

## Promotion of Research Only Academic Staff Procedures

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| <b>TRIM document</b>         | 2018/0000061  |
| <b>Description</b>           | These procedures detail how research-only academic staff who can demonstrate sustained excellence in research may be promoted.  |

### Related documents

[Promotion of Academic and Research Only Academic Staff Policy](#)

[Promotion of Academic Staff Procedures](#)

[Application and Case for Promotion Form \(PDF\)](#)

[Application and Case for Promotion Form \(Word\)](#)

[Academic Portfolio](#)

[Academic and Research Only Academic Staff Promotion - Report by Head of School/Element or Supervisor, also incorporating Dean's Endorsement \(Principal Research Fellow applications\)](#)

[Appeals on Non-Promotion of Academic and Research Only Academic Staff Procedure](#)

[Appeal on Non-Promotion Submission – Academic and Research Only Academic Staff](#)

[Academic Staff Career Development Framework](#)

[Consultancy and Commercial Research Policy](#)

[Staffing Delegations: Academic Groups](#)

[Academic Work @ Griffith website](#)

[Code of Conduct](#)

[\[Introduction\]](#) [\[Scope\]](#) [\[Application\]](#) [\[Delegated Authority\]](#) [\[Appendix 1: Schedule 2 - Minimum Standards for Academic Levels - Research Academic Staff\]](#) [\[Appendix 2: Research Criteria\]](#)

## 1. INTRODUCTION

The University is committed to recognising and rewarding the sustained achievements of its research only academic staff by providing systematic opportunities to apply for and achieve promotion through the academic research classification levels.

The capacity to recognise and reward research contributions through promotion enables the University to achieve its strategic research goals, while simultaneously advancing and sustaining its community of research scholars and their professional standing in the national and international environment.

The promotion of research only academic staff will follow a merit based process that rewards work according to its quality and impact supported by the quality of current performance.

### 1.1 Terminology

The term 'merit' in these procedures refers to the extent to which the applicant's performance demonstrates the case for promotion when assessed against the Minimum Standards for Academic Levels - Research Academic Staff (MSALs) (refer Appendix 1) and the criteria contained within this policy.

The term 'research only academic staff' in this policy refers to staff appointed at the University solely for the purposes of research.

The term 'relevant senior officer' in this policy refers to the:

- Group PVC for staff seeking promotion to Research Fellow 2 and Senior Research Fellow; and
- Deputy Vice Chancellor (Academic) (or nominee) for staff seeking promotion to Principal Research Fellow.

The term 'Dean' in this policy refers to the Dean (Research) and Pro Vice Chancellor refers to relevant Group Pro Vice Chancellor.

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## **2. SCOPE**

These procedures apply to research only academic staff seeking promotion to Research Fellow 2, Senior Research Fellow and Principal Research Fellow.

These procedures do not apply to non-research only academic staff, casual academic staff and academic visitors.

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## **3. APPLICATION**

### **3.1 Eligibility**

To be eligible to apply for promotion under this policy, staff must have satisfactorily completed annual performance reviews and:

- have a continuing research only appointment;

or

- have a fixed term appointment or consecutive fixed-term appointments of at least three years' duration in total and have been employed at the University for at least one year;

and

- believe they have achieved and can demonstrate a quality of sustained performance appropriate to the standards required for the level sought;

and

- have a reasonable expectation that they will still be employed by the University as at 1 January in the year following application for promotion (ie. at the time the promotion comes into effect).

Where staff are funded from an external source, the Funding Body and/or the relevant Academic Group must indicate agreement to the promotion application and confirm funds are available before promotion application is made.

Applications for promotion will not be considered from a staff member:

- who is on leave without salary for a period in excess of twelve months;
- who has resigned or has submitted notice of resignation;
- whose performance is found to be unsatisfactory by the relevant Staff Committee;
- whose contract will expire prior to the time of the promotion coming into effect (ie. 1 January of the year following application); and
- who has been unsuccessful in a recent promotion application. Such staff are excluded from reapplying for promotion for at least 2 years. In exceptional circumstances this requirement may be waived by the relevant senior officer.

### **3.2 Timing of Rounds**

Promotion rounds for research only academic staff will be conducted as part of other academic staff promotion rounds on an annual basis.

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### **3.3 Role of the Group Pro Vice Chancellor, Supervisor, Research Centre Director/Head of School, and Dean**

#### Preliminary Discussion

Prior to submitting a case for promotion, applicants must discuss their application with their academic supervisor and their Research Centre Director/Head of School (if not the supervisor) and in the case of applying for promotion to Principal Research Fellow, with the relevant Dean Research also.

#### Provision of Report, Endorsement by Dean

*All applicants:* The supervisor will provide the applicant with a written report, based on the applicant's final application, which makes a recommendation on the suitability of the applicant for promotion. The Research Centre Director/Head of School (if not the supervisor) receives the supervisor's report and may add further comment and/or endorse the supervisor's report. The applicant must submit this report with their application.

*Applicants to Principal Research Fellow:* The Dean shall review the application and either endorse or not endorse by noting in the appropriate section on the Supervisor/Head of School report.

In those cases where the application has not been endorsed, the Dean must also provide commentary on their reasoning for the non-endorsement

Response to report/s: The applicant has the option of submitting a response to an adverse supervisor's report, Research Centre Director/Head of School's comment, and where relevant, the non-endorsement by Dean. Such responses are limited to one page, and should not restate the case for promotion.

*Appointment of substitute supervisor:* Where an applicant's supervisor is also applying for promotion at the same level the Pro Vice Chancellor will appoint a substitute supervisor to prepare and submit the required written report on the merits of the application.

Where the Dean is the supervisor and is also applying for promotion at the same level Pro Vice Chancellor will appoint an appropriate senior academic within the Group to prepare and submit the required written report on the merits of the application and provide feedback as required.

#### Nomination of referees

For the benefit of the Promotion Committee, the Dean, following consultation with the relevant Research Centre Director/Head of School/, will provide a list of potential applicant and/or Committee-nominated referees, accompanied by an explanation of why each referee was nominated.

For promotions up to and including Senior Research Fellow, the Dean, or for Principal Research Fellow, the relevant Pro Vice Chancellor, on behalf of the Senior Promotions Committee, will select referees, taking guidance from those supplied by the Research Centre Director/Head of School/Dean to provide expert opinion on an application. These will include two (2) referees, external to the University, who would be able to provide independent and authoritative advice on the promotion application. The Dean/Pro Vice Chancellor will determine whom, if any, of the applicant nominated referees will be contacted and/or may nominate others as they consider appropriate.

Human Resources (HR) will contact nominated referees selected by the Dean/Pro Vice Chancellor. Applicants are asked not to request their referees to provide comments.

The relevant Promotions Committee may identify other referees as it considers appropriate.

### **3.4 Promotions Committee**

Assessment of applications for promotion is made by a committee of peers through a process designed to enable a fair and consistent assessment of sustained performance appropriate to the standards required for the level sought.

Promotion is based on the merit of the case presented, in terms of the quality and impact of work, supported by the quality of current performance. The outcome of previous applications for promotion has no relevance in a current promotion round.

The relevant Promotions Committee will consider all applications for promotion on the basis of merit against the minimum standards for academic levels - research academic staff (MSALs) (refer Appendix 1) and the criteria contained within this policy. The Promotions Committee may use the referees nominated by the applicant and/or Dean or identify others as it considers appropriate.

Promotion to Research Fellow 2 and Senior Research Fellow: Applications are assessed and recommended by the Group Promotions Committee to the relevant Group Pro Vice chancellor

Promotion to Principal Research Fellow: Applications assessed and approved by Senior Promotions Committee.

Where an applicant is applying for promotion and their supervisor is not a member of the Group Promotions Committee, the supervisor may be invited to attend the meeting by the relevant Chair, with agreement by the applicant, to present the applicant's case for promotion. This provision also applies to substitute supervisors appointed in accordance with section 3.3.

In conjunction with HR, all Promotions Committees are to conduct annual reviews of process to ensure consistency, continuous improvement and to monitor outcomes.

### **3.5 Commencement of Round**

The Deputy Vice Chancellor (Academic) will advise all academic staff that the promotion round has commenced and will draw attention to the criteria for promotion, the procedures and the timetable. Information about the promotion round is available on the Academic Work at Griffith website.

Deans, in consultation with research only academic supervisors, will consider a full list of eligible staff, in order to identify which staff (if any) should be encouraged to apply. In doing so, particular attention should be given to women, Aboriginal and Torres Strait Islander First Peoples, people with disabilities and people from non-English speaking backgrounds.

### **3.6 Preparation of Application**

Prior to submitting a case for promotion, applicants must discuss their application with their supervisor and Research Centre Director or Head of School (if not the supervisor). Applicants applying for promotion to Principal Research Fellow must also discuss their application with the relevant Dean.

It is the applicant's responsibility for preparing and presenting their case for promotion and all applications must include:

- a) Application and Case for Promotion Form including the names and contact details of referees. Note page limits within the Case for Promotion.
- b) Academic Portfolio
- c) Supervisor report and Research Centre Director/Head of School report (where not supervisor) (see template) - attached to application
- d) Response to Supervisor/Research Centre Director/Head of School - optional and can only be supplied if report was adverse – maximum one page.
- e) Changes since last application - in the event that an application for promotion was unsuccessful in the previous attempt, applicants are required to complete an additional page entitled "Changes Since Last Application" that identifies significant achievements since the previous application [attached to the application].
- f) Applicant Referee nominations:  
The applicant is responsible for:
  - seeking the concurrence of nominees before confirming their nominations and providing the referees with a copy of their application for promotion;
  - providing the names and contact details of three (3) referees for promotion to Research Fellow 2 and Senior Research Fellow; or
  - providing the names and contact details of four (4) referees, with at least two being external to the University, for promotion to Principal Research Fellow.

- Applicants may advise the Promotions committee Chair of any potential referee(s) whom they would wish to have excluded from commenting on their application, together with the reasons for such advice. The Promotions Committee is not obliged to act on this advice.
  - HR will contact all referees decided upon by the relevant Promotions Committee. Applicants are asked not to request their referees to provide comments.
- g) The following additional items are required for applications to Principal Research Fellow:
- Dean's Endorsement (provided on Supervisor's report);
  - Response to Non-Endorsement of application by Dean (optional – maximum one page);
  - Copies of 2 best research papers (submitted electronically in PDF format);

The maximum page limit for each section is indicated within the Application and Case for Promotion Form.

To ensure consistency and equity in the process, all applicants should be aware that additional pages and attachments not indicated above will not be read by the Promotions Committee.

### 3.7 Submission of Application

Applications must be submitted <https://intranet.secure.griffith.edu.au/employment/academic-work/promotion> on-line by the prescribed closing date and may be rejected if not prepared according 3.6 above.

Late applications will not be accepted.

The only material/s that will be considered after the closing date are details of publications, grants and/or consultancies that are pending at the time of the application, and are included in the application. This material must be received by the date specified in the Promotion Round notification.

### 3.8 Promotion Criteria

An applicant must describe and present their case for promotion. At a minimum, the applicant must meet the skill base requirements as set out under the minimum standards for academic levels (MSALs) (refer Appendix 1) and additional criterion related to research or scholarship (original achievement) (refer Appendix 2).

Promotion is dependent upon demonstrated ability and achievement since the applicant's appointment to the University, or last promotion at the University, whichever is the most recent.

When assessing an applicant's case for promotion, the relevant Academic Group Promotions Committee will have due regard for the relevant standards, and apply it in recognition of:

- the staff member's level of appointment;
- professional, disciplinary, cultural and gender expectations placed on the staff member;
- conditions of appointment and particular academic environments encountered by the staff member;
- non-traditional patterns of achievement such as may be demonstrated by women, Aboriginal and Torres Strait Islander, First Peoples, people with disabilities and people from non-English speaking backgrounds will be taken into account
- the impact of career breaks or part-time employment on achievement; and
- achievements determined relative to opportunities provided (rather than solely on a quantitative basis);
- work during earlier career stages that have underpinned the achievement of the relevant standard for promotion.
- where an applicant also holds/has held appointments outside of the University, care must be taken to differentiate between their accomplishments as a Griffith staff member and those that have been achieved in other employment.

Work in progress will only be taken into account when it can be objectively assessed by internal and external referees.

### **3.9 Committee procedures**

#### Assessment and Decision

The relevant Promotions Committee (or Dean, Pro Vice Chancellor acting on their behalf) may use the referees nominated by the applicant and/or may identify others as it considers appropriate and/or may request additional information, at any stage of the process.

The relevant Promotions Committee will meet to consider all applications received. Should the Promotions Committee be satisfied that it has sufficient evidence before it the Committee may proceed with its assessment without the need for obtaining further evidence or referee reports.

Where an adverse referee report is received, which is inconsistent with the applicant and other evidence presented, then the Promotions Committee must consider the appropriate weighting/overall relevance that should be attributed to this report. Should the Promotions Committee have ongoing concerns with such an adverse report, then further evidence should be sought.

The decision to promote or not to promote is made by:

- the Pro Vice Chancellor after considering the recommendation of the Group based Promotions Committee up to and including Senior Research Fellow; or
- Senior Promotions Committee in the case of promotion to Principal Research Fellow.

#### Feedback

Unsuccessful applicants will be provided with an opportunity to meet with the Chair of the relevant Promotions Committee to discuss the basis of the decision and what activities they might undertake in order to satisfy the criteria on a future occasion.

An applicant will also be provided with a copy of the minute extract from the meeting where the decision on their application was made.

### **3.10 Effective Date of Successful Promotion Applications**

The effective date of promotion is 1 January of the year following the date of notification for commencement of the promotion round. Successful applicants will normally be promoted to step 1 of the salary scale. In exceptional circumstances, for example where the staff member has been on higher duties, or secondment, the relevant Pro Vice Chancellor may recommend commencement of promotion to a higher step within the range. All such recommendations will be referred to the Deputy Vice Chancellor (Academic) for consideration.

### **3.11 Appeals**

Applicants may lodge an appeal, on the basis of process only, as outlined in the [Appeals on Non-Promotion of Academic and Research Only Academic Staff Procedures](#).

### **3.12 Notification of Intention to Resign**

At any time during the promotion or appeals process, should a research-only academic staff member formally notify the University of their intention to resign, the promotion or appeals process will cease immediately.

## **4. DELEGATED AUTHORITY**

Responsibility for promotion decisions are set out in the [Staffing Delegations - Academic Groups](#).

## **APPENDIX 1**

### **SCHEDULE 2 - MINIMUM STANDARDS FOR ACADEMIC LEVELS - RESEARCH ACADEMIC STAFF (INCLUSIVE OF CREATIVE DISCIPLINES)**

#### **Level A / Research Fellow 1**

A Level A / Research Fellow 1 Research Academic will typically conduct research/scholarly activities under limited supervision either independently or as a member of a team, and will normally hold a relevant higher degree.

A Level A / Research Fellow 1 Research Academic will normally work under the supervision of academic staff at Level B or above, with an increasing degree of autonomy as the Research Academic gains skills and experience. A Level A Research Academic may undertake limited teaching, may supervise at undergraduate levels and may publish the results of the research conducted as sole author or in collaboration. She/he will undertake administration primarily relating to her/ his activities at the institution.

#### **Level B / Research Fellow 2**

A Level B / Research Fellow 2 Research Academic will normally have experience in research or scholarly activities which have resulted in publications in refereed journals, other demonstrated scholarly activities, or research impact in the form of tangible outcomes or industry engagement.

A Level B / Research Fellow 2 Research Academic will carry out independent and/or team research. A Level B Research Academic may supervise postgraduate research students or projects and be involved in research training.

#### **Level C / Senior Research Fellow**

A Level C / Senior Research Fellow Research Academic will make independent and original contributions to research which have a significant impact on his or her field of expertise.

The work of the Research Academic will be acknowledged at a national level as being influential in expanding the knowledge of his or her discipline. This standing will normally be demonstrated by a strong record of published work or other demonstrated scholarly activities or research impact in the form of tangible outcomes or industry engagement.

A Level C / Senior Research Fellow Research Academic will provide leadership in research, including research training and supervision.

#### **Level D / Principal Research Fellow**

A Level D / Principal Research Fellow Research Academic will make major original and innovative contributions to her/his field of study or research, which are recognised as outstanding nationally or internationally.

A Level D / Principal Research Fellow Research Academic will play an outstanding role within her/his institution, discipline and/or profession in fostering the research activities of others, and in research training, and industry engagement and commercialisation.

## **APPENDIX 2 RESEARCH CRITERIA**

### **For Promotion to Research Fellow 2 and Senior Research Fellow:**

This criterion is concerned with outstanding and significant research achievements and shall include evidence such as:

- basic and/or applied research that results in publication of research outcomes, or research outcomes for clients or industry partners;
- creative activities that enhance knowledge and understanding;
- consulting work that assists in forging links with industry, and other end users;
- evidence of quality of relevant outputs;
- presentation of scholarly papers, attendances and addresses to conferences that contribute to knowledge;
- preparation of grant submissions and funding proposals that attracts funding for research including from industry partners;
- evidence of peer esteem such as invitations to conferences, awards, etc;
- evidence of research leadership such as mentoring others
- evidence of independent research contributions and personal standing in relevant discipline(s).

### **For Promotion to Principal Research Fellow:**

This criterion is concerned with sustained, substantial and exceptional research and scholarship for the advancement and application of knowledge within an applicant's field of expertise.

In addition to the requirements for promotion to Research Fellow 2 and Senior Research Fellow (above), an application for promotion to this level shall also include evidence of:

- a national or international reputation in research in the field of expertise based on a substantial contribution to industry, the discipline, any associated profession and the University by way of:
  - scholarship that significantly impacts on the discipline;
  - scholarship that significantly enhances the reputation of the University;
  - major contributions to policy development that significantly enhances the reputation of the University;
  - professional consultancy and other industry engagement activities (undertaken in accordance with the Consultancy and Commercial Research Policy) which significantly enhances the reputation of the University;
- effective research team leadership and management;
- effective supervision, development and mentoring of research staff
- successful supervision of honours and postgraduate students;
- demonstrated leadership in managing and co-ordinating academic organisational units, centres or functions;
- notable enterprise on behalf of the University which is recognised as demonstrated capacity to attract substantial capital or operating income for the University, or other tangible benefits that have helped to change significantly the academic profile of an Academic Group or Research centre;
- recognition of strong and positive relationships that have been developed through professional and industry engagement with external stakeholders, resulting in increased opportunities for the University and its reputation to be notably enhanced.

### **Evidence**

For evidence to substantiate the claims made in the Promotion Application Form, refer to the Promotion of Academic Staff Policy and Procedures, specifically [Appendix 1](#) - Criteria for Academic Promotion – For Those Making a Case for Promotion on Outstanding Performance in a Specific Area of Academic Work (refer to Research)