

# RECRUITMENT AND APPOINTMENT POLICY 2021

The Vice-President (Operations), as delegate of the Senate of the University of Sydney, adopts the following policy.

Dated: 2 February 2021 (commencing 8 February 2021)

Last amended: 22 November 2022

Signature:

Name: Mr Stephen Phillips

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## 1 Name of policy

This is the Recruitment and Appointment Policy 2021.

## 2 Commencement

This policy commences on 8 February 2021.

## 3 Policy is binding

Except to the extent that a contrary intention is expressed, this policy binds the University, staff, students and affiliates.

## 4 Overview

This policy provides the framework to:

- (a) attract and retain high performing staff through timely and cost-effective recruitment;
- (b) continue to build high levels of expertise; and
- (c) deliver the University's strategic goals.

## 5 Application

(1) This policy applies to:

- (a) all staff engaged in the recruitment and selection process;
- (b) recruiting for continuing and fixed-term positions; and
- (c) engaging individuals through external recruitment or labour hire agencies.

(2) This policy does not apply to:

- (a) engaging:
  - (i) casual staff, with the exception of the pre-employment check requirements in Schedule 1;
  - (ii) specified individuals under a contract of services on a fee for services basis; or
  - (iii) volunteers.

**Note:** See the [Casual Employment Policy](#) for recruitment of casual staff positions. See the [Workforce Engagements and Payments Policy 2016](#) for the types of workforce engagement at the University, including direct employment as well as engagement through a labour hire agency, and requirements for assessing the appropriate engagement type.

## 6 Definitions

In this policy:

<b>Academic Board nominee</b>	means an independent academic member of a selection committee who represents the Academic Board.
	<b>Note:</b> See subclause 7(3).
<b>appointment on nomination</b>	means the recruitment strategy provided in clause 15 which is used to: <ul style="list-style-type: none"> <li>• fill short-term and unexpected vacancies; or</li> <li>• appoint someone who has been named on a grant.</li> </ul>
<b>confirmation</b>	means the period of conditional employment served by an academic staff member after completion of their probation period, as provided for in Part C of the <a href="#">Enterprise Agreement</a> .
<b>Chair</b>	means the Chair of a selection committee.
<b>child-related work</b>	means work involving direct contact with children in a child-related sector as designated by the <a href="#">Child Protection (Working with Children) Act 2012 (NSW)</a> , where the contact is a usual part of, and more than incidental to, the work. This includes: <ul style="list-style-type: none"> <li>• providing ongoing counselling, mentoring or distance education for children by any form of communication, including online or by telephone;</li> <li>• short term or project-based work;</li> <li>• paid or unpaid work.</li> </ul>
<b>Dean</b>	means, as appropriate: <ul style="list-style-type: none"> <li>• the Executive Dean or Dean of a faculty; or</li> <li>• the Head of School and Dean of a University school.</li> </ul>
<b>delegate</b>	means, for the purposes of this policy, a person to whom Senate has made a delegation of authority to approve: <ul style="list-style-type: none"> <li>• establishment of positions for recruitment;</li> <li>• selection decisions; or</li> <li>• the terms and conditions of an appointment.</li> </ul>
<b>Delegated Officer (Staffing)</b>	has the meaning given in clause 3 of the <a href="#">Enterprise Agreement</a> . At the date of this policy, this is: <p style="padding-left: 40px;">means the Chief Human Resources Officer (who has a standing appointment as Delegated Officer (Staffing)) and such other person or persons as may be appointed by the Vice-Chancellor to exercise the functions of Delegated Officer (Staffing) under this Agreement from time to time.</p>

<b>direct appointment</b>	means an appointment directly to a specified position, made in accordance with clause 16.
<b>eligibility list</b>	means a list of candidates for an advertised role, who have been assessed by a selection committee as being eligible for consideration for appointment if the same or similar role becomes vacant within 12 months.
<b>Enterprise Agreement</b>	means the <a href="#">University of Sydney Enterprise Agreement 2018-2021</a> or any replacement agreement.
<b>exempt</b>	has the meaning given in the <a href="#">University of Sydney (Delegations of Authority) Rule 2020</a> . At the date of this policy, that is:  Refers to staff or positions to whom or to which the <a href="#">Enterprise Agreement</a> does not apply.
<b>external advertising</b>	means advertising in publicly available media that is accessible to people outside the University. It includes: <ul style="list-style-type: none"><li>• the University vacancies website;</li><li>• newspapers;</li><li>• specialist journals; or</li><li>• websites.</li></ul>
<b>faculty</b>	means a faculty or a University school constituted in accordance with the <a href="#">University of Sydney (Governance of Faculties and University Schools) Rule 2016</a> .
<b>high risk positions</b>	means positions that: <ul style="list-style-type: none"><li>• have access to commercial and in-confidence information; or</li><li>• manage University assets.</li></ul> <p><b>Note:</b> See Schedule 1.</p>
<b>hiring manager</b>	means the staff member nominated by the relevant delegate who is: <ul style="list-style-type: none"><li>• usually the supervisor of the position to be filled;</li><li>• responsible for recruiting for the position; and</li><li>• the main point of contact for Recruitment Operations throughout the recruitment process.</li></ul>
<b>Human Resource Management System</b>	means the online system by which the University manages recruitment, selection and appointment.

- internal advertising** means advertising available only to internal candidates. It includes, as a minimum, advertising on the University's vacancies website as a vacancy open only to current employees. It may also include notification:
- in faculty-level emails;
  - on University, faculty or school websites; and
  - at staff meetings.
- internal candidate** means a person who is at the time of advertisement:
- a currently employed continuing or fixed term staff member who has successfully completed probation;
  - a currently employed casual staff member who has been assessed through the performance and development process as at least meeting expectations or satisfactory; or
  - casual staff member who is able to demonstrate that they have been engaged by the University as a casual employee on a regular and systematic basis for the previous 12 months.
- Note:** Affiliates and individuals engaged through labour hire agencies are not internal candidates.
- independent member** means a member of a selection committee who:
- is not from the hiring organisational unit;
  - has no direct reporting or financial relationship with the hiring organisational unit; and
  - can assess the candidates for the position impartially and objectively.
- Examples include:
- a staff member from a different faculty, University school, school, professional services unit or organisational unit;
  - an expert in a relevant field;
  - a client affected by the work of the position;
  - a Human Resources representative;
  - in the case of health professional vacancies, a staff member of a Local Health District or Hospital; or
  - another individual approved by the Chief Human Resources Officer.
- internal member** means, in relation to a selection committee:
- a currently employed staff member; or
  - for academic staff selection committees, an affiliate such as an honorary title holder.
- job profile** means the approved position classification, description and requirements recorded in relation to managing a position in the Human Resource Management System.

<b>labour hire agency</b>	<p>has the meaning given in the <a href="#">Workforce Engagement and Payments Policy 2016</a>. At the date of this policy, this is:</p> <p style="padding-left: 40px;">means a recruitment agency or labour engagement specialist contracted by the University to provide temporary labour resourcing services.</p>
<b>non-exempt</b>	<p>refers to staff or positions to whom or to which the <a href="#">Enterprise Agreement</a> applies.</p>
<b>modified recruitment strategy</b>	<p>means a recruitment strategy approved consistently with clause 16.</p>
<b>organisational unit</b>	<p>means a University work unit:</p> <ul style="list-style-type: none"> <li>• with a specific purpose or function</li> <li>• that has a director or head of the function and</li> <li>• a separate budget.</li> </ul> <p>An organisational unit may include team structures but the teams are not themselves organisational units.</p>
<b>Principal Officer</b>	<p>has the meaning given in the <a href="#">University of Sydney (Delegations of Authority) Rule 2020</a>. At the date of this policy that is:</p> <p style="padding-left: 40px;">means any of:</p> <ul style="list-style-type: none"> <li>• Vice Chancellor and President</li> <li>• Deputy Vice-Chancellor</li> <li>• Vice President</li> <li>• General Counsel</li> </ul>
<b>probation</b>	<p>means the period of conditional employment served by a staff member immediately after their appointment to a position, as provided in Part C of the <a href="#">Enterprise Agreement</a>.</p>
<b>Recruitment Operations</b>	<p>means the team within the University's Human Resources professional services unit with responsibility for supporting the recruitment, selection and appointment of University staff.</p>
<b>recruitment professional</b>	<p>means a professional recruiter or search consultant who is either part of Recruitment Operations or is engaged externally.</p>
<b>redeployment</b>	<p>means the method of securing suitable alternative employment within the University for a staff member whose position has been made redundant.</p> <p><b>Note:</b> See the <a href="#">Redeployment Policy 2014</a> and the <a href="#">Redeployment Procedures 2014</a>.</p>

<b>referee</b>	means a person who is asked to provide insights into a candidate's performance in a current or previous role.
<b>responsible position</b>	means: <ul style="list-style-type: none"><li>• an executive or senior professional staff position, as defined in <a href="#">Executive and Senior Professional Staff Remuneration Policy 2019</a> ; or</li><li>• a position which holds a financial delegation of \$100,000 or above under the <a href="#">University of Sydney (Delegations of Authority) Rule 2020</a></li></ul> <p><b>Note:</b> See Schedule 1</p>
<b>selection committee</b>	means a panel convened in accordance with this policy, to make a recommendation to the relevant delegate about filling a vacant position with the best available candidate with the capabilities to meet the requirements of the role.
<b>week</b>	means seven calendar days

## PART 1 - PRINCIPLES

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### 7 Principles

- (1) The University's recruitment, selection and appointment practices aim to build the talent base and capability of the University, to support the achievement of excellence.
- (2) Recruitment, selection and appointment practices must:
  - (a) be transparent, competitive and based on achievement relative to opportunity;

**Note:** See information on achievement relative to opportunity on the [staff intranet](#);
  - (b) aim to appoint outstanding candidates;
  - (c) be free from conflicts of interests;

**Note:** See clause 8 of the [External Interests Policy 2010](#).
  - (d) be rigorous, using valid, evidence-based decision making that mitigates any bias;
  - (e) assess candidates, including staff seeking redeployment, in relation to their ability to achieve the requirements of the position;
  - (f) reflect the University's strategic and operational objectives;
  - (g) comply with legal obligations, University rules and policies, and agreements related to workforce engagement and staff mobility;
  - (h) treat all candidates equitably with respect and fairness;

- (i) support the University's strategy of enhancing the diversity of its workforce by encouraging and facilitating inclusive participation and equality of opportunity by diverse candidates and selection committee members, including but not limited to:
    - (i) gender diverse people;
    - (ii) culturally diverse people;
    - (iii) Aboriginal and Torres Strait Islander people;
    - (iv) LGBTQIA+ people;
    - (v) people with a disability; and
    - (vi) parents and carers.

**Note:** For further information see the following sections of the University intranet: [Diversity and Inclusion](#); [Science in Australia Gender Equity \(SAGE\)](#); [One Sydney Many People Strategy](#); [Disability Inclusion Action Plan 2019-2024](#); [Employing People with a Disability](#).
  - (j) include diverse gender representation in the shortlisting and appointment of all academic and professional roles.
- (3) Commencing on 1 January 2023, Academic Board nominees must:
- (a) be current academic staff members;
  - (b) be external to the hiring organisational unit;
  - (c) have no research or teaching collaboration with the hiring organisational unit; and
  - (d) have completed recruitment, selection and appointment training within the previous two years.
- (4) The University will seek to redeploy staff whose positions have, or will soon, become redundant and will give priority to any internal candidate seeking redeployment, consistently with the [Redeployment Policy 2014](#).
- (5) Fixed term staff are eligible to apply for continuing positions and will not be treated less favourably than other categories of candidates on account of their fixed term status.
- (6) All recruitment and appointments must be initiated, managed and approved in the Human Resources Management System.
- (7) The hiring manager and Recruitment Operations are jointly responsible for conducting an efficient recruitment process to minimise the time to fill vacancies and enhance the candidate experience.

## PART 2 – RECRUITMENT

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### 8 Planning and initiating recruitment

- (1) Before beginning any recruitment process, the hiring manager must:
  - (a) have completed recruitment, selection and appointment training within the last two years;





- (b) consider alternatives to hiring a new staff member, including strategies for staff retention, succession planning and career development; and
- (c) satisfy themselves that a position:
  - (i) has been established;
  - (ii) is funded; and
  - (iii) has an approved job profile in the Human Resources Management System.
- (2) The hiring manager should also consult with the relevant Dean or Principal Officer and relevant staff to assess the hiring need.
- (3) When preparing to recruit, the hiring manager must:
  - (a) consider achieving diversity employment goals;
  - (b) identify all required pre-employment checks;  
**Note:** See Schedule 1 – Pre-employment Check Requirements, the [Working with Children and Vulnerable Adults Policy 2021](#) and the [Working with Children Procedures - Staff and Affiliates 2021](#)
  - (c) seek advice from a recruitment professional on an appropriate recruitment strategy including:
    - (i) sourcing methods, including use of eligibility lists, approaching potential candidates and use of external recruitment or labour hire agencies;
    - (ii) advertising and attraction strategy;
    - (iii) costing;
    - (iv) managing candidate communication;
    - (v) screening;
    - (vi) assessment techniques which may be used in the section process; and
    - (vii) timeline for the recruitment process.  
**Note:** Where the recruitment strategy is a direct or modified appointment process refer to clause 16. Where sourcing specific skill requirements through temporary labour hire refer to the [Workforce Engagement and Payments Policy 2016](#); and the [Temporary Labour Hire Procedures 2015](#)
- (4) All recruitment strategies other than appointment on nomination must be organised through Recruitment Operations. This includes the use of external recruitment or labour hire agencies.  
**Note:** Where the recruitment strategy is appointment on nomination, refer to clause 15.
- (5) The hiring manager must initiate the recruitment to the vacant position in the Human Resources Management System.

## 9 Redeployment

- (1) Recruitment strategies will include consideration of opportunities for redeployment of staff impacted by workplace change.

- (2) Priority for suitable continuing and fixed term positions will be given to internal candidates seeking redeployment including:
- (a) before advertising a vacant position, in which case the redeployee will be assessed by the Redeployment Committee and if successful, the vacant position does not need to be advertised; or
  - (b) after advertising a vacant position, in which case the Redeployment Committee will assess any suitable redeployment candidate before other candidates and if they are successful recruitment action ceases and other candidates are not considered.

**Note:** See the [Redeployment Policy 2014](#) and [Redeployment Procedures 2014](#).

## 10 Advertising

- (1) **Academic staff positions.**
- (a) All academic continuing and fixed-term vacancies of greater than 12 months must be advertised externally, except for:
    - (i) appointments on nomination under clause 15; and
    - (ii) direct or modified appointments under clause 16.
  - (b) The minimum advertising requirements are set out in Table 1 below. These requirements may only be varied with approval of the Provost.

**Table 1**

Academic Staff	Level	Advertising Requirement	Minimum Advertising Duration
Continuing and fixed term greater than 12 months	A – D	Internal and External	2 weeks
	E	Internal and External	4 weeks

**Note:** For academic leadership roles see the [Appointment of Academic Leaders Procedures 2022](#)

- (2) **Professional staff positions.**
- (a) Continuing and fixed term, non-exempt vacancies of more than 12 months must first be advertised internally for at least six business days, unless the same or a similar position has been advertised within the previous 12 months and the vacancy is successfully filled by an internal candidate from an approved eligibility list.
    - (i) After reviewing all applications received the relevant delegate may authorise external advertising.
    - (ii) The University encourages selection committees to interview potentially suitable internal candidates, or a short list of such candidates, before deciding to advertise externally.
    - (iii) Vacancies at or below HEO 5 must not be advertised externally if there are suitable internal candidates who are assessed as satisfactory.



- (b) Exempt role vacancies must be advertised externally for a minimum of one week, unless:
  - (i) approved for a direct or modified appointment process under clause 16; or
  - (ii) the Director Recruitment Operations waives the requirement for external advertising.
- (c) The minimum advertising requirements are set out in Table 2 below.

**Table 2**

Professional Staff	Level	Advertising Requirement	Minimum Advertising Duration
Continuing and fixed term greater than 12 months	HEO 1 – 5	Internal	6 business days
		External if no suitable internal candidates	1 week
	HEO 6 and above	Internal	6 business days
		External	1 week
Continuing and fixed term	Exempt positions	External	1 week

- (d) The Delegated Officer (Staffing) may approve simultaneous internal and external advertising for:
  - (i) an identical position that has been previously advertised internally without success in the past six months;
  - (ii) a position at HEO 10 or above that requires specialist skills;
  - (iii) a position identified for an Aboriginal or Torres Strait Islander person; or
  - (iv) a position identified for a person with disability.
- (e) All non-exempt positions to be filled on a temporary basis for between three and 12 months must be advertised internally for at least three days, unless the same or a similar position has been advertised internally within the previous 12 months and an eligibility list has been approved.
  - (i) Any continuing, fixed term or casual professional staff member employed at the time of advertisement may express interest.
  - (ii) All professional staff with at least 12 months continuous service who have registered with the Professional Staff Secondment and Exchange Scheme, will receive notifications through the Human Resources Management System of temporary positions which meet specified criteria.

**Note:** See details of the Professional Staff Secondment and Exchange Scheme in [clauses 362 – 368](#) of the [Enterprise Agreement](#) on the [staff intranet](#).

  - (iii) The Delegated Officer (Staffing) may waive the advertising requirements in subclause 10(2)(e) in exceptional circumstances.

## 11 Selection committee

### (1) Requirements for all selection committees

- (a) Selection committees must be constituted as specified in:
  - (i) Schedule 2, for academic staff selection committees; or
  - (ii) Schedule 3, for professional staff selection committees.
- (b) The Chair will:
  - (i) nominate all members of the selection committee; consistent with Schedules 2 and 3; and
  - (ii) agree methods of shortlisting applications with the selection committee, provided that any short-list must be finalised through assessment of all applications.
- (c) The selection committee must:
  - (i) have at least 30% of women and men respectively;
  - (ii) be as diverse as possible, consistently with the principle in subclause 7 (2)(i); and
  - (iii) operate confidentially: no member may discuss any aspect of its deliberations or referees' reports outside the committee meeting.
- (2) A Recruitment Operations representative may participate as an adviser to the Chair or as an independent committee member.
- (3) If the recruitment professional believes that a selection committee is not properly constituted in accordance with this policy, they may stop the recruitment process and refer the matter to the relevant delegate, or if necessary, to the Chief Human Resources Officer, for resolution.
- (4) Each committee member must complete a [conflict of interests declaration](#) before interviews commence and provide it to the Chair.
  - (a) For the avoidance of doubt, a family or close personal or business relationship between a committee member and any of the following will constitute a conflict of interests:
    - (i) a candidate;
    - (ii) another committee member;
    - (iii) any other person involved in the selection process.
- (5) The Chair is responsible for establishing appropriate arrangements to manage any actual, perceived or potential conflicts of interests.
  - (a) Identified conflicts of interests must be reported, recorded, and a plan prepared to eliminate or manage it.

**Note:** See the [External Interests Policy 2010](#)

### (6) Additional requirements for academic staff selection committees

- (a) If an academic position is advertised across levels, the composition of the selection committee must be as required for the most senior appointment.
- (b) In exceptional circumstances, the Chair may approve one or more additional members, to meet the requirements of co-funded positions.

- (7) **Additional requirements for professional staff selection committees**
- (a) Selection committee members should be more senior than the position for which they are recruiting.

## 12 Selecting a candidate

### (1) Screening

- (a) Recruitment Operations will conduct the screening process as agreed with the hiring manager and make recommendations on progression of each candidate.
- (b) This screening may include identifying candidates who do not meet the requirements for the position or who are ineligible to apply.

### (2) Shortlisting

- (a) The Chair, in consultation with the Committee, will decide the shortlist of candidates for interview.
- (b) For academic Level E positions, the short-list must be finalised by the full selection committee or a sub-committee nominated by the Chair.

### (3) Referee reports

- (a) A candidate should provide referees who:
  - (i) have known them for a reasonable period of time (generally a minimum of 6 months);
  - (ii) have knowledge of their relevant work performance, abilities and experience; and
  - (iii) include the most recent two years of employment;or explain why they have not done so.
- (b) The Chair may ask a candidate to nominate further referees to enable a committee to assess a candidate's suitability or relative merit for the position. For example, a candidate may be asked to nominate a referee who is:
  - (i) a direct supervisor or manager from the candidate's current or most recent employment;
  - (ii) a client or stakeholder;
  - (iii) able to verify specific aspects of a candidate's application.
- (c) A candidate may nominate these further referees or provide reasons for not doing so.
- (d) Recruitment Operations, unless otherwise agreed with the Chair, will request referee reports for relevant candidates to:
  - (i) substantiate claims made by the candidate in their written application and at interview; and
  - (ii) seek an objective assessment of a candidate's capabilities, knowledge, experiences and potential.



- (e) Referee reports:
  - (i) may be taken in writing or orally, but oral reports must be documented; and
  - (ii) must not inappropriately disclose or intrude on a candidate’s personal or health information.
- (f) Referees must be informed that any comments they provide may be accessible under the [Government Information \(Public Access\) Act 2009 \(GIPA Act\)](#).
- (g) The Chair must make a critical appraisal of the referee reports to assist the committee in its final recommendation.
- (h) Members of selection committees cannot act as a referee for candidates.
- (i) Candidates who are, or have previously been, employed by the University must include their most recent University supervisor as one of their referees, or explain why they have not done so.
- (j) The Director of Recruitment may waive the referee requirements on a case by case basis.

**(4) Referee reports for academic appointments**

- (a) The Chair, after consultation with the selection committee, may request referee reports from:
  - (i) all shortlisted candidates prior to interviewing; or
  - (ii) only from preferred candidates after interviewing.
- (b) The minimum number of references is specified in Table 3 below.

**Table 3**

Academic staff level	Minimum number of references
Levels A and B	2
Levels C and D	3
Level E	5

- (c) Academic staff are encouraged to include referees of international standing who can provide impartial evidence of the candidate’s academic work.
- (5) Referee reports for professional appointments**
- (a) At least two references are required.
  - (b) Referee reports will normally be requested for preferred candidates after interviewing but may be requested at an earlier stage, e.g. to determine shortlisting or to evaluate a candidate’s claims.
- (6) Staff members providing references to organisations outside of the University**
- (a) Staff members who provide references to organisations outside the University do so in their personal capacity and not as representatives of, or on behalf of, the University.
  - (b) Staff members providing such references must clearly state that they are not acting on behalf of the University.

(7) **Selection method**

- (a) Selection committee members will have full access to all applications.
- (b) Interviews are required for all advertised positions. They may be conducted in person or held at two or more venues simultaneously using any technology that gives all individuals a reasonable opportunity to participate.
- (c) With the agreement of the selection committee, a subgroup of the committee or the recruitment professional may carry out initial candidate interviews and shortlist appropriate candidates for further interviews.
- (d) For academic positions, a candidate may be invited by the Chair to make a seminar presentation to faculty.
- (e) For senior professional positions, a candidate may be invited by the Chair to meet with staff who will have a close work relationship with the appointee to the position.

(8) **Selection interview and interview planning**

- (a) The recruitment professional or the Chair will prepare the interview questions, based on the job profile, before the interview.
- (b) Selection committee members may ask additional questions to probe matters raised, or to clarify issues emerging from the application or at the interview.
- (c) Candidates must be given the opportunity to present further relevant information.
- (d) Other assessment techniques may be used in the selection process, provided that:
  - (i) they are endorsed by the recruitment professional; and
  - (ii) approved by the Chair.

(9) **Making the recommendation**

- (a) The selection committee must decide which candidates are recommended, and assess them on the basis of the following criteria:
  - (i) the application;
  - (ii) the interviews;
  - (iii) qualifications;
  - (iv) referee reports; and
  - (v) other assessment information as requested.
- (b) The selection committee, by majority decision, will recommend to the delegate:
  - (i) whether an interviewed candidate should be appointed or not; and
  - (ii) whether other interviewed candidates should be included as reserve candidates on an eligibility list for future consideration.
- (c) Where a majority decision cannot be reached, the selection committee must prepare a report outlining its views and forward it to the delegate, who will decide.
- (d) No form of employment commitment, including salary level, is to be entered into or implied during the selection process.

**(10) Probation and confirmation**

- (a) The Chair will recommend the periods of probation and confirmation to be served.
- (b) The delegate will determine the probation and confirmation:
  - (i) period to be served; and
  - (ii) criteria and performance planning and development program.

**Note:** See the [Academic Probation and Confirmation Policy 2020](#); the [University of Sydney \(Delegations of Authority\) Rule, 2020](#); the [Performance Planning and Development Policy](#) and the [Performance, Planning & development website](#).

**Note:** See [Enterprise Agreement clauses 76 – 80](#) in relation to probation provisions and [clauses 86 – 89](#) in relation to confirmation provisions.

**(11) Selection committee report**

- (a) The Chair, or a Recruitment Operations representative where they participate in the committee, will draft the selection committee report after the final interview.
- (b) The report must:
  - (i) provide reasons for all interviewed candidate outcomes;
  - (ii) determine a recommended candidate, a first reserve candidate, and other unranked reserve candidates;
  - (iii) include a record of any dissenting views of committee members;
  - (iv) include the reasons for not interviewing internal candidates;
  - (v) accurately reflect the views of all selection committee members; and
  - (vi) be made available to all committee members.

## **PART 3 – APPOINTMENT**

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### **13 Appointing the candidate**

- (1) The delegate must determine the conditions of employment before:
  - (a) the appointment is approved by the delegate; and
  - (b) a verbal or written offer is made to the successful candidate.
- (2) **Level of appointment and conditions**
  - (a) If a position is advertised across levels, the selection committee must recommend the appropriate level of appointment by considering how closely the appointee fits the relevant duties, responsibilities and accountabilities for each level.
  - (b) The delegate must consider and approve:
    - (i) level and step of appointment;
    - (ii) salary and loadings;
    - (iii) other conditions including relocation expenses if applicable.



(3) **Approval**

- (a) The Chair must submit the selection committee report and recommendation to the delegate.
- (b) The delegate must review the report, consider and approve:
  - (i) making an offer of employment to the candidate;
  - (ii) any negotiated changes to salary and conditions; and
  - (iii) the terms of the final offer of employment.

**Note:** See the Human Resources delegations in the [University of Sydney \(Delegations of Authority\) Rule 2020](#).

(4) **Offer of employment**

- (a) Following approval, the Chair, or recruitment professional if requested by the Chair, will notify the successful candidates.
- (b) The offer of employment must include:
  - (i) the conditions of employment; and
  - (ii) the requirements for accepting the offer.

(5) **Accepting or refusing an offer**

- (a) An appointee may not commence employment until they have accepted an offer of employment in writing.
- (b) If an offer is declined, the recruitment professional will consult with the hiring manager about the next steps, which may include:
  - (i) making an offer to a recommended candidate on the eligibility list;
  - (ii) re-advertising; or
  - (iii) re-convening the selection committee for further discussion.
- (c) If after consultation with the hiring manager, the selection committee supports an offer of employment being made to the next recommended candidate the steps in this clause must be followed.

(6) **Notifying unsuccessful candidates**

- (a) All unsuccessful candidates must be notified of the outcome of their application.
- (b) The Chair should inform interviewed candidates, in particular internal candidates, of the selection outcome.
- (c) The Chair may request Recruitment Operations to inform candidates, and must provide the feedback to be conveyed to each candidate.

## 14 Pre-employment checks

- (1) Human Resources must conduct or arrange any required pre-employment checks before the successful candidate commences.

**Note:** See Schedule 1 - Pre-employment Check Requirements

- (2) For all roles, an offer of employment will be subject to the following pre-employment checks:
- (a) identity check; and
  - (b) right to work in Australia (citizen and visa status).
- Note:** See [Visa and Work Rights Policy 2020](#)
- (3) For roles with specific pre-employment requirements, an offer of employment will be subject to satisfactory outcome of the required checks. These may include:
- (a) qualifications check;
  - (b) working with children clearance check;
  - (c) national police check;
  - (d) professional registration check;
  - (e) other necessary checks, including Australian and foreign government sanctions requirements.
- Note:** See Schedule 1 – Pre-Employment Check Requirements and the [Working with Children and Vulnerable Adults Policy 2021](#)
- (4) Except as provided in this subclause, appointments are conditional upon the satisfactory outcome of any pre-employment checks. An appointee cannot commence until pre-employment check requirements have been satisfactorily met.
- (a) In exceptional circumstances, and subject to the requirements of subclause 14(4)(b), the Director Recruitment Operations may permit a specified individual to commence employment while pre-employment check requirements are underway, taking into consideration the business criticality of the role and risk tolerance of the University.
  - (b) The Director Recruitment Operations must not permit an individual to commence employment under subclause 14(4)(a):
    - (i) if the individual is engaged in child-related work, before a working with children check clearance is obtained; or

**Note:** See the [Working with Children and Vulnerable Adults Policy 2021](#), and the [Working with Children Procedures – Staff and Affiliates 2021](#).

  - (ii) if the individual is engaged to work in an area potentially affected by sanctions, foreign interference, national security, or any other area which might impact on the University's obligations under its compact with the Department of Education, Skills and Employment, before appropriate vetting is completed.
- Note:** For further information about such impacts, contact should be made with the Office of Global Engagement in the Research portfolio: [foreign.arrangements@sydney.edu.au](mailto:foreign.arrangements@sydney.edu.au)

## 15 Appointment on nomination

- (1) Appointment on nomination is a fixed-term appointment to fill short-term and unexpected vacancies.

- (2) Appointments for non-exempt professional staff positions to be filled on a temporary basis for between three and 12 months must not be made by nomination. These must be filled in the manner specified in clauses 362-363 of the [Enterprise Agreement](#).
- (3) Appointments on nomination may only be made for:
  - (a) an externally funded fixed-term appointment for up to the duration of the grant, due to:
    - (i) a specific person having been named in a grant; or
    - (ii) a requirement for highly specialised skills under a grant, including staff transferring to work at the University under the grant;
  - or
  - (b) a fixed-term appointment for up to 12 months.
    - (i) In this case, the relevant Deputy Vice-Chancellor or Vice-President may extend the appointment by up to six months in exceptional circumstances.
- (4) Pre-employment check requirements must be identified before an offer is made;  
**Note:** See Schedule 1 - Pre-employment Check Requirements.
- (5) Where the candidate is named on a grant:
  - (a) the recruitment process specified in Part 2 is not required; and
  - (b) the hiring manager will recommend the appointment to the relevant delegate for approval.
- (6) Where a candidate has highly specialised skills under a grant or is to be appointed for up to 12 months:
  - (a) advertising is not required;
  - (b) a formal application is not required;
  - (c) the hiring manager will identify a suitable candidate and request a *curriculum vitae* and referee details;
  - (d) the information provided by the candidate and referee will be considered;
    - (i) for professional appointments, by the hiring manager;
    - (ii) for academic appointments, by the hiring manager and, where applicable, the grant-holder;
  - (e) the hiring manager will then submit a recommendation to the delegate including, as relevant:
    - (i) the reasons for the position to be filled on nomination;
    - (ii) details of the selection process; and
    - (iii) how the candidate meets the highly specialised skills requirement.
  - (f) before approving the appointment, the delegate must be satisfied that:
    - (i) the position requires highly specialised skills;
    - (ii) the candidate has the highly special skills required; and
    - (iii) the [Enterprise Agreement](#) requirements have been met.

## 16 Direct or modified appointments

- (1) Subject to the [Enterprise Agreement](#), a direct or modified appointment process which does not comply with this policy may be approved consistently with this clause:
  - (a) in exceptional circumstances; and
  - (b) after consultation with the Chief Human Resources Officer.
- (2) A proposal or business case for a direct or modified appointment process must include:
  - (a) the strategic context;  
**Note:** See the [University's strategic plan](#)
  - (b) the proposed recruitment, selection and appointment strategy;
  - (c) the position details including pre-employment check requirements;
  - (d) justification for a candidate being considered for a role, including the benefits to the University and risks of not proceeding with the appointment;
  - (e) budget implications; and
  - (f) how the appointment process addresses the principles in clause 7, including diversity impacts where appropriate.
- (3) A proposal for a direct or modified appointment to an academic position within a faculty must be:
  - (a) initially endorsed by the relevant Dean; and
  - (b) approved by the Provost.
- (4) A proposal for a direct or modified appointment to an academic position within a professional services unit must be:
  - (a) initially endorsed by each of the relevant Deputy Vice-Chancellor and the Provost; and
  - (b) approved by the Vice-Chancellor.
- (5) A proposal for a direct or modified appointment to a professional staff position must be:
  - (a) endorsed by the relevant Director of an operational unit, Head of Administrative Unit, Faculty General Manager or School General Manager; and
  - (b) approved by the Vice-President (Operations).
- (6) A proposal for a modified recruitment procedure to accommodate an applicant with a disability may be approved by the Chief Human Resources Officer.

## 17 Conversion

- (1) Fixed-term staff may apply for conversion to continuing or funding contingent employment in accordance with the [Enterprise Agreement](#).  
**Note:** See clause 67 of the [Enterprise Agreement](#).

- (2) Casual staff may apply for conversion to continuing, funding contingent or fixed-term employment in accordance with the [Enterprise Agreement](#).  
**Note:** See clause 68 of the [Enterprise Agreement](#).
- (3) An application for conversion must be assessed against the criteria, and within the timeframes specified in the [Enterprise Agreement](#), and may only be refused on the grounds specified there.  
**Note:** See clause 70 of the [Enterprise Agreement](#).
- (4) In assessing whether a candidate meets the future requirements for a continuing or funding contingent academic role, the relevant delegate may seek advice from either, or both, of the DVC(Research) and DVC(Education), or their nominees.
- (5) The delegate must seek advice from an HR Partner before refusing a request for conversion.

## **PART 4 – ROLES AND RESPONSIBILITIES**

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### **18 Roles and Responsibilities**

- (1) The **relevant delegate** is responsible for:
  - (a) determining that the hiring manager has no conflict of interests in the recruitment;
  - (b) approving the:
    - (i) establishment of the position for recruitment;
    - (ii) chair of the selection committee;
    - (iii) selection decision; and
    - (iv) appointment, salary and conditions;
- (2) The **hiring manager** is responsible for:
  - (a) conducting recruitment consistent with the organisational unit's workforce plan;
  - (b) using recruitment and appointment strategies appropriate for the position;
  - (c) initiating a job requisition in the Human Resources Management System to commence the recruitment;
  - (d) checking that funds are available and approved to cover the costs of the position;
  - (e) identifying applicable pre-employment screening requirements, including working with children checks;
  - (f) determining the selection committee, consistently with the applicable requirements of Schedules 2 and 3;
  - (g) chairing the selection committee, or recommending another person to do so, consistently with the applicable requirements of Schedules 2 and 3;



- (h) planning onboarding activities once the appointment has been approved; and
- Note:** See onboarding information on the [staff intranet](#).
- (i) confirming with Human Resources that pre-employment checks have been satisfactorily completed before an appointee commences.
- (3) **The Chair** is responsible for:
- (a) upholding and implementing the principles of achievement relative to opportunity, equity, diversity, inclusion and fairness throughout the selection process;
  - (b) establishing the selection committee as required by clause 11 and Schedules 2 and 3;
  - (c) providing all members of the selection committee with an opportunity to participate in the relevant stages of the selection process;
  - (d) agreeing methods of screening with the selection committee;
  - (e) identifying, appropriately managing and recording actual, perceived and potential conflicts of interests;
  - (f) conducting or arranging reference checks requirements for the preferred candidates in accordance with subclauses 12(3)-(5);
  - (g) agreeing a strategy with the recruitment professional for notifying unsuccessful interviewed candidates, and where requested providing the feedback in a timely manner;
  - (h) reflecting the views of committee members in the selection committee report, including any dissenting views;
  - (i) maintaining confidentiality throughout the selection process; and
  - (j) providing people with disability, health condition or additional caring duties with adequate adjustments so as to not be disadvantaged in any way.
- (4) **Each member of the selection committee** is responsible for:
- (a) assessing the merits of candidates against the essential requirements of the position, without bias;
  - (b) declaring and appropriately managing any actual, potential or perceived conflict of interests;
  - (c) participating in interviews and other assessments as required;
  - (d) recommending a preferred candidate for appointment; and
  - (e) maintaining confidentiality throughout the selection process.
- (5) **Candidates** are responsible for:
- (a) providing accurate information in their application;
  - (b) providing the names of referees after obtaining their consent to do so;
  - (c) informing their current manager when applying for a role if they are an internal candidate.

- (6) **Recruitment Operations** is responsible for:
- (a) advising the delegate, hiring manager, Chair and selection committee at all stages of the recruitment process;
  - (b) monitoring the recruitment progress in the Human Resources Management System and initiating remedial action if required;
  - (c) checking that the relevant HR Partner and Remuneration Professional have been consulted about the job profile for professional staff;
  - (d) arranging advertising;
  - (e) executing the agreed recruitment strategy;
  - (f) providing the selection committee with a list of shortlisted candidates for consideration;
  - (g) communicating with candidates as required, including notifying candidates who were not shortlisted for interviews;
  - (h) conducting pre-employment checks as required;
  - (i) arranging finalisation and approval of the conditions of the offer of employment; and
  - (j) issuing the letter of offer.

## **PART 5 – ADMINISTRATIVE MATTERS**

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### **19 Transitional arrangement**

- (1) Subclause 7(3) will come into effect on 1 January 2023.

### **20 Rescissions and replacements**

This document replaces the following, which are rescinded as from the date of commencement of this document:

- (a) *Recruitment and Selection Policy*, which commenced on 25 May 2006.
- (b) *Appointment on Nomination Policy*, which commenced on 25 May 2006.

## NOTES

### Recruitment and Appointment Policy 2021

Date adopted: 2 February 2021

Date commenced: 8 February 2021

Owner: Chief Human Resources Officer

Review date: 2 February 2026

Rescinded documents: Recruitment and Selection Policy

Appointment on Nomination Policy

Related documents:

[Child Protection \(Working with Children\) Act 2012 \(NSW\)](#)

[Government Information \(Public Access\) Act 2009 \(GIPA Act\).](#)

[University of Sydney \(Delegations of Authority\) Rule 2020](#)

[University of Sydney Enterprise Agreement 2018-2021](#)

[University of Sydney \(Governance of Faculties and University Schools\) Rule 2016.](#)

[Academic Probation and Confirmation Policy 2020;](#)

[Casual Employment Policy](#)

[Executive and Senior Professional Staff Remuneration Policy 2019](#)

[External Interests Policy 2010](#)

[Performance Planning and Development Policy](#)

[Redeployment Policy 2014](#)

[Workforce Engagements and Payments Policy 2016](#)

[Working with Children and Vulnerable Adults Policy 2021.](#)

[Appointment of Academic Leaders Procedures 2022](#)

[Redeployment Procedures 2014.](#)

[Contingent Labour Hire Procedures 2015](#)

[Working with Children Procedures – Staff and Affiliates 2021.](#)



## AMENDMENT HISTORY

<b>Provision</b>	<b>Amendment</b>	<b>Commencing</b>
CI 5(1)	Clarifying that the pre-employment checks in Schedule 1 apply to casual staff	2 February 2022
CI 8(3); 14(3)	Updated references to the Working with Children and Vulnerable People Policy 2021 and related Working With Children Procedures – Staff and Affiliates 2021	2 February 2022
CI 6	Updated definition of Academic Board Nominee	22 November 2022
CI 7(3)	Updated criteria for Academic Board Nominee	1 January 2023
CI 6	New definition of week	
CI 12(9)(a); CI 12(11)(b)	Clarifying that selection committees assess candidates but no longer rank them in the recommendation	22 November 2022
CI 12(10)(a)	Clarifying that the Chair, not the selection committee, recommends probation and confirmation periods	22 November 2022
CI 14(4); 15(4)	Clarifying the circumstances when a candidate may commence prior to completion of pre-employment checks	22 November 2022
CI 15(2)	Subclause moved from 15(3) to become 15(2)	22 November 2022
CI 16	New provision for approval of a modified appointment process. References to a direct or modified recruitment process updated throughout the policy	22 November 2022
CI 19	Redundant clause covering transitional arrangements rescinded	22 November 2022
Schedule 1	Updated pre-employment check requirements to remove the employment history check, and references to whether the checks are undertaken internally or by an external provider. Also updated national security check category; and recommended timeframes.	22 November 2022
Schedule 2	Amended academic selection committee membership for Level A and B fixed term positions; and Level D and E positions.	22 November 2022

## SCHEDULE 1 – PRE-EMPLOYMENT CHECK REQUIREMENTS

PRE-EMPLOYMENT CHECK MATRIX	Employment Reference	Identity Check	Criminal Record	Financial Check (AML & CTF)	Right to work	Qualifications	Global Media Check	Working with Children	Professional Registration	National security checks (including sanctions checks)
Executives as specified in 5(1)(a) and (b) of the <i>Executive and Senior Professional Staff Remuneration Policy</i> and SPS band D roles	✓	✓	✓	✓ *	✓	✓ **	✓	Staff in child related roles	An essential requirement of the role e.g. solicitor, medical practitioner, etc ***	Based on DFAT sanction list and roles
Financial delegation \$100,000 and above	✓	✓	✓	✓ *	✓	✓ **	✓			
Other high-risk	✓	✓	✓	✓ *	✓	✓ **	✓			
All academic staff	✓	✓	✓	✓ *	✓	✓ **	✓			
All professional fixed term & continuing	✓	✓	✓	✓ *	✓	✓ **	✓			
All other employees (e.g. casuals)	✓	✓			✓	✓ **				

\* Includes - AU Bankruptcy & National Personal Insolvency and AU Directorship checks

\*\* Highest academic qualification

\*\*\* Relevant qualification for the profession



Type of check	Recommended timeframe
Reference check	Prior to employment offer being made
National security checks (including sanction check)	Prior to employment offer being made
Professional Registration	Employment offer is subject to satisfactory pre-employment checks
Identity check	At least prior to commencement of employment
Criminal record	At least prior to commencement of employment
Financial check	At least prior to commencement of employment
Right to work	At least prior to commencement of employment
Qualifications	At least prior to commencement of employment
Global Media Check	At least prior to commencement of employment
Working with children check	At least prior to commencement of employment

## NOMINATED RESPONSIBLE AND HIGH-RISK POSITIONS FOR PRE-EMPLOYMENT CHECKS

RESPONSIBLE/ HIGH RISK POSITIONS	
<ul style="list-style-type: none"> <li>• Senior academic and professional staff positions</li> <li>• Individuals who have access to confidential or commercial in-confidence information (responsible and high-risk role)</li> <li>• Positions with a financial delegation of \$100,000 or more</li> </ul>	
POSITIONS – RESPONSIBLE	POSITIONS – HIGH RISK
<ul style="list-style-type: none"> <li>• Executive positions listed in subclauses 5(1)(a) and (b) of the <a href="#">Executive and Senior Professional Staff Remuneration Policy 2019</a>;</li> <li>• Senior Professional roles classified at band D; and</li> <li>• any staff member with a financial delegation of \$100,000 or above.</li> </ul>	<ul style="list-style-type: none"> <li>• All positions in the Office of the General Counsel</li> <li>• All continuing and fixed term positions in ICT, Procurement, Finance, Human Resources and Risk Management including Cyber Security and Audit teams</li> <li>• Senior roles in External Engagement</li> <li>• Positions handling monies and financial transactions (including cash/credit cards/EFT)</li> <li>• All positions that are required to have a campus-wide access (card/master key) including campus security management roles</li> <li>• Positions that have access to confidential information pertaining to staff and/or students to a level where identity fraud may be possible, for example, Lead Admissions and Student Admission and Recruitment teams</li> <li>• Positions that may have access to information pertaining to University's strategies, financial information, for example, Administrative Assistants who can access emails and documents sent to Senior Executives and individuals that deal with confidential data e.g. Institutional Analytics and Planning (IAP)</li> <li>• Any other position identified by the Chief Human Resources Officer or their nominated delegate e.g. roles dealing with vulnerable persons.</li> </ul>

## SCHEDULE 2 - ACADEMIC SELECTION COMMITTEES

Committee Membership	Academic Staff Position Level			
	Level A and B Externally funded fixed term up to 3 years	A to C	D	E
Provost and Deputy Vice-Chancellor or nominee	Not required	Not required	Not required	Chair
Executive Dean, Dean, Head of School and Dean of a University school or nominee	Chair	Chair	Chair	Required panel member
Head of School; Deputy Head of School and Deputy Dean of a University school; Head of Discipline or nominee	Required panel member	Required panel member	Required panel member	Required panel member
Academic Board nominee	Not required	Required panel member	Required panel member	Required panel member
Internal unit member	Required panel member	Required panel member	Required panel member	Required panel member
Independent member	Optional	Optional	Required panel member	Required panel member - approved by the Provost
Other members	Optional	Optional	Optional member(s) nominated by the Chair	Optional, member(s) nominated by the Provost, Executive Dean, Dean or Head of School and Dean (of a University School)

**Note:** Selection committee members should usually be more senior than the position for which they are recruiting. For Level E selections, they should usually be at the level of the recruited position

## SCHEDULE 3 - PROFESSIONAL STAFF SELECTION COMMITTEES

Committee Membership	Professional Staff Position Level		
	HEO fixed term up to 12 months Other HEO level 1-6	Other HEO level 7-10 Senior Professional Staff band A and B.	Senior Professional Staff band C and D
Provost, Vice-President, Executive Dean, Dean, Head of School and Dean (of a University school) or nominee	Not required	Not required	Chair
Hiring manager	Chair	Chair	At least one other panel member is required who may be the hiring manager, Head of Administrative Area, Faculty or School General Manager or nominee
Head of Administrative Area, Faculty General Manager, School General Manager or nominee	Not required	Required panel member	
Independent member	Required panel member	Required panel member	Required panel member

**Note:** Selection committee members should be more senior than the position for which they are recruiting