

# Higher Education Academic Promotions Procedure

## Section 1 - Purpose / Objectives

(1) This Procedures document sets out the criteria and application process for Higher Education Academic Promotion. This document must be read in conjunction with the [Higher Education Academic Promotion Policy](#) . Refer to the Associated Information for an outline of the Promotion process.

## Section 2 - Scope / Application

(2) This procedure applies to all matters associated with the promotion of higher education academic staff at Victoria University.

## Section 3 - Definitions

(3) Nil

## Section 4 - Policy Statement

(4) See [Higher Education Academic Promotions Policy](#).

## Section 5 - Procedures

### Part A - General

(5) These procedures will be used with reference to the principle of equal opportunity.

- a. The Higher Education Academic Promotion Policy and Procedures are informed by the University's commitment to equity, diversity and social justice as expressed by the University's Equity and Diversity Policy for Staff and Yannonet Employment Strategy.
- b. The University supports this commitment through Panel training and the inclusion of an observer who has particular expertise in equity and diversity imperatives on each Promotion Panel and a specialist indigenous member when required.

(6) The process will be undertaken with appropriate confidentiality and regard to issues of conflict of interest.

- a. Any breach of confidentiality is considered a serious matter by the University. All materials, discussions and deliberations in relation to academic promotion applications will be treated in the strictest confidence by all participants in the promotion process. Panel members, executive support, observers and supervisors will not discuss applications or panel discussions and deliberations outside of panel meetings other than as part of

formal feedback to the applicant. Announcements of outcomes will be made only by the Vice-Chancellor or her / his delegate.

- b. Refer to the University's [Staff Code of Conduct](#) for more information regarding Conflict of Interest.

(7) These procedures will operate within the standards established by the Minimum Standards for Academic Levels and Victoria University Standards for Academic Levels . These will be addressed appropriately by each Promotion Panel as set out in these Procedures. It is the responsibility of the Panel Chair to ensure that there is reasonable parity between the deliberation processes within each Promotion Panel.

(8) Promotion will normally be restricted to the classification level immediately above an applicant's current classification.

(9) In exceptional circumstances the Vice-Chancellor may approve an applicant to be considered for promotion across multiple classification levels by the next available meeting of the relevant panel.

(10) Evidence for promotion will be assessed over an academic staff member's entire career, however more significance will be placed on achievements/outputs and impacts in the period since last promotion or appointment to the current academic classification level (subject to claims for interrupted career, see clause 3.8 of these Procedures).

## **Part B - Criteria for Promotion**

(11) The Promotion Panel will ensure that the University's practices in awarding promotion are consistent with the Minimum Standards for Academic Levels and Victoria University Standards for Academic Levels based on the Panel's combined experience.

(12) Promotion is based on:

- a. The applicant's qualifications and/or experience as detailed in clause (14);
- b. A signed statement by the applicant's supervisor confirming that the applicant has demonstrated an appropriate level of achievement, with respect to the expected level of performance at their existing level, for each of the main (portfolio areas/ criterion) of academic activity the applicant nominates;
- c. Evidence that the applicant is currently capable of performing at the academic level to which the applicant seeks promotion;
- d. For applicants to Level D and E, the evidence must also provide a convincing case of notable and continuing achievement, and of academic leadership, to justify promotion; and
- e. Each Promotion Panel will give due regard to equity issues, particularly those matters that affect the University's current target equity groups (women, staff with disabilities, indigenous staff and those from diverse cultural and linguistic backgrounds). The Panels will record the main points of their deliberations on such applications in their reports. See these procedures and Victoria University's Equity and Diversity Policy for Staff

(13) Each Promotion Panel will give recognition to the following:

- a. Interrupted careers and fractional employment due to family commitments, ill health or disability where a case is explicitly made to the Panel within the application. It is recognised that applicants with interrupted careers may not have the same quantity of outputs as their counterparts who have not had family responsibilities and career breaks to fulfil carer or other family commitments.
- b. The effect of the demands of substantive roles such as Dean of College, Deputy or Associate Dean, or Centre or Institute Director.
- c. Emerging disciplines may not have a research base comparable with those of more established disciplines.
- d. The appropriate balance of performance in disciplines and professions where there is a greater reliance on current professional practice.

## **Qualifications and / or relevant experience**

(14) The Promotion Panels, in the context of the level for which promotion is applied, will consider the appropriateness of levels and types of formal qualifications held by applicants, and/or substantial progress towards such qualifications.

(15) Applicants for promotion to Academic Level C, D and E must hold a PhD or professional doctorate. In exceptional circumstances, the Vice-Chancellor (or delegate) may grant a specific exemption from this requirement in order for the promotion application to be submitted, but such exemptions will not usually be granted in the case of promotion to level D or E.

(16) Requests for exemption must be submitted by the applicant's supervisor to the Vice-Chancellor (or delegate) through the Pro Vice-Chancellor (Colleges and Distinctive Specialisations) with an indication of the Supervisor's support.

- a. If approved, a copy of the Vice-Chancellor's (or delegate's) exemption must be attached to the application for promotion by the applicant.

(17) An exemption under this clause does not imply that equivalence will be found to have been established by the Promotion Panel. Applicants who have been granted an exemption must make a clear case to the Promotion Panel for equivalence of scholarly performance, relevant experience and achievement/impact.

- a. The case must demonstrate outstanding professional experience, scholarship and reputation, whereby the overall achievement is similar to that of a PhD; or a coherent and sustained pattern of research in a defined area that could be considered equivalent.
- b. Lodgement of a thesis by the date of close of applications will constitute equivalence provided that written evidence of the decision to confer is provided to the Panel prior to its nominated meeting date.

(18) The Promotion Panel will determine if equivalence has been established before further considering the promotion application. If the Promotion Panel considers that equivalence has not been established, the promotion application will not be further considered.

(19) In the circumstances described above, applicants will provide in their application one page of evidence to support their claims. Applicants who are enrolled in a PhD or professional doctorate should also attach a statement from their Research Supervisor as to their progress.

## **Academic Achievement Expectations and Criteria**

(20) Normally academics are expected to be active in teaching, research, academic leadership, service and industry and community engagement but not to the same extent in all areas. The University expects that academic leadership and the intensity of staff involvement in service to the University and engagement with the community will develop with the level of appointment.

(21) The Academic Classification Policy contains the Minimum Standards for Academic Levels and Victoria University Standards for Academic Levels which define academic achievement expectations.

## **Part C - Portfolio Development**

### **Portfolio Development Requirements**

(22) In developing the Portfolio applicants should present information in a way that clearly distinguishes:

- a. Achievements/outputs/impacts since the time of last promotion or appointment to current Academic Level; and

- b. Achievements/ outputs/ impacts achieved prior to the time of last promotion or appointment to current Academic Level.

(23) All applications for promotion, and consideration of those applications, will be assessed on evidence of output and impact. Applicants are therefore advised to develop a portfolio which is to cover each of the relevant components below for the consideration of the Promotion Panel. The portfolio should provide evidence of the significance and/or merit of publications, output, performance, etc., and the level of recognition of work at national and international level, consistent with the MSALs, VUSALs and relevant academic Position Descriptions.

(24) The Portfolio should demonstrate ways in which the evidence provided is aligned with the 'Victoria University Strategic Plan 2012 — 2016: Excellent, Engaged and Accessible', National Research Performance Standards and the MIRA Policy, Curriculum Reform and University Policies relating to Teaching and Learning.

(25) Applicants should not claim the one piece of work/ output evidence under more than one portfolio area (criterion) unless they clearly state how and to what percentage that specific piece of work/ output applies to each respective portfolio area (criterion).

## **Teaching and Learning**

(26) A teaching portfolio is a factual description of an academic's teaching strengths and accomplishments. It includes reference to documents and materials that collectively suggest the scope and quality of teaching performance.

(27) The portfolio is to include:

- a. A personal teaching history including strategies used for continually reflecting on and improving your teaching;
- b. A succinct statement of teaching philosophy and its fit to the strategic directions of the University including the 'Victoria University Strategic Plan 2012 — 2016: Excellent, Engaged and Accessible'.
- c. Innovation in Teaching and Learning, including a description of selected teaching practices, such as innovation in teaching in particular related to the 'Victoria University Strategic Plan 2012 — 2016: Excellent, Engaged and Accessible'. For example working within Distinctive Specialisations, implementing learning in the workplace and community, customized learning and workforce development, innovative approaches to curriculum design and development including simulation, and assessment;
- d. An outline of Learning in the Workplace and Community (LiWC) activities and engagements which may include; clinical supervision, field or professional placements;
- e. An outline of participation in professional development activities in the area of teaching and learning. This may include both formal and informal activities, either as a learner or as a resource person or mentor;
- f. Evidence of the applicant's effectiveness as a teacher and commitment to continuous improvement of their teaching.
- g. A table summarising mean student feedback ratings for the ten core items for:
  - i. all SET surveys available over the last three years; and
  - ii. all SEU surveys for subjects/units of study in which the applicant was a subject/unit coordinator over the last three years;
  - iii. Summary data for all CEQ surveys for courses in which the applicant was a course coordinator over the last three years.
- h. Evidence of involvement in 'Collaborative Reflection on Teaching' and of improvements to teaching made as a result of collaborative reflection.
- i. A commentary on the student feedback and peer feedback presented that demonstrates action taken to improve teaching based on critical reflection on this and other feedback
- j. Evidence of Postgraduate Research Supervision.
- k. A table listed by category (i.e. PhD, Masters by Research, Professional Doctorate, Honours) summarising:

- i. successful postgraduate student completions (including dates enrolled and completed);
- ii. students under supervision (including date enrolled)
- iii. Proportion of supervision; and
- iv. Whether principal or co-supervisor.

(28) It would be expected that an applicant with a substantial 'Teaching and Learning' portfolio weighting would also provide evidence of the Scholarship of Teaching and Learning under the 'Research, Creativity and Scholarship' portfolio area/criterion including evidence of development of proposals and applications for internal and external grants and awards.

## **Research, Creativity and Scholarship**

### **Research and Creativity**

(29) A portfolio of research and/or creative activity is a factual description of an academic's research, creative and/or scholarship strengths and accomplishments. It includes reference to documents and materials that collectively support the scope and quality of their research, creative and/or scholarship performance.

(30) It is understood that in the creative fields some reinterpretation of the items below may be necessary. It is the responsibility of the applicant to address 'research active' criteria and standards, relevant at the time of the call for applications to their desired academic level, which are published on the University website.

(31) The portfolio is to include, but not limited to:

- a. a personal research history, in language suitable for both practitioners in the field and lay people, describing the major contributions made to the research and field of interest;
- b. a statement of research philosophy and its fit to the strategic plans of the University;
- c. a description of the evidenced based impact of the research in the relevant field including its relationship to the strategic directions, for example to learning in the workplace and the community and to evidence-based teaching;
- d. Values per the MIRA Policy, providing particular reference to any current or desired academic promotion benchmarks;
- e. A listing of the four most significant activities or achievements in the career to date, together with brief evidence regarding impact. These could be single publications, or exhibitions for example, but also may include establishment of Research Centres, International Clearing Houses or a body of work that has had a substantial impact on a specific field of research.

(32) Utilising the 'Research, Creativity and Scholarship' template, the application must include supporting evidence of the regard in which the applicant's scholarship, creativity and/or research is held, sufficient to substantiate all research and scholarship claims made in the portfolio. The applicant must include a full list of activities, including: publications, performances or exhibitions: using ERA rankings (see Australian Research Council - ERA for more information). Note where ERA ranking is not possible to be provided and the reason, citation data or other appropriate measures (e.g. H factors where available), to highlight the relative impacts.

(33) Applicants are encouraged to provide clearly, in relation to their discipline, the evidence of performance in research, creative and scholarship activities. A checklist of the categories of evidence to be considered are:

- a. Research grants and awards: The applicant will need to show an ability to attract support for research — for example from external granting bodies, particularly from National Competitive Grants or other external granting agencies and industry partners and internal university grants. Applications should indicate whether the applicant was a principal or co-investigator, the funds gained, and resulting publications should be referenced.

- b. Technology transfer: Provide record of performance/attainment in the transfer of the results of their research and development to industry and commerce, the professions and the wider community, including any patents held, and provide full details of research outcomes from consultancies undertaken.
- c. Consulting: Provide evidence of major consulting projects undertaken. Include details such as the agency utilising the services, the nature and significance of the assignment, topic area(s) and duration of each project. Where research and/or consultancy work is of a confidential type, applicants are advised to provide appropriate details of work, and the means by which it can be corroborated and confirmed.
- d. Research capacity and leadership of research groups: The applicant can demonstrate a capacity to lead others in research through involvement with research associates, research students, and any others in a group context.
- e. Published material: In arguing for the significance of particular published works it is essential to provide information about the ERA rankings, and/or the subsequent use/citation of the work within the professional area or discipline.
- f. Conference papers: It is important to indicate whether the paper has undergone a review or refereeing process. Professional recognition can also be through keynote addresses, invited participation on conference panels, or by lecturing at other Universities, etc.
- g. Works presented through other media: Evidence of creative and professional work undertaken in a non-print form consistent with ERA definitions. Please refer to Australian Research Council - ERA or contact the Office of Research for advice.
- h. Citations and critiques by others: Provide evidence of significant public critiques/reviews, acknowledgments of work by others, and where available, citations of work made by others in their publications, H factors, etc.
- i. Other evidence of scholastic esteem: For activity that does not align with current University approved categories, or might be regarded as atypical, the onus is on the applicant to demonstrate the value and impact of the work on the appropriate community/ stakeholder.

(34) Applicants should clearly identify their percentage contribution to each work published jointly with other authors. There must be a clear delineation between works done since the more recent of; a) being appointed to a position with the University or b) being promoted to the current academic classification level and earlier work.

### **Scholarship**

(35) Scholarship is an evidence-based approach to improving student learning based on teacher inquiry into teaching, learning and supervision and the sharing of the results of this inquiry within local, state, national and/or international communities of practice.

(36) It thus includes teaching practice that is informed by the body of knowledge about tertiary teaching (sometimes called scholarly teaching) as well as contributing to that body of knowledge. It is not just about teaching in a scholarly way but about making that teaching public and open to critique by peers in the same way that research findings are communicated to others and subject to peer review.

(37) The scholarship of teaching develops from a basis of scholarly teaching in a discipline, but is not the same as excellent teaching. It involves exploring, testing, practicing and communicating improved pedagogies, learning processes, curricula, policies and learning materials.

(38) It meets the following additional criteria in the context of the promotion of student learning:

- a. high levels of discipline-related expertise;
- b. an understanding of who the learners are, how they learn and what practices are most effective in the context of the discipline (pedagogical content knowledge);
- c. breaks new ground and is innovative;

- d. can be replicated and elaborated; and
- e. documented and subjected to peer review.

(39) The Scholarship of Teaching and Learning section of the portfolio must include:

- a. A succinct, reflective account of the applicant's approach to and development in the scholarship of teaching and learning and its fit to the strategic directions of the University;
- b. A description of activities based on research into the applicant's practice in teaching their discipline, including websites, conference presentations, workshops, papers, books etc., in particular related to 'Victoria University Strategic Plan 2012 — 2016: Excellent, Engaged and Accessible', for example working within Distinctive Specialisations, implementing learning in the workplace and community, customized learning and workforce development;
- c. A listing of publications in the area of tertiary teaching and learning, including websites, papers, chapters of books etc. (listed in the Research, Creativity and Scholarship template);
- d. A description of the impact of activities on teaching and learning in the applicant's discipline within Victoria University and at other Universities within Australia and internationally.
- e. A list of applications made for teaching awards and teaching awards received.
- f. A list of applications for and success in grants for Teaching and Learning activities (both internal and external grants)

(40) As part of an appendix the application must include the above listings and supporting evidence of the regard in which the applicant's above activities and outputs are held. The application must also include all grants received, (using the template supplied) and use citations or other appropriate measures, to highlight the impact of the outputs and include evidence of development of proposals and applications for internal and external grants and awards.

## **Academic Leadership**

(41) Applicants to Academic levels D and E must explicitly demonstrate academic leadership relevant to the University. Academic leadership includes, without limitation, activities such as:

- a. development of a research mentoring program within a faculty/school or college,
- b. setting up programs to improve the teaching performance,
- c. development and implementation of leading-edge teaching practices across a school or college,
- d. cultivating cooperative work practices that foster excellence in teaching and research and/or pathways between Vocational Education and Higher Education.

(42) In relation to applicants to Academic level E, normally significant evidence of intellectual or other academic leadership in line with the VUSAL requirements must be provided.

(43) The portfolio should include evidence that the applicant has provided a personal role model for the types of behaviour expected of all University staff and notably those that reflect the values adopted in the 'Victoria University Strategic Plan 2012 — 2016: Excellent, Engaged and Accessible', and the Staff Code of Conduct and University Values.

## **Service to the University**

(44) Service to the University recognises the range of University-based management and administration responsibilities that enable the University to achieve its strategic goals. It includes, without limitation, activities such as:

- a. course co-ordination
- b. institutional contribution as Chair/ Member of University/ Faculty/College Committees or Working Parties and

- c. service in senior management roles at School, Institute, Centre, Faculty/College or Central University level, in particular as these relate to the achievement of the objectives of the 'Victoria University Strategic Plan 2012 — 2016: Excellent, Engaged and Accessible'.

(45) It is recognised that many senior roles include both a leadership and a service aspect so that one role may appear under both criteria. In such cases a clear distinction must be made between the leadership aspects and the service aspects of the role.

(46) The portfolio is to include:

- a. A summary of personal history of service to the University;
- b. A succinct statement of philosophy of service and its fit to the strategic directions of the University;
- c. A description of selected service related practices, with particular emphasis on the outcomes and impact of service in particular innovations related to the 'Victoria University Strategic Plan 2012 — 2016: Excellent, Engaged and Accessible' for example enabling working within Distinctive Specialisations, implementing learning in the workplace and community, customized learning and workforce development;
- d. A description of professional development practices and processes around service; and
- e. A list of awards, invitations and other indicators of recognition for service contributions within and beyond the University.

(47) The 'Service to the University' template should include supporting evaluative evidence such as appropriate use of quality cycles, testimonials, measurement of Key Performance Indicators and peer feedback to evidence achievement. It should also include evidence of development of proposals and applications for internal and external grants and awards.

## **Engagement with Industry, Community and Profession**

(48) Engagement with Industry, Community and Profession is not a portfolio area (criterion) in its own right. Engagement with industry and community is a characteristic of VU Strategic Plans that is integrated with other criterion covering teaching and learning, research, creativity and scholarship, academic leadership and service. Engagement with Industry, Community and Profession should be addressed by applicants under each relevant portfolio area (criterion).

(49) Engagement includes working in partnership with industry, community, government and professional bodies locally, nationally and internationally.

(50) Evidence of engagement with industry, community and professional bodies that can be integrated with other criterion in addressing portfolio areas includes:

- a. a summary of personal history of the nature of engagement and its relation to University Strategic level Plans;
- b. a succinct statement of how the engagement activities align with and advance the strategic goals of the University;
- c. a description of selected practices, with particular emphasis on the outcomes and impact of the engagement activity with particular reference to the strategic goals of the University;
- d. a description of professional development practices and processes around engagement; and
- e. Details of grants received, honorary appointments, invitations and testimonials.

(51) Evidence of development of proposals and applications for internal and external grants and awards should also be included.



## Qualifications and Experience

(52) Applicants must provide details of their relevant qualifications including dates conferred and institutions from which the qualifications were obtained. Details of relevant professional or industry experience or engagements should also be provided. This information may be contained within the brief Curriculum Vitae required to be included with the application.

(53) In evaluating qualifications and experience consideration will be given to relative market conditions and discipline area norms and expectations.

## Part D - Assessment

### Criteria

(54) The Minimum Standards for Academic Levels and Victoria University Standards for Academic Levels define the performance expectation for each Academic Level. Refer to the [Academic Classification Policy](#) for more information.

(55) The University has defined minimum expectations regarding the impacts/outputs expected to be achieved by academic staff in;

- a. Teaching and Learning
- b. Research, Creativity and Scholarship
- c. Academic Leadership
- d. Service to the University

(56) These minimum expectations are reflected in the weightings attributed to portfolio areas (criterion) defined in clause XX of these Procedures.

(57) Applicants are able to ascribe on their Application Form their desired weighting to each criterion, subject to the prescribed minimum weightings being applied (and a total weighting of 100%).

### Rating Scale

(58) For each application, in consideration of the MSALs and VUSALs, each member of the Promotion Panel will assign a whole (no fractional scores) score to each criterion according to the following rating scale:

Score	Evidence for Promotion
1	Nil or little
2	Marginal
3	Some
4	Strong
5	Very strong

(59) Each member of the Panel will provide a scoring summary together with a brief justification to People and Culture for the Panel, three working days prior to the nominated Panel meeting.

(60) Panel members have the opportunity to alter their ranking for all criteria for each applicant during discussion by the Panel.

## Weighting

(61) The average of the raw scores developed in accordance with clause (58) will be applied to a weighting in each criterion provided by the applicant (subject to minimum prescribed weightings) on the Application form.

(62) Applicants should ensure their portfolio of outputs and impacts is consistent with the minimum prescribed weightings and weightings for criterion they have prescribed in their Application form.

(63) For the various criteria representing academic achievement, both the quantum of work and the standing of the work are expected to be higher where the applicant assigns higher weightings. Thus, if the application is highly geared to "research, creativity and scholarship", i.e. a high weighting is given, it may reasonably be expected that the applicant could clearly demonstrate a significant quantum and very highly regarded outputs in this portfolio area.

(64) The following table outlines the percentage weighting ranges for the criterion for each Academic Level.

Criterion	All levels	Level B & C	Level D	Level E
Teaching and Learning	These two criteria must sum to a minimum of 50	10 - 80	10 - 70	10 - 60
Research, Creativity and Scholarship		10 - 80	10 - 70	10 - 60
Academic Leadership		0 - 40	10 - 40	20 - 40
Service to the University		10 - 50	10 - 40	10 - 30

(65) These minimum and maximum percentages may be varied under exceptional circumstances. In such circumstances written approval of the Chair of the Promotions Panel is required no later than the closing date for submission of applications.

## Part E - Recommendation and Determination

(66) The Promotion Panel will consider the applications at each academic level with reference to the MSALs, VUSALS, and relevant Academic Position Descriptions current at the time of call for application, in addition to the various other criteria described in the Higher Education Academic Promotions Policy and Procedures and the evidence provided by the applicant to the Panel.

(67) The quorum for the Promotion Panels will be 5. The outcome shall be determined by a simple vote for and against promotion for each applicant with a majority decision prevailing. Where a decision is tied, further discussion will be held until a majority decision is reached or, if after a reasonable period of further discussion no majority decision is reached, decided on the casting vote of the Chair.

(68) A Panel report will be submitted to the Vice-Chancellor by the Chair of the Promotion Panel. In relation to determinations for Academic Level B and C, College Deans will meet collectively with the Pro Vice-Chancellor (Colleges and Distinctive Specialisations) to review assessments before recommendations are made to the Vice-Chancellor.

(69) The Vice-Chancellor has the sole discretion to determine to grant or deny Promotion. The Vice-Chancellor will consider the recommendations of the Promotions Panel and has the discretion to request any other documentation from the Promotion Panel, or applicant, in making the determination.

## Part F - Supervisor, Referee and Assessor Reports

(70) A number of reports will be available to the Promotions Panel to assist them in their deliberations. These may include a Supervisor's report, referee reports and reports from external, independent assessors. The assessment of all applications for Promotion will be on merit and based on the requirements for academic classifications outlined in the

Academic Classification Policy including the MSALs and VUSALs, relevant Academic Position Descriptions and the Higher Education Academic Promotion Policy and Procedures.

## **Supervisor Reports**

(71) It is the responsibility of the applicant to obtain a Supervisor's Report from their Supervisor. The applicant should make this request no less than one week prior to the closing date for applications. The applicant must supply the Supervisor with a copy of the final application by the closing date.

(72) If these steps are not completed within the required time frame, it will be at the Supervisor's discretion as to whether the report can be completed by the required deadline, or, whether the applicant will be delayed in lodging an application until the following year. The Supervisor must submit the report within 10 working days of the closing date.

(73) The Supervisor's Report must be submitted on the appropriate template available from the People and Culture Intranet site.

(74) Where the applicant's Supervisor is applying for promotion to the same level in the same round or is unavailable to provide a Supervisor's Report due to absence or leave, the PVC Colleges (Distinctive Specialisation) shall nominate a suitable person to provide a Supervisor's Report.

(75) Applicants may provide up to a one-page response to the Supervisor's Report.

(76) One copy of the Supervisor's Report, together with the applicant's response, must be provided by the applicant to the same person the application was submitted to within 12 working days of the closing date.

(77) f) A person providing the Supervisor's Report cannot be nominated as a referee.

(78) See the Supervisor Report template available from the People and Culture Intranet site for more detail.

## **Referee Reports**

(79) Applicants for promotion must nominate two academic or professional referees, one of which must be external to the University.

(80) An applicant will be asked to nominate an alternate referee should one of an applicant's original referees be a Promotion Panel member.

(81) Applicants are responsible for ensuring nominated referees are willing and available to provide a report in a timely manner and must provide current referee contact details.

(82) People and Culture will contact the referees by e-mail to request Referee Reports. Where practical, People and Culture will inform applicants of any outstanding reports. It will be the applicant's responsibility to follow up with referees. Where practical, applicants will be advised if a referee fails to submit a report.

(83) Referees are requested to submit Referee Reports within three weeks of the closing date of applications.

(84) Members of a Promotion Panel cannot provide Referee Reports for applicants to that Panel.

(85) Referee Reports cannot be obtained from other applicants for the same level in the same promotion round.

(86) All Referee Reports are provided in the strictest confidence, and it is a condition of application that Referee Reports will not be released to applicants.

(87) See the Referees Report template and Instructions for further details regarding Referee Reports.

## Assessors Reports

(88) In consultation with the relevant Supervisor, Dean or Institute Director, the Chair of the Panel may nominate external assessors for applicant/s at Academic Level B and C in field/s appropriate to the application. This may be undertaken for instance in the case of an appeal process when there is a specific feature of an application on which the panel would benefit from expert external advice.

(89) For Academic Level D and E, external assessors are mandatory. The Chair of the Panel will ratify nominations made by Supervisors for external assessors for each applicant in fields appropriate to the application.

(90) For Academic Level D or E applications, a minimum of one external assessment is required to enable an application to be considered by the Promotion Panel. Supervisors should provide at least two nominations of external assessors for ratification by the Chair of the Panel, after considering alternatives including at least two possible nominations suggested by the applicant.

(91) In nominating assessors, Supervisors will make every attempt to ensure that those persons are independent. As a guideline, for assessors to be considered 'independent of the applicant' they should not have:

- a. co-published with the applicant (the ARC conflict of interest guidelines should be used as a reference in relation to this issue)
- b. worked on a research grant together with the applicant,
- c. supervised the applicant as a PhD student or have been supervised by the applicant,
- d. have a close personal relationship or association,
- e. have common business interests or other conflicts of interest as defined in the University's Staff Code of Conduct.

(92) Where appropriate, an assessor may be requested to assess more than one application per year.

(93) Where applicants do not want the Promotion Panel to approach a particular assessor/(s), they may name the person/(s) on their Application form including a brief outline of the reason for their request.

(94) Applicants may also nominate the discipline from which they prefer at least one assessor to be called and provide clear reasons for this request. The Chair of the Panel will make final determination as to which assessors are authorised to be approached for an Assessor Report.

(95) People and Culture will contact assessors, requesting an Assessor Report and providing to the assessors a copy of the promotion application excluding the Supervisors Report and any confidential aspects of the Application form.

(96) Assessor Reports are provided in the strictest confidence, and it is a condition of application that Assessor Reports will not be released to applicants nor the identity of assessors disclosed.

(97) See the ' External Assessor Report ' template for further details regarding Assessor reports.

## Part G - Other application details

### Interrupted Career

(98) Applicants must explicitly outline any claims made for interrupted career on the basis of carer or family responsibilities, illness or injury within their application. The claim must include the time periods over which the interruption is claimed. Assistance may be obtained from People and Culture.

(99) The Promotions Panel will consider claims for interrupted career over the period claimed, specifically giving consideration to a reduced quantity of work.

## **Application deadlines**

(100) Applicants are required to advise their Supervisor of their intention to apply for promotion by the date advised in the Higher Education Academic Promotion Key Dates document.

(101) Applicants must submit their application by the date advised in the Higher Education Academic 'Promotion Key Dates' document ensuring all requirements of the Higher Education Academic Promotion Policy and Procedures have been complied with.

(102) All deadlines and required formats and page limitations prescribed in the Higher Education Academic Promotions Policy and Procedures will be strictly enforced unless a specific exemption is granted in writing by the Chair of the Panel or nominee.

## **Format of Applications**

(103) Applications must be submitted in accordance with the formatting, submission and page limits specified in Schedule 1 of these Procedures.

(104) Applications must be submitted using the standard templates available from the Academic Promotions section of the People and Culture intranet site.

(105) Should an application be non-compliant with the requirements at Schedule 1, the application will be returned to the applicant prior to consideration by any panel on the ground of substantial non-compliance. Where an application is returned there will normally be no opportunity to resubmit the application in the current round.

## **Update on Significant Developments**

(106) Applicants may provide the appropriate number of copies (see Schedule 1 of these Procedures) of an update/(s) on significant developments to People and Culture no later than 5.00pm eight business days prior to the meeting of the University Promotion Panel.

(107) Updates must be of a significant nature and apply to events that have occurred since the application was first lodged. This update must be limited to one A4 page.

## **Part H - University Promotions Panels**

### **Membership**

(108) A University Promotion Panel will consider applicants for promotion.

(109) For all promotion panels the Vice-President, People and Culture or nominee will act as the Executive Officer to the Panel.

(110) All panels should have an observer from People and Culture.

### **For Academic Levels B & C**

(111) For Academic Levels B & C, applications will be considered by one of two Promotion Panels:

- a. PVC Colleges and Distinctive Specialisations with responsibility for the Colleges of: Arts; Education, Law and Justice; and Engineering and Science.
- b. PVC Colleges and Distinctive Specialisations with responsibility for the Colleges of Business; Health and Biomedicine; and Sport and Exercise Science

(112) Applicants for Levels B and C who do not sit within a particular College should submit their applications under the panel most relevant to their disciplines.

(113) Each Panel will comprise six members as follows:

- a. A Chair — PVC Colleges and Distinctive Specialisations,
- b. One internal staff member nominated by the Academic Board;
- c. Two internal staff members selected by the Vice-Chancellor or nominee from a pool nominated by Deans of Colleges;
- d. One external member, nominated by the Vice-Chancellor or nominee;
- e. One member of another University Promotion Panel (category B or C), nominated by the Vice-Chancellor or nominee.

(114) Eligibility for membership of Panels considering applicants at Level B or C will be at Senior Lecturer (Level C) or above.

### **For Academic Levels D & E**

(115) For Academic Levels D & E there will be only one University Promotion Panel comprising seven members as follows:

- a. A Chair — Deputy Vice-Chancellor or other nominee of the Vice-Chancellor;
- b. One internal staff member of the University nominated by the Academic Board;
- c. Two internal staff members, selected by the Vice-Chancellor or nominee;
- d. Two external academics from other Universities, nominated by the Vice-Chancellor or nominee;
- e. Higher Education Pro Vice-Chancellor or other nominee of the Vice-Chancellor or nominee.

(116) Eligibility for membership of Panels considering applicants to Academic Levels D or E, will be at Associate Professor (Level D) or above, with at least four members at the rank of full Professor (Level E).

### **Panel Constitution Conditions**

(117) A University Promotion Panel will be deemed to be correctly comprised if five members are available. Non-attending members will be encouraged to communicate their views, in writing, to the Panel through the Chair prior to the meeting of the Panel.

(118) Where membership on the Panel may be compromised by illness, absence or conflict of interest, the Chair of the Panel, in consultation with the Vice-Chancellor and where appropriate the Chair of Academic Board, may nominate an appropriate replacement.

(119) Members appointed to a panel will have a term of three years commencing 1 January of each year. If a Panel member becomes unavailable for a promotion round during their three-year term, a substitute member will be sourced from their category of membership provided reasonable notice is given.

(120) As far as possible, appointments will reflect a relevant balance of the academic interests across the University.

(121) Membership of the University Promotion Panels will be selected with due regard for the University's principles on gender balance. Each Promotion Panel shall not have more than 70% representation of one gender.

(122) Panel members shall be eligible for re-appointment. No member shall be appointed for more than two consecutive terms.

(123) Where a panel member is unavailable for one year of their three-year term they may be replaced for the term of the vacancy.

(124) In instances where an academic member of staff cannot sit on a Promotion Panel, they must advise People and Culture as soon as possible.

### **Indigenous Applicants**

(125) Where an application is made by an indigenous staff member, the relevant Promotion Panel will be increased by the inclusion of an indigenous academic. This person will be appointed by the Vice-Chancellor and may be a staff member of Victoria University or from another University.

(126) An Indigenous Applicant may choose not to have Indigenous representation on the Panel.

### **Procedural Fairness**

(127) All Promotion Panels will ensure they conduct proceedings consistent with the principles of procedural fairness. Promotion Panels should discuss each written application in detail, with reference to the relevant criteria, and determine if any aspects of the application require clarification.

(128) If the Panel requires clarification of aspects of the application prior to deliberations, areas of ambiguity should form the basis of questions to applicants, the College Dean and/or the Academic staff member nominated by the applicant. New information or concerns should not be introduced by the Panel after its deliberations have begun.

(129) At the conclusion of the Promotion Panel's deliberations, the Panel Chair will give opportunity for Panel members and observers to raise concerns of equity, fairness, process or procedures. These comments will be recorded by the Chair and forwarded to People and Culture as part of the formal periodic Policy and Procedures review process.

### **Conflict of Interest**

(130) Staff involved with Promotion Panels who may have a conflict of interest as defined in ARC Guidelines and the University's Staff Code of Conduct, or bias against an applicant, whether it be actual or perceived, are required to advise the Chair of the Panel immediately.

(131) A member who has a conflict of interest will not participate in deliberations of the Panel for the particular application.

(132) ARC guidelines and University Staff Code of Conduct regarding conflict of interest should be used as a reference in assessing whether a conflict of interest exists.

### **Disclosure of Conflict of Interest**

(133) The following procedures should be followed:

- a. All Promotion Panels must have a standing agenda item calling for declarations of (potential) conflicts of interest.
- b. If a member of a Promotion Panel has an interest such that a reasonable observer, knowing all the facts, could reasonably conclude that the interest could affect the decision or functioning of the Panel, the member must disclose the interest.
- c. Notification of an actual or potential conflict of interest should be made to the Chair of the Panel.
- d. If a declaration is made, the Panel must consider the relevant circumstances including the seriousness of the conflict, the risk of a perception that a conflict exists, the likelihood that decisions may be influenced, and the ability to obtain alternative suitable representation on the Panel.

- e. The response to a declaration may be to determine that the issue will not affect, or be perceived to affect, the functioning of the Panel; require the individual to withdraw from the meeting for those proceedings directly affected by the potential conflict; or request that the individual resigns from the Panel. The meeting will be deemed to still be quorate in such circumstances.
- f. The Panel minutes should record that a potential conflict of interest was disclosed. Normally there will be no requirement to record the details of the conflict.

## **Guidance and Training for Promotion Panel Members**

(134) Members of the University Promotion Panel shall be trained in the Higher Education Academic Promotion Policy and Procedures. Members of the Panel are expected as part of their duties to undergo training which will normally cover the following:

- a. This Procedures document, the Higher Education Academic Promotion Policy and related policies and their relationship to the University's Strategic Directions;
- b. Application of the criterion for promotion, including assessment of Supervisor and Assessor Reports;
- c. Portfolio Development expected approach;
- d. The principles of equity diversity, confidentiality, privacy, conflict of interest and procedural fairness;
- e. Benchmarks to assess equivalence of qualifications relevant to academic level and community of practice including MSAL and VUSAL; and
- f. Measures of research, creative and scholarship activity relevant to Level and community of practice.

## **Guidelines for Panel Observers**

(135) The following guidelines apply to the inclusion of Panel Observers at Promotion Panel meetings:

- a. Promotion Panel observers will have the right to view all relevant documentation supplied to Promotion Panel members.
- b. Observers will have the right to speak at meetings in order to comment on proceedings in relation to process and procedures.
- c. Where problems, which relate to breaches of equity, fairness, process or procedure, are identified by an observer, these items will be added to the current meeting agenda for discussion and full consideration.
- d. In the event of an observer being unable to attend the promotions meeting, every effort will be made to ensure a suitable replacement is found. The non-attendance of an observer will not be cause for a meeting to not proceed.

## **Guidelines for and Training of Mentors and Advisors**

(136) Mentor/advisor training will be offered to Academic supervisors and Mentors/ Advisors to assist them guiding their fellow staff members through academic promotion applications. The Program, will cover, but will not be limited to the following issues:

- a. Career Planning and preparation for promotion applications;
- b. Higher Education Academic Promotion Policy and Procedures and related policies as well as the University's Strategic Directions;
- c. Use of application templates;
- d. Application of the promotion criteria for each academic category and level; and
- e. The portfolio development approach.



# Part I - After the process

## Advice and feedback to applicants

(137) Assessment of applications and recommendations are to be made directly to the Vice-Chancellor from each University Promotion Panel. In the case of Panels for B and C, Chairs will meet to assure parity in panel processes prior to final recommendations to the Vice-Chancellor.

(138) All applicants shall be advised in writing of the outcome of their application in a standard pro-forma. Those applicants not recommended for promotion shall be advised in writing with the reasons for non-recommendation.

(139) Applicants who were not recommended by the Promotion Panel will be made an offer for the provision of verbal feedback.

## Appeals

### Grounds for appeal

(140) Academic staff may appeal against promotion decisions affecting them on the grounds that the University Promotion Panel has not followed correct procedures or has breached the principles of procedural fairness, which in the opinion of the appellant, materially and adversely affected a decision on an application for promotion.

### Form of appeal

(141) An appellant must lodge a written notification of appeal with the Vice-President, People and Culture no later than one calendar month after the date on which the applicant received official notice of his/her unsuccessful application.

(142) The appeal must set out the precise grounds of each and every respect in which it is alleged a Promotion Panel failed to follow the approved academic staff promotion policy and/or procedures.

(143) All supporting written evidence must accompany the appeal notice.

(144) Any such appeal will be based on the application as submitted. No additional information other than the grounds for appeal may be submitted.

### Appeal Process

(145) The appellant must lodge a written appeal with the Vice-President, People and Culture no later than one calendar month after the date on which the applicant received official notice of his/her unsuccessful application.

(146) The appellant will use the ' Promotion Appeal Template ' and indicate in the appeal for each alleged breach of the policy and procedures:

- a. The precise academic staff promotion policy or procedure clause that allegedly was not followed, and
- b. The precise grounds demonstrating how the University allegedly has not substantially followed correct procedures or has breached the principles of procedural fairness; and/or
- c. Any allegedly substantially incorrect information upon which the applicant believes the University has made their decision.

(147) All supporting written evidence must accompany the appeal notice.

(148) The Vice-President, People and Culture or nominee will provide a copy of the appeal to the Vice-Chancellor or nominee for information.

(149) The Vice-Chancellor or nominee will respond either by showing how the Higher Education Academic Promotion Policy or Promotions Procedures were complied with or concede the claim by the appellant. If the Vice-Chancellor does not concede the Appeal, the Vice-Chancellor's response to the appeal will be made available to the appellant.

(150) In the event the claim is conceded by the Vice-Chancellor or nominee, the Vice-President, People and Culture will refer the appeal back to the University Promotion Panel for reconsideration for promotion. The appeal does not have to proceed to the Appeals Panel.

(151) In the event that the appeal is not conceded, the appellant should confirm his/her wish to continue with the appeal. If the appellant wishes to proceed, the Vice-President, People and Culture will arrange for an Appeals Panel to be formed.

(152) The Vice-President, People and Culture or nominee will, within 14 days of the receipt of the Vice Chancellors response to the appeal, notify the appellant and Appeals Panel of the date when the Appeals Panel will convene.

(153) In the event that the appeal is not conceded, the Vice-Chancellor or nominee will forward a response to the appeal to the Appeals Panel, via the Vice-President, People and Culture, for consideration alongside the appeal.

(154) The Vice-President, People and Culture or nominee will provide members of the Appeals Panel with copies of all relevant documentation, including:

- a. The appellant's written appeal,
- b. The University's written response,
- c. Where necessary, the appellant's full application, and
- d. The relevant Higher Education Academic Promotion Policy and supporting documentation.

(155) The Appeals Panel may interview the appellant, and if it deems it necessary to seek further information, it may interview the Chair of the Promotion Panel, and any other person(s) it may consider appropriate.

(156) After considering the appeal, the Appeals Panel may reject the appeal or uphold the appeal.

(157) In the event that the appeal is upheld, the Appeals Panel will provide a written response and refer the application for promotion back to the Promotion Panel for reconsideration. After reconsideration, and without delay, the Promotion Panel will advise the appellant and the Appeals Panel of its reasoned decision.

(158) The Chair of the Promotion Panel must provide a report to the Appeals Panel, outlining how the decision of the Appeals Panel was accounted for in the reconsideration of the University Promotion Panel.

(159) Should the appeal be rejected, the appellant will be provided with the reasons why the appeal was rejected, but the appellant will have no further right of appeal against the decisions of the Promotion Panel or Appeals Panel.

## **Appeals Panels**

(160) The Vice-President, People and Culture or nominee will ensure that Appeals Panels are established in accordance with these procedures, in the event that appeals are lodged at either levels B & C or D & E, respectively.

(161) Appeals Panels will be formed once an appeal has been lodged. Separate Panels will be constituted to deal with levels B & C and D & E, respectively.

(162) Membership of the Appeals Panels will comprise:

- a. An external chair being an external member of University Council nominated by the Chancellor who will act as the Chairperson of the Committee;

- b. A member of the University's academic staff, at level C for the B and C Panel appeals and at level E for the D and E panel appeals nominated by the Academic Board; and
- c. A senior University academic nominated by the Vice-Chancellor.

(163) The Vice-President, People and Culture or nominee, will act as the Executive Officer to the Panel.

(164) The membership will be selected with regard to the University's requirement to meet gender balance.

(165) If an appeal is received from an Aboriginal or Torres Strait Islander (ATSI) academic staff member, that academic staff member may choose to be accompanied by an ATSI academic staff member, if the staff member is required to meet with the panel.

### **Appeal Panel Terms of Reference**

(166) The Appeals Panel will have the power to:

- a. determine whether an appellant's application for promotion was materially and adversely affected because the University has not followed correct procedures or has breached the principles of procedural fairness;
- b. determine whether a panel's decision was based on substantially incorrect information; and
- c. make recommendation(s) to the Vice-Chancellor for change(s) to the approved Higher Education Academic Promotion Policy or processes as a result of the Panel findings.

(167) The University may tender a written response to the appeal for the consideration of the Appeals Panel.

(168) The Appeals Panel is not empowered to decide the merits of an application for promotion.

## **Section 6 - Guidelines**

(169) Format for Promotions Applications

## Status and Details

<b>Status</b>	Historic
<b>Effective Date</b>	3rd September 2014
<b>Review Date</b>	3rd May 2017
<b>Approval Authority</b>	Vice-Chancellor
<b>Approval Date</b>	3rd September 2014
<b>Expiry Date</b>	21st July 2016
<b>Responsible Officer</b>	John Germov Senior Deputy Vice-Chancellor and Chief Academic Officer +613 99195077
<b>Enquiries Contact</b>	John Germov Senior Deputy Vice-Chancellor and Chief Academic Officer +613 99195077