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<b>ADMINISTRATIVE</b>	<b>5</b>	
<b>PEOPLE AND CULTURE</b>	<b>3</b>	
<b>GENERAL POLICIES</b>	<b>4</b>	
<b>NUMBER</b>	<b>002D</b>	Policy Database Document Reference Number <b>534002D</b>

## ACADEMIC PROMOTIONS PROCEDURES


<b>Parent policy title</b>	Academic Promotions Policy																																							
<b>Associated documents</b>	Academic Promotions Procedures Academic Promotions Evidence Matrix <a href="#">Minimum Standards for Academic Levels (MSALs)</a>																																							
<b>Purpose</b>	To inform academic staff members seeking promotion to Academic Levels B, C, D and E of the rules, responsibilities and timelines associated with the University's Academic Promotions Policy.																																							
<b>General</b>	Promotion is awarded on the basis of demonstrated and sustained academic achievement which supports the University's strategic goals and contributes to the achievement of the University's key measures of performance in teaching, research and university and community service.																																							
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<b>1. Criteria for promotion</b>	<ul style="list-style-type: none"> <li>• High levels of performance and achievement, appropriate to Level, disciplinary field, type of appointment and agreed work plan, and relative to opportunity, in the following four areas of academic work: <ul style="list-style-type: none"> <li>➢ teaching and supervision;</li> <li>➢ research and scholarly activity;</li> <li>➢ university service, management and leadership; and</li> <li>➢ professional and community service, management and leadership.</li> </ul> </li> </ul> <p>unless the applicant's current appointment or the nature of their role specifically precludes their involvement in one or more of the four areas.</p> <ul style="list-style-type: none"> <li>• Meeting the threshold requirements for appointment at the Level to which they seek promotion (MSALs).</li> </ul>																		
<b>2. When to apply for promotion</b>	Academic staff members may apply for promotion at any time during the year, though they will normally be required to have been employed for two years at La Trobe before applying. Applications will be considered by the Academic Promotions Committee as soon as practicable after receipt of the application.																		
<b>3. How to apply for promotion</b>	Applicants must consult with their Head of School/Director of Centre/Institute and/or academic supervisor before making an application for promotion. Applications must be made using the appropriate application form and must follow the "Instructions for Applicants". The applicant should forward the completed application in electronic form to the Head of School/Director of Centre/Institute so that he or she may provide the required written commentary.																		
<b>4. Reports provided with the application for promotion</b>	Reports must accompany the application form from: <ul style="list-style-type: none"> <li>• the Head of School/Director of Centre/Institute,</li> <li>• one or more senior academic staff members with knowledge of the discipline or specialist area and</li> <li>• the Dean of the relevant Faculty.</li> </ul>																		

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	<p>A single, combined report should be provided if there is more than one professor/appropriate senior person to be consulted.</p> <p>The three reports must be sighted and signed by the applicant.</p> <p>The applicant may write to the Chair of the Academic Promotions Committee if s/he wishes to respond to comments made in these reports.</p> <p>These reports will not be provided to assessors during the promotions process.</p>
<b>5. Submission of application for promotion</b>	<p>One hard copy and one electronic copy of the application must be provided to the Executive Officer, Academic Promotions, People and Culture Division. The Executive Officer will acknowledge receipt of applications in writing.</p> <p>In cases where applications are not completed fully the Executive Officer will request further material from applicants.</p> <p>The Academic Promotions Committee reserves the right to return the application to the applicant for revision.</p> <p>In unusual circumstances, and with the staff member's consent, a Head of School may submit an application on behalf of a staff member.</p>
<b>6. Evidence to support an application for promotion</b>	<p>Applicants should normally provide evidence (see Definitions) of achievement in all four areas, while nominating whether promotion is sought on the basis of excellence in teaching or research or both. The committee will make an assessment based on the overall case.</p> <p>Indicative examples of performance, achievement and preparation appropriate at each Level of appointment in these four areas are provided in the Academic Promotions Evidence Matrix. Applicants may cite other examples to demonstrate their performance and achievements.</p> <p>Applicants should take care to elaborate their achievements in each of the relevant areas and must provide supporting evidence for any claims made in their application. Claims which are not backed up by supporting evidence in the application will not be considered by the committee.</p>
<b>7. University training requirements for applicants</b>	<p>Satisfactory completion of</p> <ul style="list-style-type: none"> <li>• any staff development or training programs required by the University as preparation for teaching, research supervision, management and leadership roles and</li> <li>• a formal Equity Staff Development training program.</li> </ul>
<b>8. Equal opportunity and conflict of interest</b>	<p>Applicants and Academic Promotions Committee members should bring to the attention of the Chair of the Academic Promotions Committee any instances where they believe that a conflict of interest, discrimination or bias may affect the assessment of applications.</p>
<b>9. Confidentiality of applications</b>	<p>All staff involved in academic promotions will maintain complete confidentiality until the University has made its final decision. At the</p>

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	<p>conclusion of the process feedback will be provided to applicants.</p>
<p><b>10. Assessment of application</b></p>	<p>The Academic Promotions Committee will base its decisions on the material provided in the application process and will not take into account information that is known to the Committee, but which is not referred to and supported with evidence in the application.</p> <p>Staff on fractional or joint appointments, and those whose career paths have been interrupted or delayed due to significant periods of leave for caring responsibilities, illness or other non-work related reasons, must advise the Committee of these circumstances so that their applications may be assessed in terms of what they have achieved, and in particular the quality of that achievement, in relation to the opportunities available.</p> <p>Disciplinary differences will be taken into account and, where possible, the committee will use disciplinary norms when assessing applications. If there are matters that require clarification, additional information may be sought by the committee from the Head of School or other appropriate senior person with a knowledge of a particular discipline or specialist area.</p>
<p><b>11. Membership of Academic Promotions Committee</b></p>	<p>The Promotions Committee, which will consider applications for promotion to all levels, will comprise:</p> <ul style="list-style-type: none"> <li>• the Chair nominated by the Vice-Chancellor;</li> <li>• one professorial member from each faculty;</li> <li>• up to three nominees of the Vice-Chancellor, selected to ensure expertise in teaching and/or community service, disciplinary and/or gender balance.</li> </ul> <p>A representative from the Equity and Diversity Unit may attend meetings, with Observer status.</p> <p>The Chair and all members of the Committee will be academic staff members of the University who hold the classification of professor or equivalent.</p> <p>The term of membership shall be for three years and retiring members shall be eligible for re-appointment.</p>
<p><b>12. Terms of Reference of Academic Promotions Committee</b></p>	<p>The Vice-Chancellor will appoint the Academic Promotions Committee.</p> <p>The quorum for a meeting shall be six (6) committee members, including the Chair.</p> <p>People and Culture will provide administrative support to the Committee.</p> <p>The committee normally will meet monthly (with the exception of January and June) to allow staff to prepare their applications for promotion at a time that is appropriate and convenient to them.</p>
<p><b>13. Approval process</b></p>	<p>The Academic Promotions Committee will provide recommendations to the Vice-Chancellor arising from each of its meetings.</p> <p>The Vice-Chancellor is responsible for approving, or not approving, the recommendations of the Academic Promotions Committee.</p>

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	Feedback will be provided where the Committee believes that assessors' reports and the Committee's deliberations could be useful for the further development of the applicant's career.
<b>14. Report to Academic Board</b>	The Vice-Chancellor will report promotions to the Academic Board.
<b>15. Effective date of promotion</b>	<p>Applicants will be advised in writing of a successful promotion outcome and the date from which the promotion will take effect.</p> <p>Promotion will be effective from the first full pay period commencing on or after the date of the Academic Promotions Committee meeting at which the promotion was recommended.</p> <p>Promotions will not be backdated.</p>
<b>16. Salary point</b>	All promotions will be to the first salary point of the level to which the applicant is promoted.
<b>17. Unsuccessful applicants</b>	<p>Following the Vice-Chancellor's approval of the Academic Promotions Committee recommendations, the Executive Officer will advise unsuccessful applicants in writing. In doing so the Executive Officer will also advise the applicant that they may seek a meeting with the Chair of the Academic Promotions Committee to discuss the outcome of their promotion application.</p> <p>The Head of School and/or Dean will meet with each unsuccessful applicant to provide information that would be useful for the future guidance of the applicant. Meetings for this purpose will take place as soon as possible after the Vice-Chancellor has accepted the Committee's recommendations.</p> <p>In meeting with unsuccessful applicants Heads of School and/or Deans should consider strategies to support and encourage unsuccessful applicants, including such things as:</p> <ul style="list-style-type: none"> <li>• identifying an academic mentor who can assist the staff member to improve their promotion prospects;</li> <li>• identifying staff development or training opportunities that will address weaknesses in the application;</li> <li>• ensuring that allocated workloads create adequate opportunities for the staff member to develop excellence in their area/s of focus;</li> <li>• where appropriate, encouraging and providing support for additional research opportunities;</li> <li>• providing additional support for staff located in regional centres.</li> </ul> <p>The Academic Promotions Committee will prepare brief comments which may be used for the purpose of counselling and the further development of the applicant's career.</p> <p>These may include assessors' reports and the Committee's deliberations.</p> <p>Unsuccessful applicants must ensure they have new and relevant information and evidence to support a new application before re-applying.</p>

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<p><b>18. Review of decision of Academic Promotions Committee</b></p>	<p>Applicants not recommended for promotion may seek a meeting with the Chair of the Academic Promotions Committee to discuss the outcome of their promotion applications. The Chair may request the member of the Academic Promotions Committee with the closest disciplinary background to participate in such a meeting. At the discretion of the Chair, an unsuccessful application for promotion may be referred back to the Academic Promotions Committee where it can be demonstrated that:</p> <ul style="list-style-type: none"> <li>• relevant information of a significant nature submitted as part of the application had been overlooked or misinterpreted; or</li> <li>• clear evidence of a significant procedural irregularity occurred.</li> </ul> <p>Unsuccessful applicants also have the right to use other University grievance processes or consult the University or State Ombudsman (<a href="#">Ombudsman Statute 2009</a>).</p>
<p><b>19. Responsibilities of applicants</b></p>	<p>Applicants must:</p> <ul style="list-style-type: none"> <li>• be familiar with the promotions procedures and make application in accordance with this document, the Policy, and the instructions provided with the application form;</li> <li>• identify potential assessors in accordance with the criteria set out under section 25 (below) entitled “Assessors”;</li> <li>• ensure that the application is completed fully and accurately;</li> <li>• discuss their intention to apply for promotion with the Head of School/Director of Centre/Institute, and provide that person with original evidence of awards, recognition and results of teaching evaluations which are to be used in the application;</li> <li>• bring to the attention of the Committee, as part of the application, any information related to career interruptions;</li> <li>• sight the comments of the Head of School, professor(s) of discipline/senior members of the discipline and Dean, and sign to indicate that these have been sighted;</li> <li>• write to the Chair of the Academic Promotions Committee if they wish to respond to comments by the Head of School, professor(s) of discipline/senior members of the discipline or Dean;</li> <li>• bring to the attention of the Chair of the Academic Promotions Committee, through the Executive Officer, any matters which they believe might affect the fair and objective assessment of their applications;</li> <li>• be contactable throughout the promotion process.</li> </ul>
<p><b>20. Responsibilities of Heads of Schools/ Directors of Research Centres/Institutes</b></p>	<p>The Head of School / Director of Research Centre/Institute must:</p> <ul style="list-style-type: none"> <li>• identify qualified staff and encourage applications;</li> <li>• offer well-informed and current advice to applicants seeking promotion;</li> <li>• identify potential assessors in accordance with the criteria set out under section 25 (below) entitled “Assessors”;</li> </ul>

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	<ul style="list-style-type: none"> <li>in consultation with the applicant's Performance Enhancement and Development Scheme (PEDS) supervisor, provide written confirmation of the applicant's performance in each area against his or her Level, agreed workload allocation and type of appointment. In particular this report should indicate whether PEDS goals have been met, and should confirm the accuracy of the application;</li> <li>submit a written evaluation from the relevant professor(s) of the discipline (or senior members of the discipline) in relation to the quality of scholarly publications and research;</li> <li>encourage applicants to seek evaluations from those with expertise in teaching and learning (eg Curriculum, Teaching and Learning Centre, Associate Deans (Academic)) where the case relies heavily on excellence in curriculum, teaching and learning;</li> <li>provide timely additional information to the Committee in cases requiring clarification or additional information about a particular discipline or specialist area;</li> <li>make recommendations and offer comments for the Committee about how well the applicant meets the criteria, and specify whether they support the application;</li> <li>discuss with the Chair of the Academic Promotions Committee and the Dean the reasons why an unsuccessful applicant was not recommended for promotion;</li> <li>together with the Dean, provide advice and assistance for unsuccessful applicants aimed at overcoming the reason/s for their lack of success.</li> </ul>
<b>21. Responsibilities of the Dean</b>	<p>The Dean must:</p> <ul style="list-style-type: none"> <li>identify appropriately qualified staff in their faculties and encourage equal application rates from men and women.</li> <li>provide a report on each applicant to the Academic Promotions Committee, based on the recommendation of the Head of Schools/Director of Research Centre/Institute and on the Dean's personal knowledge of the applicant;</li> <li>make recommendations and offer comments for the Academic Promotions Committee for each applicant seeking promotion;</li> <li>specify whether or not the Dean supports the application for promotion;</li> <li>discuss with the Chair of the Academic Promotions Committee and the Head of School the reasons why an applicant was not recommended for promotion;</li> <li>in consultation with the Head of School, identify strategies to provide support and encouragement for unsuccessful applicants aimed at overcoming the reason/s for the applicants lack of success.</li> </ul>
<b>22. Responsibilities of Academic Promotions</b>	<p>The Academic Promotions Committee must:</p> <ul style="list-style-type: none"> <li>assess applications for promotion against the criteria for promotion contained in the Policy.</li> </ul>

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<p><b>Committee</b></p>	<ul style="list-style-type: none"> <li>• consider applications in light of the MSALs for the level to which each applicant is applying, and the demonstrated capacity of the applicant to perform the duties and responsibilities as outlined for that level.</li> <li>• seek clear evidence of excellence in the contributions to those areas nominated by an applicant.</li> <li>• select appropriate external assessors based on the Head of School's and the applicant's nominations, and the area(s) of excellence on which the application is based;</li> <li>• make a judgement about the application for promotion in each of the four areas of teaching and supervision; research and scholarly activity; university service; and professional and community service;</li> <li>• make an objective assessment of each application that is free of conflict of interest, discrimination or bias;</li> <li>• determine whether an applicant has achieved excellence in the appropriate area(s);</li> <li>• recommend to the Vice-Chancellor whether or not an applicant should be promoted;</li> <li>• provide feedback on applications as appropriate.</li> </ul>
<p><b>23. Responsibilities of Executive Officer, Academic Promotions</b></p>	<p>The Executive Officer, Academic Promotions, must:</p> <ul style="list-style-type: none"> <li>• maintain the policy, procedures and evidence matrix in consultation with the Chair of the Academic Promotions Committee;</li> <li>• co-ordinate the receipt, acknowledgment and processing of applications for promotion;</li> <li>• review applications to ensure they are completed in the required form, and refer back to applicants where this is not the case;</li> <li>• provide advice to applicants and advice to Heads of Schools/Directors of Centres/Institutes as required;</li> <li>• co-ordinate the scheduling of Academic Promotions Committee meetings;</li> <li>• follow up on the submission of assessor and other reports to the Academic Promotions Committee;</li> <li>• distribute applications, assessor reports, and other information to the Academic Promotions Committee;</li> <li>• provide secretariat support to the Academic Promotions Committee;</li> <li>• co-ordinate the report of the Academic Promotions Committee to the Vice-Chancellor;</li> <li>• following endorsement of the Academic Promotions Committee's recommendations by the Vice-Chancellor, advise successful and unsuccessful applicants of the outcomes of their applications;</li> <li>• provide Academic Board with regular reports on successful promotion outcomes;</li> <li>• maintain relevant statistical data.</li> </ul>

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<p><b>24. Academic Promotions Committee deliberations</b></p>	<p>Upon receipt of applications, the Academic Promotions Committee shall review for each applicant:</p> <ul style="list-style-type: none"> <li>• the application;</li> <li>• the comments/recommendation of the Head of School or Director of Research Centre/Institute;</li> <li>• the comments/recommendation of the professor(s) of discipline/senior members of the discipline;</li> <li>• the comments/recommendation of the Dean of the Faculty.</li> </ul> <p>The committee shall then decide whether a <i>prima facie</i> case exists for further consideration of the application.</p> <p>The committee will refer applications to assessors external to the University where it is satisfied that a <i>prima facie</i> case for promotion has been established.</p> <ul style="list-style-type: none"> <li>• Upon receipt of the assessors' reports, the committee will reconsider the application and decide whether the applicant has met the criteria for promotion.</li> </ul>
<p><b>25. Assessors</b></p>	<p>Applicants are asked to nominate four assessors who could be asked to assess claims of excellence made in the application in relation to teaching, research, or University, community or professional service. Applicants may also indicate the names of people who may be selected as assessors whom they believe would provide a biased assessment. Reasons for concern must also be provided.</p> <p>The Head of School is also required to provide the names of four potential assessors when completing the Head of School's report, and to comment on the suitability of the applicant's nominated assessors.</p> <p>Applications for promotion to Level D and E will generally be expected to have international as well as national assessors in their area of research and scholarly activity.</p> <p>The Assessor does not act as a referee but, rather, as an expert in the field able to offer the Academic Promotions Committee a balanced and confidential assessment of the merits of the particular application according to the stated criteria. Assessors will also provide, if possible, an indication of the applicant's standing in the field. Assessors should preferably be persons of eminence in the discipline who may or may not be known personally to the applicant but who are aware of the applicant's activities in the areas on which the application is based and with whom the applicant has not collaborated or published.</p> <p>While the Committee will use the Head of School's list for guidance, it may take advice from elsewhere when selecting its assessors. The Committee will make the final decision regarding the choice of assessors and applicants will not be informed of their names.</p> <p>Applicants may wish to consult with the Chair of the Academic Promotions Committee if they have any concerns about the possible choice of assessors by the Head of School.</p>

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<p><b>26. Information sessions</b></p>	<p>The Chair of the Academic Promotions Committee, in consultation with the People and Culture Division, will develop, publicise and conduct information sessions twice a year for potential candidates. Care will be taken to ensure that staff members at regional campuses will have the opportunity to participate in these sessions.</p>
<p><b>27. Fast-track promotion – exceptional circumstances</b></p>	<p>In exceptional circumstances, and when it is deemed by the Vice-Chancellor to be an appropriate mechanism to support the University’s strategic operational goals, an application for promotion may be considered outside of the normal promotions schedule. This may include situations where this University wishes to counter an offer received by a high performing staff member.</p> <p>The criteria for fast-track applications will be consistent with the standards expected for promotion through the normal promotions round. The committee also will consider the strategic significance of the staff member’s contributions to the School, Faculty and University.</p> <p>A Dean may put forward to the Vice-Chancellor a recommendation that a staff member be considered for fast-track promotion. Documentation submitted by the Dean should include:</p> <ul style="list-style-type: none"> <li>• an up-to date version of the staff member’s <i>curriculum vitae</i>;</li> <li>• a statement prepared by the staff member providing evidence of his/her contributions to or achievements in each of the four assessment areas;</li> <li>• a statement by the Dean detailing the exceptional circumstances which would warrant fast-track assessment (including evidence of an offer to the staff member from another University if this is the basis for the case);</li> <li>• the date by which the applicant must respond to an offer from another University;</li> <li>• the significance of the staff member’s contributions in terms of meeting strategic or operational objectives of the area/University;</li> <li>• an assessment of the staff member’s profile and contributions against the criteria for promotion to that level;</li> <li>• a list of four assessors nominated by the Dean in consultation with the professor of discipline or other appropriate senior person with a knowledge of a particular discipline or specialist area. The dean should ascertain before putting forward the names of assessors, whether they would be willing/available to provide reports at short notice if so requested.</li> <li>• a statement from the Head of School supporting the promotion.</li> </ul> <p>The Dean should forward all of the above documentation in electronic form to the Executive Officer, Academic Promotions, at the time the submission is made to the Vice-Chancellor.</p> <p>The Vice-Chancellor will advise the Executive Officer, Academic Promotions, of his recommendation. The Executive Officer will ensure the application is considered by the Committee as soon as practicable.</p> <p>After reviewing the case, the committee may recommend the payment of a retention allowance as an alternative to promotion.</p>

<b>DOCUMENT TYPE</b>	<b>PROCEDURE</b>	
<b>ADMINISTRATIVE</b>	<b>5</b>	
<b>PEOPLE AND CULTURE</b>	<b>3</b>	
<b>GENERAL POLICIES</b>	<b>4</b>	
<b>NUMBER</b>	<b>002D</b>	Policy Database Document Reference Number <b>534002D</b>

<b>Status</b>	<p>Revised content, revised format. Prior approval Academic Board 5/2008.</p> <p>The implementation of the latest version of these procedures supersedes all previous versions of procedures for academic promotion: Level A-B, B-C, Level D, Level E, and Out-of-Phase Promotion, and all previous versions of these procedures.</p>
<b>Approval body</b>	Academic Board AB09/64(M), 13 May 2009, min. ref. 431.4.3
<b>Initiating body</b>	Academic Board
<b>Definitions</b>	<p><b>Evidence:</b> externally peer-reviewed outputs, appropriate preparation and staff development, feedback and evaluations from relevant people such as referees, students, supervisors or external partners.</p> <p><b>Four Areas:</b> The four areas used is assessing qualification for promotion, as follows:</p> <ul style="list-style-type: none"> <li>• <b>Teaching</b> – includes subject teaching, laboratory- or studio-based teaching, supervision of individual students in clinical placements, and of honours theses, as well as supervision of postgraduate research higher degree students;</li> <li>• <b>Research</b> – includes discovery and innovation, creative works, scholarship of teaching, scholarly integration or synthesis, and knowledge transfer or application</li> <li>• <b>University service, management and leadership</b> – includes contributions to program, School, Faculty, Regional and University goals;</li> <li>• <b>Professional and community service, management and leadership</b> – includes contributions to a wide range of external bodies and forms of knowledge transfer.</li> </ul> <p><b>Leadership:</b> leadership in promoting research, developing research training, fostering excellence in teaching and encouraging academic staff development; and the willingness and ability to provide leadership in a discipline, program, School within the University and the community at large.</p> <p><b>MSALs:</b> Minimum Standards for Academic Levels</p>
<b>Date effective</b>	13 May 2009
<b>Next review date</b>	December 2010
<b>Keywords</b>	Academic promotions, staff promotions, promotions, application for promotion
<b>Owner/sponsor</b>	Deputy Vice-Chancellor

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