

## **Senior Researcher Promotions Procedure**

### **Procedure for promotion to Principal Research Associate (PRA) and Director of Research (DoR)**

#### **1. Principles**

This document outlines the procedure for promotion to Principal Research Associate (PRA) and Director of Research (DoR).

Research staff may be considered under the Senior Academic Promotions scheme only if funding can be identified from non UEF sources in order to establish a single tenure Professorship or Readership. The route set out in this guidance is therefore the normal promotion route for senior research staff where there is a clear and continuing institutional requirement and the funding available to hold a position at a level equivalent to Reader or Professor. The threshold standards applied will be broadly consistent with those expected in the established Senior Academic Promotions process.

This year's process commences in Michaelmas Term 2016, for promotions that are effective from 1 October 2017. The procedure was introduced in 2013, to standardise the different processes for the consideration of senior researcher promotions which were in operation across the University. Existing local procedures should continue to be followed for promotion to Senior Research Associate (SRA).

Promotion to PRA and DoR should be regarded as exceptional and those assessing applications will consider the following:

- Assessment against the evaluative criteria for the role, covering the individual's research and general contribution
- Confirmation that funding is available to support the higher salary costs and associated on-costs in the event that the individual is promoted,
- Articulation of the business case for the promotion and confirmation that there is a clear and continuing institutional requirement for the role.

An application will be approved only if the promotion to a senior level would meet the strategic needs of the institution and there is sufficient grant funding for the post for the full duration of the appointment; this will normally be from the existing grant(s) that are supporting the individual's contract of employment. The individual should send their application to the relevant secretary of the local committee, who will pass applications to the relevant Head of Institution to provide a written recommendation. After consideration by the local committee, applications will be sent to the relevant School level committee for consideration (para 4.5). Applications which are unable to demonstrate both funding and strategic need will not be supported even if the individual is able to demonstrate that their personal contribution meets the required level against the evaluative criteria.

## 2. Eligibility

Upon the launch of the annual scheme, Heads of Institutions will be provided with the scheme documentation and a report detailing all individuals in eligible positions within their institution. All eligible researchers considering making an application should discuss this in advance with their Head of Institution or nominated deputy.

Individuals who hold the positions of Senior Research Associate are eligible to apply for promotion to Principal Research Associate, and those holding the position of Principal Research Associate are eligible to apply for promotion to Director of Research. In very exceptional circumstances, a Research Associate could apply for promotion under the scheme however this needs to be with prior agreement from the relevant Head of Institution. Staff in non-researcher roles and those staff in roles more junior than Research Associate are not eligible under the scheme.

Applications for promotion that are approved in a particular year are at the discretion of the Senior Researcher Promotions Committees<sup>1</sup> and ultimately the Pro Vice Chancellor for Institutional Affairs. The General Principles set out in Appendix 1 of this procedure, including natural justice, fairness, equal opportunity and allowance for additional considerations apply.

## 3. Evaluative Criteria:

Nominations for promotion to Principal Research Associate or Director of Research will be considered on the basis of:

- Research/Scholarship
- General Contribution

Evidence must be submitted to demonstrate a significant and sustained contribution in both areas.

### 3.1 Principal Research Associate

- *Research/Scholarship*

The applicant must clearly demonstrate that they are recognised at an international level for the advancement of their area of research and that their current potential will lead to continued achievement in research. This will be judged by reference to:

- International reputation and peer recognition
- Innovativeness and originality of research
- Contribution to the advancement of knowledge
- Strategy for maintenance and development of future research
- Successful collaboration with other research teams/institutes
- Established record of securing external research funding.

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<sup>1</sup> In the interests of efficiency, applications under this process may be considered by the same individuals on the same day as some of the Senior Academic Promotions meetings; however, the two processes are distinct and entirely separate.

- *General Contribution*

The applicant must clearly demonstrate a wider contribution to their institution or team other than in research, to the University and, where appropriate, to external individuals and organisations. This may include (but is not limited to):

- Contribution to management or administrative tasks/duties that enable the achievement of the University's and/or Institution's wider goals and aims.
- Contribution to the development of the research base through activities that develop early career researchers e.g. PhD and Post Doctoral research training and/or supervision, mentoring etc.
- Activities that contribute to knowledge transfer and engagement with broader communities including business, the public sector and the wider society e.g. through informing public policy, consultancy, intellectual property, commercialisation activities, public outreach activities etc.
- Effective management of a research group(s) that maximise the contribution of the individuals within the group and the group as a whole.
- Clinical duties, participation in regional and national medical education or veterinary education committees and other bodies concerned with undergraduate and postgraduate medical and veterinary education.
- Teaching duties for a college or colleges.

3.2 Director of Research:

- *Research/Scholarship*

The applicant must clearly demonstrate that they are a recognised leader in the advancement of their subject in the international field and that they will continue to do so. This will be judged by reference to;

- International reputation and peer recognition
- Innovativeness and originality of research
- Leadership of, and seminal contribution to, the advancement of knowledge
- Strategy for maintenance and development of future research
- Leadership of successful and impactful collaborations with other research teams/institutions where appropriate
- Exceptional record of gaining external research funding

- *General Contribution*

The applicant must clearly demonstrate a wider contribution to their institution or team other than in research, to the University and, where appropriate, to external individuals and organisations. This may include (but is not limited to):

- Contribution to management , leadership or administrative tasks/duties that enable achievement of the University's and/or Institute's wider goals and aims.
- Significant contribution to the development of the research base through activities that develop early career researchers e.g. PhD and Post Doctoral research training and/or supervision, mentoring etc.
- Activities that contribute to knowledge transfer and engagement with broader communities including business, the public sector and the wider society e.g. through informing public policy, consultancy, intellectual property, commercialisation activities, public outreach activities etc.).
- Effective management of a research group(s) that maximises the contribution of the individuals within the group and the group as a whole.
- Clinical duties, participation in regional and national medical and veterinary medical education committees and other bodies concerned with undergraduate and postgraduate medical and veterinary education.
- Teaching duties for a college or colleges.

#### 4. Documentation and Process

4.1 At the start of the process, Heads of Institution will receive a copy of this procedure and a list of eligible researchers in their Institution. Heads of Institutions should refer all eligible members of staff to the launch letter and this procedure document:

[\(Insert new link\)](#)

4.2 Eligible staff considering making an application should meet with their Head of Institution or nominated deputy. In this meeting, it may be useful to discuss the contribution of the individual relative to the evaluative criteria, whether there is sufficient funding to cover the increased costs of promotion and whether the Head of Institution would consider the promotion to be in line with the strategic objectives of the Institution.

4.3 If, following this discussion, the individual decides to submit an application, they must complete the attached application forms and also supply the following documents:

- a CV,
- a personal statement, setting out their evidence for how they meet the relevant evaluative criteria,
- the names, title and contact details for two referees, at least one of whom should be external to the University.

4.4 Applications should be submitted to the secretary of the relevant local committee by **24 October 2016**. No application or additional information relating to the application will be accepted after the deadline. Applicants should be aware that if their application does not conform to the guidelines it may be returned to them for necessary revision and re-submission no later than the deadline.

4.5 The secretary of the local committee will pass the application to the relevant Head of Institution who will nominate a further three references (form SRP4). The secretary of the local committee will request the references (form SRP5) and forward these to the Head of Institution, who will make an evaluation of the individual against the evaluative criteria (research and general contribution), funding and strategic need. The Head of Institution will provide a written recommendation to the relevant local committee. The recommendation should comment on the strength of the case for promotion to the position specified by the applicant in terms of the criteria for that position as set out in the guidance (see section 3) based on the knowledge of the applicant's contribution and achievement in relation to research/scholarship (with reference to originality, contribution to the advancement of knowledge, reputation and impact) and general contribution including evidence of excellence in these areas. The recommendation should also address the availability of funding for the promotion and confirmation that the promotion is in line with the strategic objectives of the Institution. The relevant local committee will consider the application and supporting documentation and determine their recommendations for forwarding to the School level committee.

4.6 All applications, references, completed evaluations and recommendations should be sent to the relevant HR Business Manager by the 13 February 2017 for preparation in advance of the centrally organised School level committee meeting, which will consider all the applications from that School. This Committee may be made up of the same group of individuals and be conducted in a similar timeframe as the Senior Academic Promotions Sub Committee. However, this is in the interests of efficiency only and the two processes are separate.

4.7 Following their meetings, the recommendations from the School level committees will be collated and submitted to the Chair of the Human Resources Committee for review. (S)he will review the correct application of the procedure in the different areas and ensure consistency in the standards applied. (S)he will make the final decision on whether a promotion application should be supported.

4.8 Applicants, the relevant Heads of Institution and Chairs of School level committees will be notified in writing of the outcome of the process.

4.9 Successful promotions will take effect from 1 October in the year following the application date.

## **5. Appeals**

Applicants have the right of appeal against the outcome of an application for promotion. Appeals must be made in writing to the Director of Human Resources by 10th July 2017.

## **6. Timetable for 2016 Exercise**

Deadline for submission of documentation from applicants	24 October 2016
Meeting of the local committee	By 5th February 2017
Submission of complete and checked documentation for all applicants to HR Business Manager	By 13 February 2017
Meetings of the centrally organised School level committee	By 24 March 2017
Recommendations to the Chair of the Human Resources Committee	End of May 2017
Appeals to Director of Human Resources	By 10 July 2017