

# **Project Proposal**

## **International inter-university benchmarking of academic promotion (IIB-AP)**

### **Project Information**

**Year Funded:** 2012  
**Funding request:** GBP 236,920  
**Project Discipline:** Standards, benchmarking, promotions policies and processes, quality  
**Project Key Words:** International, inter-university, inter-institutional, standards, quality, promotions, performance indicators, measures

### **Institutions**

UK: University of Leicester & University of Newcastle upon Tyne

AUS: University of Tasmania & University of Wollongong

### **Core Project Team**

Prof Annette Cashmore (UK Project Leader) & Dr Chris Cane, University of Leicester

Prof Sandra Wills (AUS Project Leader) & A/Prof Christine Brown, University of Wollongong

Prof David Sadler & Dr Sara Booth (Project Coordinator), University of Tasmania

Prof Stephen McHanwell & Sue Robson, Newcastle University

### **External Evaluator**

Prof Dorothy Whittington, Emeritus Professor, University of Ulster

### **International Advisory Group (IAG)**

#### **Australian Members**

Prof Geoff Crisp (RMIT), Prof Marcia Devlin (Deakin), Prof Arshad Omari (ECU), Prof Judyth Sachs (MQ), Prof Robyn Quin (Curtin), Prof Shirley Alexander (UTS), Prof Denise Chalmers (UWA), Prof Kerri-Lee Krause (UWS), Emeritus Prof Adrian Lee (ex-UNSW)

#### **UK Members**

Prof Gavin Brooks (Reading), Prof Janice Kay (Exeter), Prof Mick Healey (Gloucestershire), Prof Allison Littlejohn (Glasgow Caledonian), 4 PVC/DVCs tba, nominee from the HEA

### **Abstract**

*Building on a 2009 HEA report on reward & recognition and internationally recognised work at University of Wollongong on promotions criteria and peer review of teaching-related activities, this project aims to produce resources to guide and improve academic promotion policy and practice to reflect the recognition of teaching as core to the assurance of standards in higher education. International and inter-university in reach, the project involves four British and Australian universities developing a benchmarking framework wherein they will share and compare promotions policies, processes as well as staff perceptions of promotion. The benchmarking process includes the development of a benchmarking framework with performance indicators and measures which can be applied across the higher education sector.*

*The project will have three phases of review. An international reference group, from the UK and Australia, will provide feedback on the benchmarking framework prior to the four universities undertaking a self and peer review of academic promotion policies and processes. The review will determine the areas for improvement and areas of best practice in promotions policies and processes at the four universities. An external evaluator will evaluate the project at specific phases, particularly Phases 5 and 7.*

*Forums in both the UK and Australia will present the findings from the benchmarking project and build capability in the area of benchmarking promotions policies and processes. It is envisaged that the universities in the International Advisory Group will form the next wave of universities undertaking benchmarking and improvement in academic promotion, spearheading sector-wide change.*

*The project addresses international standards imperatives to demonstrate sector-level, self-regulated, robust approaches for assuring quality and comparing standards in universities and the importance of the role of benchmarking and external validation.*

## **Background**

Ramsden & Martin in their 1996 Australian study of university recognition for good teaching concluded that there is a 'discrepancy between what universities say they do to recognise good teaching, and what the majority of their academic staff **perceive** they do.' The strongest opportunity for change in teaching will be when academics *believe* that they can be promoted for excellence in teaching. Fellowships and awards are not sufficient recognition in themselves unless followed by the reward of promotion. A 2009 UK HEA study by Cashmore & Ramsden noted that many institutions have relevant promotions policies and processes in place but they are not always effectively communicated or implemented.

This benchmarking project has its genesis in a presentation - "Teachers DO get promoted"- delivered by Professor Sandra Wills from the University of Wollongong (UOW) at a London conference of UK National Teaching Fellows (4 June-5 July, 2010)<sup>1</sup>. Professor Wills was responding to the UK Higher Education Academy (HEA) report 'Reward & recognition in higher education: Institutional policies and their implementation' (Cashmore & Ramsden, 2009). Based on a survey of 104 UK universities, that report found that UK teachers have a 32% chance of promotion to Senior Lecturer for their teaching and 17% chance for promotion to Associate Professor or Professor. It also showed that teaching was often not included in promotion criteria and, in cases where criteria were articulated, they were not always employed. However, Professor Wills could present a different outcome for UOW which, over the past four years, had averaged an 80% success rate at both the Senior Lecturer and Associate Professor/Professor levels for promotion based on teaching. She was able to attribute that success to the development and training of both applicants and promotions committee through the implementation of a 'Guide to Evidence about Teaching'. This indicated that, to be effective, the full range of promotions criteria needed to be well-articulated in policy, supported in development programs and observed in promotions decisions.

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<sup>1</sup> <http://www.slideshare.net/Sandrawills/reward-recognition>

Professor Wills presented the keynote at the conference at the invitation of Prof Annette Cashmore of University of Leicester (UOL). Professor Stephen McHanwell, another UK Teaching Fellow, attending the conference from University of Newcastle upon Tyne (NCL), approached the pair about expanding their anticipated benchmarking project to a second UK university. The team of four universities was completed by building on an existing and successful benchmarking partnership between the two Australian universities, Wollongong (UOW) and Tasmania (UTAS), a partnership in this case enhanced by the arrival in 2011 of a new DVC at UTAS, Professor David Sadler, recruited from the HEA in the UK.

Initial ground work in 2011 put in place a Memorandum of Understanding (MOU) (Appendix A) and developed draft performance indicators for promotions committee structures and processes (Appendix B) as a result of visits by Wills to the UK on other business. Brown from University of Wollongong spent her sabbatical with the team at Newcastle University. Cashmore from University of Leicester visited Australia and Wills organised for her to present a seminar at the Australian Learning & Teaching Council. Both Wills and Cashmore have presented their work in the UK and Wills in Hong Kong and Taiwan.

However, as a result of the work that has been initiated informally in 2011 at the four universities, all have realised that improvements for teaching reflect on other categories for promotion especially governance and service, if not research. A key objective for the IIB-AP will be to create frameworks that:

- recognise the “whole” academic and
- take into account the diversity of academic careers in twenty first century universities.

This project addresses the need for robust, exemplar promotions processes that actively enhance and improve the quality of teaching and learning in higher education. It will demonstrate how benchmarking can inform change and promote standards in promotions practice at higher education at the institutional, national and international levels.

## **Purpose**

The purpose of this benchmarking project is to compare the policies, processes and perceptions on promotion in four universities to contribute to the improvement of academic promotion in higher education. It comprises two UK universities and two Australian universities. The ultimate goal is to provide a framework for the institutions to review and develop their practice in this area.

The benchmarking project, titled *International inter-university benchmarking of policies, processes and perceptions of promotion* (IIB-AP) will include the following objectives:

1. Develop and implement a benchmarking framework and resources for comparing promotions policies and processes. This will include a review of the literature, including the work of Cashmore & Ramsden (2009) and Wills (2010) and an analysis of promotions policies and processes in higher education to inform the development of performance indicators and measures. This will include feedback on the benchmarking framework from an international reference group made up of academics from the UK and Australia;

2. Collect data on how promotions policies and processes have been implemented in the four universities. This phase will be done through the implementation of two online surveys and selected interviews:
  - Promotions committee members on the current promotion process in the last two years
  - Academics who applied for promotion in the four institutions in the last two years;
3. Triangulate data on outcomes of promotions rounds over two years to identify areas of good practice and areas for improvement.

IIB-AP aims are three-fold with three audiences. Firstly, it will provide evidence and awareness-raising to tackle academics' (mis)perceptions that teachers do not get promoted. Secondly, it will work with Promotions Committees to make explicit their (mis)understandings about evidence for excellence in teaching in order to improve their processes for ensuring that teachers DO get promoted. Thirdly, it will provide a framework for international higher education institutions to benchmark their promotions policies and processes to identify areas of good practice and areas for improvement. It is not intended to compromise the autonomy of individual institutions in setting their own policies and procedures, rather to inform development of effective practices.

## **Rationale**

### ***Significance in Comparison of Standards***

The international higher education sector has entered a standards-driven phase in quality review and improvement with various national governments and associated quality agencies implementing standards frameworks. The UK has implemented a *Professional Standards Framework*, which arose from the White Paper, *The Future of Higher Education* (2003). It provides a description of the main dimensions of the roles of teaching and learning support within the higher education sector. Written from the perspective of the practitioner, it outlines a national framework for recognising and, by implication, benchmarking teaching and learning.

Similarly, Australia is undergoing a transition to a standards-based approach to learning and teaching. The intention of the approach is that rather than standards leading to uniformity or national curriculum, diversity is valued as a critical feature (Bradley, 2011). Standards must have *substance* and provide a basis for comparison (Booth, Melano, Sainsbury & Woodley, 2011). At present, Australia is undertaking various initiatives to inform the development of the new Learning and Teaching Standards which will form a part of the new Tertiary Education Quality and Standards Agency's (TEQSA) *Higher Education Standards Framework*.

TEQSA's work in developing a Higher Education Standards Framework, however, has not taken place in isolation. There have been related initiatives underway involving government, higher education institutions and academic discipline communities. For example, two initiatives, first established by the former Australian Learning and Teaching Council (ALTC), aim to make more explicit the standards that have often been tacit in higher education. The Inter-University Moderation project (Krause et al, 2010) and the Teaching Standards Framework (TSF) project (Sachs & Kosman, 2010) share the goal of improving transparency and the communication of standards to stakeholders in the higher education sector.

The universities of Wollongong and Tasmania are involved in the Inter-University Moderation project (Krause et al, 2010) and will be benchmarking achievements standards in 2012. The universities of Wollongong and Tasmania are also involved in the implementation of the TSF project (Sachs & Kosman, 2010) which involves three main areas: curriculum, learning environment and teaching.

### ***Promotions Policies and Processes***

In promotions, the use of teaching criteria in university promotions policies varies widely (Attwood, 2010). The study by the HEA and the 'GENIE' Centre for Excellence in Teaching and Learning at the University of Leicester, examined promotion policies of 104 British higher education institutions. In many instances, teaching criteria was not mentioned at all and there were only 45 policies which included specific criteria for assessing teaching. The study also examined how these policies were implemented within the institutions. Many of the institutions were unable to provide any data which demonstrated a lack of transparency. A more recent follow-up study in 2011 by Prof Cashmore and the GENIE CETL has shown some improvement in the development of promotion criteria for teaching and learning by institutions. However case-studies, of the experiences of a range of individual academics across a variety of disciplines and types of institutions, indicate that implementation of these criteria is not following.

### ***One Example of a Model of Evidence for Probation and Promotion***

An example of a model of evidence for probation and promotion is the 'Mix of Evidence' model for probation and promotion at UOW. This model involved two years of consultation through committees, faculties and Senior Executive and it was accepted into policy and procedures for promotion in 2008 (see Figure 1). This document is now used in training for applicants, for Heads in guiding applicants and for members of the Promotions Committee. Some of the seven dimensions align with dimensions on the UK National Professional Framework and with dimensions of educational practice for reviewers of teaching portfolios' that were developed as part of an ALTC grant on Peer Review of Teaching for Purposes (Crisp et al, 2009) which also involved Professor Wills:

- Alignment of teaching practices with teaching philosophy;
- Effectiveness of teaching activity as evidenced through student engagement and outcomes;
- Effectiveness of curriculum and assessment design and development;
- Evidence of command of content in the discipline or field;
- Development of teaching based on feedback from sources such as students, peers, profession and/or community;
- Scholarly approach to learning and teaching; scholarly outcomes from research on learning and teaching; effectiveness of leadership and teaching;
- Recognition of contribution to learning and teaching.

Key features of this evidence-based framework include:

- types of evidence are presented in a matrix showing academic progression from associate lecturer to associate professor
- what constitutes "evidence" is clear and demonstrates that the majority of evidence is peer-reviewed in the same way that evidence for promotion based on research excellence is peer-reviewed (grants and publications)

- types of evidence are presented as seven dimensions demonstrating that student review is only one dimension of review, complementing supervisor review, self-review and peer review.

Whilst external peer review is a significant part of the research domain, external **peer review of teaching and learning** is less common. In the UK and in Australia, peer observation of teaching is commonplace; however it is uncommon in both places that it is used for other than for formative collegial purposes. In both the UK and Australia there appears to be a growing interest in achieving externally referenced attainment through systematic processes of peer review and assessment (Crisp et al, 2009).

	<b>Associate Lecturer to Lecturer</b> Evidence of teaching interest, experience and quality could include, for example, some of:	<b>Lecturer to Senior Lecturer</b> Evidence of teaching experience, quality and impact could include, for example, some of:	<b>Senior Lecturer to Associate Professor</b> Evidence of teaching quality, impact and distinction could include, for example, some of:
<b>Impact on students</b>	In addition to UOW Teacher Evaluations <ul style="list-style-type: none"> <li>Other student feedback</li> <li>Student learning outcomes</li> </ul>	In addition to UOW Teacher Evaluations <ul style="list-style-type: none"> <li>UOW Subject Evaluations (for subject coordinators)</li> <li>Other student feedback</li> <li>Student learning outcomes</li> <li>Evidence of effectiveness in teaching aspects of Honours and postgraduate supervision</li> </ul>	In addition to UOW Teacher Evaluations <ul style="list-style-type: none"> <li>Course Experience Questionnaires (for course coordinators)</li> <li>Other student feedback</li> <li>Student learning outcomes</li> <li>Evidence of effectiveness in teaching aspects of Honours and postgraduate supervision</li> </ul>
<b>Individual teaching &amp; learning development</b>	<ul style="list-style-type: none"> <li>All ULT units completed, unless exempt</li> <li>Participation in teaching development opportunities</li> </ul>	<ul style="list-style-type: none"> <li>All ULT units completed, unless exempt</li> <li>Participation in teaching development opportunities</li> </ul>	<ul style="list-style-type: none"> <li>All ULT units completed, unless exempt</li> <li>Postgraduate qualification in teaching or completion of other teaching-related courses</li> </ul>
<b>Curriculum development</b>	<ul style="list-style-type: none"> <li>Development of teaching-related innovations or learning resources, evaluated by students or peers</li> </ul>	<ul style="list-style-type: none"> <li>Development of teaching-related innovations and/or subject(s), evaluated by students or peers</li> <li>Evidence of significant participation in curriculum review, planning and/or development</li> </ul>	<ul style="list-style-type: none"> <li>Development of teaching-related innovations and subjects, evaluated by students or peers</li> <li>Evidence of leading role in curriculum review, planning and/or development</li> <li>Textbook, with evidence of adoption</li> </ul>
<b>Peer evaluation &amp; recognition*</b>	<ul style="list-style-type: none"> <li>UOW Peer Observations of Teaching</li> <li>Early career teaching award</li> <li>Other evidence of peer recognition</li> </ul>	<ul style="list-style-type: none"> <li>UOW Peer Observations of Teaching</li> <li>UOW Peer Reviews of Curriculum Development</li> <li>OCTAL or other UOW teaching awards</li> <li>Other evidence of peer recognition</li> </ul>	<ul style="list-style-type: none"> <li>UOW Peer Observations of Teaching</li> <li>UOW Peer Reviews of Curriculum Development</li> <li>Australian Learning &amp; Teaching Council (ALTC) citation, award or fellowship, or other national teaching awards</li> <li>Other evidence of peer recognition</li> </ul>
<b>Scholarship of teaching &amp; learning**</b>	<ul style="list-style-type: none"> <li>Contribution to publications, presentations or workshops on teaching</li> <li>Contribution to Educational Strategic Development Fund (ESDF) or other UOW teaching-related grants</li> </ul>	<ul style="list-style-type: none"> <li>Publications, presentations or workshops on teaching</li> <li>Major role in ESDF or other UOW teaching-related grants</li> </ul>	<ul style="list-style-type: none"> <li>Peer reviewed publications related to teaching</li> <li>ALTC or other external teaching-related grants</li> </ul>
<b>Learning-Teaching-Research Nexus</b>	<ul style="list-style-type: none"> <li>Evidence of success in cultivating students' understanding of the research culture and research skills in the discipline</li> </ul>	<ul style="list-style-type: none"> <li>Evidence of success in developing students' experience with research</li> </ul>	<ul style="list-style-type: none"> <li>Evidence of success in developing students' engagement with research, eg students continuing to Honours or research degrees</li> </ul>
<b>Leadership</b>	<ul style="list-style-type: none"> <li>Experience in tutor management / development</li> </ul>	<ul style="list-style-type: none"> <li>Evaluation showing effective tutor management / development</li> <li>Peer-supported evidence of significant participation in Faculty/ School teaching &amp; learning initiatives and/or committees</li> <li>External impact, eg invited as external trainer, speaker, advisor, consultant, editor</li> </ul>	<ul style="list-style-type: none"> <li>Peer-supported evidence of leadership of Faculty/university teaching &amp; learning initiatives, eg policy, student equity, staff development</li> <li>Evidence of successful achievement in roles such as mentor, peer reviewer, Faculty Scholar, Faculty Education Committee (FEC) Chair</li> <li>Academic leadership surveys</li> <li>National impact, eg invited as external reviewer, speaker, advisor, consultant, editor</li> <li>Outcomes of cross-university collaboration</li> </ul>

**Figure 1: UOW Mix of Evidence Framework**

<http://focusonteaching.uow.edu.au/content/groups/public/@web/@cedir/documents/doc/uow058193.pdf>

Drawing on the experience of Wollongong and benefitting from the close working relationships already established this framework has been adopted and modified by Newcastle upon Tyne and has already been implemented in the 2011/12 promotions round. The contact with Wollongong has enabled the development of a framework appropriate to Newcastle to occur much more rapidly something we anticipate our project will be able to deliver to the sector at its conclusion. Its use in Newcastle will be evaluated at the conclusion of Newcastle promotion processes in June 2012. The framework also generates enquiries from many universities world-wide. This benchmarking project will be informed by the UOW promotions framework as well as the policies and processes from other universities in the development of a benchmarking framework to be used by the four universities.

### ***Three Phases of Peer Review in Benchmarking Project***

Peer review is fundamental to judgements about quality in the higher education sector. The nature of peer or expert review processes and the grounds on which judgements need to be made explicit (DEEWR, 2011). The benchmarking project will have **three phases of peer review** –one phase will include an external International Advisory Group (IAG) made up of academics from the UK and Australia with expertise and interest in promotions policies and processes. The purpose and membership of the IAG is to assure and strengthen the quality of teaching and learning in higher education, not unlike the role of the Australian Advancing Quality in Higher Education (AQHE) Reference Group. For example, Professor Kerri-Lee Krause, PVC at University of Western Sydney, is a member of the AQHE Reference Group and will be able to provide expertise on performance indicators and measures in Australia. As our key goal is to produce recommendations that will affect institutional change, members of the IAG have been invited because of their seniority and track record in already influencing promotions policy within their own institution, for example, Professor Arshad Omari at Edith Cowan University, Professor Janice Key, PVC at Exeter and Professor Gavin Brooks, PVC at Reading. The IAG also includes senior academics researching and publishing in related areas such as Professor Denise Chalmers, University of Western Australia and Professor Mick Healey, previously at University of Gloucestershire. The IAG membership is balanced between sandstone universities and newer universities and broadly spread around Australia and UK (Appendix E).

The second peer review phase will include an internal peer review process as part of the benchmarking process with the four universities involved in the project. University team members comprise staff from Educational Development and Quality Assurance, Senior Executives, Chairs of Promotions Committee, Deans and, where appropriate, Human Resources (Appendix E).

The last phase of the peer review will include the use of an external evaluator on the benchmarking project. Emeritus Professor Dorothy Whittington, University of Ulster has agreed to be our evaluator and will cover events and team meetings in both Australia and UK. The evaluator's role is mainly summative and will be to evaluate:

- spread of influence
- actual impact
- evidence of changed practice in the four partner institutions
- evidence of changed practice in the institutions associated through the advisory groups
- broader sector awareness
- project outputs
- project processes.

### ***Benchmarking as a Process for Improvement and Performance***

Benchmarking is a valuable tool for conducting comparative analyses of institutional and external information in order to identify improved efficiencies and evaluate institutional performance. This benchmarking project adopts the definition of benchmarking from Jackson and Lund (2000, cited in Stella & Woodhouse, 2007, p.14) which recognises benchmarking as, 'first and foremost, a learning process structured so as to enable those engaging in the process to compare their

services/activities/products in order to identify their comparative strengths and weaknesses as a basis for self improvement and/or self regulation'. The three, key products of benchmarking are:

- Improved networking, collaborative relationships and mutual understanding between participants;
- Benchmarking information (in the form of text, numerical or graphical information about the area of study);
- A better understanding of practice, process or performance and insights into how improvements might be made (Jackson, 2011 cited in Higher Education Statistics Agency, 2010, p.7).

The initial scoping for this benchmarking project undertaken by the universities of Wollongong, Tasmania, Newcastle upon Tyne and Leicester in 2011 has informed the development of draft performance indicators and measures in academic promotion (Appendix B).

### ***UOW and UTAS -An Established Partnership in Higher Education Benchmarking***

In the Australian Quality Assurance Agency (AQQA) Cycle 1, reports for UOW and UTAS, the AUQA Panel recommended each university develop benchmarking relationships with another university as a means to compare and improve practice. In 2009 UOW and UTAS initiated their benchmarking relationship via a pilot benchmarking project on academic transition support for first year students. The pilot project highlighted areas of good practice and areas in need for improvement at both universities. Three identified areas for improvement were (1) the need to collect evidence in a systematic way, (2) the need to clearly articulate performance indicators and (3) the need to engage academics more actively in benchmarking activities.

The Higher Education Statistics Agency (HESA, 2010) recommends the development of a knowledge base on benchmarking to be disseminated through appropriate communication channels with focused training and advice to build sector capacity for benchmarking. In 2010, UOW, UTAS and Deakin implemented two institutional wide benchmarking projects on assessment processes and policies (Booth, Melano, Sainsbury & Woodley, 2011) and higher degree research (Booth & Frappell, 2011). The benchmarking project on assessment policies and processes identified nine success factors for higher education benchmarking which include:

1. Determine which areas to benchmark;
2. Identify benchmarking partners;
3. Determine types and level of benchmarking;
4. Prepare benchmarking documents and templates including the purpose, scope of project, performance indicators, measures and performance data;
5. Design benchmarking process;
6. Implement benchmarking process;
7. Review results;
8. Communicate results and recommendations; and
9. Implement improvement strategies (Booth et al, 2011)

These nine factors, which included explicit leading questions, were critical in the successful implementation of benchmarking across the institutions which showed variance in context, location, organisational structures and policies (see Appendix C for extended benchmarking process).

A critical lesson learnt from these three Australian inter-institutional benchmarking projects is the importance of the review of current research to inform the development and testing of a theoretical benchmarking framework for promotions -including performance indicators and measures (AUQA, 2010; ACOE, 2007; Chalmers, 2009; Council of Graduate Schools, 2010; Davies, 2008, 2009; Wendler et al, 2010). All three benchmarking projects included cross-institutional agreement on the benchmarking performance indicators and measures prior to the implementation of the benchmarking projects.

The performance indicators and measures need to align to accepted standards and good practice across the higher education sector. The IAG will validate the benchmarking framework and provide feedback to Project Coordinators (Australia and UK) to ensure alignment with other initiatives across the international higher education sector in quality, learning and teaching.

## Planned Project Outcomes

This benchmarking project addresses international priorities to improve standards in learning and teaching. It aims to build international cross-institutional networks and collaboration to report on and learn from comparing promotions policies and processes (Figure 2).

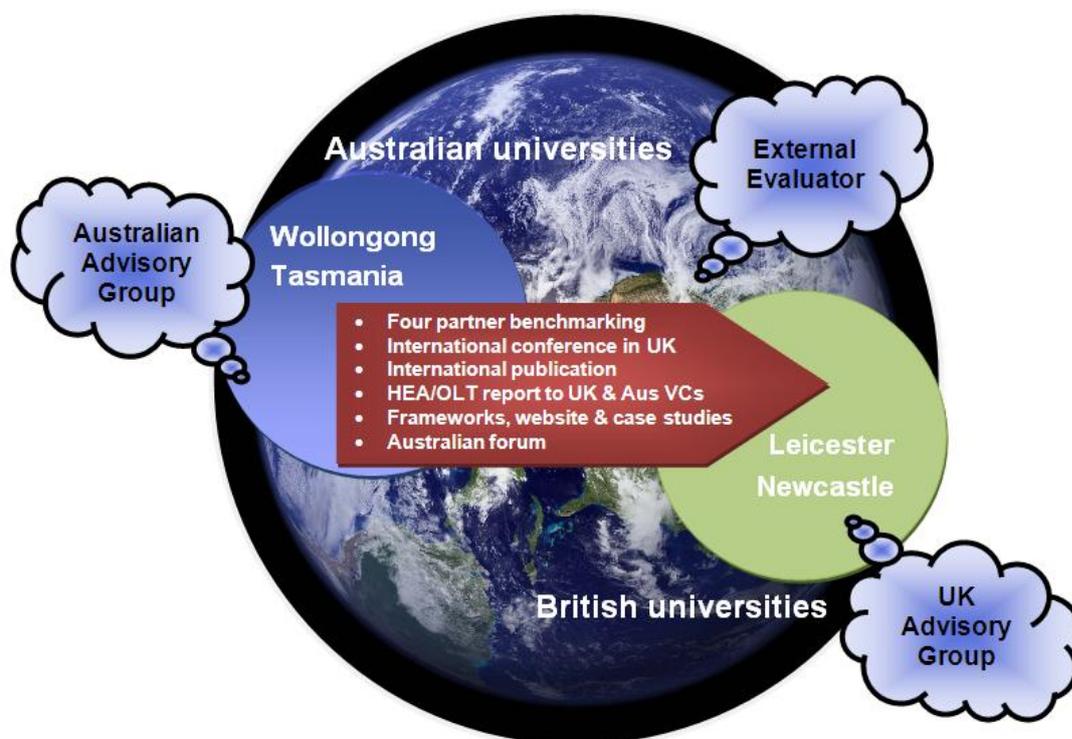


Figure 2: Inter-national Inter-university Benchmarking Project

The project outcomes will be as follows:

- Resources for developing a benchmarking framework for comparing academic promotions;
- Comparison and triangulation of data on promotions policies and processes and their implementation.
- Areas of good practice and areas for improvement across the four universities.

A key outcome of this project is that the benchmarking framework can be used by other universities to benchmark their own promotions policies and processes with other international universities. It is anticipated that the key outcome of this project is the development of a Stage Two which includes a wider range of universities, drawn from the UK and Australia Advisory Group members to drive sector-wide change via benchmarking academic promotions. It is anticipated that a number of universities may not have participated in formal benchmarking in teaching and learning issues before, therefore one project outcome will be greater awareness and deeper understanding of benchmarking processes including legal processes and templates for preparing Memoranda of Understanding such as the one signed by the four universities in this partnership (Appendix A). It is important to recognise the autonomy of individual institutions however this approach of benchmarking will enable universities to develop their own policy and practices to ensure that teaching and learning have equal status to other academic endeavours.

## **Methodological Approach**

The proposed phased approach for this 12 month project is detailed below:

### **Phase 1: Contextual Phase (Month 1)**

**Identification and communication with the Project Team (Appendix E), including Project Leaders, Overall Project Coordinator, 4 University Project Officers, External Evaluator and the International Advisory Group (IAG)**

The first phase will include the employment of a part-time Project Officer at each of the four universities to facilitate the implementation of the benchmarking project. A part-time Overall Project Coordinator (based in Tasmania, Australia) who has expertise in planning and implementing institutional wide projects, especially in benchmarking, will coordinate the work of the four Project Officers and streamline communication with the UK Project Leader, Australian Project Leader and members of the Core Team. A critical part of this phase will be planning and development of timelines and outcomes to be achieved from the project. In recognition that university decisions about academic promotion processes are often the result of a mix of historical and structural contexts, this contextual phase will include collecting information on the environments of each university in relation to promotions policies and processes and a summary of the history of each institution. This will be the first task of the individual institutional Project Officers. Project team meetings for all participants will be organised via Skype video conference to assist in the communication and coordination of the benchmarking project. The UK-based external evaluator and the International Advisory Group members will be confirmed and briefed. An initial meeting of the Advisory Group will be held, one for Australia and one for the UK. It will be the role of the two

Project Officers in each country to work with the overall Project Coordinator to organise the two Advisory Group meetings at one of the partner institutions.

### **Phase 2: Research and Validation Phase (Months 1 & 2)**

#### **Research the promotions literature to develop a theoretical benchmarking framework with performance indicators and measures and validate framework.**

The Project Coordinator will coordinate the development a theoretical framework for benchmarking promotions policies and processes –based on a review of the literature on promotions and from reviewing UK and Australian university promotions policies such as the ‘Mix of Evidence’ Model developed by Professor Sandra Wills<sup>2</sup>. This phase will involve Project Officers undertaking a review of on promotions policies and processes and staff perceptions of promotion building on the earlier study undertaken by the HEA (2009). Two online surveys will also be developed based on this theoretical framework to understand the perceptions of academics on the Promotions Committee and academic staff university wide. The proposed benchmarking framework and two surveys will be sent to the Core Project Team and the IAG for feedback and final signoff. The IAG will ensure that the framework is aligned to other quality initiatives in learning and teaching across the higher education sector.

### **Phase 3: Self Review Phase (Months 3, 4 & 5)**

#### **Self review of benchmarking framework for promotions policies and processes and on-line surveys on staff and Promotions Committee members perceptions of promotion.**

This phase includes a self review of promotions policies and processes perceptions of promotion at each university using the theoretical benchmarking framework developed in Phase 2. Each Project Officer will gather evidence on the performance indicators and measures in the Promotions Benchmarking Framework. This phase also includes the implementation of two online surveys, one to staff and the other to Promotions Committee staff on their perceptions of promotion processes. The Project Coordinator will coordinate the self review process and ensure timelines are kept with all universities.

### **Phase 4: Analysis of Survey Data & Collation of Self Review Reports (Months 5 & 6)**

#### **The analysis of survey data and collation of self review reports to determine the outcomes of promotions policies and their implementation.**

This phase involves the triangulation of data from both the self review reports from each university and the analysis of the survey data. The Project Coordinator will organise a peer review workshop and data sources for the Core Project Team and relevant members from the four university teams. The preparation for the peer review will include a summary of each of performance indicators and measures from each university for use in the Peer Review. All the Core Project Team and the External Evaluator will be sent the agenda and results of the self review process in preparation for the Peer Review Workshop.

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<sup>2</sup> UOW Mix of Evidence Framework:

<http://focusonteaching.uow.edu.au/content/groups/public/@web/cedir/documents/doc/uow058193.pdf>

## **Phase 5: Peer Review (Month 7)**

### **Peer Review workshop in Hobart, Tasmania**

This phase will include a two-day peer review workshop in Hobart, Tasmania early in the 12 month project to compare standards in promotions policies and processes with two UK universities and two Australian universities. The Project Coordinator will lead the workshop benchmarking each of the performance indicators and measures. Key areas for improvement and excellence will be identified and recorded at the workshop. The External Evaluator will evaluate the Peer Review Workshop as well as the overall project methodology and findings. The Evaluator will evaluate the Peer Review Workshop on the following principles:

- *Fit for purpose*: information is used to suit the purposes of the benchmarking project and higher education sector;
- *Comparability*: information is compared in an ethical and considered way;
- *Transparency*: information is clearly communicated and shared;
- *Accountability*: areas of good practice and areas for improvement are identified for each of the respective universities;
- *Transferability*: information from the benchmarking framework can be applied and transferred to other higher education institutions.

## **Phase 6: Finalisation of resources for broader dissemination nationally and internationally (Months 7, 8, 9)**

The Core Project Team discusses over Skype the project outcomes in order that feedback can be incorporated for final outcomes. The evaluator will be present. There is agreement between all universities about the final resources to be disseminated nationally and internationally. The preparation of these resources will be undertaken by the Project Officers and electronic and hard copies will be made in preparation for the dissemination workshops. The Project Coordinator and Project Officers will organise the international dissemination summit in the UK. This will include the booking of the function centre, catering and invitations to all Project Participants, including the IAG and other UK and some international universities, policy makers and HEA/OLT and TEQSA representatives. It will also include the organisation of flights and accommodation of Project Leaders and the Project Coordinator in Australia to attend the international summit.

## **Phase 7: Dissemination Summit in UK (Month 10)**

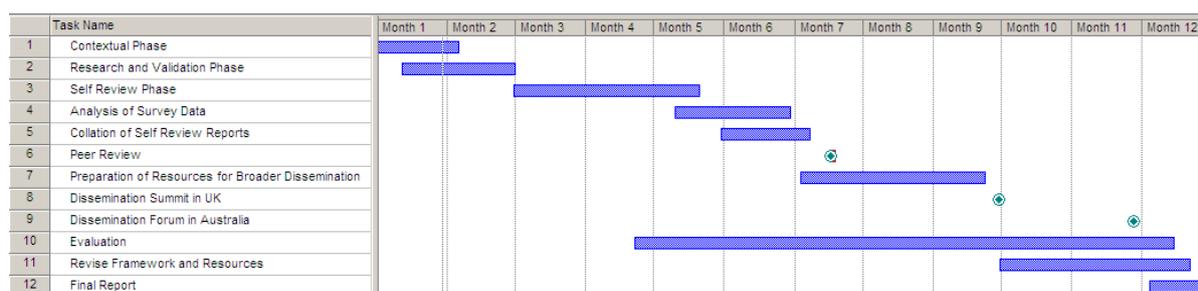
An international dissemination summit will be held in the UK to disseminate the findings of the peer review and benchmarking process. This will include senior university leaders, national government policy makers and HEA/OLT and TEQSA representatives. The External Evaluator and UK members of the International Advisory Group (IAG) will be invited to attend to discuss the peer review process and evaluation of the project. This summit will ideally take place in October, 2012 and will be evaluated by the UK-based External Evaluator. However, this will be dependent on when the grant is approved. The two Project Officers in the UK will be responsible for organising the summit.

## Phase 8: Dissemination Forum in Australia (Month 11)

A dissemination forum will be held in Australia towards the end of the year long project inviting VCs and other key stakeholders in academic promotions such as Chairs of Promotions Committees. The two Project Officers in Australia will be responsible for organising the forum. The Australian members of the International Advisory Group (IAG) will be invited to attend to discuss the peer review process and evaluation of the project. External Evaluation will be managed remotely.

## Phase 9: Evaluation, Final Report, Framework and Resources (Month 12)

A Final Report will be written on the findings of the project; including key quality learning and teaching initiatives that parallel and inform this process in both the UK and Australia. The report will be due at the end of the 12 months. The resources and benchmarking framework for Academic Promotions will be developed to upload on both the OLT/HEA websites. The Gantt chart below maps the progress of each of the phases. Evaluation is ongoing throughout Phase 4 to Phase 9, with the majority of the External Evaluator's time set in Phases 5 and 7. The UTAS Overall Project Coordinator will correspond regularly with the External Evaluator through Skype with updates on the project.



## Deliverables and Dissemination

The deliverables for the IIBP-AP project will include:

- i. Half Yearly Progress Report: This report will provide a record of progress on the first two phases of the Promotions Benchmarking project which includes a literature review, an analysis of promotions benchmarking policies and processes and the development of two online surveys (one aimed at promotions committee members and the other aimed at staff)
- ii. Benchmarking Framework for Promotion Policies and Processes: A theoretical framework and guideline for benchmarking promotions policies and processes.
- iii. Two-Day Peer Review Workshop: A two-day peer review workshop will be held in Hobart, Tasmania early in the project timeline. The peer review workshop will consist of the Project Leaders, Core team members, and Project Coordinator. The peer review will involve the comparison of key performance indicators and measures on promotions policies and perceptions. Also, included in the peer review are the findings of staff perceptions of

promotions policies and processes. Areas of good practice and areas for improvement will be identified.

- iv. International Summit: A summit in the UK, including senior university leaders, state and national government policy makers, HEA/OLT and TEQSA representatives. The Benchmarking Summit will include the following elements:
  - a. Discussion of a benchmarking framework for assuring and comparing quality and standards in promotions across the sector;
  - b. Examination of issues relating to operationalising this framework and the implications for cross-sectoral, international collaborations; and
  - c. Dissemination of areas of good practice.
- v. Australian Forum: This forum will be held in Wollongong, Australia towards the end of the project and will include the dissemination of findings with Chairs of Promotions Committees and VCs.
- vi. Resources for international, inter-university benchmarking: These resources will include a website comprising ready-to-use, downloadable benchmarking guidelines and step-by-step strategies for replicating and implementing benchmarking across the sector in promotions policies and processes.
- vii. Evaluation of project: including *fit for purpose, comparability, transparency, accountability and transferability* of the benchmarking project for comparing standards in promotions across the higher education sector.
- viii. Final Report: A report on key findings, with recommendations for implementation across the sector. It will include an overall framework within which to locate promotions benchmarking in higher education and show links to and implementation of parallel projects including ALTC/OLT and HEA funded projects and TEQSA developments.

## Budget Rationale

The four partner universities have been collaborating since late 2010 on a volunteer basis. However on an international front, the progress is slow. Funding from the Higher Education Academy would provide the boost to complete the substantial benchmarking exercise and provide the opportunity to cascade the work to the members of the International Advisory Group in both Australia and United Kingdom.

The project budget is in Appendix F. The total project cost is GBP 323,580. **Funding is sought from the HEA for GBP 236,920.** Institutional commitment for core team members is GBP 86,660. The commitment of university team members has not been factored in the budget in recognition that their work in the main impacts on their own institution whereas this project is targeted at sector-wide change.

The Project Leaders and Core Team members are to be covered for 5% of their time for one year. However, they are also providing 5% of their time as an in-kind contribution in recognition that their work will have impact in their own institution as well as the sector-wide influence that this grant will have (Appendix E). The university infrastructure costs are calculated as an in-kind contribution to the project.

The 18 esteemed high level members of the IAG are providing their time for free (Appendix E). In the main, only travel costs are subsidised if needed. If this institutional in-kind contribution was estimated at GBP 1,500 per day, it would total GBP 135,000 bringing the over project cost to GBP 458,580 with **overall institutional contribution of GBP 221,660.**

The major part of the funding is allocated to the employment of half-time Project Officers in the four partner universities and an 40% overall Project Coordinator to bring together the work of the 4 Project Officers and Project Team members (Appendix E). The Project Officers will undertake the main tasks involved in background research, data collection, benchmarking, advisory group organisation, communication with each other and with the overall Project Coordinator and organisation of the forum and symposium.

Other major funded items are the costs in running the two dissemination events to ensure the outcomes of this project have sector-wide impact.

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# Appendix A: Memorandum of Understanding between partner universities

- The Recipient can demonstrate by reference to written records is independently developed by it without reference to any Confidential Information, or
- The Recipient is legally compelled to disclose, in which event the Recipient must use its best endeavours to provide the disclosing Party with prompt, prior notice of such requirement so that the disclosing Party may seek a protective order or other appropriate remedy and/or waive compliance with the terms of this MOU in the event that such protective order or other remedy is not obtained, or that the disclosing Party waives compliance with the provisions hereof. The Recipient agrees to furnish only the portion of the Confidential Information that is legally required.

This provision shall survive the termination of this MOU

### 3. Intellectual Property

Intellectual property owned and created by a Party and shared with the other Parties under this MOU remains the property of that Party. All such intellectual property should be treated as confidential in accordance with Clause 2 and not for public circulation unless specifically agreed otherwise by both Parties.

The Parties agree that all rights relating to any intellectual property developed in the course of any benchmarking activities under this MOU shall be retained and owned by the Party to which the MOU and will be recorded and governed by a separate document executed by the relevant Parties.

This provision shall survive the termination of this MOU

### 4. Use of name and logo

Party shall not use the name or logo, or any variation thereof, of another Party without first obtaining that other Party's written consent.

This provision shall survive the termination of this MOU

### 5. Duration

This MOU will be effective for a period of three years from the date of last signature and may be extended or varied by mutual written agreement of the Parties, signed by the Parties' authorized representatives.

### 6. Termination

A Party may terminate the MOU by providing a minimum of 6 months written notice to the other Parties, unless an earlier termination date is mutually agreed upon.

### 7. No Partnership

This MOU is not intended to be and shall not be construed to create or give effect to a joint venture, association, partnership or other business organisation or agency arrangement and no Party shall have the authority under this MOU to bind another without the prior written approval of the other Party.

### 8. Not Legally Binding

The purpose of this MOU is only to express the intentions of the Parties. Only clauses 2, 3, and 4 are intended to be legally binding on any Party. All other clauses are not intended to be legally binding. Any claim which is brought by a Party against another Party under the provisions of this MOU shall be construed and interpreted in accordance with the law of the country in which the Party against which the claim is made is established.

<p><b>Christine Fyfe</b> Pro Vice-Chancellor University of Leicester</p> <p>Date: 16/2/12</p>	<p><b>Professor Rob Castle</b> Deputy Vice-Chancellor (Academic) University of Wollongong</p> <p>Date: 20/2/12</p>
<p><b>Professor Ella Ritchie</b> Deputy Vice-Chancellor Newcastle University</p> <p>Date: 28/2/12</p>	<p><b>Professor David Sadler</b> Deputy Vice-Chancellor (Students &amp; Education) University of Tasmania</p> <p>Date: 20/2/12</p>



Newcastle University



UTAS



University of Wollongong



University of Leicester

**Memorandum of Understanding**  
between  
University of Leicester, University of Tasmania, Newcastle University & University of Wollongong

## UNIVERSITY OF WOLLONGONG COPY

In order to advance co-operative benchmarking, institutional self evaluation and quality improvement, University of Leicester, University of Tasmania, Newcastle University and University of Wollongong (the Parties) agree to enter into this Memorandum of Understanding (MOU) based on the following principles.

- Mutual respect,
  - A willingness to share and learn from each other, and
  - A shared commitment to quality management.
- Benchmarking is integral to ongoing quality improvement and, for the purposes of this MOU, is defined as the process of identifying and learning from good or best practices used by other organisations to achieve optimal and sustainable results and outcomes (reference: Council of Australian University Librarians)

The focus of the benchmarking partnership is Academic Promotion with a view to identifying good practice and quality improvements.

### 1. Objective

The Parties intend, within available financial and resources, to pursue effective and ethical co-operative benchmarking, consistent with the Parties' reputations for excellence and integrity in education, research and scholarship, for the benefit of all Parties.

To achieve this objective, the Parties intend to undertake benchmarking activities and will endeavour to:

- Discuss the expectations of each proposed benchmarking activity prior to commencement of that activity, with a view to establishing mutual interest and benefits, for all Parties;
- Provide and share the same type and level of information that each request of the other and as agreed. For the avoidance of doubt, personal data and/or data that is subject to privacy laws shall not be exchanged between the Parties;
- Conduct periodic assessments of the benchmarking activity;
- Coordinate benchmarking activity to the satisfaction of all Parties as agreed and in a timely manner;
- Work within mutually agreed procedures; and
- Designate a liaison officer to develop and coordinate the specific activities agreed upon.

### 2. Confidentiality

A Party must not make any public announcement or statement or publish or release any information in relation to any proposed benchmarking activity without the prior written approval of the other Parties.

Each Party (Recipient) will keep confidential any information that it receives from another Party which is marked confidential or which a Party notifies the other Party is confidential ("Confidential Information").

Notwithstanding anything to the contrary herein, the undertakings hereby given shall not prevent the Recipient disclosing to any third Party, or using any Confidential Information which:

- The Recipient can demonstrate by reference to written records was known to it before being disclosed or obtained in connection with this MOU without any obligation to keep it confidential, or
- Is, at the time of being disclosed or obtained in connection with this MOU, or at any time thereafter and through no fault of the Recipient becomes, public knowledge, or
- Is, at any time after being disclosed or obtained in connection with this MOU, lawfully obtained by the Recipient from any third Party without any obligation by the Recipient to maintain such information in confidence, or

## **Appendix B: Draft Performance Indicators for Comparing Promotions Committee Structure and Processes**

1. Categories
2. Applicant ranking of each category
3. Alignment to workload
4. Application form
5. Application nomination
6. Decision level
7. Committee chair
8. Committee membership
9. External member
10. Training
11. Attachments including peer reviews
12. Number of referees
13. References
14. Stages
15. Interview
16. Voting
17. Application due date
18. Month of promotion committee meeting
19. Time of official notification
20. Debriefing
21. Resubmission
22. Transparency of process

## Appendix C: Success Factors for Higher Education Benchmarking

<b>1. Determine which areas to benchmark</b>	
<p>Is this area aligned to strategic goals in priority areas?            Will a major project in this area deliver significant benefits relative to the costs?            Are there drivers in this area which will sustain energy for the process, and ensure that benchmarking is given priority?            Is benchmarking in this area supported at the executive level and on the ground?            Are there adequate human, financial and other resources to support benchmarking in this area?</p>	
YES <i>Continue</i>	NO <i>Rethink</i>
<b>2. Identify benchmarking partners</b>	
<p>If possible, is there a history of sharing practice and/or an established relationship to build upon?            Do the partners have compatible institutional missions, values and goals?            Is there a comparable commitment to benchmarking in this area from senior and other relevant managers of the partner institutions?            Is there a high level of trust between senior and other relevant managers of the partner institutions?            Is there a shared understanding of explicit benchmarking goals?            Are all partners willing to share information and discuss successes and failures?            Are the partners similar enough to offer transferable strategies in this area?</p>	
YES <i>Continue</i>	NO <i>Rethink</i>
<b>3. Determine types and level of benchmarking</b>	
<p>Is there broad agreement on the types of benchmarking, eg data-sharing, strategy-sharing, evidence-based self-review etc?            Is there broad agreement on the level of benchmarking (eg policy level, discipline level, course level, unit level)?            Is there agreement on the model that should be the basis for benchmarking? If no existing model can be used or adapted, are there sufficient resources to develop and test a suitable new model?            Is there agreement on what is and what is not to be in scope?            Is the scope realistic and achievable by the participants within the anticipated timeframe?</p>	
YES <i>Develop and sign MOU and continue</i>	NO <i>Rethink</i>
<b>4. Prepare benchmarking documents and templates including the purpose, scope of project, performance indicators, performance measures and performance data</b>	
<p>Have the indicators and measures been clearly documented and thoroughly reviewed by each university for alignment to local structures, processes and terminology?            Are the indicators and measures aligned to accepted standards and good practice across the sector?            Have participants who will be carrying out the benchmarking, eg faculty and/or professional leaders, had the opportunity to provide feedback to ensure clarity and fit?</p>	
YES <i>Continue</i>	NO <i>Further development needed</i>
<b>5. Design benchmarking process</b>	
<p>Is there a benchmarking reference/steering group?            Have faculty and/or professional leaders had the opportunity to comment and contribute to the design of the</p>	

<p>process?</p> <p>Does the benchmarking process encourage:</p> <ul style="list-style-type: none"> <li>• engagement?</li> <li>• sharing, both within and across areas?</li> <li>• reflection?</li> <li>• an evidence-based approach?</li> <li>• identification of good practice?</li> <li>• identification of areas for improvement?</li> </ul> <p>Does the choice of process align with organisational culture – for example, does it mirror other forms of scholarly collaboration (eg round-tables, academic committees, surveys, comments on papers)?</p> <p>Does the process minimise demands on staff time?</p>	
<p>YES</p> <p><i>Continue</i></p>	<p>NO</p> <p><i>Further development needed</i></p>
<p><b>6. Implement benchmarking process</b></p>	
<p>Is there a communication plan?</p> <p>Have faculty and/or professional leaders been briefed on their responsibilities?</p> <p>Is there appropriate project management?</p> <p>Are there clear expectations for deliverables and deadlines?</p> <p>Is there a checking process (quality assurance)?</p>	
<p>YES</p> <p><i>Continue</i></p>	<p>NO</p> <p><i>Further development needed</i></p>
<p><b>7. Review results</b></p>	
<p>Have faculty and/or professional leaders had the opportunity to contribute to the review process?</p> <p>Does the review process encourage engagement, reflection and sharing, both within and across institutions?</p> <p>Is the review process designed to produce a clear evaluation, including ratings, identification of good practice and identification of areas for improvement?</p> <p>Is the review process carried out at multiple levels, eg faculty level, institutional level, across institutions?</p>	
<p>YES</p> <p><i>Continue</i></p>	<p>NO</p> <p><i>Further development needed</i></p>
<p><b>8. Communicate results and recommendations</b></p>	
<p>Do reports clearly identify good practice, standard practice and recommendations for improvement for each university?</p> <p>Within each university, is there a consultation process to obtain agreement on recommendations, eg through management and committee structures?</p> <p>Were participants acknowledged and thanked?</p> <p>Is there a process for sharing the benchmarking methodology and lessons learned with other areas of the university?</p>	
<p>YES</p> <p><i>Continue</i></p>	<p>NO</p> <p><i>Further development needed</i></p>
<p><b>9. Implement improvement strategies</b></p>	
<p>Are there clearly assigned responsibilities for implementing the recommended improvements?</p> <p>Have future collaborations between the universities been agreed, where this would assist improvements?</p> <p>Is there a process for monitoring and reporting on the implementation of recommended improvements and their effectiveness?</p>	

## **Appendix D: Draft Promotions Criteria**

The criteria developed are supposed to be flexible and not exhaustive and will offer detail about what type of evidence could be used. These include:

### **Lecturer/Equivalent**

- Input to delivering or leading teaching
- Organisation of courses/modules
- Student feedback
- Peer observation
- Peer feedback/review
- Evidence of evaluation of teaching approaches

### **Senior Lecturer/Equivalent**

- Evidence of scholarship of teaching and learning, such as awareness of relevant literature, teaching informed by research (own and others'), and writing and contributions to textbooks
- Institutional awards
- Own research in teaching and learning
- Input into institutional policies

### **Chair**

- Presentations and publications
- National awards
- Evidence of national/international impact
- Input into national/international policy and strategy (Attwood, 2010).

**Appendix E: IIB-AP Project Participants indicating time commitment of core team members**

<b>Australia-UK Core Team</b>			
<b>University of Wollongong Team</b>	<b>University of Tasmania Team</b>	<b>University of Leicester Team</b>	<b>Uni of Newcastle Upon Tyne Team</b>
<p><b>AU Project Leader (10% FTE)</b> Prof Sandra Wills Executive Director Learning &amp; Teaching Chair of Educational Development Academic Services Division</p> <p><b>Core Team Member (10% FTE)</b> A/P Christine Brown Head Centre for Educational Development Innovation &amp; Recognition (CEDIR)</p> <p><b>UOW Project Officer (50% FTE)</b> Ms Anne Melano Centre for Educational Development Innovation &amp; Recognition</p> <p><b>UOW Team</b> Prof John Patterson Senior DVC Chair of Academic Probation &amp; Promotions Committees</p> <p>Ms Lynn Woodley, Executive Manager Strategic Planning and Quality Office</p> <p>Prof Patrick Crookes Dean, Health &amp; Behavioural Sciences</p> <p>Prof Luke McNamara Dean, Law</p>	<p><b>Core Team Member (10% FTE)</b> Prof David Sadler Deputy Vice Chancellor (Students and Education)</p> <p><b>Overall Project Coordinator (40% FTE)</b> Dr Sara Booth Head Student Evaluation, Review &amp; Reporting Unit (SERRU)</p> <p><b>UTAS Project Officer (50% FTE)</b> Ms Sarah-Jane Fox Project Officer Student Evaluation, Review &amp; Reporting Unit (SERRU)</p> <p><b>UTAS Team</b> Prof David Rich Provost Chair of Academic Probation &amp; Promotions Committees</p> <p>Prof John Williamson Chair Academic Senate</p>	<p><b>UK Project Leader (10% FTE)</b> Prof Annette Cashmore Director Genetics Education, Networking for Innovation and Excellence (GENIE) CETL</p> <p><b>Core Team Member (10% FTE)</b> Dr Chris Cane Director, Taught PG Programmes College of Medicine, Biological Sciences &amp; Psychology</p> <p><b>UOL Project Officer (50% FTE)</b> to be advertised</p> <p><b>UOL Team</b> Christine Fyfe PVC (Students)</p> <p>Prof Kevin Schurer PVC (Research)</p> <p>Allan Reynolds Head, Human Resources</p>	<p><b>Core Team Members (10% FTE x2)</b> Prof Stephen McHanwell Professor of Anatomical Sciences</p> <p>Sue Robson Head School of Education Communication &amp; Language Sciences</p> <p><b>NCL Project Officer (50% FTE)</b> Marita Grimwood</p> <p><b>NCL Team</b> Prof Suzanne Cholerton Pro Vice Chancellor (Learning, Teaching)</p> <p>Richard Burrow Assistant Director Human Resources</p> <p>Rebecca Walker Assistant Registrar Finance and Planning</p> <p>Dr Jeremy Boulton HASS Promotions Committee</p>

<b>External Evaluator</b>		
Prof Dorothy Whittington, University of Ulster		
<b>International Advisory Group</b>		
<b>Australian Advisory Group</b>		
Prof Arshad Omari DVC (Academic) Edith Cowan University <i>Chair of Academic Promotions</i>	Emeritus Prof Adrian Lee Previously DVCA University of New South Wales <i>Carrick Project on Teaching Portfolios</i>	Prof Judyth Sachs Provost Macquarie University <i>ALTC Project on Social, communicative and interpersonal leadership in the context of peer review</i>
Prof Kerri-Lee Krause Pro-Vice Chancellor (Education) University of Western Sydney <i>AQHE member</i> <i>ALTC Interuniversity Moderation and Peer Review</i>	Prof Shirley Alexander Deputy Vice-Chancellor & Vice-President (Teaching, Learning & Equity) University of Technology Sydney <i>ALTC project on Embedding Peer Review of Learning and Teaching in e-Learning and Blended Learning Environments</i>	Prof Denise Chalmers Director, Centre for the Advancement of Teaching & Learning University of Western Australia <i>ALTC Project on rewarding &amp; recognizing quality teaching &amp; learning through performance indicators.</i> <i>President of the Council of Australian Directors for Academic Development</i>
Prof Marcia Devlin Inaugural Chair in Higher Education Research Deakin University <i>ALTC Project of Peer Review of Teaching in Australian Higher Education</i>	Prof Geoff Crisp Dean, Learning & Teaching Royal Melbourne Institute of Technology <i>ALTC project on Peer Review of Teaching for Promotion Purposes</i> <i>ALTC Fellow</i>	Prof Robyn Quin DVC Education Curtin University <i>Co-author of HERDSA paper on promotions &amp; SOTL</i>
<b>UK Advisory Group</b>		
Prof Gavin Brooks PVC (Teaching & Learning) The University of Reading	Prof Janice Kay Deputy Vice Chancellor (Education) University of Exeter	Prof Allison Littlejohn Chair of Learning Technology Director, Caledonian Academy Glasgow Caledonian University
Prof Mick Healey Emeritus Professor University of Gloucestershire <i>Co-Editor, International Journal for Academic Development</i> <i>Honorary Professor University of Queensland</i> <i>Visiting Professor Edinburgh Napier University</i> <i>Visiting Professor University of Wales, Newport</i>	4xPVC/DVC reps to be confirmed	nominee from HEA

## Appendix F: Budget

			Currency rate as at 15/3/2012 0.66860 GBP	
<b>CORE PROJECT TEAM</b>	<b>Institution In Kind Contribution</b>		<b>Request AUD \$</b>	<b>Request GBP £</b>
Project Leader (UOW AU) 5% funded	5% of time in-kind; on-costs & infrastructure costs (30%)	\$13,200	8,250	5,516
Project Leader (UOL UK) 5% funded	5% of time in-kind; on-costs & infrastructure costs (30%)	\$10,110	7,777	5,200
Project Coordinator (UTAS AU) 40% funded	5% of time in-kind; on-costs & infrastructure costs (30%)	\$15,050	43,000	28,750
Project Officer (UTAS AU) 50% funded (HEO7.1)	on-costs & infrastructure costs (30%)	\$21,000	35,500	23,735
Project Officer (UOW AU) 50% funded (HEO8.1)	on-costs & infrastructure costs (30%)	\$24,000	40,000	26,744
Project Officer (NCL UK) 50% funded (Grade 8)	on-costs & infrastructure costs (30%)	\$11,478	37,600	25,139
Project Officer (UOL UK) 50% funded (Grade 7)	on-costs & infrastructure costs (30%)	\$17,950	32,940	22,024
Core Team Member (UOW AU) 5% funded	5% of time in-kind; on-costs & infrastructure costs (30%)	\$7,800	6,000	4,012
Core Team Member (UOL UK) 5% funded	5% of time in-kind; on-costs & infrastructure costs (30%)	\$5,920	4554	3,045
Core Team Members x2 (NCL UK) 5% funded	5% of time in-kind; on-costs & infrastructure costs (30%) x 2	\$3,104	10,121	6,797
<b>Sub Total</b>	<b>GBP £86,660</b>	<b>\$129,612</b>	<b>\$225,740</b>	<b>£150,930</b>
<b>PROJECT TEAM MEETINGS</b>				
Project team meetings for all participants will be organised via Skype video conference				
<b>PROJECT ACTIVITIES</b>				
<b>1. International Advisory Group meetings, one in UK, one in Australia, early in project</b>				
Catering and room hire if required			2,000	1,337
14x2 some accommodation, some travel subsidies, some honorariums			10,000	6,686
<b>Sub Total</b>			<b>12,000</b>	<b>8,023</b>
<b>2. Two day Peer Review Workshop (UTAS)</b>				
6 x Airfares (4 x UK, 2 x AU)			15,800	10,564
Accommodation, meals and incidental travel (4 x UK, 4 x AU)			6,600	4,413
Catering and room hire if required			750	500
<b>Sub Total</b>			<b>23,150</b>	<b>15,478</b>

<b>3. Dissemination Summit (UK)</b>		
4 x Airfares (2 x UTAS , 2 x UOW)	14,000	9,360
Accommodation, meals and incidental travel (4 x AU x 4 days; 6 x UK x 1 day)	12,160	8,130
4 x Travel UK Senior university leaders (if required)	2,000	1,337
4 x Travel National government policy makers (2 x AU, 2 x UK ) - includes accommodation	10,000	6,686
4 x Travel HEA/OLT representatives (2 x AU, 2 x UK ) - includes accommodation	10,000	6,686
7 x Travel UK Advisory Group (7 members)	5,000	3,343
2 x travel TEQSA representatives (2 x AU ) - includes accommodation (if required)	9,000	6,017
Catering / room hire etc	800	535
External Evaluator - includes accommodation	1,500	1003
<b>Sub Total</b>	<b>64,460</b>	<b>43,097</b>
<b>4. Australian Forum (UOW)</b>		
10 x AU Vice Chancellors (travel) if required	5,000	3,343
2 x Chairs of Promotions Committees (1 UTAS, 1 x UOW)	1,000	669
External Evaluator	3,000	2,006
8 x AU National Advisory Group (8 members) travel & accommodation	8,000	5,349
Catering / room hire etc	1,000	669
<b>Sub Total</b>	<b>18,000</b>	<b>12,036</b>
<b>EXTERNAL EVALUATION</b>		
Honorarium	5,000	3,343
<b>Sub Total</b>	<b>5000</b>	<b>3,343</b>
<b>OTHER</b>		
Website Development & Resource Development	2,500	1,672
Printing (includes hard copies for dissemination workshops)	3,000	2,006
Miscellaneous stationery	500	334
<b>Sub Total</b>	<b>6,000</b>	<b>4,012</b>

<b>FUNDING REQUEST</b>	<b>AUD\$354,350</b>	<b>GBP £236,920</b>
<b>Total University In-kind Contribution</b>	<b>AUD\$129,610</b>	<b>GBP £86,660</b>
<b>PROJECT COST</b>	<b>AUD \$483,960</b>	<b>GBP £323,580</b>
<b>Advisory Group Contribution</b>	<b>AUD \$201, 915</b>	<b>GBP £135,000</b>
<b>TOTAL PROJECT COST</b>	<b>AUD \$685,880</b>	<b>GBP £458,580</b>

## Appendix G: Brief Bios of Core Team

### **UK Project Leader: Prof Annette Cashmore, University of Leicester**

Director, GENIE Centre of Excellence for Teaching and Learning in Genetics

Prof Annette Cashmore began her scientific career with a BSc. in Biology at Sussex University before moving to the National Institute for Medical Research in London for postgraduate studies, graduating with a PhD. Annette has been at the University of Leicester since 1983. She was Head of the Department of Genetics from 2001 to 2006 and from 2003 she has also been Sub Dean of Medicine, Biological Sciences and Psychology.

Annette has been teaching biology and medicine undergraduate and postgraduate students for 29 years. She was promoted to a personal chair, as the first Professor of Genetics Education at the University of Leicester, in 2008. She has taken an active role in the development and design of many programmes within the University, including the setting up of a Medical Genetics degree and complete review of the Biological Sciences and Medical degrees. She is also involved in several strategy and policy development committees and working groups and, for example, she is responsible for ethics review, equal opportunities, student progress. She is a member of the University's Academic Policy Committee and has led policy change and development in several areas including student support and employability and staff reward and recognition. She is leading a team consisting of the senior pro-vice chancellors and the head of human resources to review academic promotion policy within the University. She was invited by David Willets, UK Minister of State for Universities and Science, to take part in consultative discussions with him on incentivising teaching and learning. She also serves on several national committees influencing policy on science and medical education. She combines her teaching and leadership roles with running a successful research group working on the pathogenic fungus *Candida albicans*. This demonstrates her commitment to the synergy between research and teaching with outreach and public engagement in science also high on the agenda. She was awarded a National Teaching Fellowship in 2008.

Annette led the successful £4.85million bid to establish a Centre of Excellence for Teaching and Learning in Genetics (GENIE) and since 2006 she has been its Director, leading its work. The University of Leicester is committed to continuing the Centre and current projects are funded from various UK sources including the Higher Education Academy, The Higher Education Funding Council for England (HEFCE), the British Council and the National Institute for Health Research (NIHR). Key projects have included the development and evaluation of innovative resources and approaches for teaching biomedical sciences and development of a Virtual Genetics Education Centre which currently receives approximately 20,000 hits per month. An important area of GENIE's work is to improve the student experience. Annette is leading work across the University to develop and embed approaches involving student-staff partnerships. In 2009, she co-authored an HEA report on reward and recognition relating to teaching and learning across England and this collaboration is continuing with work looking at case studies to determine how policies are being implemented. All of this work informs the basis of this funding application.

### **Australian Project Leader: Prof Sandra Wills, University of Wollongong**

Executive Director, Learning & Teaching

Prof Sandra Wills has nearly 40 years international experience in the fields of education and technology from primary through to university education including teacher training, curriculum development, multimedia development, academic development and senior management. She has authored 350 publications and multimedia products, and has delivered more than 120 invited and keynote addresses in 22 countries. Her latest book, *The power of role-based e-learning* (Wills, Leigh & Ip, 2011), caps ten years of research on learning designs and online role play funded by the Australian Learning & Teaching Council and its predecessor, the Australian Universities Teaching Committee. She has been involved in and/or lead eight ALTC grants and eight grants from predecessor organizations. In 2008 she received a Citation from the Australian Learning & Teaching Council for "strategic leadership to ensure learning technologies promote active, collaborative and global student learning".

Relevant to this application are several linked projects that Sandra has initiated and successfully implemented at University of Wollongong to formally embed reward and recognition for teaching in promotion processes:

- Peer Review for promotion: including both Peer Observation of Teaching and Peer Review of Educational Practice
- Mix of Evidence: criteria for academic progression based on teaching
- Learning-Teaching-Researching Nexus
- Learning Leaders leadership training.

She has been a member of the UOW Promotions Committee for many years and an invited external member and referee for other universities' promotions committees.

### **Project Coordinator: Dr Sara Booth, University of Tasmania**

Head- Student Evaluation, Review and Reporting Unit (SERRU)

Dr Sara Booth began her university teaching career in 2004 and was awarded for her teaching through a Faculty Mentoring Award (2005), a Teaching Certificate (2007), and a UTAS Teaching Excellence award (2007). In 2008, she obtained a UTAS Teaching and Learning Fellowship (\$43,198) which investigated the leadership role and responsibilities of course coordinators at UTAS. From 2009-2011 she has led and coordinated three institutional-wide benchmarking projects for UTAS which included formal benchmarking partnerships with UOW and Deakin. In 2011-2012 she facilitated the involvement of UTAS in two Australian academic standards projects (Teaching Standards Project and the ALTC Interuniversity- Moderation Project). She is also leading the testing and coordination of an institutional wide project on UTAS Academic Standards during 2012.

### **Prof David Sadler, University of Tasmania**

Deputy Vice-Chancellor (Students and Education)

Professor David Sadler sits on the University Promotions Committee. He is also currently drawing together a policy statement on expectations of academic staff. This, together with the lessons from the benchmarking project with the University of Wollongong, University of Leicester and Newcastle University, will inform a planned major review of UTAS promotions policy. David was appointed by the Federal Minister to the Strategic Advisory Committee of the new Office of Learning and Teaching (OLT) and is a former Director (Networks) of the Higher Education Academy (UK) as well as a UK National Teaching Fellow.

### **Assoc Prof Christine Brown, University of Wollongong**

Head, Centre for Educational Development, Innovation & Recognition

Assoc Prof Christine Brown coordinates support activities and resource development targeting Reward and Recognition for learning and teaching within an academic career. Christine is the coordinator of UOW's Promoting Excellence Initiative, funded by the Australian Learning and Teaching Council (ALTC). Key activities include support for:

- Teaching award applicants - both local (OCTAL) and external awards (such as those for the ALTC and the Australian College of Education)
- Learning and Teaching grant applicants - for ESDF and ALTC Grants
- Formal Peer Observation of Teaching and Peer Review of Educational Practice
- Design of informal (formative) evaluation of teaching activities
- Interpreting formal (summative) evaluation data such as Teacher Evaluations and Peer Observations to structure a reflective commentary
- Dialogue with colleagues that open spaces for discussing key strengths and achievements for professional recognition

**Awards:** ALTC Citation for Outstanding Contribution to Student Learning – 2010; Australian College of Educators Award for Service to Education - 2010 (NSW Branch); Australian College of Educators Award for Contribution to Teaching - 2001 (NSW Branch)

### **Dr Chris Cane, University of Leicester**

Director of Taught Postgraduate Programmes, College of Medicine, Biological Sciences & Psychology

Chris Cane's current role is to provide academic and strategic leadership for the taught postgraduate programmes in the College of Medicine, Biological Sciences and Psychology. He read Natural Sciences at

Cambridge before researching for a PhD in molecular virology at the National Institute for Medical Research in London. During his career, he has worked at the Universities of Warwick, Leicester and Northampton as well as for the Medical Research Council. His research interests now centre around educational transitions for both undergraduate and postgraduate students with particular focus on international students. He is a keen advocate of the use of new technology to improve the student experience. Chris was involved in the HEA Reward and Recognition Report co-authored by Annette Cashmore and continues to collaborate with her in this research. He was awarded a University Teaching Fellowship in 2010, for “outstanding support to international students”.

### **Prof Stephen McHanwell, Newcastle University**

Professor of Anatomical Sciences

Stephen McHanwell has been in Newcastle University since 1983 working in a variety of roles. He is an anatomist teaching anatomy on a wide range of undergraduate and postgraduate courses. He was promoted to Senior Lecturer in 2001 and to a Personal Chair in 2007 in both cases on grounds of exceptional performance in teaching. In 2007 he was awarded a National Teaching Fellowship, in 2009 he was nominated by the dental students he teaches for a DDU Teacher of the Year Award and in 2011 he received an Erskine Teaching Fellowship from the University of Canterbury, Christchurch.

His research interests are in anatomy and physiology of the larynx and in anatomical education especially in understanding better how students learn anatomy responding to the challenge of understanding its complex content. He has led initiatives in anatomical education at National, European and International levels. Alongside these interests he has had a long-standing interest in reward and recognition for teaching predating the award of his NTF.

He has made a number of contributions to the teaching and learning agenda of the university. He led the medical school teaching programme for intercalating students in medicine and dentistry, was Director of Taught Postgraduate programmes in the Medical Faculty and more recently was Director of the Preclinical teaching in Dentistry. For eight years he was part of the course team delivering and organising the Academic Practice Course for new lecturers in the Newcastle and lead a major restructuring of the programme in 2006. He helped to establish the Newcastle University Teaching Excellence Awards scheme and has served on the Selection panel for these awards during the three years they have been in existence. He is involved in selection and mentoring of NTF nominees for the University. Externally he is advisor for University of Durham Teaching Excellence awards panel and is a reviewer for the HEA NTF scheme. He led a successful project to implement a student Evaluation Questionnaire Service. At University level he has been Chair of Academic Audit Committee and was a member of University Probation Committee.

Currently in Newcastle he is chairing a Steering Group developing and embedding university mechanisms for reward and recognition in teaching.

### **Sue Robson, Newcastle University**

Head of the School of Education, Communication and Language Sciences

Sue Robson is leader of the Teaching and Learning in Higher Education Research Group, Centre for Learning and Teaching, at Newcastle University, UK. She is a member of Newcastle University's Internationalization Executive Group and a Steering Group member for the Enhancing Teaching, Learning and the Student Experience through Recognition and Reward project. Sue has developed and delivered professional development programmes for teachers in Syria, China, Hong Kong and the UK. She designed and leads the Equal Acclaim for Teaching Excellence (EquATE) programme for teaching champions at Newcastle University.

#### *Selected publications:*

Robson, S., Wall, K., and Lofthouse, R. (2012) Raising the profile of innovative teaching in Higher Education? Reflections on the EquATE project. *International Journal of Teaching and Learning in Higher Education*. Submitted.

Robson, S. and Turner, Y. (2007) 'Teaching is a co-learning experience': academics reflecting on learning and teaching in an internationalized faculty. *Teaching in Higher Education* 2007, 12(1), 41-54.