

# ACADEMIC PROMOTION: LEVEL C - E PROCEDURE

## 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 are accepted annually and are assessed by promotion committees. Successful promotions take effect from 1 July of the year following application submission, however successful promotions in the 2019 promotion round will have salary increases backdated to 1 January 2020 with the associated title effective 1 July 2020.

## SCOPE

The procedure applies to Australia and Malaysia based staff of the University ('us', 'our' or 'we') applying for academic promotion to:

- Senior Lecturer or Senior Research Fellow (Level C);
- Associate Professor (Level D); and
- Professor (Level E).

Staff are herein collectively referred to as 'you' for the purpose of this procedure.

The procedure also applies to committee members responsible for evaluating applications.

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.

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## PROCEDURE STATEMENT

### 1. Eligibility

- 1.1 Academic staff are eligible to apply for promotion.
- 1.2 Teaching and research and education-focused 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 (refer Case for Academic Promotion, Part C – Section 9.1 and Part D – Section 11).
- 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.

## 2. Criteria for promotion

- 2.1 You must satisfy the promotion committee 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 In addition, you must 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.

## PREPARATORY INFORMATION

### 3. Preparing for promotion

- 3.1 Staff should consider the following in preparation for applying for promotion:

### 4. Information sessions

- 4.1 You should attend an information session in the year prior, and the year of the round opening and your application submission so you are clear on the process in the year you intend to apply. Refer to the [academic promotion session dates/times](#).

### 5. Non-Faculty applications

- 5.1 If you are employed in a non-faculty area, you should consult with your head of unit about the most relevant faculty to assess your application. This will also inform your choice of which information session to attend. You should contact the [relevant promotion coordinator](#) to arrange agreement from the relevant faculty Dean.

### 6. Discussing your intention to apply

- 6.1 You should discuss your intention to apply for promotion with your performance supervisor and head of unit (and if applying for promotion to Professor (level E), also discuss your intentions with the Dean). You are expected to have the support of your performance supervisor and head of unit. In addition, professorial candidates are expected to have the support of the Dean.
- 6.2 If you are a research-only candidate, you must discuss your intention with the relevant grant holder or head of unit.
- 6.3 Initial feedback and discussions in relation to your readiness for promotion and application focus should be recorded in your performance development plan.
- 6.4 Additionally, you are encouraged to inform the [relevant promotion coordinator](#) of your intent to apply.

### 7. Update supporting report resources

- 7.1 Refer to item 21 and 13.2 for further information on supporting reports required for your application.
- 7.2 For Australia based candidates, 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.

## APPLYING FOR PROMOTION

### 8. Your case for promotion

- 8.1 The Case for Academic Promotion form provides you the opportunity to evidence and demonstrate how you meet the promotion criteria consistent with your academic role focusing on outcomes and impact.

8.2 The [Case for Academic Promotion form](#) includes the following sections:

- Part A – Candidate Summary
  - Section 1 Candidate details
  - Section 2 Executive summary of achievements to date
  - Section 3 Enduring career outputs
  - Section 4 Three-year vision
  - Section 5 Qualifications and appointments
  - Section 6 Relevant circumstances (achievement relative to opportunity)
- Part B – Case for Promotion (since appointment to current level)
  - Section 7 Case for promotion – research, education and engagement
- Part C – Recommendations
  - Section 8 Performance supervisor recommendation
  - Section 9 Head of Unit recommendation
- Part D – Support Information
  - Section 10 Assessor exclusion
  - Section 11 Research funding (research-only candidates)
  - Section 12 Candidate declaration

## 9. Candidate details (Section 1)

- 9.1 Complete your information including your current workload allocation.
- 9.2 You are required to indicate 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.
- 9.3 If you have a varied workload allocation or have significantly changed your workload since your last promotion, you may address this in Part A – Section 6: Relevant circumstances (achievement relative to opportunity).
- 9.4 If you are an education-focused candidate, you are required to nominate the predominant nature of your research for the period since your last promotion/appointment to current level.

## 10. Executive summary of achievements to date (Section 2)

- 10.1 This summary should highlight the main focus of your work and the overall impact of your contributions in the wider context of your discipline. It may include a summary of your research outputs (i.e. impact factor, h-index), income, HDR students, education and/or engagement, which you may also include in Part B – Section 7.

## 11. Enduring career outputs (Section 3)

- 11.1 Include a list of up to four most important/enduring outputs of your career. Enduring career outputs are those that may be outside the relevant period for your case for promotion (i.e. since appointment to current level). These may include outputs in your current case for promotion. Include details of each output and a statement identifying the impact of each.

## 12. Three-year vision (Section 4)

- 12.1 Using the academic performance framework, clearly detail your vision across research, education and engagement (as applicable). This should include what you want to achieve for yourself and the University, your priorities and areas of focus.

## 13. Qualifications and appointments (Section 5)

- 13.1 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. The professional awards and distinctions are required since your last promotion only.
- 13.2 You are required to provide your entire career publication list. This can be inserted or attached. Australia based candidates may attach their Pure list.

## 14. Relevant circumstances (achievement relative to opportunity) (Section 6)

- 14.1 To facilitate a fair and equitable assessment of your application relative to the stage of career, we ask that you specify any career impacting circumstances to enable an assessment of achievement relative to opportunity. All disclosures will be assessed with equal consideration of 'relative to opportunity' regardless of what the circumstances are.
- 14.2 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. This includes 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  
*This includes, but not limited to, matters sensitive in nature.*
- 14.3 Support your relevant circumstances by providing:
- a brief explanation of the type of career disruption, professional circumstance or other circumstance;
  - the period(s) of the disruption/circumstance (approximate dates);
  - a brief explanation on the impact this has had on research and research achievements and associated productivity relative to stage of career; and
  - a positive acknowledgement of what has been achieved given the opportunities available.
- 14.4 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 chair or chair's nominee. For further information refer to [preparing relevant circumstances](#).

## 15. Case for promotion – research, education and engagement (Section 7)

- 15.1 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.
- 15.2 You should only include achievements since the appointment to your current level.
- 15.3 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 your last promotion/appointment to current level, avoiding unnecessary duplication of data in supplementary reports.
- 15.4 A maximum 10-page limit applies across the entire Part B Sections 7.1, 7.2 and 7.3.
- 15.5 Committees 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.

### Research (Nominated Outputs)

- 15.6 You will need to nominate outputs in support of your application, to assist in an assessment of your research. Choose sample items to showcase your work.
- 15.7 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 external assessors and members of the committee to read. Seek advice from your Associate Dean (Research) for clarity.
- 15.8 For large outputs, such as a book, you may nominate up to 2 chapters.
- 15.9 Non-traditional outputs may be considered, please contact your Associate Dean (Research) for advice.

15.10 The number of outputs you may nominate varies as follows:

Applying for Promotion to Level	Nominated Outputs
C	up to 3
D & E	up to 5

### Research (Achievements)

15.11 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).

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

15.13 Education-focused candidates are not required to complete Research achievements, unless there is disciplinary research which should be included within this section.

### Education

15.14 Research-only staff are not required to complete this section.

15.15 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).

15.16 Education-focused candidates are expected to address education research related to teaching and learning (pedagogical) when answering EC2b. If you do not have pedagogical research, please provide an explanation.

15.17 Supporting evidence for education case - a 5-page limit applies.

15.18 Further information is available at the [Monash Education Academy website](#).

### Engagement

15.19 Demonstrate your achievements against each chosen criterion drawing on relevant evidence that focuses on outcomes and impact.

15.20 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.

## 16. Performance supervisor recommendation (Section 8)

16.1 Your performance supervisor must comment on achievements across research, education and engagement; and provide an assessment of your performance against the criteria for promotion.

16.2 If you have a dual reporting line, you will need to include a secondary supervisor report. Please contact the [relevant promotion coordinator](#) for assistance.

## 17. Head of Unit recommendation (Section 9)

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

- 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.

17.2 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.

17.3 You will not be made aware of who the nominated assessors are, but you have the option to nominate one individual to be excluded as a potential assessor, prior to the assessor nomination process.

## 18. Assessor exclusion (Section 10)

- 18.1 Complete this section if you would like to nominate one assessor for the Head of Unit to exclude as an external assessor for your application.
- 18.2 Also refer to Clause 26 of this procedure.

## 19. Research funding (research-only candidates) (Section 11)

- 19.1 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.
- 19.2 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).
- 19.3 The Head of Unit will confirm any alternative funding in Part C - Section 9.1 (in cases where funding from other sources is available).

## 20. Candidate declaration (Section 12)

- 20.1 Candidates are required to select either yes or no to the questions within the declaration and sign off their application.

## 21. Supporting reports and documents

### Research Achievement Record

- 21.1 The Research Achievement Record lists your achievements in the following areas for the period since your last promotion/appointment to current level (including outputs achieved prior to being employed at Monash, if relevant):
- research outputs;
  - research grants and income; and
  - HDR supervisions.
- 21.2 If you are from our Malaysian campus, you must complete the [Malaysia: Research Achievement Record Form](#).
- 21.3 For Australia based candidates, you are responsible for ensuring your research data is accurate in Pure prior to requesting your report. You can obtain the Research Achievement Record by referring to [how to apply for system generated reports](#).
- 21.4 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.
- 21.5 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).
- 21.6 The promotion committee consider additional data on the 'recent additions and errata page' in the same way as system-generated data.

### Student Evaluation Record

- 21.7 If you are research-only and do not have education as part of your case, a Student Evaluation Record is not required.
- 21.8 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).
- 21.9 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.
- 21.10 You can obtain a Student Evaluation Record by lodging an [online request](#) from University Planning and Statistics.

## Summative Peer Review of Teaching

- 21.11 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.
- 21.12 To request a Summative Peer Review of Teaching, visit [PeerView.monash](#).
- 21.13 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

- 21.14 You may 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

- 21.15 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.

## 22. Summary of attachments to your application

- 22.1 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 5.4);
  - 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.

## 23. Lodging your application

### Australian candidates and all Level E candidates

- 23.1 Lodge your completed and signed application [online](#) by 5pm (AEDT) on the closing date of the promotion round. Any queries on the lodgement process should be directed to the [relevant promotion coordinator](#).

### Malaysian candidates

- 23.2 Lodge your completed and signed application via email to the Malaysia promotion coordinator (excluding professorial candidates).

## 24. New information (post application lodgement)

- 24.1 You must correct or update information that is incorrect or may mislead the committee, for example the outcome of a grant application or manuscript submitted to a publisher or journal that has been rejected. The nature of the new information is to:
- clarify or update information alluded to in your application, for example the success of a grant application listed as 'pending'; or
  - provide new information about a fact or event that significantly strengthens your case for promotion, for example the receipt of an award or admission to a learned body or academy.
- 24.2 You have one opportunity to present new information that meets the following criteria after you have lodged your application. This new information must be submitted not later than three weeks prior to the first committee meeting date if you are applying to level C and D. The [new information template form](#) is used for this purpose. For professorial candidates, the set date for receipt of new information is five weeks prior to the first committee meeting.
- 24.3 You may be requested to provide further information on your application if requested by the committee.
- 24.4 Candidates applying for promotion to level D and E attending an interview will also have the opportunity to update the committee on the day.



## ASSESSOR, ASSOCIATE DEAN AND DEAN REPORTS

### 25. Provisioning reports

- 25.1 Following the round close, the [relevant promotion coordinator](#) will make all reasonable efforts to obtain reports from:
- Assessors;
  - Associate Deans (Research) and (Education) (for professorial candidates, Malaysia candidates and where an Associate Dean is unable to attend a faculty committee meeting); and
  - Deans (for professorial candidates).
- 25.2 Assessors, Associate Deans and Deans are encouraged to consider potential, perceived or actual conflicts of interest that exist as a result of preparing a candidate report. Examples may include:
- where a head of unit or Associate Dean is applying for promotion to the same level as a candidate;
  - co-publishing with the candidate;
  - ongoing joint scholarly projects; and
  - a mentoring or personal relationship with the candidate.
- 25.3 The [relevant promotion coordinator](#) should be contacted for advice if unsure.

### 26. Assessors

- 26.1 The following number of independent external assessors are required:

Level of Application	Minimum Number of International Assessors	Total Number of Assessors
Senior Lecturer/Senior Research Fellow (Level C)	1	3
Associate Professor (Level D) Professor (Level E)	3 (except where the most eminent scholars in a particular discipline are based in Australia/Malaysia)	5

- 26.2 The head of unit will note your nominated assessor exclusion and recommend impartial and independent assessors to the Dean/Pro Vice Chancellor and President (Monash University Malaysia) who will nominate assessors. Assessors should be persons of eminence in the discipline and at least at the academic level to which the candidate is applying (preferably higher).
- 26.3 Assessors will provide a confidential and objective evaluation of your case for promotion. They will be asked for their:
- candid evaluation of your scholarly contributions with particular reference to your originality and significance and the extent to which you would satisfy the requirements for “superior achievement”;
  - comments on your standing within discipline through comparison to others in the field at the same stage in their careers; and
  - comments on your teaching ability and or any other aspect of your professional involvement that they may be familiar with.
- 26.4 Assessors should not have:
- a close professional or personal association with you;
  - co-published or collaborated with you in the past 5 years;
  - supervised your PhD thesis (or have been supervised by the candidate); and/or
  - a material personal interest that may impact their ability to perform the role as independent assessor.
- 26.5 Where a close professional or personal association exists, the report will still be provided to the committee. However, the committee will consider the likely objectivity of the report.
- 26.6 The head of unit will contact each assessor on behalf of the Dean/Pro Vice Chancellor (Monash University Malaysia) to determine their independence, willingness, and availability to provide an assessment. Details of the assessor are to be recorded on the [Confirmed Assessor Advice form](#). The completed form is then provided directly to Monash HR and is not seen by the candidate.
- 26.7 The [relevant promotion coordinator](#) is the point of contact with assessors. They will provide the assessor with a copy of your application (excluding Part C and D of the case for promotion form).

### 27. Associate Dean reports

- 27.1 If an Associate Dean (Research) or (Education) attends as a member of any committee, a written report is not required.
- 27.2 Reports are confidential to the process and are not provided to candidates.

## Associate Dean committee report(s) for Level E

- 27.3 The Associate Dean(s) responsible for research and education must prepare a report on your case for promotion that includes:
- an overview and assessment of achievements in the relevant areas of academic activity; and
  - an assessment of achievements against promotion criteria.
- 27.4 If you are research-only, an Associate Dean (Education) report is only required if you have included a case for education.
- 27.5 If you are an education-focused candidate the Associate Dean (Education) may prepare the Associate Dean (Research) report if your research is predominantly education research related to teaching and learning (pedagogical), rather than discipline-based.

## Associate Dean committee report(s) for Australia and Malaysia - C and D candidates

- 27.6 The relevant Associate Dean (Education) and (Research) are members of faculty promotion committees.
- 27.7 The relevant Associate Dean (Education) and (Research) may be appointed by a Dean to a Malaysia committee.
- 27.8 Where the relevant Associate Dean (Research) and/or (Education) is a member of the relevant faculty promotion committee and is aware prior to the meeting that they will not be present, a report will be provided to the committee in the absence of their requirement to attend the committee.

## 28. Dean report

- 28.1 The Dean must prepare a report for each Professorial (level E) candidate that includes (but is not limited to):
- an overview and assessment of your achievements in the relevant areas of academic activity;
  - an assessment of your achievements against promotion criteria; and
  - whether they endorse, do not endorse or consider your application to be marginal.
- 28.2 The Dean should discuss the report with you. The final copy of the report will be provided to you by the [relevant promotion coordinator](#).
- 28.3 Where you do not agree with the factual information contained within the Dean report, you may prepare a written response to the report utilising the new information template. Your comment is for information only and there is no requirement for the Dean or the committee to respond. If timing of receipt of a Dean report does not allow you sufficient time to respond by the 'new information' due date, one additional new information form may be received for this purpose.

## COMMITTEE STRUCTURE AND DELIBERATIONS

### 29. Committee Chair

- 29.1 Applications for promotion are considered by the following Committees.

Promotion Committee	Committee Chair
Faculty* Senior Lecturer/Senior Research Fellow (level C) Faculty* Associate Professor/Associate Professor (Research) (level D)	Dean (or nominee)
Malaysia Senior Lecturer/Senior Research Fellow (level C) Malaysia Associate Professor/Associate Professor (Research) (level D)	Pro Vice-Chancellor and President (Monash University Malaysia) (or nominee)
University Professorial Promotion Committee (level E)	Provost and Senior Vice President (or nominee)

\*Non-faculty applications will be considered by the faculty committee that is most relevant to their discipline/area.

- 29.2 Where a Dean delegates responsibility, the Dean remains responsible for the recommendation of the nominee and any committee that they chair within the parameters of this procedure.
- 29.3 For applications to level C and D, the votes inform the Chair's recommendation to the Provost and Senior Vice-President (or nominee).
- 29.4 The decision about whether a professorial candidate is promoted rests solely with the Chair on the advice of the University Professorial Promotion Committee.

## 30. Committee membership

- 30.1 All committee members must be at the same academic level or higher than the level being applied for, other than Associate Deans (Education) and (Research).
- 30.2 The chair will ensure committee gender diversity, with a minimum of one-third female and one-third male representation. In the case of faculty/Malaysia Committees, if the chair is unable to meet the minimum gender representation requirement, the [relevant promotion coordinator](#) will assist by suggesting representatives from a cognate area. In exceptional circumstances the chair may request the Provost and Senior Vice-President vary or waive the requirement.
- 30.3 The chair should strive for a membership that has a broad representation of staff from culturally and linguistically diverse backgrounds.
- 30.4 The chair will ensure the committee includes broad representation across disciplines and academic activity (which will normally include research-only, teaching and research, education-focused representation) and may appoint additional committee members to ensure sufficient expertise.
- 30.5 For non-faculty based applications (level C and D), the relevant promotion coordinator on behalf of the Dean/Pro Vice-Chancellor and President (Monash University Malaysia) will ask the relevant Senior Management Portfolio Head (eg. Vice-Provost or Deputy Vice-Chancellor) to nominate a portfolio representative to attend as a full voting member for deliberation relating to applications.
- 30.6 For education-focused applications, the Deputy Vice-Chancellor & Vice-President (Education) or nominee will join the committee as a full voting member for deliberation relating to applications.

## 31. Faculty Promotion Committees (Levels C & D)

Senior Lecturer/Senior Research Fellow (Level C)	Quorum
<ul style="list-style-type: none"> <li>Chair: Dean, Acting Dean or Deputy Dean (or nominee)</li> <li>Associate Dean (Research) or nominee</li> <li>Associate Dean (Education) or nominee</li> <li>At least two elected members of the faculty</li> <li>At least two appointed members of the faculty</li> <li>At least one member external to the faculty nominated by the Dean.</li> <li>Additional co-opted members as required, being the non-faculty application representative and/or education-focused expert.</li> </ul>	<ul style="list-style-type: none"> <li>Four members comprising the Chair, external member, one appointed and one elected member.</li> <li>Additional co-opted members as required, being the non-faculty application representative and/or education-focused expert.</li> </ul>

Associate Professor/Associate Professor (Research) (Level D)	Quorum
<ul style="list-style-type: none"> <li>Chair: Dean or Acting Dean (or nominee)</li> <li>Provost and Senior Vice-President's nominee – <i>external to the faculty</i></li> <li>President, Academic Board (or nominee) – <i>external to the faculty</i></li> <li>Associate Dean (Research) or nominee</li> <li>Associate Dean (Education) or nominee</li> <li>At least two elected faculty members</li> <li>At least two appointed faculty members</li> <li>Additional co-opted members as required, being the non-faculty application representative and/or education-focused expert.</li> </ul>	<ul style="list-style-type: none"> <li>Five members comprising the Chair, at least one appointed and one elected member and the Provost and Senior Vice-President's nominee and President Academic Board/nominee.</li> <li>Additional co-opted members as required, being the non-faculty application representative and/or education-focused expert.</li> </ul>

- 31.1 For both Levels C and D:
- The Chair may invite a representative of the faculty/relevant non-faculty area to present information in relation to candidates' cases. This is for the purpose of presenting information only as the representative must not be present for final discussions relating to decision making/voting.
  - The [relevant promotion coordinator](#) attends the committee and provides administrative and procedural support.
- 31.2 Members of faculty promotion committees must be academic staff of 0.4 fraction and above.
- 31.3 Committees should have a provision for alternate members in the event of unavailability of any member.

- 31.4 Committee composition should be determined following elections to assist the Chair in attaining gender diversity and a broad representation across discipline and academic activity.
- 31.5 Members are normally elected for a three-year term and may be re-elected. Only academic faculty staff of fraction 0.4 and above are eligible to vote in faculty elections.
- 31.6 Where there are insufficient nominations to fill an elected position, the position will be re-advertised. If unsuccessful, the Chair may directly appoint a member who will be regarded as an elected member for quorum purposes.
- 31.7 Appointed members are appointed by the Dean and may be re-appointed.
- 31.8 The Chair may appoint an external member to the Associate Professor/Associate Professor (Research) (Level D) committee for the purposes of improving or ensuring sufficient disciplinary or academic focus. The external member may be external to the faculty or to the University.

## 32. Malaysia Promotion Committees (Levels C & D)

Senior Lecturer/Senior Research Fellow (Level C)	Quorum
<ul style="list-style-type: none"> <li>• Chair: Pro Vice-Chancellor and President (Monash University Malaysia), or nominee</li> <li>• Dean (or nominee)</li> <li>• A member of Monash University Malaysia appointed by the Chair</li> <li>• At least one faculty member appointed by the Dean</li> <li>• A member of the/a relevant discipline from Monash University Malaysia as nominated by the Dean</li> <li>• At least one external member appointed by the Chair</li> <li>• Additional co-opted members as required, being the non-faculty application representative and/or education-focused expert.</li> </ul>	<ul style="list-style-type: none"> <li>• Four members of whom three include the Chair, Dean (or nominee) and a faculty member.</li> <li>• Additional co-opted members as required, being the non-faculty application representative and/or education-focused expert.</li> </ul>

Associate Professor/Associate Professor (Research) (Level D)	Quorum
<ul style="list-style-type: none"> <li>• Chair: Pro Vice-Chancellor and President (Monash University Malaysia), or nominee</li> <li>• Dean (or nominee)</li> <li>• Provost and Senior Vice-President's nominee</li> <li>• President, Academic Board (or nominee)</li> <li>• A member of Monash University Malaysia appointed by the Chair</li> <li>• One faculty member appointed by the Dean</li> <li>• A member of the/a relevant discipline from Monash University Malaysia as nominated by the Dean</li> <li>• Additional co-opted members as required, being the non-faculty application representative and/or education-focused expert.</li> </ul>	<ul style="list-style-type: none"> <li>• Four members comprising the Chair, Dean (or nominee), a faculty member and either the Provost and Senior Vice-President's nominee or President, Academic Board (or nominee).</li> <li>• Additional co-opted members as required, being the non-faculty application representative and/or education-focused expert.</li> </ul>

- 32.1 For both Levels C and D:
- The Chair may invite a representative of the relevant School (or discipline for non-faculty area) to present information in relation to candidates' cases. This is for the purpose of presenting information only as the representative must not be present for final discussions relating to decision making/voting.
  - The Dean may appoint or nominate Associate Dean (Research) or Associate Dean (Education) as above.
  - The [relevant promotion coordinator](#) attends the committee and provides administrative and procedural support.

### 33. University Professorial Promotion Committee (Level E)

Members	Quorum
<ul style="list-style-type: none"> <li>• Chair: Provost and Senior Vice-President, or nominee</li> <li>• Deputy Vice-Chancellor and Vice-President (Education), or nominee</li> <li>• Senior Vice-Provost and Vice-Provost (Research), or nominee</li> <li>• Vice-Provost (Faculty and Graduate Affairs), or nominee</li> <li>• Pro Vice-Chancellor and President (Monash University Malaysia), or nominee;</li> <li>• President, Academic Board, or nominee; and</li> <li>• Four professors of the University appointed by the Provost and Senior Vice-President.</li> </ul>	<p>Five members, including at least two of the following:</p> <ul style="list-style-type: none"> <li>• Deputy Vice-Provost and Vice-President (Education)</li> <li>• Senior Vice-Provost and Vice-Provost (Research)</li> <li>• Vice-Provost (Faculty and Graduate Affairs); or</li> <li>• President, Academic Board.</li> </ul>

- 33.1 The Chair must appoint four professors (excluding Deputy Deans) to the University Professorial Promotion Committee.
- 33.2 The Chair should ensure discipline representation from the Humanities, Arts and Social Sciences (HASS) and STEMM, with consideration to the spread of applications received.
- 33.3 The Chair may appoint additional committee members, including an external member for the purposes of improving or ensuring sufficient disciplinary or academic focus.

### 34. Inquorate or improperly constituted committees

- 34.1 Where a faculty or Malaysia committee is inquorate or improperly constituted in order not to disadvantage a candidate, the Provost and Senior Vice-President may use discretion to either validate the relevant recommendation or require a quorate or properly constituted committee consider the application.
- 34.2 In the case of the University Professorial Promotion Committee (Level E), an inquorate committee must not proceed.
- 34.3 If the Provost and Senior Vice-President becomes unexpectedly unavailable on the day of the University Professorial Promotion Committee, the committee should determine whether to proceed or reschedule the meeting to a date when the Provost and Senior Vice-President is available. Where the committee decides to proceed, the Provost and Senior Vice-President will nominate the Chair.

### 35. Role and responsibilities of committee members

- 35.1 For committee members, the role requires:
- fair and objective assessment of applications for promotion;
  - ensuring discussion is restricted to matters relevant to the application;
  - to not act as an advocate; and
  - avoiding comments of a personal nature.

#### Equal opportunity and inclusive decision making

- 35.2 Committee members are required to understand and apply the equal opportunity principles of the relevant jurisdiction. For further information refer to the [Equal Opportunity and Unconscious Bias Awareness for Academic Promotion Guide](#).
- 35.3 Committee members (excluding Malaysia and external members) are required to complete mandatory Equal Opportunity online training prior to the commencement of the first committee meeting.
- 35.4 Inclusive Leadership training is available for Australia based committee members via myDevelopment and is strongly encouraged. Committee Chairs are expected to complete the training.

#### Disclosure of interest

- 35.5 Committee members must declare to the Chair any potential, perceived or actual conflict of interest prior to the meeting date. If a committee member is uncertain, advice should be sought from the Chair as soon as possible. Examples may include:
- a supervisory postgraduate studies relationship (past or present);
  - a direct supervisory working relationship with the candidate;
  - co-publishing or collaborating with the candidate;
  - a mentoring or personal relationship with the candidate; and/or
  - a material personal interest that may impact their ability to objectively perform in the role.

- 35.6 The chair is responsible for ensuring that declarations of interest cannot influence or be perceived to influence the outcome of the application. The Chair may seek advice from the committee if there is a disclosure of interest and may ask the member to withdraw from deliberations where a conflict of interest cannot be resolved.

### Confidentiality and privacy

- 35.7 All deliberations of the committee are confidential. The privacy of personal information in the applications otherwise obtained must be respected. These obligations will be emphasised by the Chair at the commencement of the meeting.
- 35.8 All materials are restricted to those directly involved in the assessment process. Following the final meeting, access to materials will be removed (and any hard copies must be returned).
- 35.9 Information contained within the application and interview is used for the purpose of assessing promotion applications. Further detail is available in the [Monash Employee Data and Privacy Collection Statement](#) and on the [Privacy at Monash](#) website.

## 36. Committee deliberations

- 36.1 A preliminary assessment form will be distributed to committee members to identify candidates that clearly meet the criteria for promotion and those who do not. This independent evaluation allows for greater discussion where there are mixed views.
- 36.2 The committee will meet to determine whether a candidate meets the criteria for promotion (see 2.5 and 2.6 above). Cases for promotion to higher academic levels will emphasise the impact of academic activity at a national and international level.
- 36.3 Committees will take into consideration the following (but not limited to) during their deliberations:

Academic Area	Requirements
Achievement relative to opportunity	Committees will assess achievements relative to the opportunities available in cases where candidates include relevant circumstances for this purpose. For further information, refer to the <a href="#">Guidelines for Assessing Achievement Relative to Opportunity</a> .
Differences between academic disciplines and appointment types	Committees will consider differences between academic disciplines, including the way teaching is delivered and research is undertaken and recognised. Committees should refer to the following information: <ul style="list-style-type: none"> <li>responsibilities of <a href="#">teaching and research</a> staff (including education-focused) appointed at each academic level;</li> <li>responsibilities of <a href="#">research-only</a> staff appointed at each level; and</li> <li>the <a href="#">academic performance framework</a>, including relevant performance standards.</li> </ul>
Applications from candidates of under-represented groups	Committees will consider impact on academic activity where a candidate is required to participate in numerous service activities as a result of being part of an under-represented group e.g. women in STEMM disciplines and Aboriginal and Torres Strait Islander candidates.
Assessor reports	If an assessor report is not received by the meeting date, candidates will not be disadvantaged. Where a close professional or personal association exists between an assessor and a candidate, the committee will consider the likely objectivity of the report.

### Candidate interviews

- 36.4 If you are applying for Senior Lecturer/Senior Research Fellow (level C) you may be interviewed at the Chair's request.
- 36.5 If you are applying for Associate Professor (level D) you will be interviewed by the relevant Committee.
- 36.6 If you are applying for Professor (level E), you will be interviewed by the University Professorial Promotion Committee.
- 36.7 Interviews allow the committee to clarify information contained in your application and for you to answer relevant questions.
- 36.8 It is your responsibility to be available for [all dates](#) on which the relevant committee meeting is held. Individual requests for a specific interview date or time will not normally be met.

### Dean interviews

- 36.9 The Dean will be interviewed by the University Professorial Promotion Committee.
- 36.10 The focus of the interview is to allow the committee to ask the Dean questions regarding an application or to seek further clarity or context. The Dean will be familiar with all background material relating to the case and be prepared to discuss it in detail.
- 36.11 In exceptional circumstances the deputy Dean may act as proxy for the Dean at interviews.

## 37. Voting

- 37.1 For applications to level C and D, the committee vote will inform the decision of the chair's recommendation to the Provost and Senior Vice-President (or nominee).
- 37.2 For professorial applications, the committee vote will inform the decision of the chair.
- 37.3 The chair, in consultation with committee members, may determine the method of voting.
- 37.4 During the meeting, each voting member may cast one 'yes' or 'no' vote. There can be no abstentions. Any committee member with an unresolved conflict of interest would not be present during the vote.

### Chair's recommendation to the Provost and Senior Vice-President

- 37.5 Following the C and D committee meetings, the Chair will recommend outcomes to the Provost and Senior Vice-President (or nominee) prior to the final outcome determination.

## APPLICATION OUTCOME

### 38. Feedback on outcome

- 38.1 Only the chair or a representative nominated by the chair can provide feedback to you on your application. All other committee members must not discuss the meeting with you or anyone else.

### 39. Successful outcomes

- 39.1 The chair will inform you in writing of the outcome within 14 working days of the final committee meeting [date for the relevant level being applied for](#).
- 39.2 If you are on probation at the time of a successful promotion, your probation will be confirmed from the effective date of promotion, being 1 July.
- 39.3 Assessors will be informed of the outcome of your application.

### 40. Conditional promotion

- 40.1 A conditional promotion may occur where a case for promotion is 'borderline' but some specified achievements by 30 September of the year following application would lead to a clear case for promotion.
- 40.2 The outcome letter will define the conditions to be met, consistent with expectations contained in the [academic performance framework](#) for the level of promotion sought and employment contract type.
- 40.3 You must provide evidence of meeting the conditions before 30 September to the [relevant promotion coordinator](#) for review by the chair/nominee.
- 40.4 If conditions are not met before 30 September in the following year, and you wish to be reconsidered for promotion, you must submit a new application according to this procedure.
- 40.5 A conditional promotion will come into effect on the date that the chair approves the promotion or 1 July in the year following the candidate's application, whichever is the later.
- 40.6 The chair's decision is final and there is no appeal for conditional promotion.

### 41. Unsuccessful outcomes

- 41.1 If you are not recommended for promotion, you will receive written feedback outlining the areas for strengthening before a future application is lodged.
- 41.2 You are encouraged to meet with the chair (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.
- 41.3 Where relevant, the chair may provide the name of an appropriate staff member nominated by the committee to give you additional support, mentoring and guidance on the development of a future application.

## 42. Effective date of promotions

- 42.1 All promotions take effect from 1 July of the year following application submission, or such later date in the case of a conditional promotion. However, successful promotions in the 2019 promotion round will have salary increases backdated to 1 January 2020 with the associated title effective date 1 July 2020.

## OTHER INFORMATION

### 43. Rehearing

- 43.1 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](#).

### 44. Breach of procedure

- 44.1 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

<b>Academic Performance Framework</b>	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. Further information is available on <a href="#">the Academic Performance Framework website</a> .
<b>Achievement(s) relative to opportunity</b>	<p>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:</p> <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> <p>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.</p>
<b>Assessor</b>	An expert in the field able to offer a balanced and confidential independent assessment of the candidate’s standing in the field and of the merits of the application. Assessors may or may not be known personally to the candidate and should be nominated by the Dean/Pro Vice-Chancellor and President (Monash University Malaysia). Assessors are external to Monash University.
<b>Conditional promotion</b>	A conditional promotion means that the committee authorises the Chair of the committee to approve the promotion if certain specific criteria are met before a certain date.
<b>Dean</b>	The Dean/Pro Vice-Chancellor and President (Monash University Malaysia) or Director of institute or centre or, where applicable, a person acting as nominee. Even when responsibilities are delegated, the person remains responsible for the decision of the delegate and any committee that they chair within the parameters of this procedure.
<b>Education-focused candidate</b>	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.
<b>Head of Unit</b>	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.
<b>myPlan</b>	An online performance planning tool that supports academic staff and supervisors to manage the performance development cycle, for Australia based staff.



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	The designated employee within Monash HR who is responsible for administration and coordination of the promotion process.
Promotion Committee	The relevant committee constituted in accordance with items 30-33 in this procedure that is responsible for assessing the promotion application.
Pure	The University's research management software which provides information for Monash staff 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 Australia based 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 (i.e. 2010 and before). This data is still available and can be requested by Committees via the <a href="#">relevant promotion coordinator</a> 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 Rehearing Process 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 procedure</a></li> </ul> <p><b>Documents &amp; Forms</b></p> <ul style="list-style-type: none"> <li>• <a href="#">Case for Academic Promotion form</a></li> <li>• <a href="#">Confirmed Assessor Advice form</a> (Head of Unit use only)</li> <li>• <a href="#">Summative Peer Review of Teaching Exemption form</a></li> <li>• <a href="#">Academic Performance Framework</a></li> <li>• <a href="#">Guidelines for Assessing Achievement Relative to Opportunity</a></li> <li>• <a href="#">Monash Education Academy education criteria</a></li> <li>• <a href="#">University Planning and Statistics</a></li> </ul> <p><b>Documents &amp; Forms (Malaysia)</b></p> <ul style="list-style-type: none"> <li>• <a href="#">Malaysia: Research Achievement Record form</a></li> </ul>
Legislation mandating compliance	
Category	Human Resources
Approval	Chief Operating Officer and Provost & Senior Vice-President



Endorsement	Chief Human Resources Officer and Vice-Provost (Faculty and Graduate Affairs)
Procedure owner	Director, Workplace Relations
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