SCOPE
This procedure applies to Australia and Malaysia based employees of the University (‘us’, ‘our’ or ‘we’) applying for academic promotion to Lecturer or Research Fellow (Level B). Employees are herein collectively referred to as ‘you’ for the purpose of this procedure.

PROCEDURE STATEMENT
Promotion at Monash is a thorough and fair assessment process based on merit. We are committed to equal opportunity principles and recognise that our employees contribute to our vision and goals in diverse ways.

The process for promotion to lecturer or research fellow does not involve a promotion committee and may occur outside the normal promotion round which applies to other levels.

1. Overview of the promotion process

2. Eligibility and other information

Am I eligible?

2.1 Academic staff are eligible to apply for promotion. Adjunct and honorary appointees are not staff.

2.2 You must have a current performance development plan in accordance with the Performance Development Process: Academic Staff procedure.

2.3 Teaching and research staff (including education-focused) are eligible to apply irrespective of budgetary considerations.

2.4 Research-only staff are eligible to apply provided that the relevant grant holder (on advice from the Monash Research Office) and/or head of unit confirms that there is funding available for a promotion. The grant holder must confirm the terms and conditions of the grant contract allow for a promotion and the use of the grant to fund a higher level salary. This could be:
- where you are the grant holder;
- where someone else is the grant holder; or
- alternative arrangements with the head of unit if funding is available from outside the relevant grant to fund a promotion.

2.5 Scholarly teaching fellows are only eligible to apply for promotion to education-focused level B. If promoted, you are no longer a scholarly teaching fellow.
3. Criteria for promotion

3.1 You must satisfy the approver(s) that you have, in accordance with the academic performance framework:
- been a sustained high performer at the current level of appointment; and
- the capacity to perform satisfactorily at the level to which promotion is sought.

3.2 In addition, you must demonstrate that you will make an ongoing and positive contribution to, and fit within, the academic unit.

3.3 Relevant evidence of your performance and achievements outlined in your application will be considered. The academic performance framework will enable you to present a comprehensive view of your performance beyond the metrics.

Information sessions

3.4 You should attend an information session in the year prior, and the year you plan to apply for promotion so you are clear on the process in the year you intend to apply. Refer to the academic promotion website for sessions.

3.5 If you are employed in a non-faculty area, you should contact the relevant promotion coordinator to discuss your promotion application. You should also consult with your head of unit about the most relevant faculty information session to attend.

Discussing your intention to apply

3.6 You should discuss your intention to apply for promotion with your performance supervisor and head of unit and record it in your performance development plan.

3.7 If you are a research-only candidate you must discuss your intention with the relevant grant holder or head of unit.

4. Application for promotion

4.1 Your application should comprise:
- Research Achievement Record;
- Student Evaluation Record (not applicable for research-only candidates who have no weighting in education);
- Case for Academic Promotion Form: Level B
- Optional 5 pages (maximum) of supporting evidence

Note: Further information for each of the above is detailed below.

4.2 Your application should be consistent with the academic performance framework across research, education and engagement.

5. Application - Research Achievement Record

5.1 The Research Achievement Record lists your achievements in the following areas for the period since your last promotion/appointment (including outputs achieved prior to being employed at Monash, if relevant) to current level:
- research outputs;
- research grants and income; and
- HDR supervisions.

5.2 You are responsible for ensuring your research data is accurate in PURE prior to requesting your report.

5.3 You can obtain the Research Achievement Record by referring to how to apply for system generated reports. If you are from our Malaysian campus, you must complete the Malaysia: Research Achievement Record Form.

5.4 We suggest you review the report and advise your faculty research office of any significant errors to determine if corrections are required and another report generated.

5.5 You may supplement the Research Achievement Record by:
- adding any entries not captured on the recent additions and errata page;
- completing the final three columns on the research outputs page (i.e. an estimate of your percentage of contribution, lead author indication and number and source of citations); and
- completing the final column on the research funding page (i.e. an estimate of contribution percentage).

5.6 The approver(s) consider additional data on the ‘recent additions and errata page’ in the same way as system-generated data.
6. **Application - Student Evaluation Record**

   6.1 The Student Evaluation Record lists the following data for the period since the last promotion/appointment to your current level:
      - quantitative unit evaluation data (for each unit offering for which you were evaluated); and
      - quantitative teaching evaluation data (SETU).

   6.2 If you are research-only and have not allocated a weighting to education, a Student Evaluation Record is not required.

   6.3 You can obtain a Student Evaluation Record by lodging an [online request](#) from University Planning and Statistics.

   6.4 Pre-2011 data available will only be provided upon request, if the period since appointment to your current level spans that period of time, and is also significant to your case.

7. **Application - Case for Promotion**

   7.1 The [Case for Academic Promotion Form](#) is the written component of your application. You must provide evidence to demonstrate how you meet the promotion criteria consistent with your academic role focusing on outcomes and impact.

   7.2 You should only include achievements since the appointment to your current level. If you moved to Monash from the same level of appointment (or higher) you may include evidence of achievements from that level at the previous university or universities.

   7.3 The approver(s) will only accept applications that comply with the instructions in the application and in this procedure. The approver may call for further information about summarised material.

   7.4 You should contact your [relevant promotion coordinator](#) for assistance.

**Weightings**

7.5 You are required to allocate weightings to research, education and engagement relevant to your employment contract type. Weightings should represent the quality and impact of achievements (rather than workload allocations). Please contact your relevant promotion coordinator for advice regarding your contract type.

7.6 When allocating weightings, you should:
   - consider the weighting of your case carefully and seek advice from your performance supervisor, associate deans and head of unit before finally determining the balance;
   - choose weightings that strengthen your case in relation to achievements and which reflect the assessments made annually as part of the [Performance Development Process: Academic Staff](#); and
   - enable you to provide a thorough narrative and supporting evidence of achievements against the chosen criteria in the relevant areas of academic activity regardless of the weighting attached.

7.7 Weightings should add to 100% and meet the minimum requirements below:

<table>
<thead>
<tr>
<th>Employment Contract</th>
<th>Education</th>
<th>Research</th>
<th>Engagement</th>
</tr>
</thead>
<tbody>
<tr>
<td>Teaching and research</td>
<td>20% minimum</td>
<td>30% minimum</td>
<td>10% minimum</td>
</tr>
<tr>
<td></td>
<td>30% minimum</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Education-focused staff (as a subset of the Teaching &amp; Research category)</td>
<td>85% maximum, with particular emphasis on educational design and delivery and educational leadership</td>
<td>5% minimum</td>
<td>10% minimum</td>
</tr>
<tr>
<td>Research-only staff</td>
<td>Not required to assign a weighting towards education although may do so if relevant</td>
<td>90% maximum</td>
<td>10% minimum</td>
</tr>
</tbody>
</table>

**Relevant personal circumstances**

7.8 You should specify any relevant personal circumstances to facilitate an assessment of your achievements relative to opportunity. Circumstances may include:
   - family responsibilities (for example child rearing, elder-care, illness of a partner or dependant);
   - a temporary or permanent disability;
   - relevant cultural expectations or circumstances;
   - periods of part-time work; and/or
   - absences due to ill-health or injury.
7.9 You may choose not to provide sensitive details about relevant personal circumstances on the form. Where it is important to share sensitive details for your relevant personal circumstances to be accurately understood, you should have a private discussion with the approver or approvers nominee. For further information refer to Preparing relevant circumstances.

Achievements in research, education and engagement

7.10 You must illustrate how you meet the criteria for promotion in the relevant areas of academic activity. For most applications, this will include evidence of achievements across the three key areas of academic activity: research, education and engagement.

7.11 If you are research-only, you are required to make a case against the research and engagement activity areas (consistent with chosen weightings).

7.12 You are required to comment against the relevant criteria of the academic performance framework for each area of academic activity – research, education and engagement. You should include evidence that demonstrates outcomes and impact. Focus on outlining significant achievements since your last promotion/appointment, avoiding unnecessary duplication of data in supplementary reports.

7.13 Approvers will consider significant contributions of engagement due to being part of an under-represented group. This includes women in STEMM (Science, Technology, Engineering, Mathematics and Medicine) disciplines and Aboriginal and Torres Strait Islander candidates.

<table>
<thead>
<tr>
<th>Academic Area</th>
<th>Requirements</th>
</tr>
</thead>
</table>
| Research       | Demonstrate your achievements drawing on relevant evidence (including the Research Achievement Record) that focuses on outcomes and impact. You must address:  
  - research criterion 1 and 2 of the academic performance framework; and  
  - research criteria 3-5 (where relevant).  
  The research case should highlight (in bold) up to 5 significant research achievements. You may elect to include achievements in research supervision in either the research or education category but not in both. |
| Education      | Demonstrate your achievements drawing on relevant evidence that takes into consideration three distinct areas of practice:  
  - activities directly involved in the delivery of learning and teaching to students;  
  - the scholarship of teaching; and  
  - continual professional enhancement and self-review.  
  If you are involved in teaching you must address education criterion 6 of the academic performance framework.  
  In addition,  
  - For teaching and research – you must elect and address two additional education criteria from 1 to 5;  
  - For education-focused – you must address education criterion 5 and elect and address two additional education criteria from 1 to 4.  
  Further information is available at the Monash Education Academy website. |
| Engagement     | Demonstrate your achievement against each chosen criteria drawing on relevant evidence that focuses on outcomes and impact.  
  You may select the engagement criteria from the academic performance framework that most applies to your case. Examples of engagement activities are available on the academic performance framework website. |

Supporting evidence

7.14 You may include a maximum of 5 pages of supporting evidence. Supporting evidence is not an academic curriculum vitae or an extension of the word limit. Examples include (but at are not limited to):

- letters of acceptance of research publications ‘in press’;
- copies of media reports that provide evidence of impact of your research or educational research achievements;
- letters of support acknowledging your contribution and fit in the area of engagement and the academic unit; and
- relevant material evidencing educational impact.

7.15 If you were appointed from an international university, you must provide evidence of your equivalent appointment or higher appointment at your previous university or universities. This will form part of your 5 pages.
Performance supervisor recommendation

7.16 Your performance supervisor must comment on achievements across research, education and engagement; your chosen weightings, and provides an assessment of your performance against the criteria for promotion (see 3.1 and 3.2 above).

7.17 If you have a dual reporting line, you will need to include a secondary supervisor report. Please contact the relevant promotion coordinator for advice.

Head of Unit recommendation

7.18 The head of unit must comment on your case for promotion including:

- if your weightings are appropriate;
- if there is a prima facie case for the application to be considered or is premature; and
- any overall comments on your case for promotion.

7.19 Where your case for promotion is premature, the head of unit will detail how you can strengthen your academic performance so this feedback can be provided to you.

8. Lodge your application

8.1 Lodge your completed application online (except candidates from Malaysia). Any queries on the lodgement process should be directed to the relevant promotion coordinator.

8.2 Candidates from Malaysia are required to lodge the following documents via email to the Malaysia promotion coordinator:

- Application for Promotion Cover Page: Malaysia Levels B-D;
- Case for Academic Promotion Form: Level B;
- Malaysia: Promotion Research Achievement Record Form; and
- relevant supporting attachments.

9. Promotion coordinator checks the application

9.1 The relevant promotion coordinator will check your application is complete. Only applications that comply with the procedure and instructions on the application form will be submitted to the approver(s).

9.2 Once satisfied that the application is complete, the relevant promotion coordinator will advise the candidate:

- that the application is being submitted to the approver(s) for consideration;
- of the approximate date by which they will be notified of the outcome; and
- the timeframe may be extended should the approver(s) require any further information from you during the review process.

9.3 The relevant promotion coordinator will send the following to the approver(s) and the relevant associate deans:

- the application and any relevant attachments; and
- a copy of this procedure.

10. The approver(s) review the application

10.1 The approver(s):

- may consult with the associate deans responsible for education and research regarding your case for promotion; and
- will assess the application and determine whether the you meet the criteria for promotion.

10.2 Should the approver(s) require any further information from you, the relevant promotion coordinator will facilitate this process.

11. Application outcome

11.1 The approver(s) will inform you in writing of the outcome within 20 working days of receiving an application.

11.2 If you are not recommended for promotion, you will receive written feedback outlining the areas for strengthening before a future application is lodged.

11.3 You are encouraged to meet with the approver (or nominee) individually to discuss the feedback. You are also encouraged to take your performance supervisor or head of unit to this meeting. You and your supervisor should use this advice, when revising performance development plans. You are unlikely to be successful in subsequent promotion applications unless you have addressed recommendations in the feedback.

11.4 Candidates who are promoted within their probation period will have their employment confirmed at the date of the promotion taking effect.
12. Effective date of promotions

12.1 The effective date of the promotion will normally be the date the application is approved.

13. Rehearing

13.1 If your application is not successful, you may lodge an application for a rehearing only on the basis that a procedural irregularity substantive enough to result in material disadvantage to you has occurred with regards to the decision. For further information, refer to the Academic Promotion Rehearing Procedure.

14. Breach of procedure

14.1 We treat any breach of our policies or procedures seriously. We encourage reporting of concerns about non-compliance and manage compliance in accordance with the applicable Enterprise Agreement or contract terms.

DEFINITIONS

| Academic Performance Framework | A framework that articulates high level expectations for academic performance adopting a consistent approach across the three categories of Research, Education and Engagement, against which all academic performance will be measured. Refer to the Academic Performance Framework website. |
| Achievement(s) relative to opportunity | An evaluative framework in which the overall quality and impact of achievements is given more weight than the quantity, rate or breadth of particular achievements. Assessing achievements relative to opportunity involves giving consideration to circumstances, arrangements, career histories and overall time available. This in turn allows appropriate evaluation of achievements in relation to:
  - the quantum or rate of productivity,
  - the opportunity to participate in certain types of activities, and
  - the consistency of activities or output over the period of consideration.
Achievement relative to opportunity is a positive acknowledgement of what a person can and has achieved given the opportunities available and is not about providing “special consideration” or expecting lesser standards of performance. |
| Approver | For the purposes of this procedure, is the dean of the candidate's faculty or, for non-faculty staff, the Director of Centre and the relevant Vice-Provost or Deputy Vice-Chancellor. For candidates from Monash University Malaysia, the approver means the dean and the Pro Vice-Chancellor and President (Malaysia) acting as co-approvers. |
| Education focused candidate | A candidate for promotion who is employed on an education-focused contract of employment and is characterised by educational innovation and leadership in educational design and delivery. |
| Head of Unit | The head of an academic or organisational work unit, for example Head of School, Head of Department or where applicable, a person acting as nominee. If there are no heads of unit within the faculty, a deputy dean or equivalent may be delegated the head of unit’s responsibilities for the academic promotion process. |
| myPlan | An online performance planning tool that supports academic employees and supervisors to manage the performance development cycle. |
| Performance Development Plan | A plan that documents the annual work goals and career aspirations and development goals for the employee and the specific targets and progress towards achieving those goals. The performance development plan forms the basis for the annual performance planning and review cycle. |
| Procedural irregularity | Where the University has not followed a process that is articulated in this procedure. |
| Promotion Coordinator | A designated staff member within Monash HR who is responsible for administration and coordination of the promotion process. The relevant promotion coordinators are:
  - for applications from faculty-based candidates to lecturer and research fellow (level B), a dedicated staff member within Monash HR.
  - for applications from non-faculty candidates, to lecturer and research fellow (level B), the Senior Adviser, Academic Performance (Promotion) in Monash HR.
  - for applications from Malaysian-based candidates to lecturer and research fellow (level B), a member of the HR team at the University's Malaysia campus. |
| **PURE** | The University's research management software which provides information for Monash employees on their grants, contracts, research outputs and research achievements. |
| **Research Achievement Record** | A report that details the candidate's research outputs, funding applications and awards, and HDR supervision during the relevant promotion period. For Australian candidates, this report is generated via the University's Business Intelligence system. |
| **Research-only candidate** | A candidate for promotion who is employed on a research-only contract of employment and who is appointed to undertake predominately research and research-related activities. |
| **Student Evaluation Record** | A record of a candidate's student evaluation results for units/unit offerings in which the candidate has had a teaching role and will cover the period relevant to the promotion application. The report is generated by University Planning and Statistics and is requested via the UPS website. The report will not contain Monquest data (ie 2010 and before). This data is still available and can be requested by approver(s) via the relevant promotions co-ordinator if required. |

## GOVERNANCE

| **Parent policy** | Probation, performance and promotion |
| **Supporting schedules** |  |
| **Associated procedures** |  | ![image](https://via.placeholder.com/150)  |
| **Supporting documents** |  | ![image](https://via.placeholder.com/150)  |
| **Legislation mandating compliance** |  |
| **Category** | Human Resources |
| **Approval** | Chief Human Resources Officer as delegate of the Chief Operating Officer – 10 December 2018 |
| **Endorsement** | Director, Workplace Relations – 10 December 2018 |
| **Procedure owner** | Director, Workplace Relations |
| **Date effective** | 10 December 2018 |
| **Review date** | 11 March 2021 |
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| **Content enquiries** | ask.monash or phone Monash HR on (03) 990 20400 |