

# ACADEMIC PROMOTION: LEVEL B PROCEDURE

## SCOPE

This procedure applies to Level A academic staff of the University. Staff are herein collectively referred to as ‘you’ for the purpose of this procedure.

For the purpose of this procedure, references to ‘the University’ includes staff/activity at Monash University Australia and Monash University Malaysia (‘us’, ‘our’ or ‘we’).

## PURPOSE

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

Applications for promotion to Level B are accepted at any time during the year as they do not involve a promotion committee.

Successful promotions take effect from the date the promotion application is approved.

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## PROCEDURE STATEMENT

### 1. Eligibility

- 1.1 Academic staff are eligible to apply for promotion.
- 1.2 Teaching and research staff are eligible to apply irrespective of budgetary considerations.
- 1.3 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.
- 1.4 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.
- 1.5 You must have a current performance development plan approved by your performance supervisor in accordance with the [Performance Development Process: Academic Staff procedure](#).
- 1.6 Adjunct and honorary appointees are not eligible to apply for promotion.

#### Teaching Fellows

- 1.7 Scholarly teaching fellows (appointed under the [Monash University Enterprise Agreement \(Academic and Professional Staff\) 2014](#)) are only eligible to apply for promotion to education-focused level B.
- 1.8 Level A Teaching Fellows (appointed under the [Monash University Enterprise Agreement \(Academic and Professional Staff\) 2019](#)) are eligible to apply for promotion to either:
  - Level B Lecturer (Teaching & Research);
  - Level B Lecturer (Teaching & Research - Education Focused); or
  - Level B Research Fellow (RO).
- 1.9 If you are promoted during the term of your Teaching Fellow appointment into one of the above categories, you will no longer hold a Teaching Fellow appointment and will continue the remainder of the fixed-term appointment at the new promoted level/category. As a result, [clause 20](#) of the Enterprise Agreement will cease to apply to you upon promotion.
- 1.10 You are not eligible to apply for promotion where you:
  - have submitted your resignation of employment before the effective date of the proposed promotion;
  - any termination of employment date (last day of employment with the University) is either before or post the effective date of the proposed promotion;
  - are under a formal performance management/improvement plan;
  - have breached the research code;
  - have breached our Ethics Statement policy; or
  - are under formal investigation.

In such circumstances, the application will be terminated by the University.

### 2. Criteria for promotion

- 2.1 You must satisfy the approver 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.
- 2.2 You must also demonstrate that you will make an ongoing and positive contribution to, and fit within, the academic unit.
- 2.3 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.

### 3. Information sessions

- 3.1 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 [session dates/times](#).

## 4. Non-Faculty applications

- 4.1 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.

## 5. Discussing your intention to apply

- 5.1 You should discuss your intention to apply for promotion with your performance supervisor and Head of Unit. You are expected to have the support of your performance supervisor and Head of Unit in applying for promotion.
- 5.2 If you are a research-only candidate you must discuss your intention with the relevant grant holder or Head of Unit.
- 5.3 Initial feedback and discussions in relation to your readiness for promotion and application focus should be recorded in your performance development plan.
- 5.4 Additionally, you are encouraged to inform the [relevant promotion coordinator](#) of your intent to apply.

## 6. Your case for promotion

- 6.1 You must complete the Case for Academic Promotion to evidence and demonstrate how you meet the promotion criteria consistent with your academic role focusing on outcomes and impact.
- 6.2 Applications for promotion include achievements since your last promotion/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.
- 6.3 The [Case for Academic Promotion form](#) includes the following sections:
- Part A – Candidate Summary
    - Section 1 Candidate details
    - Section 2 Three-year vision
    - Section 3 Qualifications and appointments
    - Section 4 Relevant circumstances (achievement relative to opportunity)
  - Part B – Case for Promotion (since appointment to current level)
    - Section 5 Case for promotion – research, education and engagement
  - Part C – Recommendations
    - Section 6 Performance supervisor recommendation
    - Section 7 Head of Unit recommendation
  - Part D – Support Information
    - Section 8 Research-only candidates: Research funding
    - Section 9 Candidate declaration

## 7. Candidate details (Section 1)

- 7.1 You are required to complete your personal and work details including your current workload allocation across research, education and engagement. This will be in accordance with your employment contract type, and current year's confirmed performance development plan.
- 7.2 If you have a varied workload allocation or have significantly changed your workload, you may address this in Part A - Section 4: relevant circumstances (achievement relative to opportunity).

## 8. Three-year vision (Section 2)

- 8.1 Using the academic performance framework, clearly detail your vision across research, education and engagement (as applicable). This should include:
- what you will achieve;
  - how you plan to achieve it;
  - your priorities and areas of focus;
  - how your success will be measured; and
  - what would happen if you achieved it.

## 9. Qualifications and appointments (Section 3)

- 9.1 This section provides you an opportunity to detail your formal and other qualifications. You will need to ensure the year, qualification and the University/Institution are provided. Additionally, list your current appointments and positions held both internal and external to Monash. For example, a board member of an organisation.
- 9.2 You are required to provide your entire career publication list. This can be inserted or attached. Australia based candidates may attach their Pure list.

## 10. Relevant circumstances (achievement relative to opportunity) (Section 4)

- 10.1 Achievement relative to opportunity is a positive acknowledgement of what a staff member can and has achieved given the opportunities available to them and results in a more calibrated assessment of their performance. It is not about providing “special consideration” or expecting lesser standards of performance.
- 10.2 Relevant circumstances may include (but are not limited to):

### Personal Circumstances

A career disruption caused by personal circumstances that involves a prolonged interruption or poses a significant impact to your capacity to work.

***This includes, but not limited to; disruptions caused by parental leave, major illness/injury, carer responsibilities, disability, and personal trauma.***

### Professional Circumstances

Your track record and associated productivity relative to stage of career, including consideration as to whether productivity and contribution are commensurate with the opportunities available to you.

***This includes, but not limited to; periods of part-time work, country relocation, late or non-linear entry in academia, cultural expectations, varied workload or relocation of a research laboratory or clinical practice setting or other similar circumstances that impact upon productivity.***

### Other

Provide a brief summary of the circumstances. ‘Other’ may include elements outside the control of a staff member such as, but not limited to:

- natural disasters such as flooding, bushfires, storms and earthquakes;
- global health issues such as the COVID-19 pandemic; and
- other emergency situations.

- 10.3 You may choose not to provide sensitive details about relevant personal circumstances on the form. Where it is important to share sensitive detail for your relevant personal circumstances to be accurately understood, you should have a private discussion with the approver. For further information refer to [Preparing relevant circumstances](#).

### COVID-19 considerations

- 10.4 During 2020 and 2021 in response to COVID-19, the education, research and engagement contributions of many academic staff have been affected. The University will ensure COVID-19 related impacts, relative to opportunity, will be understood and recognised for the purposes of academic advancement.
- 10.5 Performance targets will be, where necessary, adjusted to reflect any disruption caused by the impact of COVID-19. This can be initiated by either the University or by you. Where all parties agree, any adjustment to goals and targets should be/have been recorded in your performance development plan.

## 11. Case for promotion – research, education and engagement (Section 5)

- 11.1 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. However, if you are research-only, you are only required to make a case against the research and engagement activity areas.
- 11.2 You should only include achievements since the appointment to your current level.
- 11.3 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 the appointment to your current level, avoiding unnecessary duplication of data in supplementary reports.

- 11.4 A maximum 10-page limit applies across the entire Part B Sections 5.1, 5.2, 5.3 and 5.4. (The 10-page limit does not include headings and explanatory text in the case for promotion form itself).
- 11.5 Approver(s) will consider significant engagement contributions linked 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.
- 11.6 Benchmarking and comparisons against achievements of other staff members should not be referenced in your application.

### Nominated Outputs

- 11.7 You may nominate up to two outputs in support of your application. Choose sample items to showcase your work.
- 11.8 You will need to provide copies of these nominated outputs with your application. You must consider the length and size of documents, as to what is reasonable for approvers(s) to read. For large outputs, such as a book, you may nominate up to 2 chapters. You may also consider non-traditional outputs however please contact your Associate Dean (Research) for advice/clarity.

### Research

- 11.9 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).
- 11.10 You may elect to include achievements in research supervision in either the research or education category (but not in both).

### Education

- 11.11 Research-only staff are not required to complete this section.
- 11.12 If you are involved in teaching you must address [education criteria \(areas of impact\)](#) of the [academic performance framework](#):
- E1 - Area of Impact – Student Learning: all practice elements (a – d),
  - E2 - Area of Impact – Educational Knowledge: one of two practice elements (a or b), and
  - E3 - Area of Impact – Educational Environment: one of two practice elements (a or b).

Education-focused, Scholarly Teaching Fellow and Teaching Fellow candidates are expected to address education research related to teaching and learning (pedagogical) when answering E2b. If you do not have pedagogical research, please provide an explanation.

- 11.13 You must include supporting evidence for your education case - a 5-page limit applies.
- 11.14 Further information is available at the [Monash Education Academy website](#).

### Engagement

- 11.15 Demonstrate your achievements against each chosen criterion drawing on relevant evidence that focuses on outcomes and impact.
- 11.16 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. Performance supervisor recommendation (Section 6)
- 11.17 Your performance supervisor must comment on your achievements across research, education and engagement; and provide an assessment of your performance against the criteria for promotion.
- 11.18 If you have a dual reporting line, you will need to include a secondary supervisor report. Please contact the [relevant promotion coordinator](#) for assistance.

## 12. Head of Unit recommendation (Section 7)

- 12.1 The Head of Unit must comment on your case for promotion including:
- if there is a prima facie case for promotion; and
  - any overall comments on your case for promotion.

## 13. Research funding (research-only candidates) (Section 8)

- 13.1 Where the source of the funding is the research grant, the grant holder, acting on the advice of the Monash Research Office, will be able to confirm that a promotion is permissible under the terms and conditions of the grant contract, including that the grant funds can be used to fund a salary at a higher level.

13.2 This section must be completed by one of the following parties:

- candidate grant holder; or
- other grant holder (where the promotion candidate is employed on someone else's grant).

13.3 The Head of Unit will confirm any alternative funding in Part C - Section 7.1 (in cases where funding from other sources is available).

## 14. Candidate declaration (Section 9)

14.1 You are required to select either yes or no to the questions within the declaration and sign off on your application. Applications will not progress without this declaration fully completed.

## 15. Supporting documentation for your promotion application

15.1 If you are an Australia based candidate, you are encouraged to check the comprehensiveness of your profile within Pure in readiness for submitting your promotion application. You should ensure your profile in Pure contains the relevant material to support your promotion application.

### Research Achievement Record

15.2 The Research Achievement Record lists your achievements in the following areas for the period since appointment to your current level (including outputs achieved prior to being employed at Monash, if relevant):

- research outputs;
- research grants and income; and
- HDR supervisions.

15.3 If you are a Malaysia based candidate, you must complete the [Malaysia: Research Achievement Record Form](#).

15.4 If you are an Australia based candidate, you are responsible for ensuring research data is accurate in Pure prior to requesting the report. You may obtain the Research Achievement Record by referring to [how to apply for system generated academic promotion reports](#).

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

15.6 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).

The approver(s) consider additional data on the 'recent additions and errata page' in the same way as system-generated data.

### Student Evaluation Record

15.7 If you are research-only and do not have education as part of your case, a Student Evaluation Record is not required.

15.8 The Student Evaluation Record lists the following data for the period since appointment to your current level:

- quantitative unit evaluation data (for each unit offering for which you were evaluated); and
- quantitative teaching evaluation data (SETU).

15.9 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.

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

### Summative Peer Review of Teaching

15.11 You will need to arrange for a Summative Peer Review of Teaching to be conducted in accordance with the [Monash Education Academy guidelines](#). If you are research-only and do not have education as part of your case, a Summative Peer Review is not required.

15.12 To request a Summative Peer Review of Teaching, visit [PeerView.monash](#).

15.13 For candidates who are not teaching in semester one or two of the year of applying for promotion, please contact your relevant Associate Dean (Education). For non-faculty candidates, please contact the [relevant promotion coordinator](#).

## Supporting evidence for education

- 15.14 You must include a maximum of **5 pages** of supporting evidence for your education case. Supporting evidence is required in accordance with the education performance standards. [Refer to the Monash Education Academy website](#) for details.

## Supporting evidence for research and engagement

- 15.15 You may include a maximum of **4 pages** of optional supporting evidence relating to research and engagement. Supporting evidence is not an academic curriculum vitae or an extension of the page limit. Examples include (but are not limited to):
- emails of acceptance of research publications 'in press';
  - copies of media reports that provide evidence of impact of your research; and
  - letters of support acknowledging your contribution and fit in the area of engagement and the academic unit.

## 16. Summary of attachments to your application

You are required to complete the Case for Academic Promotion form with the following attachments:

- Nominated outputs
- Entire career publication list (unless inserted directly into Section 3.5);
- Research Achievement Record;
- Student Evaluation Record (not applicable for research-only candidates who do not have an education case to assess);
- Summative peer review of teaching report (not applicable for research-only candidates who do not have an education case to assess);
- Up to 5 pages of supporting evidence for education (where there is an education case to assess); and
- Optional 4 pages (maximum) of supporting evidence, applicable to research and engagement.

## 17. Lodging your application

### Monash University Australia

- 17.1 Lodge your completed and signed application [online](#). Any queries on the lodgement process should be directed to the [relevant promotion coordinator](#).

### Monash University Malaysia

- 17.2 Lodge your completed and signed application (with attachments) via email to the [Malaysia promotion coordinator](#).

### Post Lodgement

- 17.3 Applications submitted that are incomplete may not be progressed by the University to the next stage of the application process, and withdrawn. Application review and outcome
- 17.4 The approver(s):
- may consult with the relevant Associate Deans responsible for education and research regarding your case for promotion; and
  - will assess the application and determine whether you meet the criteria for promotion.
- 17.5 You may be required to provide further information on your application if requested by the approver.
- 17.6 You may also be notified where further information is required from you and/or where further time for review is required. The relevant [promotion coordinator](#) will facilitate this process.
- 17.7 The approver(s) will endeavour to inform you in writing of the outcome within 21 working days of receiving an application. This timeframe may be extended in exceptional circumstances, should the approver(s) require more time to review the application and advise the outcome.

### Successful outcomes

- 17.8 If you are on probation at the time of a successful promotion, your probation will be confirmed from the effective date of promotion.

### Unsuccessful outcomes

- 17.9 If your application for promotion is not successful, you will receive written feedback outlining the areas for strengthening before a future application is lodged.
- 17.10 You are encouraged to meet with the approver (or nominee) to discuss the feedback (you may request your performance supervisor or Head of Unit to join you at 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.

## 18. Appeals

- 18.1 If your application is not successful, you may lodge an appeal 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 Appeals Procedure](#).

## 19. Breach of procedure

- 19.1 The University treats any breach of policies or procedures seriously. The University encourages reporting of concerns about non-compliance and manages compliance in accordance with the applicable [Enterprise Agreement](#), relevant instrument of appointment and/or applicable contract terms. A failure to comply with policies, procedures and schedules may result in action by the University. Such action may include disciplinary and other action up to and including potential termination of employment for employees and cessation of other engagements for other persons.

## DEFINITIONS

<a href="#">Academic Performance Framework</a>	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 <a href="#">Academic Performance Framework website</a> .
<a href="#">Achievement(s) relative to opportunity</a>	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 considering circumstances, arrangements, career histories and overall time available. This in turn allows appropriate evaluation of achievements in relation to: <ul style="list-style-type: none"> <li>• the quantum or rate of productivity,</li> <li>• the opportunity to participate in certain types of activities, and</li> <li>• the consistency of activities or output over the period of consideration.</li> </ul> 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.
<a href="#">Approver</a>	For the purposes of this procedure, is the dean (or nominee) 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 Pro Vice-Chancellor and President (Malaysia).
<a href="#">Head of Unit</a>	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.
<a href="#">myPlan</a>	An online performance planning tool that supports academic employees and supervisors to manage the performance development cycle.
<a href="#">Performance Development Plan</a>	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.
<a href="#">Procedural irregularity</a>	Where the University has not followed a process that is articulated in this procedure.
<a href="#">Pure</a>	The University's research management software which provides information for Monash employees on their grants, contracts, research outputs and research achievements.
<a href="#">Research Achievement Record</a>	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.
<a href="#">Research-only candidate</a>	A candidate for promotion who is employed on a research-only contract of employment and who is appointed to undertake predominantly research and research-related activities.
<a href="#">Teaching fellow candidate</a>	A candidate for promotion who is employed on a teaching fellow contract of employment and who is appointed to undertake predominately learning and teaching-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 (i.e., 2010 and before). This data is still available and can be requested by approver(s) via the relevant promotions coordinator if required.
Summative Peer Review of Teaching	A report based on the observation of a candidate's teaching which notes observed aspects of educational practice and infers evidence of teaching effectiveness.

## GOVERNANCE

Parent policy	<a href="#">Probation, performance and promotion</a>
Supporting schedules	
Associated procedures	<ul style="list-style-type: none"> <li>• <a href="#">Equal opportunity policy</a></li> <li>• <a href="#">Ethics Statement policy</a></li> <li>• <a href="#">Integrity and respect policy</a></li> <li>• <a href="#">Academic Promotion: Level C-E</a></li> <li>• <a href="#">Academic Promotion Appeals procedure</a></li> <li>• <a href="#">Conflict of Interest (including Conflict of Interest in Research) procedure</a></li> <li>• <a href="#">Performance Development Process: Academic Staff</a></li> </ul>
Legislation mandating compliance	
Category	Operational
Approval	Chief Operating Officer – 11 March 2021
Endorsement	Provost & Senior Vice-President – 5 March 2021 Chief Human Resources Officer – 8 March 2021 Vice-Provost (Faculty and Graduate Affairs) – 5 March 2021
Procedure owner	Chief Human Resources Officer
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Content enquiries	<a href="#">ask.monash</a> or phone Monash HR on (03) 990 20400