Levels A, B and C to complete the application form for promotion to Levels B, C, or D respectively, and should be read prior to completion of the application form (Form C). A separate Guide exists for staff applying for promotion to Levels D Plus or E. Part 2 of this Guide outlines the application process, while detailed explanatory notes for applicants and their supervisors and Executive Deans are provided in Part 3.

1.3 [Application Form] Applicants should complete Sections I and II of Form C, and the supervisor and Executive Dean should complete Section III. Two versions of Form C are available: one for applications to Levels B, C or D, and a separate Form C for applications to Levels D Plus or E.

1.4 [Eligibility] to apply for promotion under these guidelines is as follows:

1.4.1 [Continuing/Convertible/Continuing Contingent-funded staff] Academic staff at Levels A, B and C (full-time or fractional) may apply for promotion to Levels B, C or D respectively.

1.4.2 [Fixed-term staff] Academic and grant funded staff at Levels A, B and C employed on fixed-term appointments (full time or fractional) may apply for promotion to Levels B, C and D respectively provided that the cumulative term of the appointment is for at least three years.

Although length of service is not in itself a criterion for determining eligibility for promotion, the University adheres to the principle that promotion is based on sustained merit as demonstrated by service in the University.

Promotion to a higher level will not alter the original term of a staff member's fixed-term or convertible appointment (should the latter category of appointment not be converted).

1.4.3 [Holders of Full Academic Status] may apply for promotion in accordance with the University's Academic Status policy and are not required to complete Form C for this purpose.

1.5 [Criteria for Promotion]

1.5.1 [Academic Profiles/Position Descriptions] The criteria for promotion will be in terms of the following:

- the contributions made by the applicant in the areas of academic activity recognised in the Academic Profiles, in accordance with her/his Position Description as appropriate; and
- the applicant’s evidence of sustained excellence in these areas, at the academic level to which promotion is being sought, while working at the University.
Position Descriptions are particularly relevant for staff appointed to specialised academic roles (such as “education-focused”), as are the Supplementary Guidelines in the Flexibility in Academic Work Policy (Schedule A – regarding education-focused roles or Schedule B – regarding research-focused roles). Applicants for promotion should refer to the Academic Profile for the level of promotion sought and, if appropriate, the Position Description pertaining to their position and the Supplementary Guidelines, and use these as a framework for responding to each question in Section II of Form C.

1.5.2 [Poor performance in teaching or research] may provide grounds for not recommending promotion, notwithstanding the strength of the case in other areas – for staff in balanced teaching and research roles.

For staff in education-focused roles, poor performance in teaching may provide grounds for not recommending promotion, notwithstanding the strength of the case in other areas.

1.6 [Assessment] As noted above, the Academic Profiles and, where appropriate, Position Descriptions, form the basis for evaluation of an academic staff member’s application for promotion and include a range of activities in which a staff member could be expected to be involved, and for which evidence should be provided, in each of the areas of academic activity. In some cases, Schools have identified specific expectations in the Profiles which better reflect the distinct characteristics and needs of the School. Applicants therefore need to address any specific School expectations in addition to addressing the general expectations for all staff. There is no significance in the order of the dot points under each area of activity in the Profiles.

[Staff in specialised academic roles] In addition to the Position Description for their appointment and the Academic Profile for the level concerned, the case for promotion for staff in specialised academic roles will also be assessed with reference to Supplementary Guidelines contained in Schedules A and B of the University’s Flexibility in Academic Work policy.

1.7 [Weightings] To recognise the specific requirements of each academic category (i.e. teaching and research, academic research-only, and specialised (education-/research-focused) roles), separate weighting ranges apply (refer Note #19). With effect from the 2013 promotion round, variations to weightings may no longer be sought.

1.8 [Designated Supervisor] As provided for by policy, all staff members have a designated supervisor and are advised in writing of the name and position of that supervisor. For Deans of Schools, the supervisor will normally be the Executive Dean; for other staff the supervisor will normally be the Dean or Deputy Dean of the School in which the staff member is employed. The Vice-Chancellor will normally be the supervisor of an Executive Dean.

The designated supervisor must complete the relevant questions in Section III of Form C unless an alternative arrangement has been approved by the Deputy Vice-Chancellor (Academic) in advance of the form being completed.

[Where both the supervisor and her/his direct report seek to apply for promotion] to the same classification level in the same round, the supervisor should first disclose this to the staff member concerned, who then should be offered the option of identifying an alternative supervisor (for promotion purposes only), provided that this option does not disadvantage the staff member.

1.9 [Confidentiality] When completed, Form C, together with other documents submitted, will only be made available to members of the relevant Committee and to other authorised staff of the University.
1.10 **Resource Materials** Before completing *Form C*, applicants are encouraged to familiarise themselves with the relevant promotion policy and procedures and to make use of the range of relevant websites noted below:

*Promotions Website:*
http://www.flinders.edu.au/ppmanual/staff/promotions/index.cfm *Academic Profiles*

*Policy:*
http://www.flinders.edu.au/ppmanual/staff/classification/academic-profiles.cfm

*Academic Staff Performance Review Policy:*

*Teaching Evaluation at Flinders:*

*Student Evaluation of Teaching:*
http://planning.flinders.edu.au/?content-set

*Flexibility in Academic Work Policy:*
http://www.flinders.edu.au/ppmanual/staff/classification/flexibility-academic-work.cfm
PART 2: APPLICATION PROCESS

2.1 [Application for Promotion]

2.1.1 [General] The University’s Academic Profiles Policy and Promotion to Levels B, C and D - Policy and Procedures both provide information in relation to academic staff considering applying for promotion to the level of:

- Lecturer (Level B) or
- Senior Lecturer (Level C) or
- Associate Professor (Level D)

Staff who are considering an application for promotion should discuss the matter with their supervisor at their annual academic performance review meeting in the year (or years) prior to and in the year of application.

Applications for promotion are made using Form C – Application Form for Promotion to Levels B, C or D. To ensure compliance with the University’s requirements for promotion, it is essential that this form is completed with reference to the Promotion to Levels B, C and D - Policy and Procedures.

Applicants must check that their applications are complete at the time of submission. If, for good reason, not all the relevant information can be provided, a statement should be included indicating which items are outstanding and when they will be available.

2.1.2 [Relevant Period] Only evidence from the relevant period may be included in the application for promotion.

The relevant period for promotion to Levels B, C or D is normally the period since appointment or promotion to the current position. However, where an applicant has had a contiguous appointment at this University at the same academic level with the same or similar range of duties, evidence may also be provided for this prior period. Applicants should indicate in their application the dates of any contiguous period of appointment from which evidence is provided.

Extended periods of leave without pay may affect an intending applicant’s ability to meet the criteria for promotion by reducing the effective “relevant period” of service within the University. Such matters should be discussed with the supervisor before submission of an application.

2.1.3 [Frequency of Rounds] Promotion rounds for Levels B, C and D are held every year.

2.1.4 [Information Sessions] An Information Session for intending applicants for promotion is normally held soon after a call for applications is made (one session for Levels B, C and D and a separate session for Levels D Plus and E). The Information Session provides an overview of the promotions process and gives intending applicants an opportunity to ask questions about the process and their proposed applications. Supervisors are encouraged to attend this session. A DVD is normally made of the session and a copy of this will be forwarded to each Faculty office and to remote areas. Copies will also be available in Human Resources.
2.2 [Application Process]

2.2.1 [Format for Applications]

[Application Form] Applications for promotion must be submitted on the relevant version of Form C which can be downloaded from: http://www.flinders.edu.au/ppmanual/staff/promotions/index.cfm


[Font and Margin Size] Consistent with the University’s corporate font, applications should be typed in not less than 11 point print (Helvetica or Arial font) with a 2.5 cm margin all round. Applications received in Human Resources in less than 11 point print will be returned to the applicant for editing in the required format.

[Page Limits] The applicant’s report in the four academic areas (Questions 12-15) should be limited to the number of pages specified below:

- Associate Lecturer (Level A), Lecturer (Level B) 10 single-sided A4 pages
- Senior Lecturer (Level C) 12 single-sided A4 pages
- Associate Professor (Level D) 12 single-sided A4 pages

[Covering Letter – Level D only] Applicants for promotion to Level D should submit a covering letter (maximum two pages) with their application summarising the most important elements of the case for promotion, including their leadership claims. The letter should be in not less than 11 point print (Helvetica or Arial font). Covering letters are not required from applicants for promotion to Level B or Level C.

2.2.2 [Procedure]

[Applicants] must complete Sections I and II of Form C. The application should be signed and dated by the applicant and forwarded to the supervisor for comment and signature. Applicants should ensure the form is forwarded to the supervisor in sufficient time to enable comments to be made prior to the deadline set for applications to reach their Executive Dean.

[Supervisors] should provide comment as specified in Section III, including a rating for each area of academic activity for which the applicant is providing evidence. The supervisor should then sign and date the hard copy and forward this to the relevant Executive Dean for comments, rating and signature. Once the relevant parts of Section III have been completed, the form must be returned to the applicant for final comments and signature.

2.2.3 [Final Comments] An applicant’s comments should not exceed one page and should not contain any new information.

2.2.4 [Checklist] All applicants must complete the relevant checklist for the level of promotion sought and attach it to the cover of their application prior to sending the application to Human Resources.

2.2.5 [Closing date for Applications] Completed applications (hard copy) should be forwarded to the Director, Human Resources by the closing date specified by Human Resources.
2.2.6  [Submission of Application]

[All Applicants]  All applicants should submit a hard copy of their application (unstapled) in the following order:

- Checklist (completed by applicant) – see Attachment 1 of Form C
- Covering letter (for Level D only)
- Section I
- Section II
- Section III
- Position Description (for staff appointed to research-only, or specialised academic roles e.g. “education-focused”)
- Curriculum Vitae
- Teaching Summary - see Attachment 2 of Form C
- Summary of Student Evaluations of Teaching (SETs) Report - see Attachment 3 of Form C
- Summary of Research Publications – see Attachment 4 of Form C
- Summary of Grants – see Attachment 5 of Form C
- Peer and/or supervisor evaluation(s) of teaching
- Summary of Additional Information (refer 2.2.7) – see Attachment 6 of Form C

[Applicants for promotion to Level D only], whose referees will be contacted by email, are also required to email separate electronic versions (pdf form preferred) of the following four documents:

- Covering letter
- Section II (Questions 12-15 only)
- Curriculum Vitae
- Position Description (for staff appointed to research-only, or specialised academic roles)

to Ms Bev McLeod, Human Resources:  bev.mcleod@flinders.edu.au by the nominated closing date.

2.2.7  [Additional Information] in the form of attachments may be included in the application for promotion in order to substantiate the applicant’s claims. These may include the following:

- Student Evaluations of Teaching (SETs)
- Information which substantiates research claims made within the text
- Information relating to the receipt of an award or prize in any of the four areas of academic activity
- Confirmation of the status of publications in preparation for printing or in press (e.g. a copy of the letter of acceptance or a copy of the front page of the accepted publication and information about the stage of publication)
- More detailed information in support of an applicant’s teaching philosophy

The attachments should relate to the applicant’s relevant period of appointment (see 2.1.2 above).

Applicants providing additional information are required to complete a summary of the attachments using the Summary of Additional Information template (Attachment 6 of Form C).

The actual documents submitted as additional information are provided for Committee members’ reference at the respective Committee meetings.

2.2.8  [Confirmation of Receipt of Application]  All applicants will receive an email from Human Resources confirming receipt of application within 14 working days of the closing date for applications. If confirmation is not received within this timeframe, the applicant should contact Human Resources immediately.
2.2.9 **[Advice to Applicants]** The Director, Human Resources will notify each applicant of the outcome of her/his application for promotion. For unsuccessful applicants, this notification will include:

- an invitation to meet with the Chair of the relevant Promotion Committee, together with the applicant’s supervisor and a HR Officer, to discuss the relative strengths and weaknesses of their application; and
- information about the appeals process.

2.2.10 **[Appeals]** Staff whose application for promotion is not successful may lodge an intention to appeal or seek review under the provisions of the *Promotion to Levels B, C and D - Policy and Procedures*. Appeals are limited to alleging that the decision substantially miscarried as a result either of serious defect in the decision-making process or evidence that the applicant was discriminated against (being discrimination as defined under the University’s *Equal Opportunity policy*).
PART 3: EXPLANATORY NOTES

The following notes correspond with the headings in Form C – Application for Promotion to Levels B, C or D:

SECTION I

Note #3.1: Academic and professional qualification(s) held (Q3.1)

Applicants should state the name of their qualification(s), the institution from which it was obtained and the year it was conferred.

Professional doctorates (such as EdD) will be regarded as equivalent to a PhD for the purposes of the Academic Profiles.

Note #3.2: Applicants who have submitted higher degree thesis for formal examination (Q3.2)

Where the qualifications criteria in the relevant Academic Profile specify a higher degree (e.g. PhD), an applicant who has submitted her/his thesis prior to the closing date for applications may still have her/his application considered by the Committee on its merits. If the Committee determines that the application meets the criteria specified in the relevant Academic Profile in all other respects, the promotion will be effective from the date that the awarding institution officially confirms that the applicant has met the requirements for the award of the higher degree if this is after the common date on which promotion is effective for all other successful applicants.

Note #3.3: Case, including evidence, where formal qualification(s) required under Academic Profile not held (Q3.3)

In cases where an applicant does not hold the formal qualification(s) specified in the Academic Profile for the level to which application is being made (other than where the thesis has been submitted – refer Note #3.2), s/he must provide a case, including evidence, for why s/he claims, nonetheless, to meet the qualification criteria. This could include evidence of equivalent level qualifications/work/research/professional experience, but only if specified as acceptable under the relevant Profile.

Note #3.4: Current higher degree enrolment or other postgraduate enrolment (Q3.4)

Applicants should state the name of the course and the institution at which they are enrolled and the year that they expect to complete.

Note #5.1: Date of appointment/promotion to current position (Q5.1)

This will normally be the start date of the applicant’s “relevant period” (see 2.1.2).

Note #5.2: Dates of any claimed contiguous period of appointment from which evidence is provided (Q5.2)

Applicants should indicate in their application the dates of any contiguous period of appointment from which evidence is provided. Refer to 2.1.2 of this Guide.

Note #6.3: Appointment Fraction (Full-time/Part-time) (Q6.3)

Applicants should indicate whether they are employed full-time or part-time. If part-time, applicants should specify the fraction they work e.g. 0.5, 0.8.
SECTION II

Note #12: Teaching and related duties - Activities since appointment to current position/level (Q12)

[Academic Profile/Position Description] Applicants should refer to the relevant Academic Profile for the level of promotion sought and, where appropriate, the Position Description for their position, and use these as a framework for responding to this question.

For staff in specialised academic roles, the case for promotion will be assessed with reference to: the expectations articulated in the Position Description for their particular position; the Academic Profile for the Level concerned; and the relevant Supplementary Guidelines – Schedule A (education-focused roles) or Schedule B (research-focused roles) – in the Flexibility in Academic Work Policy.

[Criteria] “Teaching and research” and “education-focused” academic staff applying for promotion will be expected to address most, if not all, of the expectations in the Teaching section of the relevant Academic Profile (including, where appropriate, any School-specific expectations) in their application.

Applicants with no or limited teaching responsibilities should tailor their applications (and weightings) accordingly to reflect the specific expectations of their appointment, within the limits prescribed by the Promotion to Levels B, C and D Policy for their category of employment.

[Teaching Philosophy] In making a case in regard to teaching, applicants are strongly encouraged to reflect on their teaching philosophy and provide an outline of this within the body of the application. More detailed information in support of an applicant’s teaching philosophy may be attached as Additional Information but will not form part of the application forwarded to the Committee.

[Teaching and Related Duties Proforma] Where applicable, all applicants should complete the Summary of Teaching and Related Duties proforma for the years since their appointment or promotion (see Attachment 2 of Form C) and append it to their application.

An example of the type of information to be provided in the summary is included below to assist applicants, who should cross-reference and reproduce highlights from this summary under this section of the application.

Example:

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<th>2012</th>
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<tr>
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<td>• No of students taught directly by applicant</td>
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<tr>
<td>• Nature of contribution e.g. lectures, tutorials, lab classes, Topic</td>
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<tr>
<td>Convenor/Course Coordinator</td>
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<td>• Was a SET (Student Evaluation of Teaching) administered: Y/N</td>
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<td>• Is a SET attached: Y/N</td>
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<td>If Y: for which segment(s) e.g. Lectures/Tutorials/Workshops</td>
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<td>• Is a SET attached: Y/N</td>
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Guide to Form C – Levels B, C or D (for 2013 promotion round) 11
Note #12.1 and #12.2: Undergraduate/Postgraduate Teaching (Q12.1 and Q12.2)

[Independent evidence of teaching effectiveness] In addition to addressing the relevant Academic Profile, and Position Description where appropriate, applicants (with the exception of research-only academics) must submit independent evidence of teaching effectiveness. An application for promotion will not be considered in the absence of such evidence, which should include student evaluation of teaching as well as peer evaluation and/or supervisor evaluation.

[Student Evaluation of Teaching] should be undertaken, in keeping with the University’s Evaluation, Monitoring and Review of Academic Programs and Teaching policy (see url: http://www.flinders.edu.au/ppmanual/teaching-course-management/eval-monitoring-review-academic-programs.cfm), and Student Evaluation of Teaching reports (SETs) covering the relevant period and for a number of topics should be submitted with the application.

[Summary of SET Results] All applicants are also required to provide a summary of the SETs submitted with their application using the Summary of SET Results template (Attachment 3 of Form C).

[Other forms of student evaluation] SET reports are not the sole form of evidence that can be used to support claims made in applications. They may be supplemented by other forms of student evaluation of teaching, such as those used to evaluate problem-based learning and off-shore teaching or reviews of one-on-one teaching as used by Yunggorendi and Student Learning Centre staff. Student Evaluation of Topics and Supervision may also be used. Ideally data from evaluation instruments should be discussed within the application.

[Peer review] Peer feedback on aspects of teaching should also be provided. Peer review should comment on three inter-related aspects of designing and providing effective learning environments:

- careful comprehensive planning
- effective program delivery and interaction with students, and
- on-going evaluation, development and review.

The Teaching Review Guide at: http://www.flinders.edu.au/teaching/quality/evaluation/resources-links-and-references.cfm addresses each of these aspects separately although it is recognised that they form part of an interactive process.

Applicants should include in their report on teaching their analysis of both student evaluation and peer feedback, their reflection on teaching performance and any proposed changes to their teaching in response to the evaluations.

Applicants should also identify their teaching contributions across a range of levels although this does not mean that they are required to teach across all levels. Where it has not been possible for applicants to teach at particular levels, they are advised to comment on this.

[Applicants in Education-focused roles] must include evidence of external validation of their outstanding performance in teaching, as indicated in Schedule A of the University’s Flexibility in Academic Work policy, at http://www.flinders.edu.au/ppmanual/staff/classification/flexibility-academic-work.cfm. Such evidence includes success in gaining external and/or internal grants and awards, evidence of publications pertaining to the scholarship of teaching, and other indicators of impact, as outlined in the Schedule.

Note #12.3 and #12.4: Honours/Postgraduate Supervision (Q12.3 and Q12.4)

In addition to addressing the relevant Academic Profile and, where appropriate, Position Description, applicants might respond to the following:

- What objectives have been set as a supervisor of honours/postgraduate work?
- Are there any special circumstances affecting honours/postgraduate study in the discipline?
• What steps have been undertaken by the applicant to ascertain the level of honors/postgraduate student satisfaction with the style or quality of her/his supervision?

[Academic research-only applicants who supervise research students] and have allocated a weighting of zero to Teaching, should include this activity under Research and Creative Activity.

Note #12.5: Additional evidence of achievements as teacher (Q12.5)

Applicants should provide any additional information they think would be helpful to the Committee. This might include evidence of publication(s) relating to teaching innovation, success in obtaining teaching grants, etc.

Note #13: Research and/or Creative Activity - Activities since appointment to current position/level (Q13)

[Academic Profile/Position Description] Applicants should refer to the relevant Academic Profile for the level of promotion sought and, where relevant, the Position Description for their position, and use these as a framework for responding to this question.

Criteria] “Teaching and research” academic staff applying for promotion will be expected to address most, if not all, of the criteria across the Research and/or Creative Activity section of the relevant Academic Profile in their application.

Applicants whose position and duties do not include a significant expectation in the area of research (such as education-focused academic staff) should tailor their applications (and weightings) with respect to research accordingly i.e. with reference to the expectations articulated in their Positions Description, the Academic Profile for the level concerned and the guidelines about research provided in Schedule A in the Flexibility in Academic Work Policy.

Note #13.1: Research and/or creative activity projects undertaken (Q13.1)

[Summary] All staff members are expected to take part in research and creative or scholarly activities. As such, all applicants are required to summarise all research and/or creative activities since appointment or promotion to their current position. For applicants in education-focused positions, it is expected that their research-related activities will have a particular emphasis on the scholarship of teaching.

[Research and experimental development] comprises creative work undertaken on a systematic basis in order to increase the stock of knowledge. The methods employed in carrying out research may vary, but would include formation and testing of hypotheses, investigation of phenomena, data analysis and development and testing of theories, devices and/or software. The nature of these activities will clearly vary according to the academic discipline and the relative emphasis given to particular types of activity will vary for individual staff members according to their level of appointment and according to their specific research interests at the time. An indication of the objectives of the research and the level of success in achieving those objectives should be included in the report.

[Non-traditional research] Increasingly, “non-traditional” research is seen in the University to be as important as, and as valued as, traditional research. This is particularly so in the Faculty of Science and Engineering. Non-traditional research-related activities may have more constraints on focus and on the way in which outcomes are disseminated as the activity is often more under the control of the funding organisation. Examples of non-traditional research-related activities include:

• consultancies (although the professional activity category should be used where the work is performed within the limits of already existing knowledge or where consultancy reports are confidential and outcomes therefore not able to be independently assessed);
• inventions/patents with detailed information on the kind of work involved in these activities.

[Evidence of contribution] In general, the Committee is seeking evidence of profound knowledge of a discipline and a real contribution to the advancement of knowledge through
research. Evidence of creative literary or artistic work of merit comparable to outstanding research may be presented in addition to, or in place of, research.

[Academic research-only applicants who supervise research students] and have allocated a weighting of zero to Teaching, should include this activity here.

[Creative Activity] Activities cited should be elaborated upon beyond just a listing, and applicants should make a case for, and explain the status and relevance of each activity by providing evidence (e.g. testimonials) of its standing.

Note #13.2: Publications (Q13.2)

[Summary of Publications] Applicants are required to provide a summary of their publications for the relevant period submitted with their application using the Summary of Research Publications template (Attachment 4 of Form C).

[Most significant publications] Applicants should nominate with an asterisk (*) in their application their most significant publications in the relevant period. Applicants should also provide a brief statement of what is particularly significant about each of the publications they have nominated, indicating the ways in which singly, or as a body of work, the publication demonstrates an outstanding or noteworthy achievement in the advancement of knowledge.

Publications published prior to the relevant period can be mentioned in the application to explain the trajectory of the applicant’s research program, though in themselves they are not considered part of the case for promotion.

[Status of publications] Only books, parts of books or manuscripts, articles and papers which have been formally accepted will be considered as publications by the Committee. Other writing in progress or currently under journal/publisher review may be separately mentioned in the application as evidence of ongoing activity but cannot be claimed as publications.

[Standing of Publication Outlets] Use the Summary of Research Publications template (Attachment 4 of Form C) to explain the academic standing of each publication outlet.

[Work “in press”] Where a work has been formally accepted but has yet to be published (e.g. “in press”), applicants should include, as part of the Summary of Additional Information (Attachment 6 of Form C), a copy of the letter of acceptance or a copy of the front page of the accepted publication and information about the stage of publication.

[Jointly authored publications] Where publications are jointly authored, applicants should provide information on their own specific contribution to the publication relative to the named authors, on the Summary of Research Publications template (Attachment 4 of Form C).

[Publication of own work] Where applicants have published their own work, the Committee should be provided with information on the review process to which the work was subjected before publication, the number of copies printed, and any special circumstances surrounding the decision to publish in this way.

Note #13.3: Grants (Q13.3)

[Summary of grants] Applicants are required to provide a summary of their grants for the relevant period submitted with their application using the Summary of Grants template (Attachment 5 of Form C).

[Details of grants] Applicants should provide details of any grants for research or creative activity that they have obtained during the relevant period on the template Summary of Grants (Attachment 5 of Form C). They should provide the name of the granting organisation, the title of the project, amount of funds provided and the other chief investigators for that project.

[Unsuccessful grant applications] Applicants are also encouraged to provide information on unsuccessful applications for grants.
Grants from non-traditional sources should also be listed. These are funds from other than the standard University research funding sources and agencies. In general, such funds will originate directly from the private sector.

Note #13.4: Standing in areas of research and/or creative activity (Q13.4)

[Outline of standing] Applicants should provide an outline of their standing in areas of research and/or creative activity as indicated by their contribution to activities specified in the relevant Profile.

[Evidence] Examples of various types of evidence of leadership in research activities are provided in the relevant Profiles; other evidence might also include enhancing research activity in a School, sourcing novel research funds or initiation and leadership in joint publications, grant applications and patents.

Note #14: Administration (including Service to the University) - Activities since appointment to current position/level (Q14)

[Summary] Applicants for promotion should summarise all significant administrative activities undertaken during the relevant period with reference to the relevant Academic Profile for the level of promotion sought and, where relevant, the expectations with respect to administration specified in the Position Description pertaining to their appointment.

[Criteria] Applicants are normally expected to address most, if not all, of the criteria specified in the Administration (including Service to the University) section of the Academic Profile in their application.

Note #14.1: School (Q14.1)

[School responsibilities] Applicants should list their administrative responsibilities in the School, and in addition, should indicate how their role in administration has contributed to the Faculty/University, e.g. noting particular committee outcomes and achievements.

[For promotion to Level D] evidence of leadership and achievements in administration needs to be provided (e.g. written statements by other staff members).

Note #14.2: Faculty (Q14.2)

[Faculty responsibilities] Applicants should list their membership of Faculty/University Committees and working parties. In addition, applicants should indicate how their roles went beyond simple membership to contributions such as:

- executive responsibility as chair or convenor
- other administrative responsibilities
- policy development
- other outcomes

Note #14.3: University-wide (Q14.3)

[University-wide contribution] Applicants should indicate any other areas in which they have contributed to the University and specify actual achievements in those areas.

Note #15: Professional Performance (including Service to the Community) - Activities since appointment to current position/level (Q15)

[Summary] Applicants should summarise all significant professional activity (including service to the community) undertaken during the relevant period, with reference to the relevant Academic Profile for the level of promotion sought and, where relevant, the expectations with respect to professional performance, including service to the community, specified in the Position Description pertaining to their appointment.

[Criteria] Applicants are normally expected to address most, if not all, of the criteria specified in the Professional Performance (including Service to the Community) section of the Academic Profile in their application.
Note #15.1: Contribution to the profession (Q15.1)
Most academic staff are members of an association based on their subject. Some academic staff work in disciplines which educate and train people for particular professions such as nursing, education, accounting, medicine and social administration and they may be eligible to participate in relevant professional associations.

Note #15.2: Consultancy and/or commissioned work (Q15.2)
[Effect of contribution] Knowledge can be advanced through consultancy or commissioned work conducted for government or government authorities, industry or private enterprise, community organisations and groups, whether that work is paid or not. In each case, for such work to be deemed relevant for promotion, applicants must be able to demonstrate the ways in which it has contributed to the advancement of knowledge in the profession. In this section, applicants should therefore:

- list any consultancy, tender or commissioned work, its nature and the body for which it was performed; and
- specify how this activity contributes to the profession.

[Evidence of client satisfaction] Where the work is not widely available for public scrutiny or is not available for peer review (e.g. because of commercial in-confidence reasons), statements from clients regarding their satisfaction with the advice or consultancy work should be provided.

Note #15.3 Service to the community (Q15.3)
[Contribution] Most academic staff actively contribute to the community and their profession on the basis of their field of expertise. Such contribution may not constitute commissioned work or specific consultancies but rather take the form of continuing involvement or frequent service.

[Details of service] In this section, applicants should give details of service that they have provided to the general community and which is related to their area of academic expertise. Applicants need to describe the ways in which this service relates to their University activities.

Note #16: Periods of leave or other absences from the University (Q16)
Applicants should indicate the dates that they have been away from the University for a substantial period since appointment or promotion to their current position. This might include absence through maternity or personal/carer’s leave, leave without pay, Outside Studies Program, etc.

Note #17: Special circumstances (Q17)
Applicants may also wish to include for special consideration any matters which may have affected the progress of their career, e.g. significant career interruptions, family obligations, illness. It is important to indicate how the circumstances cited are claimed to have restricted opportunity to perform against the Academic Profiles.

In addition, where a temporary change to an applicant’s primary duties/responsibilities has occurred, information should be provided here on the nature of the change(s).

Note #18: Referees nominated by the applicant – Level D only (Q18)
[Promotion to Level B or Level C] Applicants for promotion to Levels B or C are not required to nominate a referee.

[Promotion to Level D – referee reports]
Applicants for promotion to Level D should list the name, address and email address of one referee from whom a report will be sought. Details of a substitute referee should also be provided, to be used only where the nominated referee is unable to provide a report. Preferably, such referees should be external to the University and be of high international reputation. The applicant should disclose the nature of her/his association with the nominated referees (if any) (e.g. collaborator, co-author)The applicant may also list the name(s) of any person(s) who should not be invited to be a referee.
[University-nominated referees]
The Supervisor in conjunction with the Executive Dean is required to nominate one additional referee from whom a report will be sought, as well as a substitute referee (to be used only where the nominated referee is unable to provide a report) – taking into account (if stated) any objections to particular person(s) raised by the applicant. Further information about this is provided for supervisors at Note # 21.8.

[Confidentiality] Referees’ reports and the name of the University-nominated referee are strictly confidential and will only be made available to members of the Level D Promotion Committee.

[Additional information] The relevant Promotion Committee may request applicants to provide additional information and/or may contact third parties to provide further information, in which case the applicant will be advised that this information will be sought.

Note #19: Weightings (Q19)
[Weighting Factors] Weighting ranges (see table below) apply to the four areas of academic activity for each category of academic role as defined by the Flexibility in Academic Work Policy (i.e. teaching and research, research-only, or specialised academic roles). Applicants should select the weighting factors within the appropriate ranges in accordance with the relevant Academic Profile and, where appropriate, the Position Description applicable to the appointment.

<table>
<thead>
<tr>
<th>Area</th>
<th>Teaching and Research</th>
<th>Education-Focused</th>
<th>Research-Focused</th>
<th>Research Only</th>
</tr>
</thead>
<tbody>
<tr>
<td>Teaching</td>
<td>No less than 3, no more than 5</td>
<td>No less than 6, no more than 7</td>
<td>No less than 1</td>
<td>No more than 2*</td>
</tr>
<tr>
<td>Research and Creative Activity</td>
<td>No less than 3, no more than 5</td>
<td>No less than 1</td>
<td>No less than 6, no more than 7</td>
<td>No less than 7</td>
</tr>
<tr>
<td>Administration (including Service to the University)</td>
<td>No less than 1</td>
<td>No less than 1</td>
<td>No less than 1</td>
<td>No more than 2*</td>
</tr>
<tr>
<td>Professional Performance (including Service to the Community)</td>
<td>No less than 1</td>
<td>No less than 1</td>
<td>No less than 1</td>
<td>No more than 2*</td>
</tr>
<tr>
<td>TOTAL</td>
<td>10</td>
<td>10</td>
<td>10</td>
<td>10</td>
</tr>
</tbody>
</table>

* One of the three areas may be weighted at zero

Note #20: Signature of Applicant and Date (Q20)
Applicants should sign and date the hard copy of their application form prior to forwarding it to their supervisor who will complete the relevant sections. In the School of Medicine, applications should be forwarded to the Dean of School through the relevant Associate Dean of Cluster.
Note #21: Comments and Recommendation from Designated Supervisor (Q21)

This section is to be completed by the person to whom the applicant is responsible, i.e. the designated supervisor, who is also normally the Dean or Deputy Dean of School (also refer 1.8). In the School of Medicine, applications should be forwarded to the Dean of School through the relevant Associate Dean of Cluster.

[Where both the supervisor and her/his direct report seek to apply for promotion] to the same classification level in the same round, the supervisor should first disclose this to the staff member concerned, who then should be offered the option of identifying an alternative supervisor (for promotion purposes only), provided that this option does not disadvantage the staff member.

[Role of Supervisor] Supervisors are encouraged to discuss with applicants their readiness for promotion during the relevant period and ensure that sustained excellence, as evidenced by service in the University, can be demonstrated. Factors such as extended periods of leave without pay, which may reduce the “relevant period”, and therefore affect an applicant's ability to meet the criteria for promotion, should be taken into account.

In terms of applications, supervisors should assist applicants in preparing their case for promotion in the most effective and appropriate way, including:

- providing applicants with comprehensive assistance in preparing their applications;
- providing advice in relation to the allocation of weightings across the four areas of activity which best represents the performance of the individual applicant;
- ensuring that evidence presented only relates to the relevant period;
- checking that applications are complete at the time of submission, and if for good reasons they are not complete, that a statement is included indicating which items are outstanding and when they will be available;
- ensuring that applications are framed in such a way that any terminology specific to a particular discipline can be readily understood by all Committee members; and
- providing a clear statement regarding the norms and expectations in relation to teaching and research output within the relevant School or discipline.

[Comments by the Designated Supervisor] should address the applicant’s contribution against the relevant Academic Profile, and where appropriate, the Position Description pertaining to the position, in each of the specific areas of activity and add value to the process by providing specific and verifiable comments in their reports. Where appropriate, additional contextual information should be provided about the area in which the applicant is currently employed. For applicants enrolled in a research higher degree and where the thesis supervisor is not the academic supervisor/Dean of School, a report should also be sought from the thesis supervisor.

Applicants may submit an application for promotion irrespective of advice from the supervisor.

[Position Description] In cases where the terms of employment of the applicant do not require her/him to contribute in all four areas of academic activity, the supervisor should ensure that the applicant’s Position Description is submitted with the application form. This is particularly relevant to staff in specialised academic roles.

Supervisors should also ensure that, where an applicant’s duties have been varied over the longer-term for operational reasons, the applicant’s Position Description is amended, and appropriately authorised, to reflect the changes.

Note #21.1: Qualifications (Q21.1)

The supervisor should indicate whether the applicant holds the formal qualification(s) specified in the Academic Profile for the level to which application for promotion is being made. Where the applicant does not hold the required qualification(s), the supervisor should comment on the applicant’s case (provided under Question 3.3 of Form C) for why s/he claims, nonetheless, to be eligible for promotion. See Note #3.2 of this Guide regarding
applicants who do not currently have a higher degree but have submitted their thesis for formal examination prior to the closing date for promotions.

Note #21.2: Teaching (Q21.2)
In answering this question, the supervisor should take into account the applicant's contribution to the development of new topics and courses, pedagogical skills, initiatives in teaching methods, ability as a face-to-face teacher, preparation and organisation of teaching material, capacity to inspire students, availability to students, contribution to teaching across the School/Faculty and postgraduate teaching.

Note #21.3: Research and/or Creative Activity (Q21.3)

[Special Features] In answering this question, supervisors should indicate any special features of the applicant's discipline and/or the kind of research and creative activity in which the applicant is engaged.

[Impact Factor of Publication Outlets] With regard to publications, supervisors are required to comment, where possible, on the relative strength/reputation/standing of the publication outlets in which articles are published or research results promulgated by the applicant in order to indicate the impact of the research undertaken.

Note #21.4: Administration (including Service to the University) (Q21.4)
Here supervisors should consider the quality of the applicant's contribution to the School, Faculty and University; the role the applicant has played in working parties and committees; the extent to which the applicant has represented the School and Faculty within or outside the University; and the responsibility acquired by the applicant in relation to the administrative duties that she/he has taken on and the effectiveness with which they have been carried out.

[Applications for promotion to Level D only] Comment should also be made on the regard with which the applicant is held by colleagues as an academic leader and administrator.

Note #21.5: Professional Performance (including Service to the Community) (Q21.5)
Supervisors should consider the applicant's service to the community, participation in State and Federal Government working parties, active membership of professional societies, advice to business, trade unions, government, service to education, etc.

Where the applicant is involved in consultancies or commissioned work, the benefits that the School, Faculty and/or University has received from these should be indicated.

Note #21.6: General (Q21.6)
Supervisors should provide any other relevant comments (e.g. on the information supplied by the applicant, on circumstances surrounding previous applications). Where appropriate, additional contextual information should be provided about the area in which the applicant is currently employed.

Note #21.7: Recommendation (Q21.7)
The supervisor is required to indicate how s/he rates this case for promotion using a whole number score between one and five for each area of academic activity for which the applicant is providing evidence, as follows:

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<tr>
<th>1</th>
<th>2</th>
<th>3</th>
<th>4</th>
<th>5</th>
</tr>
</thead>
<tbody>
<tr>
<td>Very Weak</td>
<td>Weak</td>
<td>Marginal</td>
<td>Strong</td>
<td>Very Strong</td>
</tr>
</tbody>
</table>

Supervisors should note that applications should be assessed in each area of academic activity on its merits, irrespective of the weighting given by the applicant to each area. The weighting then takes care of its relative significance in the overall Promotions Committee decision.
Note #21.8: University-nominated Referees – Level D only (Q21.8)

[Nomination of referees by the supervisor in conjunction with the Executive Dean] As foreshadowed earlier in these guidelines (note #18) the supervisor, in conjunction with the Executive Dean, is required to provide the names, addresses and email addresses of one referee who could be approached to provide an independent assessment of the applicant's achievements and one substitute referee (to be used only where the nominated referee is unable to provide a report).

All referees should be experts in the appropriate disciplinary area. In selecting the referees, account should be taken of any objection raised by the applicant as to particular person(s) being nominated as referee(s).

It is important that applicants have at least one referee who is external to the University and is of high international reputation. Supervisors should provide an explanation if this is not possible or appropriate.

Ideally, the nominated referee and substitute referee should be persons with whom the applicant has not collaborated or published (at the very least within the previous five years). The nature of any known association of the referees with the applicant should be disclosed.

Care should also be taken in selecting referees to ensure that the Committee will have before it adequate comment on the applicant's performance in all areas of endeavour under review.

Supervisors should consult members of the applicant's discipline (inside or outside Flinders University) about the choice of referees.

Supervisors should also make initial contact with the University-nominated referee to confirm that s/he is willing to provide a reference.

[Confidentiality]
The name(s) of the University-nominated referees (i.e. as nominated by the supervisor/Executive Dean) are to be kept confidential and only provided to members of the Level D Promotion Committee.

It is therefore essential that the following information is sent directly to Human Resources (c/o bev.mcleod@flinders.edu.au):

- the applicant's name and level of promotion sought;
- name/address/email contact details for the one referee and the one substitute referee;
- information about any known association of the nominated referees with the applicant.

The identities of the referees nominated, along with the referee reports received, will be provided to members of the Level D Promotion Committee.

Staff in Human Resources will write to the nominated referees requesting the required information.

Note #21.9: Signature of Designated Supervisor and Date (Q21.9)

Supervisors should now sign and date this section of the hard copy of the application form prior to forwarding it to the Executive Dean. Where the designated supervisor is not also the Dean of School, the Dean of School must also sign and date the form.

In the case of applicants in the School of Medicine, applications should also be forwarded to the Dean of School through the relevant Associate Dean of Cluster and provision is made for this on Form C.

Note #22.1: Comments and Recommendation from Executive Dean (Q22.1)

The Executive Dean should:

- where relevant, comment on the applicant's case in relation to qualifications, where a PhD or EdD is not held (refer Note #3.3);
- provide relevant information on the applicant which has not already been provided in the previous sections;
- provide evaluative comments indicating the reasons for her/his views on the strength of the application;
• ensure that adequate contextual information relating to the School and/or Faculty is provided by the supervisor or by the applicant where relevant;

The application must be returned to the applicant for noting of comments from the Executive Dean and the designated supervisor before the application is submitted to Human Resources.

**Note #22.2: Recommendation (Q22.2)**

The Executive Dean is required to indicate how s/he rates the case for promotion using a whole number score between one and five for each area of academic activity for which the applicant is providing evidence, as follows:

<table>
<thead>
<tr>
<th>1</th>
<th>2</th>
<th>3</th>
<th>4</th>
<th>5</th>
</tr>
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<tbody>
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<td>Very Weak</td>
<td>Weak</td>
<td>Marginal</td>
<td>Strong</td>
<td>Very Strong</td>
</tr>
</tbody>
</table>

Executive Deans should note that applications should be assessed in each area of academic activity on its merits, irrespective of the weighting given by the applicant to each area. The weighting then takes care of its relative significance in the overall Promotions Committee decision.

**Note #22.3: Signature of Executive Dean and Date (Q22.3)**

The Executive Dean should now sign and date this section of the application form and ensure that the applicant is given the opportunity to note her/his comments and those of the supervisor before the application is submitted to Human Resources.

**Note #23: Final comments and Signature by Applicant (Q23)**

This section provides for the applicant to formally note the report. In normal circumstances, the applicant would not need to make any further comment other than to confirm in writing that the comments of both the supervisor and Executive Dean have been noted. However, the opportunity is provided for the applicant to comment on the comments of the supervisor and/or Executive Dean.

The applicant’s comments should not exceed one page and should not contain any new information.

The applicant should sign and date the application and then forward the form, checklist and all relevant documentation to Human Resources.

All applications will be forwarded by Human Resources to the relevant Promotion Committee for consideration.

The Director, Human Resources will notify all applicants of the outcome of their applications.