

Academic Promotions Guidelines

Version 10
January 2024



1. Eligibility

- 1.1 Academic staff within all work focus categories holding full-time or part-time positions, whether continuing or fixed-term, may apply for promotion on the basis of their career achievements relative to opportunity.
- 1.2 Staff must have been employed at the University for at least one year in a continuing or fixed-term role prior to the required lodgment date of a promotion application.
- 1.3 Continuing staff must be confirmed in their position. Concurrent applications can be made for confirmation and promotion during the promotion round.
- 1.4 All applicants must have participated in the University's Performance Development Framework (PDF) at least once and within the last 12 months.
- 1.5 Honorary appointees, Honorary Clinical appointees, University Visitors and casual staff are not eligible to apply for promotion.

2. Principles

- 2.1 All promotion decisions will be guided by the principles specified in the University's [Academic Appointment, Performance and Promotion Policy](#).
- 2.2 In particular, the promotion process aims to ensure:
 - a. Promotion of academic staff that recognises and rewards sustained high achievement.
 - b. Equity, transparency, confidentiality and fairness in all decisions related to promotion.
 - c. Judgments about promotion are:
 - Made on whole-of-career achievements relative to opportunity, with particular attention given to the recent achievements of staff, including within their current Work Focus Category;
 - Informed by the staff member's performance as assessed in annual and/or triennial reviews within the Academic Performance Development Framework;
 - Made by committees of peers through a process designed to enable fair and consistent application of standards;
 - Made across the two dimensions of academic performance that form the University's Academic Performance Framework (APF)—*activities and engagement*, and *quality, impact and influence*—as detailed in the [Academic Career Benchmarks and Indicators](#) in conjunction with the University's Frameworks for Educational Excellence and Research Impact, taking into account differences between disciplines and fields of study and the diversity of academics across the domains of academic work.

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- 2.3 Applications for promotion will be treated with appropriate levels of confidentiality throughout the promotion process. All Heads of Department, members of appointments and promotions committees, internal and external assessors and any other people consulted in special circumstances will be advised of the confidentiality of applications.
- 2.4 Where an individual is involved in a promotion round as an applicant, they cannot participate in the deliberations, provide references or be involved in the decision-making process in any way for the respective academic level. This is inclusive of supervisors, panel members and Heads of Department.

3. Criteria

- 3.1 The Academic Performance Framework (APF), illustrated below, will be used to assess staff members' achievements in the performance dimensions of *activities and engagement*, and *quality, impact and influence*, across the academic domains of Education, Research and Research Training, and Leadership and Service:

Academic Performance Framework			
Performance Dimensions	Academic Domains		
	Education	Research & Research Training	Leadership & Service
Activities and engagement <i>The overall volume and range of academic activities, contributions and outputs</i> <i>The patterns of scholarly engagement beyond the academy with communities, industries and public policy</i>			
Quality, impact and influence <i>Indicators of scholarly excellence, originality and recognition by the academy</i> <i>Indicators of impact and influence beyond the academy</i> <i>Indicators of contributions of public value</i>			

- 3.2 The [Academic Career Benchmarks and Indicators](#), the University's guidelines for the expectations, contributions and achievements of academic staff, together with the University's Frameworks for Educational Excellence and Research Impact, will also be used to assess a staff member's achievements. Consideration is given to the staff member's entire career, regardless of their present Work Focus Category.

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- 3.3 The [Minimum Standards for Academic Levels \(MSAL\)](#) frame the duties that may be expected of an academic staff member at each level. For promotion, it is not sufficient to have met the expectations for a particular level, even over an extended period, for satisfactory performance at the current level is expected of all staff.
- 3.4 To be promoted, a staff member must demonstrate a sustained high level of achievement. Where an applicant has demonstrated a steep upward trajectory in achievements in the period prior to the application this may be favourably considered for promotion if the Appointments and Promotions Committee makes the judgement that the staff member is likely to continue with a high level of achievement.
- 3.5 To recommend promotion to each level, the [Appointments and Promotions Committee](#) must be satisfied that the applicant has demonstrated the following for each level of promotion:

Table 3.5.1: Criteria for promotion to each level

Promotion to	Applicant must demonstrate
Level B Lecturer Research Fellow Grade 2	Well-established academic skills and strong academic performance (approaching or progressing towards the benchmarks in the ACBI)
Level C Senior Lecturer Senior Research Fellow	Mastery of academic skills and excellent performance (meeting or approaching the benchmarks in the ACBI)
Level D Associate Professor Principal Research Fellow	Performance of exceptional distinction and achievements that are recognised as distinguished internationally or nationally (meeting the benchmarks in the ACBI)
Level E Professor Professorial Fellow	Outstanding performance and pre-eminence as a scholar of international standing (meeting or surpassing the benchmarks in the ACBI) Note: Includes leadership, as described in the Leadership Roles of Melbourne Professors document.

- 3.6 All promotion applications will be assessed on merit and in accordance with the University's Equal Opportunity Policy and the [Guidelines on Consideration of Performance Relative to Opportunity](#).

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4. Advice on presenting an argued case for promotion

- 4.1 Applications for promotion (including concurrent confirmation and promotion cases) should be submitted via [Academic Careers @ Melbourne Online](#) (AC@M) system.
- 4.2 Academic promotions at the University of Melbourne recognises the diversity of activities and backgrounds of academic staff. Whilst acknowledging this diversity, the normal expectation is that outstanding education, research/research training, leadership and service are the foundations of academic careers. Regardless of Work Focus Category or specific role, all academic staff members are expected to be able to demonstrate that their contributions are underpinned by scholarship.
- 4.3 Applicants must present an argued case for promotion based on their contributions to Education, Research and Research Training, and Leadership and Service. The case should be thoroughly documented and based on whole-of-career achievements, including current academic role and Work Focus Category as well as any previous roles and Work Focus Categories at the University of Melbourne or elsewhere.
- 4.4 Applicants for concurrent confirmation and promotion may submit a single application. The application must also include a brief argued, evidenced-based case demonstrating how they have met each of their confirmation criteria.
- 4.5 Applicants for promotion should thoroughly document a body of contributions and achievements that shows sustained development over time. Without being prescriptive as to how a case should be constructed and presented, applicants are required to document achievements that align with the academic domains of Education, Research and Research Training, and Leadership and Service relevant to their career history and present Work Focus Category. Applicants may address these domains in any order that advances their particular case.
- 4.6 For the academic domain of Education, applicants for promotion should make direct reference to the [University's Framework for Educational Excellence](#), highlighting how they have actively responded to the seven critical dimensions of the Framework.
- 4.7 Applicants must present the application in such a way that the committee can readily determine details for achievements across the dimensions of performance, mentioned above, of *activities and engagement*, and *quality, impact and influence*. Applicants are expected to provide a clear explanation of, and evidence for:
 - a. *Activities and engagement*:
 - The overall volume and range of academic activities, contributions and outputs
 - The patterns of scholarly engagement beyond the academy with communities, industries and public policy

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b. *Quality, impact and influence*

- Indicators of scholarly excellence, originality and recognition by the academy
- Indicators of impact and influence beyond the academy
- Indicators of contributions of public value

Applicants should also demonstrate the extent to which they have contributed to capacity development within their Department, Faculty and the University.

4.8 Consistent with the University of Melbourne's objective to be a university with a strong international profile and reputation, staff should document the international character of their academic work and the contributions they have made to international research, education and engagement and the internationalisation of the University.

4.9 Engagement describes the many dimensions of interaction between academia and wider society (governments, industries, professions, and communities) for the benefit and enrichment of both. The University recognises a variety of forms of engagement in academic careers. These include *engagement practices*, where interactions with governments, industries, professions and communities are embedded in academic work to enhance the quality, impact and public value of education and research; and *engagement programs*, which draw on education and research across disciplines to create and deliver social, cultural and economic value and impact, and which are often developed as a strategic investment by the University in collaboration with external stakeholders.

Expectations of the role, volume and purpose of engagement practices and programs vary across academic roles, levels, work focus categories, career stages and disciplines. Engagement practices are often central to the creation of high quality, high impact education and research. For many academics, engagement is also an expression of their leadership and service, within and outside the institution, including their leadership of engagement programs aligned to the University's strategic objectives. For most academics, engagement expectations grow with academic seniority and the breadth and depth of their academic career.

Applicants should document the role, purpose and influence of engagement in their education, research, and leadership and service, appropriate to their role and context. Applicants should demonstrate how engagement practices and programs contribute to the quality and impact of their academic work and the University's engagement aspirations.

For some academic staff, engagement activities and leadership of engagement programs constitute an extensive component of their academic role and their contribution to the University. These staff should thoroughly document the innovation, quality and impact of their engagement contributions and achievements and provide appropriate supporting evidence.

4.10 In the circumstances of team-based achievements, applicants must clearly indicate the nature and extent of their personal contributions.

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- 4.11 Staff engaged in artistic and creative endeavours must document their activities, creative outputs and other achievements within the education and research domains as is appropriate to their case and the nature and impact of those endeavours. Applicants should seek advice from their Head of Department on the presentation of their case.
- 4.12 The University recognises leadership and service within professions, communities and the University itself. Leadership is an expectation of a Professor at the University and applicants for promotion to Level E are required to address this as part of their argued case. Applicants for promotion to Level E are also required to document their specific plans for continued leadership, contributions and career development for at least the next three years.
- 4.13 Applicants must specify the indicative weighting they wish to assign to each of the three academic domains, within the parameters specified below for each Work Focus Category. These weightings serve as indications of where an applicant believes his or her primary achievements have been made, not necessarily the amount of time allocated or required for these achievements.

Education and Research

- Education: minimum of 30%
- Research and Research Training: minimum of 30%
- Leadership & Service: minimum of 10%

Education and Research staff are expected to undertake education and associated activities, conduct original research and supervise research higher degree candidates and are therefore expected to document a strong case within each of these domains.

Research Focussed

- The weightings for Education and Research and Research Training must in total be a minimum of 60% and must not exceed 90%
- Leadership & Service: minimum of 10%

The work of Research Focussed staff centres on original research and these staff are expected to assign a significant weighting to this domain. While Research-Focused staff are not required to document a case under the education domain they may wish to do so if they have gained achievements in this area during any periods throughout their careers.

Education Focussed

- The weightings for Education and Research and Research Training must in total be a minimum of 60% and must not exceed 90%
- Leadership & Service: minimum of 10%

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The work of Education Focussed staff centres on education and associated activities and these staff are expected to assign a significant weighting to this domain. While Education-Focussed staff are not required to document a case for research they may wish to do so if they have research achievements from any stage during their careers. Education-Focussed staff are expected to demonstrate: education-related scholarship, which may include showing advanced skills in evaluation and reflective practice; participating in and contributing to professional activities related to education; coordination, management and leadership of courses and student learning; conducting and publishing education-related research; demonstrating leadership through activities that have broad influence on the profession.

Academic Specialist

- Leadership & Service: minimum of 10%

The work of staff in this work focus category may be highly distinctive. Staff should present promotions applications accordingly with the advice of their Heads of Department. Staff in this category may wish to document a case under the Education and/or Research and Research Training domains if they have gained achievements in these areas at any stage during their careers.

- 4.14 Applicants whose leadership in engagement activities and programs constitutes an extensive component of their academic role, and whose role expectations include significant contributions in engagement, may, by prior approval of the Head of Department, submit an application for promotion without providing indicative weightings, or with indicative weightings outside the normal parameters set in 4.13. In these cases, applicants must thoroughly demonstrate the distinctiveness of their role and their engagement contribution.
- 4.15 Applicants should make a statement explaining the appropriateness of the weightings they have proposed. They may specify the importance they wish the committee to assign to particular areas of contribution in assessing the case for promotion.
- 4.16 Some achievements may be potentially categorised in more than one domain. However, applicants must avoid duplication and are advised to highlight particular facets or dimensions of their achievements under the most relevant domain for their promotion case.

5. Head of Department/School report and response

- 5.1 The Head is responsible for provision of a detailed report using the template provided that covers the criteria for promotion (and concurrent confirmation, if applicable) and includes an overall assessment of the case. The report must also confirm that the applicant has participated in the academic PDF and that the last PDF was no more than 12 months prior to the date of application.

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- 5.2 The Head will treat applications as confidential. In special circumstances, for example in large, multi-faceted departments, the Head with the written permission of applicants may share applications with identified senior colleagues for informal consultation. Please note that in these circumstances the report will not quote or reference this consultation. The overall assessment, recommendation and basis for the judgement will remain that of the Head.
- 5.3 The Head's report should include:
- Comments on the applicant's case for promotion in reference to the promotion benchmarks and indicators and the weightings for the academic domains nominated by the applicant, including any comments regarding performance relative to opportunity.
 - An assessment on the extent to which the staff member has demonstrated the competence, achievement and/or distinction claimed and the basis for that judgement.
 - Comments as appropriate on the case made by the applicant for *activities and engagement* and *quality, impact and influence*.
 - A clear recommendation on the merit of the promotion application according to the criteria for promotion.
- 5.4 When applicants are seeking concurrent confirmation and promotion, the Head's confirmation report must provide a clear assessment of the applicant's performance as it relates to the confirmation criteria and a recommendation in relation to confirmation.
- 5.5 Once submitted via [AC@M system](#), a copy of the Head's report will be made available to the applicant. Applicants have the opportunity to submit a response to the Head's report. The reply to the Head's report is for information only and should be no more than 2 pages. There is no opportunity for further comment and the applicant cannot amend their application based on information contained in the Head's report.
- 6. Internal assessor nomination**
- 6.1 Applicants at all levels must provide the name, email address and reason for the choice of one senior (Level E or D) internal assessor, who is able to comment on the application for FAPC and UAPC consideration.
- 6.2 An assessor request will be initiated by HR Assist to provide a confidential written assessment within the published timelines.

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7. External assessor nominations

- 7.1 For applicants applying to Level E or Level D, the Head must nominate four independent assessors (external to the University) who have special competence in the applicant's particular field, for approval by the Chair of the Faculty Appointments and Promotions Committee (FAPC).
- 7.2 Unless otherwise approved by the Chair, FAPC, Heads should not nominate assessors with whom the applicant has published or had a collaboration within the past 5 years and/or with whom they have a personal relationship.
- 7.3 Heads should confirm with their nominated assessors that they are in a position to comment on the suitability of the applicant for promotion and agree to provide a report within the published time frame.
- 7.4 The University Appointments and Promotions Committee (UAPC) may also nominate and contact additional assessors.
- 7.5 The inclusion of eminent, international assessors will enhance applications.
- 7.6 Applicants may nominate those who they prefer not to be used as assessors, however this will not preclude the reports being obtained.
- 7.7 Applicants must not make contact with the assessors nominated by the FAPC or UAPC. If any of these assessors make direct contact with an applicant they should be directed to [HR Assist](#).
- 7.8 All external assessor requests will be initiated by HR Assist to provide a confidential written assessment within the published timelines.

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8. Formatting rules

8.1 An application for promotion consists of the following five documents:

Table 8.1.1: Promotion document summary

#	Documents submitted via AC@M system	Notes
1.	The Argued Case for Promotion	• An applicant's case for promotion (and confirmation, if concurrent), including the weightings assigned to each of the three academic domains. • Particular focus should be given to contributions and achievements since last promotion and/or within the last five years
2.	Curriculum Vitae and list of publications and/or creative outputs	• Academic qualifications listed in chronological order, commencing with the most recent and including details of the institution from which they were awarded. (These must also be updated in Themis under Qualifications in My Personal Information under UOM Staff Self Service). • Details of current and previous academic appointments and any other relevant positions. Please include appointment and promotion details listed in chronological order, commencing with current appointment. • Details of education, research, engagement and leadership and other activities including details of subjects coordinated and taught including year levels and numbers of students, research income from grants and consultancies, engagement with industry and government organisations, and number and level of higher degree research students supervised. • Portfolio of relevant quantitative and qualitative measures of teaching quality aligned with the dimensions of the University's Framework for Educational Excellence, including peer review of teaching, details of strategies or changes implemented as a result of feedback, indicating the applicant's contribution where activities are shared or team based.

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		Grants must include: • full list of the grant recipients in the order listed on the grant, in particular, noting whether the applicant was the lead investigator; • dates for grants received. Supervisions must include: • an indication of whether the applicant was the lead supervisor, or a co-supervisor; • dates for the supervisions, including completions. Publications and creative outputs must: • be listed in chronological sequence (most recent to least recent); • show the name of the author(s)/creator(s) for each publication/creative output, and in the case of joint authorship/creation, indicate the applicant's contribution to the publication/creative output in percentage terms, show the relative responsibilities of each author/creator and the relationship to other authors/creators (e.g., supervisor); and • include advice to the committee on the status of the journals of major publications, the publisher or distributor (for published and recorded creative outputs) and the gallery or museum (for exhibitions), including whether they are refereed, and their international or national standing. In particular, publications must: • contain full pagination (first and last page) otherwise it will be assumed that the contribution is one page or less. In particular, creative outputs must: • Specify the Non-Traditional Output Category for the creative output (Original Creative Works; Live Performance of Creative Works; Recorded/Rendered Creative Works; or Curated or Produced Exhibitions and Events) and whether the creative output is a major or minor output (including where appropriate the duration or size).
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	Head's Promotion/Confirmation (if applicable) Report	• Heads must provide a detailed report with a clear recommendation using the template provided. • Heads must submit at least four recommended external assessors for consideration by the Chair of the FAPC.
4.	Response by Applicant to Head's Report	• An optional document (of no more than 2 pages) to be included if the staff member elects to respond to any aspects of the Head's Promotion Report.
5.	Assessor Reports	• Internal and external (if applicable) assessor reports obtained.

8.2 Documents 1 and 2 **must** be:

- **no more than 10 pages in total (Level B and C),**
- **no more than 20 pages in total (Levels D and E),**
- submitted in A4 layout,
- font size 11 or larger.

Working within these requirements and noting that assessments are made on whole of career performance, applicants should give particular focus to contributions and achievements since last promotion and/or within the last five years.

8.3 For applicants seeking concurrent confirmation and promotion, an additional confirmation form in the AC@M system demonstrating that the confirmation criteria have been met must be completed.

8.4 Unsolicited information should not be included with applications. Unsolicited information includes student comments and any other material that cannot be verified or might have been provided by an individual who was not aware that it would be used for the purpose of academic promotion.

8.5 Appointments and Promotions Committees may pay particular attention to information that has been corroborated by the Head of Department/School in the Head's report. The Head may corroborate claims made by the applicant that are not easily defended in the application itself.

8.6 Actual publications or creative outputs must not be included with applications. Weblinks are not necessary and not encouraged. If any publications are requested by either assessors or members of the committee, these must be provided. HR Assist will facilitate this.

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8.7 The following publication definitions apply to promotion applications:

Table 8.10.1: Publication status definitions

Publication status	Definition
Published	The work is publicly available.
In Press	Books – A finished manuscript is with the publishers and all financial problems associated with the cost of publication have been overcome. Finished manuscript means that all major requests made by the publisher for alterations to the original manuscript have been met and the revised manuscript will be edited and published.
In Press (cont.)	Journals – The article has been accepted and all alterations requested by the editor are complete. There must be an indication that the article has been formally accepted for publication.
Submitted	For journals and books, a manuscript has been submitted but no final decision has been made by the editor or the publisher.

8.8 Publications and creative outputs must be listed in accordance with the format used in the University of Melbourne electronic publication collection.

8.9 If articles submitted for publication are included in a promotion application, these must be clearly indicated. Promotions panels will not consider submitted articles to be evidence of academic outputs, quality and impact.

8.10 Publications in refereed journals should be clearly delineated from other publications (eg by separation into separate sections).

9. Application Process

9.1 The application must be submitted via the [AC@M system](#) by the closing date and time published in the academic promotion timetable. Applications that are late, incomplete or exceed the page limit will not be accepted.

9.2 No additional or updated information will be accepted after the final submission closing date listed in the published academic promotion timetable.

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10. Feedback and appeals

- 10.1 Feedback will be provided to unsuccessful applicants and their Head of Department/School. This will normally include advice on:
- any level of achievement or distinction that has not been met by the applicant;
 - advice on professional development which would help to overcome gaps; and
 - advice on future promotion applications.
- 10.2 Feedback will be provided by the Chair of the Faculty Appointments and Promotions Committee (FAPC) or University Appointments and Promotions Committee (UAPC) or a nominee of the relevant committee.
- 10.3 Appeals regarding promotion will only be considered on the grounds of procedural irregularity or miscarriage of process.
- 10.4 Notification of an appeal and the grounds on which it is to be made must be lodged with the Chief People Officer within 14 calendar days of the formal letters release date published in the academic promotion timetable.
- 10.5 The Chief People Officer will nominate two staff members to form the Promotion Appeal Panel.
- 10.6 The Promotion Appeal Panel may:
- determine that there was no procedural irregularity or miscarriage of process and dismiss the appeal; or
 - determine that there was a procedural irregularity or miscarriage of process, but that this was not such as to materially affect the outcome of the promotion panel's deliberations and dismiss the appeal; or
 - determine that there was a procedural irregularity or miscarriage of process of such kind or degree that, if the irregularity or miscarriage had not occurred, the outcome of the promotion panel's deliberations may have been favourable to the applicant and advise the Provost that the appeal is upheld. In these circumstances, the application for promotion will be reconsidered, on the merits of the application, by a differently constituted [Faculty Appointments and Promotions Committee \(FAPC\) or University Appointments and Promotions Committee \(UAPC\)](#), convened by the Provost and the President of the Academic Board.