UNIVERSITY OF CAMBRIDGE
Human Resources

Human Resources Division

Senior Academic Promotions

Procedure and Guidance

1 October 2018

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Forms and Coversheets for this exercise are available on the HR Division website at: https://www.hr.admin.cam.ac.uk/policies-procedures/senior-academic-promotions-procedure-and-guidance-2018 as follows:

Document 1	Application (Coversheet) *Annexes A, B and C*
Document 2	Applicant's personal statement (Coversheet) *Annex (Additional considerations)*
Document 3	Form for nominating referees
Document 3A	Standard letter to request references *Criteria and Evaluative Standards*
Document 3B	Standard letter to request updated references *Criteria and evaluative standards*
Document 4	The Faculty/Departmental Case for Promotion *(not disclosable)*
Document 5	College statement form (Senior Tutor)
Document 6	NHS statement form
Document 6V	Statement by Clinical Manager
Document 7A	Evaluation sheet (Professorship)
Document 7B	Evaluation sheet (Readership)
Document 7C	Evaluation sheet (University Senior Lectureship)
Document 8	Documentation checklist for each applicant
Documents 9A and 9B	Draft *pro forma* Faculty Promotions Committee Minutes
Document 10 (CRS)	USL Application form for contribution increments

1. INTRODUCTION

1.1 This booklet sets out the procedure for the consideration of applications for promotion to the offices of University Senior Lecturer, Reader, and Professor with effect from 1st October 2018, i.e. the 2018 Scheme year. The rest of this section provides guidance on this Scheme. The booklet also includes under Section 13 the Contribution Reward Scheme for University Senior Lecturers. Please refer to that section for details of this Scheme to which Document 10 (CRS) also refers.

1.2 All eligible members of staff (see Section 4) should be referred to the web address of this guidance booklet by the Head of Institution[1] via the administrative office of the institution to which their office or post is assigned.

1.3 Application is for promotion to a specified senior academic office (see Section 6).

1.4 Those who wish to apply for promotion are advised to read the whole of this guidance.

1.5 Potential applicants should seek appropriate mentoring and advice from the Head of Institution, or an appropriate senior academic colleague, about the requirements of this scheme and the timing of an application before deciding whether to apply and for which office. The Senior Academic Promotions (SAP) CV Scheme aims to encourage and support more female academics to apply for promotion within the University. The Scheme is available to all applicants and provides an opportunity for CV and promotion paperwork to be reviewed by an experienced academic before it is submitted. Further details are available at:
http://www.equality.admin.cam.ac.uk/equality-diversity-cambridge/senior-academic-promotions-cv-scheme

(Other initiatives which provide support to women considering promotion are set out in 1.17 below.)

1.6 Heads of Institutions, with the assistance of appropriate senior colleagues if necessary, are required to review the position of all eligible academic staff in their institution with a view to encouraging those they consider to have a good prospect of success in the exercise to apply.

1.7 Heads of Institutions are also required to review the gender balance of applications and provide an explanation to the Chair of the Faculty Promotions Committee when they are not in proportion to their representation in the proximate less senior office.

1.8 The presentation of applications within the prescribed guidelines is important.

1.9 All those who have a role in the procedure described in this booklet, whether members of Committees, administrators, Heads of Institutions**,** etc., are advised to familiarise themselves with the advice contained in this guidance.

1.10 The General Board wish to emphasise that Personal Readerships and Professorships are accessible to both University Lecturers and University Senior Lecturers.

[1] The term 'Head of Institution' is used in this guidance to mean Head of Department or other institution or Chair of a Faculty Board not organised into Departments.

1.11 The case for promotion is assessed in relation to the criteria on the strength of all the evidence contained in the documentation covering the academic's career (Sections 5 and 7).

1.12 The number of promotions will depend not only on the number of applicants attaining the threshold necessary for promotion (5.18) but also on the competitiveness of the exercise and the available level of funding. In the case of offices and posts which are non-UEF funded, it is a requirement that the cost of the promotion should be met from the same source as that which funds the office or post (4.11 – 4.13).

1.13 For administrative ease and efficiency in the last phase of the exercise (e.g. notification and preparation of the General Board's Report (9.26 and 12.1) it will be assumed that by virtue of applying for promotion all successful applicants will accept appointment.

1.14 The University Senior Lectureship stipend scale and the stipends of the offices of Reader and Professor are set out below:

	1 August 2016 [to be updated with 2017 figures when available]		
		£pa	Grade
Cambridge University Senior Lectureship Scale*	Point 59	52,793	10
	Point 60	54,372	
	Point 61	55,998	
Cambridge Reader	Point 63	59,400	11
Cambridge Professor**	Point 68 (Band 1)	68,834	12

* Incremental progression is automatic. The Contribution Reward Scheme described in Section 13 of the guidance sets out the process by which Senior Lecturers can progress to contribution points (points 62 and 63) above these service points.
** The biennial Professorial Pay Review process allows for progression within and between bands 1-4.

1.15 Those staff holding NHS consultant contracts and promoted to University Senior Lectureships, Readerships, and Professorships will therefore continue to be remunerated at levels equivalent to NHS levels of remuneration.

1.16 The Chair of the Human Resources Committee is authorised, on behalf of the General Board, to make any reasonable change or adjustment to the procedure, interpret any aspects of the guidance mentioned in this booklet where doubt arises as to its meaning, or take any other action that may be necessary to ensure the fair and efficient management of this and any subsequent promotions exercise. If the Chair of the Human Resources Committee is eligible to apply for promotion under the scheme, the Human Resources Committee will appoint from its members a serving member of the General Board to act in his or her place for this purpose.

1.17 Specific support for women considering promotion includes annual programmes covering a range of themes from gaining recognition to career development provided by the Women's Staff Network and Personal and Professional Development (PPD). Events are listed in termly PPD calendars and on the E&D webpages (http://www.admin.cam.ac.uk/offices/hr/equality/events/#all).

2. SUMMARY OF GENERAL PRINCIPLES AND GUIDANCE TO BE OBSERVED THROUGHOUT THE PROCEDURE

The following is a summary. More detailed explanation and information is contained in Appendix 1.

2.1 Natural Justice

All persons involved in the process and in the consideration of applications should exercise impartiality and fairness and be seen to do so.

2.2 Fairness and Declaration of Interest

Any person who has an interest that may be seen as prejudicial to impartiality should declare this to the appropriate person.

2.3 Equal Opportunity

The University's Equal Opportunity policy must be observed at all times.

Allowance for additional considerations

The quality and impact of an applicant's performance should be assessed objectively and on the same basis as other applicants but promotions committees should take into account any reduction in working time of the candidate due to additional considerations when judging the quality of their work or output; for example, by assessing the volume of output pro-rata.

With regard to disability, allowance should be made in relation to the quantity of work/output of a disabled person. Account should be taken of:

i) the nature of the disability
ii) how it could have constrained performance
iii) if appropriate, the effectiveness of any adjustments to the person's workplace or employment arrangements.

Consideration should be given to the evidence supplied by the applicant relating to additional considerations in the annex to Document 2 (6.6). Advice should be sought at the earliest opportunity from the relevant HR Business Manager.

2.4 Committees

Members of Committees must ensure their consideration is collective, fair, impartial and based on all the documented evidence in relation to the relevant promotion criteria.

2.5 Confidentiality and data protection legislation

Consideration of proposals and certain documentation is confidential. The University's policy in relation to data protection legislation requires that confidentiality of information provided by referees including information contained in written assessments by Heads of Institutions is respected insofar as this is compatible with the requirements of the Act and other relevant legislation. However, please see Documents 3A and 3B.

3. TIMETABLE FOR THE 2018 EXERCISE

Deadline for submission of documentation from applicants	**23 October 2017***
First meeting of Faculty Promotions Committees to consider applications and other available documentation in order to determine the additional evidence that is to be sought, e.g. references, and cases for promotion (Document 4)	By 1 December 2017
Second meeting of Faculty Promotions Committee to evaluate complete documentation (to include Documents 5 (Senior Tutor's Statement) and 6 (NHS Statement), if applicable, against criteria	By 4 February 2018
Submission of complete and checked documentation of all applicants to Human Resources Division	By 12 February 2018
Meetings of the five General Board Sub-Committees	By 23 March 2018
Meeting of General Board's Main Committee	9 May 2018
The meeting of the General Board receives recommendations of Main Committee and Report for approval and signature and publication in Reporter	6 June 2018
Final date for feedback and for the lodging of appeals	9 July 2018

**If the Appeal stage of the 2017 exercise is not completed by 23 October 2017, it will be necessary for applicants who wish to re-apply to submit applications before the outcome of the appeal is known.*

4. ELIGIBILITY CRITERIA AND RELATED MATTERS

4.1 This section explains the eligibility criteria for application for promotion to each of the three senior academic offices.

4.2 Eligibility is restricted to members of staff who on the date of application hold a qualifying office or post in relation to the senior academic office to which they are applying for promotion.

4.3 All staff eligible to apply for promotion who wish to apply should consult their Head of Institution or other appropriate senior academic colleague before deciding whether to apply and which office to apply for. It is also important that Heads of Institutions, with the assistance of appropriate senior colleagues if necessary, review the position of all eligible academic staff in their institution with a view to encouraging those they consider to have good prospect of success to apply. Heads of Institutions are also required to review the gender balance of applications and provide an explanation to the Chair of the Faculty Promotions Committee when they are not in proportion to their representation in the proximate less senior office. Those considering promotion should seek coaching and mentoring from the Head of Institution or senior colleagues as appropriate, and advice about the requirements of this promotions scheme, including the content and timing of an application.

4.4 If there is any doubt as to the eligibility of a prospective applicant, the Chair of the Human Resources Committee will rule on the matter on behalf of the General Board.

4.5 Applicants who are unsuccessful in their application for promotion in one year's exercise may apply for promotion in a subsequent exercise, on the basis that each application must be judged on its own merits, regardless of the outcome of any application in the previous year(s). In exceptional circumstances this may be as soon as the following year but a longer interval between applications would be considered more usual. A maximum of two applications in any rolling three-year period is permissible. An exemption to this rule may be granted in exceptional circumstances, provided that any such exemption has the sanction of the relevant Head of Institution and Head of School. These provisions will be kept under review. Advice should be sought from the Head of Institution or other appropriate senior academic colleague as to the best time to submit any application.

Promotion to Professorships and Readerships

4.6 The holders of stipendiary University offices whose duties are primarily concerned with research/scholarship or teaching and research/scholarship are eligible for promotion to these offices.

4.7 Exceptionally, holders of stipendiary University offices whose duties are not primarily concerned with either teaching or research or both may be eligible for consideration if they are known to have made a significant contribution to research in addition to fulfilling the duties of the office they currently hold. A person who does not hold an office listed in the Schedule to Special Ordinance C(i) 1 of the Statutes would only be promoted to a personal Readership or Professorship on condition that his or her duties after promotion remained principally those of the office from which he or she has been promoted. A Curator, for example, would be expected to continue to discharge in full the duties of his or her Curatorship following promotion to a personal Readership or Professorship.

Promotion to University Senior Lectureships

4.8 Only University Lecturers may be considered for promotion to University Senior Lectureships.

4.9 The holders of unestablished posts whose contracts of employment specify the title "Lecturer" may be considered for promotion to the unestablished post of Senior Lecturer. The holders of such unestablished posts held on a part-time basis are also eligible to apply and, if successful, would be expected to continue to work on the same part-time basis. The period of the appointment would be from the effective date of the promotion to the end date of their current tenure. Holders of such posts should discuss the matter of their possible promotion with their Head of Institution before deciding whether or not to submit an application for promotion

The effect of Special Ordinance C on eligibility

4.10 Special Ordinance C(vii) A 1-14 (Professors) and Special Ordinance C(viii) 1-3 (Readers) makes no explicit provision for the minimum amount of teaching which must be undertaken by Professors and Readers and does not therefore preclude the holder of an office not included in Schedule to Special Ordinance C(i) 1 from being promoted to a Professorship or Readership and continuing to fulfil the duties of the office from which he or she has been promoted, e.g. a Curator. Special Ordinance C(x) 1-14 and C(ix) 1-4, on the other hand, prescribes a minimum of thirty hours lecturing (or equivalent) a year for University Lecturers and University Senior Lecturers, and it would not be feasible, therefore, to have such an arrangement in respect of promotion to a University Senior Lectureship for the holders of offices or posts that are not primarily concerned with teaching. Thus a Curator would not only be required to fulfil the duties of the Curatorship, but they would also be expected to undertake teaching that complied with the minimum statutory requirement for the office of University Senior Lecturer.

The effect of an office/post's funding source on eligibility

4.11 As it is not possible under the Statutes to appoint to a Professorship or a Readership in an unestablished capacity, the holders of offices/posts that are non-UEF funded and who have been appointed for a fixed term may be considered for promotion to these offices only if funding can be identified from non-UEF sources in order to establish a Professorship or Readership. Except in exceptional circumstances, such funding must be guaranteed to the applicant's retiring age. Written evidence of the proposed funding arrangements must be provided to the Human Resources Division by the Institution as soon as possible after the application is submitted. For unestablished research staff the normal promotional route is to the post of Principal Research Associate (Readership level salary) or Director of Research (Professorial level salary). (See updated senior research promotions procedure and guidance to be issued and made available on the HR Division website shortly). Advice in relation to particular cases may be obtained from the relevant HR Business Manager.

4.12 Similarly, the holders of unestablished Lectureships may be considered for promotion to unestablished Senior Lectureships if non-UEF funding can be identified to meet the gross cost of the promotion at least to the end of the lecturer's current contract.

4.13 The Head of Institution should provide an opportunity for discussing the appropriate way forward with members of staff who are on fixed-term contracts and whom they consider to have a reasonable prospect of promotion, whether through an application under the senior academic promotion scheme or under the Senior Research Promotions

procedure. In relation to 4.11 and 4.12, the General Board would normally expect the funding of fixed term offices and posts to be available from the same source of funding as the applicant's current office or post. Please note that if non-UEF sources of funding are to be used to fund a promotion on a fixed term rather than on a permanent basis, there must be objective justification for the fixed term appointment on promotion. Advice should be sought from the relevant HR Business Manager.

5. CRITERIA, PERFORMANCE DESCRIPTORS AND SCORING METHODOLOGY

5.1 Promotion is determined in relation to the criteria and on the basis of all the evidence contained in all the relevant documentation covering the academic's career (see also 5.18). If an applicant has indicated that consideration should be given to personal circumstances (7.34, 8.19 and Appendix 1, 3.2-3.4), Committees will evaluate the quality of the applicant's work and contribution in relation to the relevant criteria and whether the amount of work and contribution is reasonable in the circumstances. The number of applications for promotion that it will be possible to approve in a particular year may be influenced by the University's general financial situation (see 1.12). In evaluating applications Committees will also have regard, where applicable, to evidence of achievement and contribution in relation to meeting the criteria for the office. Committees would expect to see a rising research trajectory, particularly for promotion to Readerships and Professorships.

5.2 All applicants should consider carefully the criteria and performance descriptors (bandings) for each of the senior academic offices referred to below and should discuss their position with their Head of Institution or an appropriate senior academic colleague before deciding whether to apply for promotion.

5.3 For clarification, an application for promotion to a Professorship can be submitted without a prior appointment as a Reader or University Senior Lecturer, and an application for promotion to a Readership without prior appointment as a University Senior Lecturer.

A. CRITERIA

Research/Scholarship

5.4 Account may be taken of evidence in relation to research/scholarship, regardless of where it has been undertaken.

Teaching

5.5 Account may be taken of evidence from previous academic employment in the University and/or College(s) in relation to teaching, but **not** from institutions external to the University.

General Contribution

5.6 Evidence of contribution to the applicant's subject other than in teaching and research may also include contributions made outside the University.

Professorship

Research/Scholarship

5.7 There must be established international leadership in the relevant subject with reference to:

(i) originality
(ii) contribution to the advancement of knowledge
(iii) reputation

Teaching[2]

5.8 There must be an effective contribution to undergraduate and/or postgraduate teaching. (Account may be taken of evidence from previous academic employment in the University and/or College(s) in relation to teaching, but **not** from institutions external to the University).

General Contribution

5.9 There must be an effective contribution to the subject other than in teaching and research. This may include administration and, where appropriate, management of research groups, and the creation and management of multi-institutional/national/ international research facilities. It may also include contributions to the subject made more widely, for example, widening participation activity and the design and delivery of outreach programmes, also editorial work, and clinical work (if applicable).

Readership

Research/Scholarship

5.10 There must be international recognition in the relevant subject with reference to:

(i) originality
(ii) contribution to the advancement of knowledge
(iii) reputation

Teaching[3]

5.11 There must be an effective contribution to undergraduate and/or postgraduate teaching. (Account may be taken of evidence from previous academic employment in the University and/or College(s) in relation to teaching, but **not** from institutions external to the University).

General Contribution

5.12 There must be an effective contribution to the subject other than in teaching and research. This may include administration and, where appropriate, management of research groups, and the creation and management of multi-institutional/national/international research facilities. It may also include contributions to the subject made more widely, for example, widening participation activity and the design and delivery of outreach programmes, also editorial work, and clinical work (if applicable).

University Senior Lectureship

5.13 Applications for promotion to University Senior Lecturer are considered against the criteria specified when this grade was created, namely "to reward sustained excellence in teaching, sustained supportiveness in administration and organisational tasks, and achievement in research"[4] (reflected by a maximum possible score of 4 for the research/scholarship criterion for this office, as described in more detail in Section B below, 5.18 onwards). These aspects are set out in more detail below for each of the assessment criteria (5.28 and 5.29).

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[2] This criterion does not apply to those whose duties do not include teaching. See 7.12 for further details.

[3] This criterion does not apply to those whose duties do not include teaching. See 7.12 for further details.

[4] *Reporter*, 1998-99, p.782

Research/Scholarship

5.14 There must be achievement in research/scholarship that allows the Faculty or Department to count the applicant as research-active.

Teaching

5.15 There must be sustained excellence in teaching with reference to: course development and innovation; and the delivery of teaching including, as appropriate, lecturing, conducting seminars, supervising undergraduate and graduate students, and directing studies (if applicable). 'Sustained excellence in teaching' may be interpreted as consistently excellent performance across a range of teaching and teaching-related activity. (Account may be taken of evidence from previous academic employment in the University and/or College(s) in relation to teaching, but **not** from institutions external to the University).

5.16 The necessary evidence of teaching contribution cannot normally be accumulated within a period of less than 3 years (also see 7.15).

General Contribution

5.17 There must be an effective contribution to the subject other than in teaching and research. This may include administration and, where appropriate, management of research groups, and the creation and management of multi-institutional/national/international research facilities. It may also include contributions, to the subject made more widely, in the University and externally, for example, widening participation activity and the design and delivery of outreach programmes, also editorial work, and clinical work (if applicable).

B. PERFORMANCE DESCRIPTORS AND SCORING METHODOLOGY

5.18 The standards relating to evidence explained below indicate the threshold to be attained if promotion is to be achieved. Although the Board expect that decisions on applications will continue to be made primarily by reference to the criteria, the number of promotions that it will be possible to approve in a particular year may be influenced by the University's general financial situation (see also 1.12 and 5.1).

In evaluating applications Committees will, where applicable, have particular regard to evidence over the academic's career of achievement and contribution in relation to meeting the criteria for the office. Committees would expect to see a rising research trajectory, particularly for promotion to Readerships and Professorships (see 5.1).

The bandings and scores set out in the table below should be used to summarise the description of achievement in relation to the criteria:

Performance descriptor (banding)	**Score[5]**
Outstanding Evidence	**8, 9 or 10**
Strong Evidence	**5, 6 or 7**
Clear Evidence	**3 or 4**
Insufficient Evidence	**2**
Clearly Unsatisfactory	**1**

5.19 The table below should be used when scoring achievement in relation to the research/scholarship criterion for Professors and Readers:

Research/Scholarship criterion only:	
Performance descriptor (banding)	**Score**
Outstanding Evidence	**24 - 30**
Strong Evidence	**15 - 23**
Clear Evidence	**9 - 14**
Insufficient Evidence	**4 - 8**
Clearly Unsatisfactory	**1 - 3**

[5] This score range is 30 for evaluation of the research/scholarship criterion for those seeking promotion to Professor and Reader, as set out in para 5.19 above

5.20 The promotions committees should assess the quantity, quality and degree of innovation and leadership (e.g. course design at a macro level) in teaching. If a teaching officer is doing a standard amount of teaching, for example lectures, exams and demonstrations, in a satisfactory way a score of 4-5 would be appropriate. Many teaching officers teach more than their stint from time to time and regularly contribute to updating courses and modules; such contributions would normally be regarded as standard. If a Head of Institution (or other senior academic) providing the Faculty/Departmental case for promotion believes the applicant's contribution is at a significantly higher or lower level than the standard expected and merits a score substantially higher or lower than the standard expected, detailed evidence needs to be provided in Document 4. If the quantity or quality of teaching is significantly greater than the standard expected then an award of additional points may be considered by the Faculty Promotions Committee. In the same way, a contribution to the design of new courses or modules or to a major revamp of existing offerings may be taken into account by the Faculty Promotions Committee in the determination of the score for teaching. A score of less than 4 indicates that there are significant concerns about the quantity or quality of an applicant's teaching and the Faculty/Departmental case for promotion (Doc 4) should set out these concerns. The award of a high score (i.e. more than 5) indicates that the candidate is making an exceptional contribution in one or more aspects of teaching. The nature of that exceptional contribution should be addressed in the promotions committees' minutes (Faculty Promotions Committee and/or Sub-Committee).

5.21 For a standard general contribution a score of 4 or 5 would be appropriate. To justify a higher score there needs to be evidence of sustained contribution to the faculty/department, University or externally. If a Head of Institution (or other senior academic) providing the Faculty/Departmental case for promotion believes the applicant's contribution is at a significantly higher or lower level than the standard expected and merits a score substantially higher or lower than the standard expected, detailed evidence needs to be provided in Document 4. The award of a high score (i.e. more than 5) indicates that the candidate is making an exceptional contribution and should be addressed in the promotions committees' minutes (Faculty Promotions Committee and/or Sub-Committee)

Below Threshold applicants

5.22 The lowest two bandings ('Clearly Unsatisfactory' and 'Insufficient Evidence') are deemed to be below the threshold for promotion. Any applicant receiving a score within these two bandings in any of the criteria for promotion (research/scholarship, teaching, general contribution) will be deemed not to have met the minimum level for promotion.

Scoring

5.23 Further information about the scoring for each of the offices is set out below.

For a Professorship

5.24 The maximum score for the research/scholarship criterion for those seeking promotion to Professorship is 30, with scores allocated against performance descriptors as shown in the table at 5.19 above.

5.25 The total maximum score for promotion to Professor would therefore be 50 (a maximum score of 30 in research/scholarship, a maximum score of 10 in teaching, and a maximum score of 10 in general contribution). The lowest two bandings ('Clearly Unsatisfactory' and 'Insufficient Evidence') are deemed to be below the threshold for promotion

For a Readership

5.26 The maximum score for the research/scholarship criterion for those seeking promotion to Readership is 30, with scores allocated against performance descriptors as shown in the table at 5.19 above.

5.27 The total maximum score for promotion to Reader would therefore be 50 (a maximum score of 30 in research/scholarship, a maximum score of 10 in teaching, and a maximum score of 10 in general contribution). The lowest two bandings ('Clearly Unsatisfactory' and 'Insufficient Evidence') are deemed to be below the threshold for promotion

For a University Senior Lectureship

5.28 The score available for the research/scholarship criteria for those applicants seeking promotion to University Senior Lecturer is capped at 4.

5.29 The total maximum score for promotion to University Senior Lecturer would therefore be 24 (a capped score of 4 in research/scholarship, a maximum score of 10 in teaching, and a maximum score of 10 in general contribution).

General Comments concerning Scoring

5.30 The promotions committees should be sparing in awarding the maximum score for an evaluative criterion, as this is reserved for demonstrable exceptional achievement against the norms of the applicant's discipline, for example a high level of international recognition for their stage in their career. It should be noted that it would be highly unusual for an applicant to operate at the maximum score across all three evaluative criteria. Therefore, the promotions committees should set out in their minutes the justification for awarding high scores to a candidate for any of the three evaluative criteria.

5.31 Any score received, whether against a particular criterion (research/scholarship, teaching, general contribution) or as a total score, only applies to that promotion round in that particular year. The score is to assist the FPC/Sub-Committee for that year's exercise in creating a rank-ordered list, rather than being an absolute number.

5.32 Scores will not be carried forward from one promotion round to another and the Committees will not be made aware of scores from any previous promotion applications. Each year is a new exercise and it is the responsibility of each Committee to make its own decision on the basis of an evaluation of the evidence provided.

5.33 The General Board will have the discretion to make changes to the weighting, thresholds, score range, or any other element of the scoring methodology that it deems necessary, in the light of experience, for the effective running of future Senior Academic Promotions exercises.

Promotions Process

5.34 The Faculty Promotions Committees will allocate scores for the criteria for each applicant and then rank applicants for each office according to their overall scores. Where there is more than one applicant with the same total for that office, the Faculty

Promotions Committee will make a judgement on the appropriate rank order based on the strength of the applications.

5.35 The Sub-Committees will receive the ranked scored lists for each office from the relevant Faculty Promotions Committees and create a single list of applicants in numerical rank order for each of the offices, including deciding on the rank order of applicants with the same total score.

5.36 The Main Committee will receive the ranked scored lists for each office from each Sub-Committee and moderate between the lists to ensure that a consistent standard has been achieved.

6. APPLICATION

6.1 Those who are eligible and wish to be considered for promotion are responsible for preparing and submitting their application to the Secretary of the Faculty Promotions Committee for the institution to which their office or post is assigned by the deadline specified in the timetable (Section 3). No application or additional information from the applicant relating to the application will be accepted by the Faculty Promotions Committee 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 (see also 8.13i).

6.2 Application is for promotion to a single specified senior academic office, or for a contribution award (one or two increments)under the University Senior Lectureship Contribution Reward Scheme (see Section 13).

6.3 For clarification, an application for promotion to a Professorship can be submitted without a prior appointment as a Reader or University Senior Lecturer, and an application for promotion to a Readership without prior appointment as a University Senior Lecturer.

6.4 Those who wish to apply are advised to read the whole of this guidance and must seek advice from their Head of Institution or other appropriate senior academic colleague before deciding whether to apply and which office to apply for. It is also important that Heads of Institutions, with the assistance of appropriate senior colleagues if necessary, should review the position of all eligible academic staff in their institution with a view to encouraging those whom they consider to have a good prospect of success to apply.

6.5 In their discussion with prospective applicants, Heads of Institutions may wish to provide advice on:

i) the most appropriate office for which the individual should apply;
ii) the professional priorities that should be adopted to maximise the possibility of promotion;
iii) the timing of an application, including where it is a repeat application;
iv) the choice of the prospective applicant's referees;
v) the content and structuring of the application documentation;
vi) the competitive nature of the exercise, which includes ranking applicants according to the strength of their applications, as well as an overall budgetary limit on the number of promotions that can be approved in each exercise.

6.6 The receipt of applications should be acknowledged by the Chair or Secretary of the Faculty Promotions Committee.

Allowance for additional considerations

6.7 Applicants should complete the annex to Document 2 by providing details of any and all personal circumstances that should be taken into consideration when evaluating their teaching, research or general contribution (for example, caring responsibilities, periods of maternity/paternity/adoption leave, bereavement, ill health or injury, medical treatments or disability), giving details of the impact this has had on their ability to carry out their usual duties. This statement will be taken into account to ensure that the performance of an applicant is judged fairly and objectively and that full account is taken of the impact of the additional considerations on their performance. Attention is drawn to 7.34, 8.19 and Appendix 1, 3.2 – 3.4.

Interdisciplinary applications

6.8 Applicants who consider their teaching and research to be interdisciplinary should explain clearly the interdisciplinary aspects of their work in their personal statement and indicate the University institutions that their work mostly concerns. For example, some Judge Business School candidates might want their applicants to be referred to the Sub-Committee of the School of Humanities and Social Sciences for consideration.

6.9 The interdisciplinary character of an applicant's work may in some cases be formally recognised in the office they hold. Some University Lectureships involve duties which are determined under Special Ordinance C(x) 3 as concerning more than one institution. In such cases the Head of the Institution concerned will be the Head of the Institution to which the applicant's office is assigned.

6.10 Where it is clear that an application is interdisciplinary, the Chair of the Faculty Promotions Committee should ensure that, where it is appropriate, action is taken to obtain any additional relevant information regarding the application (e.g. duties carried out in other institutions) and, if necessary, additional references (8.16). Additional senior academic(s) with appropriate specialised knowledge may be invited by the Faculty Promotions Committee as consultant(s) to attend the second meeting of the Committee for the consideration of the application concerned (8.8).

An application may also be referred to a different or more than one Sub-Committee (8.21) if this is considered necessary for the fair consideration of the application.

Notification of outcomes

6.11 Applicants will be informed of the outcome of their applications by letter sent to their University institution as soon as the General Board have received and approved the Annual Report on the outcome of the exercise (9.26 and 12.1). The Heads of Institutions and Chairs of Faculty Promotion Committees will receive simultaneously by email lists of the successful and unsuccessful applicants in the institutions concerned.

7. DOCUMENTATION

7.1 The responsibility for assembling the documentation required for the meetings of the Faculty Promotions Committee lies with the Chair of the Faculty Promotions Committee. He or she will delegate the administrative task to the Secretary of the Committee who will receive support from their Faculty or Departmental administrative office.

To be supplied by the applicant

7.2 Applicants are required to supply the following documents, electronically or in hard copy (double-sided, on A4 paper). They should adhere to the format of the documentation as indicated below, using, as appropriate, the Coversheets and Documents accompanying this Guidance. The documents should be submitted to the Secretary of the relevant Faculty Promotions Committee, details of which are published in the Reporter ahead of the launch of the exercise.

7.3 Applicants must indicate the specific office for which they are applying for promotion by ticking: the appropriate box on Documents 1, 2, and 3; the box on Documents 1 and 2 if duties do not include teaching; and the box on Document 2 if reapplying for promotion. They should also tick the boxes relating to interdisciplinarity and additional consideration(s) on Document 2, if applicable.

In preparing their submission, applicants are advised to be mindful of the criteria for promotion to the office for which they are applying and of the performance descriptors (bandings) used for the assessment of applications (Section 5).

Document 1: Curriculum Vitae

7.4 A concise *curriculum vitae* of **not more than two sides of A4**, including any annotations, should be attached to the Document Coversheet (see Appendix II). It should provide the following information and be presented in the order below:

1. **Personal details:** name, Faculty/Department, current appointment (specifying whether it is an office or an unestablished appointment) and start and end dates of appointment.

2. **Education/Qualifications:** details of degrees, diplomas, and other qualifications and where and when obtained.

3. **Professional History:** a complete account of all previous professional appointments held, with dates and in chronological order.

4. **Other Appointments and Affiliations:** a list of membership of professional bodies, learned societies, advisory bodies, peer review activities (grants, journals, books), editorships, with start, and, where relevant, end dates.

5. **Prizes, Awards and other Honours:** a list of prizes and awards received and elections to prestigious professional/scientific bodies including the full name of the awarding/electing body and year of award/election.

7.5 Details of research/scholarship, teaching (including, if applicable, College supervision and clinical postgraduate teaching and training), and general contribution (including, if applicable, clinical duties) should be provided in the Annexes as attachments in accordance with the guidance below.

Annex A. Research/Scholarship

7.6 Applicants should provide an up-to-date list of publications, set out in accordance with the conventions of the relevant academic discipline. Applicants should list publications in a clear chronological order, stating for each publication (including any books) the year and page numbers, and should indicate each listed publication's (or book's) number of pages. Listed work should include only work which has already been published, is in the public domain, and is available for consideration. No additional information should be provided.

7.7 Work will be regarded as published if it is traceable in ordinary catalogues and if copies are obtainable at the time of application, or at some previous time, by members of the general public through normal trade channels. Proofs of papers not yet published are not submissible. Work published electronically may be acceptable if it can be regarded as being published in the same formal sense as in a journal or book. This includes free electronic journals provided these are refereed and accessible to the general public. Placing a paper on a University web page does not count as publication but electronic publication of invited and/or contributed talks published as part of the proceedings of a Higher Education Institution or related body is acceptable provided that hard copies are available in published form. Peer-reviewed publications should be listed separately. Citation data, in disciplines where this is appropriate, may also be included under this Annex. It should be noted, however, that consideration of an application should not be prejudiced if citation data are not included.

7.8 Work in progress or work completed but not yet published must be excluded from the list.

7.9 Copies of publications must not be included in the documentation submitted by the applicant.

7.10 Committees may take account of evidence relating to the external contribution of an applicant in disciplines or interdisciplinary subjects where the communication of research results is not, or is only partly, in the form of conventional scholarly publication. Applicants should draw attention to this in this Annex and in their personal statement (Document 2), if appropriate in their case.

7.11 Information may also be provided in chronological order on:

(i) Grants: details of major external grants and contracts awarded (including values and dates), together with the names of co-investigators where applicable. The information presented should enable the reader to determine at a glance which grants/contracts are current. **For large, multi-author grants applicants should make clear their role and contribution.**

(ii) Invited or contributed talks: a list of major lectures/seminars, or other research presentations, stating the year that each was given.

(iii) Postdoctoral and other research co-workers, including visiting academics, with whom the applicant is or has been directly associated in the recent past.

Annex B. Teaching

7.12 If the duties of the applicant's role do not include teaching or they have been formally dispensed from discharging teaching duties on a temporary basis, they should tick the box on the Coversheet and should not complete Annex B; this applicant's teaching contribution will then not be assessed by the promotions committees.

7.13 However if the applicant has been formally dispensed from discharging teaching duties on a temporary basis, for example because they have been granted academic leave, but does want their teaching contribution to be assessed and can provide evidence of their teaching contribution while in employment at the University and/or in Colleges over at least the previous three years prior to the dispensation, they should complete Annex B and should not tick the box on the Coversheet; their teaching contribution will then be assessed by the promotions committees in accordance with this guidance.

7.14 If an applicant needs advice, they should discuss this with their Head of Institution (who will be asked to confirm as appropriate that an applicant is not carrying out teaching, because of a formal dispensation or because their role does not include teaching, in his/her statement in Document 4). The relevant HR Business Manager can also be contacted for advice.

7.15 Applicants providing evidence of teaching should provide a record of all courses taught over such a period as may be necessary to show evidence of fulfilment of the teaching criteria, which will normally be not less than three years prior to the closing date for submission of applications. Teaching contribution at all levels, including teaching on undergraduate, postgraduate and Masters courses, should be listed. The record should specify the annual number of hours of teaching undertaken as part of the applicant's Faculty/Departmental teaching duties (stint) and should include details of administrative work which the Faculty/Department has agreed to be equivalent to part of the applicant's annual teaching stint. If applicable, mention should be made of any regular and substantial contribution to the teaching programmes of other Faculties/Departments.

7.16 The record should also include an up to date list of postgraduate students formally supervised with their results, over the period of employment; and details of course development and pedagogical innovation.

7.17 If the applicant holds an Honorary NHS consultant contract, information which describes contribution to postgraduate medical education and training should be provided. If the applicant is engaged in veterinary clinical work, information which describes contribution to postgraduate veterinary teaching and training should be provided.

7.18 The record may include samples of course descriptions, hand-outs, bibliographies, summary evidence of student feedback, up to a maximum of ten sides of A4.

7.19 The record may also include details of teaching undertaken for a College or Colleges, as College teaching may be included as part of the evidence on which assessment for promotion is based (see Document 5, 7.61 – 7.62. It may also include details of work undertaken as a Director of Studies at a College or Colleges.

7.20 Details of any Faculty/Departmental duties concerning the co-ordination of College teaching should also be included in this Annex.

7.21 Applicants who do not undertake College teaching will not be placed at a disadvantage in the consideration of their application.

7.22 Details of examining over the same period should also be included.

Annex C. General Contribution

7.23 Applicants should provide a list of contributions other than in teaching and research undertaken in the Faculty/Department/University and also any work outside the Faculty/ Department/University which is equally valuable, for example, service on central University bodies, working parties, reviews, engagement in widening participation activity and the design and delivery of outreach programmes, and contribution to the subject undertaken outside the University, editorial work, contribution to academic societies and meetings, and, where appropriate, details of research management, of research groups, and the creation and management of multi-institutional national/international research facilities.

7.24 Applicants should indicate any administrative work that the Faculty/Department has agreed shall be allowed against their annual teaching stint (see Annex B. Teaching).

7.25 Applicants who hold Honorary NHS consultant contracts should include details of their participation in regional and national committees (e.g. Royal Colleges, General Medical Council) and bodies concerned with undergraduate and postgraduate medical education, and also details of their clinical duties (7.63–7.64). Applicants who are engaged in clinical veterinary work should include details of their participation in regional and national committees and bodies concerned with postgraduate veterinary education, and also details of their clinical duties (7.65-7.66).

Document 2: Personal Statement

7.26 Applicants must specify the office to which they wish to be promoted by ticking the appropriate box on the Document 2 Coversheet. They must also indicate by ticking the box on the coversheet where they have submitted an application for promotion in last year's exercise.

7.27 All applicants are advised to submit a personal statement in support of their application. This should not exceed 1,000 words including annotations, if any. A word count should be provided at the end of the Personal Statement. It should cover the applicant's full range of duties and be presented in the light of the criteria for the office to which the applicant seeks promotion. Applicants are asked to provide information in their personal statements regarding their achievements since their last promotion, if applicable.

7.28 Applicants should provide evidence against each of the criteria: research/scholarship (including international recognition/leadership as appropriate), teaching and general contribution (Section 5), bearing in mind the standards set out in the guidance, including banding and scores. Research impact may be referred to as evidence of recognition/leadership.

7.29 With regard to the evidence provided of research/scholarship, applicants should make clear their role and contribution in large, multi-author publications. Applicants might also wish to highlight key advances set out in their papers.

7.30 With regard to those whose duties include teaching, the statement should include a self-assessment of the impact of the individual's Faculty/Departmental and College teaching (if applicable) on students. Student feedback is an important factor in assessing the

effectiveness of teaching, and course development and innovation as indicators of teaching excellence. At present individual Faculties/Departments employ their own methods for assessing such effectiveness. In order to provide as fair an opportunity as possible for each applicant to demonstrate his or her effectiveness, applicants are requested to provide a self-assessment which takes into account student feedback on the courses they teach and have taught (see paragraphs 7.15 and 7.19 above). This self-assessment may be commented on by the Head of the Institution (see Document 4 below). Applicants whose duties do **not** include teaching should tick the box on the coversheet and should not provide evidence of teaching in Annex B (see para 7.12).

7.31 If College teaching is applicable, the applicant should specify in Document 5 the name of the College and the Senior Tutor who should provide the statement. If an applicant holds an Honorary NHS consultant contract, this should be indicated clearly in the personal statement (Document 2 Coversheet), as the statement in Document 6 will need to be sought from the appropriate NHS hospital.

7.32 Candidates are required to record significant periods of leave of absence, along with the reasons for the leave, over the past five years.

7.33 Applicants who consider their work to be interdisciplinary should tick the box on the coversheet and provide reasons for their view (6.8 – 6.10).

Document 2: Personal Statement: Annex

7.34 The attention of prospective applicants is drawn to Appendix I, (3.2 – 3.4). Those applicants to whom this applies should tick the box on the coversheet and provide information in the annex. If there is no explicit statement or indication on Document 2 that the applicant wishes such consideration to be taken into account, the relevant Committees will treat the application in the same way as all other applications.

To be supplied by the Applicant and the Faculty Promotions Committee

Document 3: Referees

7.35 The names, titles and addresses of referees, including reserve referees nominated by the applicant and by the Faculty Promotions Committee must be specified in Document 3. Some informal consultation with applicants may be desirable before the Committee nominates its referees.

General remarks:

7.36 Referees must not be individuals who are applicants to the office to which the applicant is also seeking promotion in the same promotions exercise.

7.37 Referees chosen to comment on research should be individuals who are still regarded as international leaders in their field, are research-active and familiar with the applicant's field of research.

7.38 References, including the updating of references, should be sought by the Secretary of the Faculty Promotions Committee using the relevant standard letter (Document 3A or 3B). Copies of the applicant's *curriculum vitae*, including Annexes, personal statement and the relevant explanatory note on the criteria and performance descriptors (bandings) for the office concerned should be enclosed with the letter. Each referee will be asked to comment qualitatively on the application in terms of the criteria for the academic office

to which the applicant has applied for promotion. Referees will not be asked to assign a score for the application but they will be asked to indicate which banding they believe to be most appropriate against each of the criteria If the *pro forma* documents are not used, please be sure that the version used includes all the substantive content of the *pro forma.*

External referees in all cases are expected to comment on the applicant's research in relation to the criteria. They should be requested to comment on teaching and general contribution only if they are likely to be familiar with these areas of the applicant's work.

7.39 Faculty Promotions Committees should try to ensure that through the choice of referees the combination of references, whether new, updated, or carried forward, provides comment across the full range of the applicant's duties, particularly in relation to the criteria for the specific office applied for. In the case of carried forward references, careful consideration should be given to whether in fact these should be refreshed and updated to reflect progress made by the candidate in the intervening period.

7.40 Faculty Promotions Committees should provide any information known to them in relation to the individual referees nominated, including those nominated by the applicant; for example, whether the applicant has collaborated with the referee in the area of the applicant's work in which the referee is expert.

7.41 If the Faculty Promotions Committee agrees that an application is interdisciplinary, it may decide to seek references in addition to those listed as required below, seeking advice on the names of additional referees from other Faculty Promotions Committees via the Chairs of those Committees.

7.42 If a nominated or reserve referee indicated they are unable to supply a reference or no early response is received, other referees should be nominated by the Chair of the Faculty Promotions Committee or by the applicant, before the second meeting. In the event of more than the required number of referees becoming available before the second meeting, only the maximum number permitted under the guidance should be made available to the Committee. These must include, if possible, the statements of referees initially nominated on Document 3, up to the permissible number.

7.43 Faculties/Departments must have arrangements in place to protect the confidentiality of references and other confidential documentation held on file in Faculty/Departmental offices.

7.44 In the case of re-applications, references from the previous year's application (subject to any revision; 7.39 refers) will be carried forward for one further round only. For example, if the re-application is for promotion from 1 October 2018, references obtained from previous application(s) for the same office applied for in the 2017 exercise should be carried forward. Where there are no references to be carried forward because of the time which has elapsed, there must be a minimum of five references sought for an application to a Professorship or Readership and two for a University Senior Lectureship.

Application for promotion to a Personal Professorship or Readership

7.45 Referees should normally be external to the University but there may be circumstances where it is appropriate to nominate referees from cognate subject areas in the University. One of the referees should be able to comment on the candidate's general contribution externally.

(i) ***First time applications***

7.46 Five references are required. Applicants must supply on Document 3 the names of two referees and the name of one reserve who may be approached if it is not possible to obtain a reference from the nominated referee. The Chair/Secretary of the Faculty Promotions Committee should complete Document 3 by adding the names of three referees and one reserve which the Faculty Promotions Committee agrees should be approved in addition to referees from those nominated by the applicant.

(ii) ***Re-applications*** (For those who have applied for the same office in the 2017 - last year's exercise. If your last application was before this time, please proceed as a first-time application).

7.47 Three references additional to those supplied in previous years are required. Updated references are counted as additional references. Applicants must supply on Document 3 the name of one of the three referees together with a reserve who may be approached if it is not possible to obtain a reference from the nominated referee. The Chair/Secretary of the Faculty Promotions Committee should complete Document 3 by adding the names of the two referees and the reserve which the Faculty Promotions Committee have agreed should be approached in addition to the individuals nominated by the applicant.

7.48 A referee cited in a previous application should be chosen and requested to update the earlier reference only if there have been significant changes in the applicant's publication record or other circumstances relating to the case for promotion since the referee was last approached.

7.49 References relating to a previous application for the same office to which promotion is being sought should be carried forward and listed in Section (iii) of Document 3.

Application for promotion to a University Senior Lectureship

Referees need not be external to the University. One of the referees should be able to comment authoritatively or in detail on the quantity of teaching and general contribution.

(i) First time applications

7.50 Two references are required, at least one of which should be internal. Applicants must supply on Document 3 the name of one internal referee and the name of a reserve who may be approached if it is not possible to obtain a reference from the nominated referee. The Chair/Secretary of the Faculty Promotions Committee should complete Document 3 by adding the names of one referee and one reserve which the Faculty Promotions Committee agrees should be sought in addition to references from individuals nominated by the applicant.

(ii) ***Re-applications*** (For those who have applied for the same office in the 2017 - last year's - exercise. If your last application was before this time, please proceed as a first-time application).

7.51 Two references additional to those supplied in previous years are required, at least one of which should be internal. Updated references are counted as additional references. Applicants must supply on Document 3 the name of one internal referee together with a reserve who may be approached if it is not possible to obtain a reference from the

nominated referee. The Chair/ Secretary of the Faculty Promotions Committee should complete Document 3 by adding the names of one referee and one reserve whom the Faculty Promotions Committee have agreed should be approached in addition to the individuals nominated by the applicant.

7.52 A referee cited in a previous application should be chosen and requested to update the earlier reference only if there have been significant changes in the applicant's publication record or other circumstances relating to the case for promotion since the referee was last approached.

7.53 References relating to a previous application for the same office to which promotion is being sought should be listed in Section (iii) of Document 3 and carried forward.

To be supplied by the applicant's Head of Institution or other senior academic officer nominated by the Faculty Promotions Committee

Document 4 and coversheet. The Faculty/Departmental Case for Promotion

7.54 The Head of Institution or other delegated senior academic officer should present the Faculty/Departmental case for promotion in Document 4, not exceeding two sides of A4, including any relevant factual comment on the information contained in the application (Document 1) and the applicant's personal statement (Document 2) if he or she considers this to be necessary. Please note that the General Board consider it inappropriate for Document 4 to be prepared by a senior academic who is a Chair of a Faculty Promotions Committee for an applicant whose application will be considered by the same Faculty Promotions Committee.

7.55 The statement provided in Document 4 should be a statement which represents the internal view of the Faculty/Department of the case for promotion; it should **not** be based on other evidence generated by the promotion procedure. It should comment on the strength of the case for promotion to the office specified by the applicant in terms of the criteria for that office, as set out in the guidance (Section 5, paras 5.1 to 5.36), based on knowledge of the applicant's contribution and achievement in relation to research/scholarship (with reference to originality, contribution to the advancement of knowledge and reputation), teaching (if applicable) and general contribution, including evidence of excellence in these criteria (see para 5.30. If the applicant has ticked the box on the Coversheet to Document 1 and Annex B, the Statement in Document 4 should include confirmation that their duties do not include teaching (see 7.12). The statement should also comment on the applicant's overall role and contribution to the academic enterprise and their standing in relation to other academic staff in the department/faculty.

7.56 If the Head of Institution believes that the applicant should have applied for another office having reviewed their case for promotion, in the first instance they should discuss this with the applicant. If there is insufficient time for the applicant to resubmit in time for the first FPC meeting, their case will be considered and appropriate arrangements made for the second FPC meeting (see para 8.16, point 1). It is expected that such cases will be exceptional and clearly justified by the Head of Institution.

7.57 The case for promotion is not disclosable on request to the applicant (Sections 2 and 10). However, it will be disclosed should the applicant make a data subject access request, as required under the provisions of data protection legislation.

7.58 If an applicant regards his or her case for promotion as interdisciplinary, or holds a 'joint' University Lectureship (see Special Ordinance C(x) 3), or his or her duties involve a

regular and substantial contribution to the teaching programme of other institutions, it may be necessary for the Head of Institution or other person responsible for preparing the case for promotion to consult with the Head(s) of other institutions concerned before drafting the statement.

7.59 In the case of an applicant who has completed the annex to Document 2, providing details of personal circumstances that should be taken into consideration when evaluating their contribution and giving details of the impact this has had on their ability to carry out their usual duties, attention is drawn to paras 7.34, 8.19 and Appendix 1, 3.2 – 3.4. The Head of Institution or other person responsible for preparing the statement should seek advice from the appropriate HR Business Manager in the Human Resources Division before drafting the statement, which should comment on the effect of these additional considerations on the applicant's achievements. The promotions committees will take into account this information when evaluating the applicant's teaching, research and general contribution (in line with the guidance provided in paras 7.34, 8.19 and Appendix 1, paras 3.2 to 3.4).

7.60 In the case of applicants who hold offices or unestablished posts which are not centrally funded, the statement must contain an assurance that the total recurrent cost of the promotion will normally be met from non-UEF sources funding the appointment. Details of the funding and the source from which the cost of the promotion is to be met must be specified. Written evidence of the proposed funding arrangements must be provided to the Human Resources Division by the Institution as soon as possible after the application is submitted. Please note that if non-UEF funds are used to fund a promotion for a fixed term and not the retirement age, there must be objective justification for the fixed term appointment. Advice should be sought from the relevant HR Business Manager.

To be supplied by a College

Document 5. College teaching

7.61 If an applicant requests that their College teaching or work as Director of Studies should be taken into account, the Chair of the Faculty Promotions Committee should request a statement from the Senior Tutor of the College at which the member of staff has regularly undertaken the greater part of his or her College teaching, which provides a factual description of the scope and amount of such teaching work, and comments on the effectiveness of the applicant's contribution.

7.62 The name and College of the Senior Tutor will be provided by the applicant in Document 2.

To be supplied by the NHS

Document 6. Clinical work and postgraduate medical teaching and training

7.63 The applicant's personal statement (Document 2 Coversheet) will indicate whether they hold an honorary NHS consultant contract. In such cases, the Chair of the Faculty Promotions Committee should request a statement from the appropriate NHS Trust to provide comment on the candidate's role and effectiveness of his or her contribution to clinical work and postgraduate medical teaching and training. The Clinical School office has a list of the persons of the relevant hospitals nominated to provide such statements.

7.64 The information provided in relation to teaching will be considered in relation to the teaching criteria; that provided in relation to clinical duties will be considered in relation to the general contribution criterion.

To be supplied by the Clinical Veterinary Manager

Document 6V. Clinical veterinary work and postgraduate veterinary teaching and training

7.65 The applicant will indicate in Document 2 (Coversheet) where they are engaged in clinical veterinary work and postgraduate veterinary teaching and training. In such cases, the Chair of the Faculty Promotions Committee should request a statement from the appropriate Clinical Manager to provide comment on the candidate's role and the effectiveness of his or her contribution to clinical work including postgraduate veterinary teaching and training.

7.66 The information provided in relation to teaching will be considered in relation to the teaching criteria; that provided in relation to clinical duties will be considered in relation to the general contribution criterion.

8. THE FACULTY PROMOTIONS COMMITTEE

8.1 All Faculty Boards and comparable authorities must ensure that they have agreed formally that a Faculty Promotions Committee shall consider applications for promotion to the offices of University Senior Lecturer, Reader, or Professor.

The Role of the Faculty Promotions Committee

8.2 The role of the Faculty Promotions Committee is to evaluate the case for promotion on the basis of the documented evidence in the form of references, *Curriculum Vitae*, personal statement, and Head of Institution statement and to determine scores for research/scholarship, teaching and general contribution criteria. References provide a qualitative assessment of the applicant; therefore, referees will not be asked to assess the applicant against the scoring scheme.

8.3 The Faculty Promotions Committee's role also includes ensuring that the complete documentation necessary for the next stage of consideration is forwarded to the HR Business Manager in the Human Resources Division who is Secretary of the relevant Sub-Committee of the General Board's Senior Academic Promotions Committee (9.8). **Their purpose is not to serve as advocacy boards but to evaluate each case objectively and determine their relative merits.**

Membership

8.4 Faculty Boards should agree the appointment of the Faculty members of the Committee, including the Chair, by the date specified in the timetable (Section 3). The membership should be determined after the membership of the General Board's Senior Academic Promotions Committee and its Sub-Committees has been determined as there must be no overlap between the membership of these Committees and that of the Faculty Promotions Committees. The Secretary of the Committee will normally be a Faculty or Departmental Administrator for an institution considered by that Faculty Promotions Committee. Where this is not the case, the Faculty Board should appoint an appropriate local administrator as Secretary. In appointing members to Committees Faculty Boards should bear in mind the value of diverse membership. Accordingly, the Minutes of meetings of Faculty Promotion Committees should record the gender of each member and, if known, ethnicity.

8.5 In addition, the General Board will appoint one member to each Faculty Promotions Committee, external to the Faculty concerned. All members of Committees have a responsibility for ensuring that the procedures and the guidance are observed; the Chair and the member appointed by the General Board have a particular role in this regard.

8.6 The full membership of a Faculty Promotions Committee will be not less than five members and normally not more than nine members. The members must be Professors or of professorial standing. Exceptionally, permission may be given in certain circumstances for non-professorial members to be appointed. If this is considered necessary, advice should be sought from the Human Resources Division.

8.7 If difficulty is experienced in achieving the minimum membership requirement, as may happen in the case of a small Faculty or Faculties, the Faculty Board concerned may appoint a Professor or Professors external to the Faculty or Faculties.

8.8 Faculty Promotions Committees may invite additional persons to attend meetings to assist in the consideration of interdisciplinary applications. Such additional persons will not be members and will not therefore be able to exercise a vote.

8.9 Faculty Promotions Committees may sometimes be requested by the General Board to consider an application from outside their Faculty when this makes sense in academic terms.

8.10 The full membership of each Faculty Promotions Committee will be published in the *Reporter* as will the membership of the General Board's Main Committee and Sub-Committees. The names of persons invited by the Committee to attend in order to assist with the consideration of interdisciplinary applications may be disclosed to applicants on request.

Combined Faculty Promotions Committees

8.11 Small Faculties/Institutions may experience difficulty in meeting the membership requirements. Where this is the case, and it makes sense in academic terms, the General Board may agree that a Faculty Promotions Committee be constituted to serve more than one Faculty/Institution.

8.12 Following the approval of the Report of the General Board on the Senior Academic Promotions procedure (***Reporter,* 2011-12, p.606**), there is provision for a Faculty Promotions Committee to consider applications from more than one institution, where recommended by the General Board and agreed by the relevant Council of School. Consideration of the guidance set out below should take this revised structure into account.

The role and responsibilities of the Chair of the Faculty Promotions Committee

8.13 The Chair of the Faculty Promotions Committee will have the responsibilities listed below. The duties associated with these responsibilities may, where appropriate, be delegated to the Secretary of the Committee and/or to the relevant Faculty/Departmental administrator(s). The Chair of the Committee is expected to ensure that:

(i) All applications conform to the guidance and that material submitted that is not in accordance with the guidelines, e.g. CVs (Document 1) and personal statements (Document 2), is returned to the applicant for necessary revision, to be re-submitted by the date on which agenda and papers are circulated to members of the Faculty Promotions Committee. Copies of actual publications submitted as part of an application should be returned to the applicant and not submitted to Faculty Promotion Committee.

(ii) Applications are assessed to check whether the appropriate office has been applied for (so that as appropriate the first Faculty Promotions Committee meeting can decide whether to invite revised applications to be submitted in time for consideration at the second meeting; such cases are likely to be exceptional and must be clearly justified by the Head of Institution).

(iii) The gender balance of applications and explanations provided by the Head of Institution are reviewed so that appropriate action is taken before the second Faculty Promotions Committee meeting.

(iv) All applications are acknowledged.

(v) The Departmental/Faculty case (Document 4) for each applicant is sufficiently detailed and contains sufficient explanation (see 7.54-7.55). Documents that do not provide sufficient detail or do not conform with the guidance should be returned to the Head of Institution (or senior academic) to amplify the case with a request that it is returned at latest by the date on which agenda and papers are circulated to members of the Faculty Promotions Committee.

(vi) Well in advance of the first and second meetings of the Committee a check is made to confirm that the documentation relating to each application is complete and conforms to the guidance. Particular care is necessary before the second meeting with regard to references. The first part of Document 8 (the documentation checklist for each applicant) should be completed and signed by the Secretary of the Committee.

(vii) If an applicant has indicated personal circumstances should be taken into consideration when evaluating their teaching, research or general contribution, advice should be sought from the appropriate HR Business Manager in the Human Resources Division well in advance of the meeting of the Committee, and that the advice has been acted upon (Appendix 1, 3.2 – 3.4), with the action that has been taken and the reasons for this recorded in the minutes of the second meeting.

(viii) All the relevant documentation is treated in the strictest confidence (Appendix I, 5.1).

(ix) Before there is any discussion or consideration of business at meetings of the Faculty Promotions Committee, members of the Committee and any other person(s) attending the meetings are asked to confirm that they have received copies of this booklet and are familiar with the guidance in it.

(x) The Committee is informed of any declarations of interest so that these may be considered before there is any consideration of applications (Appendix I, 2.1 – 2.2).

(xi) The business of the Faculty Promotions Committee is conducted in accordance with the principles set out in Appendix 1, 4.1 – 4.4.

(x) The evaluations agreed for each applicant are recorded on Part 1 of Document 7A (Professorship), 7B (Readership), or 7C (University Senior Lectureship) and that comments agreed in relation to the evaluation of each criterion of the specific senior academic office for which application has been made are also recorded.

(xi) The advice concerning the ranking of applications is observed (8.23).

(xii) The Minutes of the meetings of the Faculty Promotions Committee are an accurate record of the consideration of business, provide a record of the justification of the Committee's decisions, and are approved by the Committee; such approval may be obtained by circulation. Please note that should a set of FPC minutes be submitted to the Human Resources Division that are not deemed to meet the requirements of this section, they may be returned to the Chair of the FPC for appropriate revision.

(xiii) All necessary action is taken following approval of the Minutes in relation to the outcome of the business under consideration.

Meetings of the Faculty Promotions Committees

8.14 Two meetings will normally be necessary.

The first meeting

8.15 The purpose of the first meeting is to consider the applications and other available documentation with a view to determining the additional evidence that must be sought before the Committee can consider and evaluate the case for promotion. The evaluation of the case for promotion will take place at the second meeting.

8.16 In addition to the agenda for the meeting, the documentation which should be made available for the meeting should be as follows:

(i) a copy of this guidance;

(ii) the applications (i.e. CVs, together with Annexes and personal statements) received. In the case of re-applications, previous references should be appended to the applications.

The Faculty Promotions Committee should decide in the case of each applicant:

1. whether the application is for the appropriate office, taking into account the assessment made in the Department/Faculty case (Document 4). Exceptionally, taking into account this case, the applicant will be invited to submit a revised application for a different office for consideration by the second FPC meeting (with documentation submitted by the date on which agenda and papers are circulated to the FPC members);

2. whether the application is interdisciplinary (either because the candidate has indicated this in Document 2 or because the Committee has decided this) and whether it will be necessary to obtain additional information and/or to invite additional person(s) to attend the second meeting as consultant(s);

3. what action it may be necessary to take in the light of advice provided by the relevant HR Business Manager before the second meeting of the Committee on behalf of an applicant who had indicated that consideration should be given to any personal circumstances specified in the personal statement (Document 2 Annex). This may involve (with the applicant's permission) seeking written medical advice from the University Occupational Health Consultant. If the Faculty Promotions Committee considers that it would be helpful if the applicant provided additional detail on the impact of their additional considerations on their duties, it should refer the Annex to Document 2 back to the applicant to provide this information;

4. what action it may be necessary to take having reviewed the gender balance of applications, seeking further information from the relevant Head of Institution as appropriate before the second meeting;

5. bearing in mind 8.16 (i) and (ii) above, the names of the referees nominated by the applicant, and also whether the application is first-time or a re-application – the names of any additional referees that may be required in addition to those nominated by the applicant, or any references which require updating. **References should be carried forward for one further round only**;

4. the choice of referees, having, where appropriate, consulted with the applicant before drawing up their list;

5. the appropriate person (Head of Institution or other delegated senior academic officer) to provide the Faculty/Departmental case for promotion (Document 4);

6. whether information on College teaching (Document 5) and/or clinical work (Document 6) is required.

8.17 A clear, concise, and suitably detailed record of the meeting should be minuted. Document 9A sets out a standard format which may be used or adapted for drafting the Minutes of the first meeting of Faculty Promotions Committees.

The second meeting

8.18 The purpose of the second meeting is to agree collectively in terms of the relevant criteria the evaluations, banding and scores of the cases for promotion in respect of the offices applied for and to rank applications in a list for each senior academic office. Faculty Promotion Committees, like Sub-Committees, must make an objective assessment of the quality of the application in relation to the criteria based on all the evidence; their role is not to advocate the cases for promotion that they are evaluating. The criteria, performance descriptors (bandings) and scoring methodology for each senior academic office are set out in Section 5.

8.19 In relation to applicants who have indicated that they wish consideration to be given to personal circumstances (7.34, Appendix 1, 3.2 – 3.4), the Faculty Promotions Committee should evaluate the quantity of the applicant's work and contribution both in relation to the relevant criteria and in relation to their assessment of whether the amount of work and contribution is reasonable in the circumstances. The assessment made by the Faculty Promotions Committee should include the following:

- Consideration should be given to the evidence set out in the annex to Document 2 (see 6.7), where the candidate provides details of any and all personal circumstances that should be taken into consideration when evaluating their teaching, research or general contribution (for example, caring responsibilities, periods of maternity/paternity/adoption leave, bereavement, ill health or injury, medical treatments or disability) and the impact this has had on their ability to carry out their usual duties. This statement will be taken into account to ensure that the performance of an applicant is judged fairly and objectively and that full account is taken of the impact on a candidate's performance. The quality and impact of an applicant's performance should be assessed objectively and on the same basis as other applicants but promotions committees should take into account any reduction in working time of the candidate due to additional considerations when judging the quantity of their work or output; for example, by assessing the volume of output pro-rata. Advice should be sought at the earliest opportunity from the relevant HR Business Manager.

- In the case of a member of staff who has taken leave from their usual duties, e.g. maternity or sick leave, assessment of their contribution should focus on the period when they were at work, with allowance made for quantity of work/output, as appropriate, as set out above, on their return to work.

- In the case of a member of staff who is known to have a disability, account should be taken of:
  i) the nature of their disability;
  ii) how they believe it has constrained performance;
  iii) and, if appropriate, the effectiveness of any adjustments to their workplace or employment arrangements in overcoming these issues

8.20 If the applicant has indicated by ticking the box in the Coversheet to Document 1 that their duties do not include teaching (and has therefore not completed Annex B), the statement in the Faculty/Departmental case for promotion (Document 4) should include confirmation that this is the case and the Faculty Promotions Committee should **not** make an evaluation of (or score) that applicant's teaching contribution.

8.21 If the subject area of an application is such that it crosses Sub-Committee boundaries, whether or not the applicant has indicated on Document 2 that his or her application is interdisciplinary, the Faculty Promotions Committee may decide that, in the interest of fairness, the application be referred for consideration to a different Sub-Committee or Sub-Committee(s). In such cases, the Faculty Promotions Committee should forward the application to the Secretary or Secretaries of the Sub-Committee(s) concerned, giving reasons, and a view as to which Sub-Committee evaluation should be given greater weight by the Main Committee.

Documentation

8.22 The following documentation should be circulated if possible not less than a week in advance of the meeting. If the documentation is incomplete or does not comply with the requirements, it should be reported to the Chair as soon as possible. The Chair or Secretary of the Committee should ensure that any omission or deficiency in the documentation is rectified before the meeting.

(i) Agenda for the meeting

(ii) Minutes of the first meeting of the Faculty Promotions Committee

(iii) The required documentation, i.e. for each applicant:

1. A *curriculum vitae* together with Annexes A, B (if applicable), and C.

2. Personal statement (Document 2) and Annex (if completed)

3. References, i.e. Document 3, together with:
   * Statements of referees nominated by the applicant
   * Statements of referees, including updated statements, nominated by the Faculty Promotions Committee and any additional referees
   * In the case of re-applications, copies of the previous year's references

4. The academic case for promotion received from the Faculty/Department (Document 4)

5. If applicable, statement(s) from relevant College(s) (Document 5), and/or NHS hospital (Documents 6), and/or Clinical (veterinary) Manager (Document 6V).

Where possible the applicant documentation should be provided electronically using Moodle. The relevant HR School team can advise on the recommended structure and format to be used for this electronic submission.

Procedure

8.23 Faculty Promotion Committees are required collectively to (Appendix 1, 4.4):

(i) Evaluate, band and score each application objectively against the criteria on the basis of all the evidence contained in the documentation (see 8.18 and 8.19), including the impact of additional considerations on performance. Committees are encouraged to use the full range of scores in order to indicate the relative strength of applications.

(ii) Produce a ranked, scored list of applications each senior academic office (joint ranking is not permissible, see para 5.34). These lists must include applications from the holders of both centrally funded and non-centrally funded offices and posts.

(iii) Make a judgement on the appropriate rank order where there is more than one candidate with the same total for that office. Also, make a judgement on where to place candidates who have declared that they have no teaching duties (and therefore have not been assessed on their teaching contribution) in the rank order for the relevant office.

(iv) Indicate on the ranked list those applicants who have not met the minimum criteria for promotion (i.e. those applicants who have scored '1' or '2' in any of the performance descriptors (bands).

This ranking is also required of the Sub-Committees. In their consideration of applications Committees must adhere to the criteria set out in Section 5. They must not import considerations into their evaluations which may be construed as additional criteria.

Minutes

8.24 Faculty Promotion Committees, especially those covering a number of different disciplines, should bear in mind the importance for Sub-Committees of providing clear reasons in their Minutes for the banding and the ranking of applications.

For each applicant the Minutes should include the banding agreed in terms of the three criteria set out in Section 5 (research/scholarship with reference to originality, contribution to the advancement of knowledge and reputation; teaching; general contribution) and a fairly and objectively worded minute containing a reasoned, specific justification of each agreed banding. The award of a high score for a criterion indicates that the candidate is making an exceptional contribution and the justification for this assessment should be set out in the minutes.

In cases where a particular reference may contain adverse comment of a significant nature that is out of line with comments in other references, Committees should ensure that the Minutes indicate clearly their response to the adverse comment. Further explanation should also be provided in cases where the Faculty grading differs from that suggested by the referees, and where the Faculty has either taken strong account of, or apparently disregarded, a single critical reference amongst a group of positive references. Reference may be made in the Minutes to comment contained in referees'

statements but care should be taken to ensure that such reference is anonymised if it is transcribed on to the feedback form Document 7.

In order to provide the General Board's Main Committee and its Sub-Committees with a sense of the relative strength of the cases for promotion for each of the senior academic offices, the Minutes should also include summaries of overall scoring (including the score for each of the criteria as well as the total score) and ranked lists of all the applications for each of the three senior academic offices. For candidates who have declared they have no teaching duties, the minutes should refer to these applications and their positioning within the rank order.

The Minutes should state, where appropriate, whether an application has been treated as interdisciplinary and is to be referred to a different or more than one Sub-Committee.

The Minutes should also state whether allowance has been made for any additional consideration(s). If this is the case, the Minutes should set out what allowance has been made (8.19, Appendix 1, 3.2 to 3.4).

Document 9B sets out a standard format which may be used or adapted for drafting the Minutes of the second (and any subsequent) meeting of Faculty Promotions Committees.

Evaluations, including banding for each criterion and comments, must also be recorded on Part 1 of Document 7A (Professorship), 7B (Readership), or 7C (University Senior Lectureship) as relevant, which is disclosable on request under the feedback arrangements (Section 10).

Subsequent action

8.25 The full documentation received in respect of each applicant by the Faculty Promotions Committee, preferably in electronic format (see 8.22 above), together with the Minutes of both meetings of the Faculty Promotions Committee should be forwarded to the relevant HR Business Manager in the Human Resources Division. Part 1 of Documents 7 and 8 for each applicant should be completed, signed, and forwarded with the documentation in separate batches.

8.26 To assist understanding by the Sub-Committee of the banding, scoring and ranking of applicants by the FPC, the FPC Chair should attend part of the relevant School Sub-Committee meeting in a non-voting capacity to present cases and provide clarification where needed.

8.27 Applicants may on request be given copies of Part 1 of Document 7A, 7B, or 7C, as relevant, after the second meeting of the Faculty Promotions Committee, to inform them of the outcome of the Faculty Promotions Committee stage of the process of consideration. This would be for information only and would not form part of the formal feedback, which would be given at the **end** of the process (see Section 10 and 10.6).

9. THE GENERAL BOARD'S SENIOR ACADEMIC PROMOTIONS COMMITTEE AND ITS SUB-COMMITTEES

The Role of the Main Committee and its Sub-Committees

9.1 The purpose of this part of the process is to regulate the local evaluations agreed by the Faculty Promotions Committees in order to achieve consistency of standard across the University and to reach agreement on the names of the successful applicants who are to be proposed for promotion to senior academic offices in the General Board's Annual Report to the University. This is to be achieved in two stages.

The first stage

9.2 The Sub-Committees of the General Board's Main Committee reassess the evaluations in the form of the ranked scores of the applicants for each office received from the Faculty Promotions Committees in the context of the School-based subject areas. They should satisfy themselves that the scoring has been consistently applied by the Faculty Promotions Committees, making changes to scores as the Sub-Committee deems necessary to ensure a consistent application of the scoring methodology. Sub-Committees must make an objective assessment of the quality of the applications in relation to the criteria based on all the evidence contained in the documentation: their role is not to act as an advocate for applicants.

The second stage

9.3 In the second stage, the Board's Main Committee considers the ranked score and the evidence received from the Faculty Promotions Committees and from the Sub-Committees, from a University-wide perspective, having regard to the evaluations, banding, scoring and ranking agreed in the previous Committee stages.

9.4 This approach from local to School-based and finally to University-wide perspective, will provide the broad context that is desirable for the consideration of interdisciplinary applications.

Membership

9.5 There should be no overlapping membership between the General Board's Main Committee/Sub-Committees and the Faculty Promotions Committees in the same annual exercise. Members of the Board's Main Committee and Sub-Committees should be determined in advance of the appointment of the membership of Faculty Promotions Committees by Faculty Boards.

9.6 Members of the General Board's Main Committee and its Sub-Committees are appointed for three years. No member may serve for more than two consecutive terms of three years.

The General Board's Main Committee

9.7 Membership will comprise:

(i) The Vice-Chancellor (in the Chair)

(ii) The Chairs of the Sub-Committees (see below)

(iii) Five external members who will be distinguished academics, one drawn from each of the Sub-Committee areas. Additional external members may be appointed where necessary to provide specialist advice.

The Director of Human Resources shall act as Secretary and the Academic Secretary attends as Secretary of the General Board.

The Sub-Committees

9.8 There will be five Sub-Committees, each reflecting the following School-based areas:

(i) Arts and Humanities

(ii) Humanities and Social Sciences

(iii) Biological and Medical Sciences

(iv) Physical Sciences

(v) Technology

HR Business Managers will act as the Secretaries of the Sub-Committees.

9.9 In addition to the Chair each Sub-Committee will have not less than four and not more than five members appointed from within the University, and one member external to the University.

9.10 The General Board will appoint the internal members on the nomination of the respective Councils of the Schools. The external members will be appointed by the General Board in the light of the appointment of the internal members, and will be drawn from the external members of the Main Committee. The General Board and the Councils of the Schools should bear in mind gender and ethnicity in nominating and appointing members of these Committees.

9.11 In agreeing their nominations, the Councils of the Schools may wish to rotate membership among their institutions over time so as to ensure that all institutions are appropriately represented.

9.12 The Chairs of the Sub-Committees will be members of the General Board's Main Committee and will be appointed by the General Board. Each person appointed will chair a Sub-Committee not concerned with the broad academic area of his or her own Council of the School.

The Sub-Committee Stage

The Role and responsibilities of the Chair of the Sub-Committee

9.13 The Chair of the Sub-Committee will have the responsibilities listed below. The duties associated with these responsibilities may, where appropriate, be delegated to the Secretary of the Sub-Committee.

9.14 The Chair of the Sub-Committee is expected to ensure that:

(i) All the documentation received from the relevant Faculty Promotions Committees in relation to each applicant is complete and conforms to the guidance. Particular

attention must be paid to references, College teaching, and clinical work; and to whether all the necessary relevant information has been presented in respect of those applicants who have indicated that consideration should be given to personal circumstances, (see (iv) below) and/or who have indicated that their application is of an interdisciplinary nature; that the evaluation and comments of the Faculty Promotions Committees in respect of each applicant have been recorded appropriately on Part 2 of Document 7A (Professorship), 7B (Readership), or 7C (University Senior Lectureship), as relevant. Any queries that arise should be addressed to the Chair/Secretary of the relevant Faculty Promotions Committee. The documentation checklist in Part 2 of Document 8 should be completed and signed by the Secretary of the Sub-Committee.

(ii) Liaise if necessary with the Chair(s) of any other Sub-Committee to which a Faculty Promotions Committee has referred an application (8.21).

(iii) Liaise if necessary with the Chair(s) of any of the Faculty Promotions Committees which have considered applications submitted to the Sub-Committee.

(iv) If an applicant has indicated that personal circumstances should be taken into consideration when evaluating their teaching, research or general contribution, advice must be sought from the appropriate HR Business Manager in the Human Resources Division as to how the application should be treated, Appendix 1, 3.2 – 3.4. (See also 5.1, 7.34 and 8.19).

(v) All the relevant documentation is treated in the strictest confidence. (Appendix I, 5.1 – 5.2).

(vi) Before there is any discussion or consideration of business at the meeting(s) of the Sub-Committees, members of the Committee, and any other persons attending the meeting(s), have confirmed that they are familiar with the guidance in this booklet.

(vii) The Sub-Committee is informed of any declarations of interest so that these may be considered before there is any consideration of applications. (Appendix I, 2.1 – 2.2).

(viii) The business of the Sub-Committee is conducted in accordance with the principles set out in Appendix I, 4.1 – 4.4.

(ix) The evaluations and comments agreed for each applicant by the Sub-Committee in relation to the criteria for the offices for which the applicant is eligible are recorded on Part 2 of Document 7A, B or C as appropriate.

(x) The Minutes of the meeting(s) of the Sub-Committee are an accurate record of the consideration of business and are approved by the Sub-Committee; such approval may be obtained by circulation.

(xi) All necessary action is taken, following approval of the Minutes, in relation to the outcome of the business considered.

Documentation

9.15 The relevant HR Business Manager will prepare the agenda and papers for the meeting of the Sub-Committee. The documentation should be circulated if possible not less than a week in advance of the meeting. It should comprise:

(i) An agenda

(ii) A copy of this guidance

(iii) Minutes of the relevant Faculty Promotion Committees

(iv) The documentation received for each applicant at the second (and any subsequent) meeting of the Faculty Promotion Committees (Section 8)

(v) Comprehensive lists of all applicants for each of the three senior academic offices, i.e. Professorships, Readerships, University Senior Lectureships, containing for each applicant: name; institution; whether the application is interdisciplinary or whether any allowance should be made in relation to additional consideration(s); the evaluations, comments and ranking given by the relevant Faculty Promotions Committee in relation to each of the senior academic offices to which the candidate has applied for promotion. This will be circulated in electronic format using Moodle, where possible.

(vi) Copies of Part 1 of Document 7 A, B, or C, as relevant, for each applicant, as signed off by the Chair of the Faculty Promotion Committee should be available for reference at the meeting, if necessary.

Procedure

9.16 Sub-Committees are required collectively to:

(i) Review the ranked scores of applicants for each office from the relevant Faculty Promotions Committee and check that the scoring has been consistently applied by these committees. The Sub-Committee will make changes to scores as it deems necessary to ensure the consistent application of the scoring methodology, providing reasons in the minutes for any change made to the scoring provided by a Faculty Promotions Committee.

(ii) Create a single ranked, scored list for applicants to each of the offices for the relevant School. Where there is more than one applicant receiving the same overall score, the Sub-Committee will determine the rank order of the applicants, noting the reasons for its decision. Tied rankings are not permitted, although more than one applicant for an office may have the same total score. The Sub-Committees also need to make a judgement on where to place candidates who have declared that they have no teaching duties (and therefore have not been assessed on their teaching) in the rank order for the relevant office.

(iii) Indicate where the Committee considers the 'line' for promotion should be in the rank order of its applications for University Senior Lecturer, Reader and Professor, taking into account those applicants most deserving of promotion and bearing in mind the indicative budget.

(iv) Flag in the ranked list those applicants who have not met the minimum criteria for promotion (i.e. those applicants who have a score in either the 'insufficient evidence' or 'clearly unsatisfactory' performance descriptors).

In their consideration of applications Committees must adhere to the criteria set in Section 5. They must not import considerations into their evaluations which may be construed as additional criteria.

9.17 To assist understanding by the Sub-Committee of the ranking and scoring of applicants by the Faculty Promotions Committee, the Faculty Promotions Committee Chair should attend part of the relevant School Sub-Committee meeting in a non-voting capacity to present cases and provide clarification where needed.

Minutes

9.18 Sub-Committees should bear in mind the importance for the Main Committee of providing clear reasons in their Minutes for any adjustment of Faculty Promotion Committee evaluations of applications. Accordingly, Sub-Committees should give reasons for any adjustment in the Faculty Promotion Committee banding, scoring and for its determination of the rank order of candidates for each office.

For each applicant the Minutes should include the evaluations agreed in terms of the three criteria set out in Section 5 (research/scholarship with reference to originality, contribution to the advancement of knowledge and originality; teaching; general contribution) and a fairly and objectively worded minute containing a reasoned justification of agreed evaluation. If there is complete agreement between a Faculty Promotion Committee and a Sub-Committee in relation to a particular evaluation against the banding (performance descriptors) and the scoring, no comment will be necessary in the Minutes or on Document Part 2 of 7A, 7B, or 7C. If an adjustment of a banding and scoring of a Faculty Promotion Committee is considered necessary, reasons must be given in the Minutes and the change of banding also recorded on Part 2 of Document 7A, 7B, or 7C. The award of a high score for a criterion indicates that the candidate is making an exceptional contribution and the justification for this assessment should be set out in the minutes.

Reference may be made in the Minutes to comment contained in referees' statements but care should be taken to ensure that such reference is anonymized, if such information is transcribed on to Document 7. In order to provide the Main Committee with a sense of the relative strength of the cases for promotion for each of the senior academic offices, the Minutes should include summaries of overall rankings of all the applications for each of the senior academic offices scored in accordance with para 9.16.

Please note that it is important for the Sub-Committees to prepare lists which clearly prioritise the relative strength of applications; the use of tied ranking is not allowed.

The Minutes should also state, where appropriate, whether an application has been treated as interdisciplinary and has been considered by more than one Sub-Committee and/or whether allowance has been made for additional consideration(s) and in what way. In addition, the minutes should also refer to candidates who have declared that they have no teaching duties, confirming that no teaching assessment has therefore been made.

Subsequent Action

9.19 The full documentation received by the Sub-Committee, together with the Minutes of the meeting(s) of the Sub-Committee should be forwarded to the Secretary of the Main Committee. Part 2 of Documents 7 and 8 for each applicant should be completed, signed, and forwarded with the documentation but in separate batches for administrative ease.

9.20 Applicants should **not** be informed of the outcome of the Sub-Committee's or Faculty Promotion Committee's evaluation. Feedback should **not** be provided at this stage.

The Main Committee Stage

The role and responsibilities of the Chair

9.21 These are essentially as for the Chairs of the Sub-Committees (9.13 – 9.14) save that the check on documentation covers documentation received from each of the Sub-Committees, rather than the Faculty Promotion Committees. Part 3 of the documentation check form (Document 8) should be completed and signed by the Secretary.

Documentation

9.22 The Secretary will circulate the agenda and papers for the meeting of the Main Committee well in advance of the meeting. The papers should comprise:

(i) An agenda.

(ii) A copy of this guidance.

(iii) The documentation received for each applicant by the relevant Sub-Committee.

(iv) Minutes of the Sub-Committees and Faculty Promotions Committees, together with summary lists of evaluations and rankings agreed by the Sub-Committees for all applicants in relation to each of the senior academic offices.

(v) Parts 1 and 2 of Document 7A, 7B, or 7C for each applicant as signed off by the Chair of the Faculty Promotions Committee and by the Chair of the Sub-Committee, will be available for reference at the meeting.

Procedure

9.23 At the Main Committee the Chairs of the Sub-Committees, assisted by the respective external members, will present in turn their Sub-Committee assessments, explaining where and why the line for promotion (9.16) was drawn, identifying any particular case or cases where the Sub-Committee reached a different conclusion from the Faculty Promotion Committee, and any cases in which non-standard aspects have caused difficulty.

The role of the Main Committee is in part to moderate between the Sub-Committees to ensure that a consistent standard has been achieved. Therefore, the Committee will consider the documented evidence in respect of applicants and decide whether any adjustments in scores agreed by the Faculty Promotion Committees and the Sub-Committees are necessary in the light of their overview of the standard of applications.

The Main Committee will make recommendations to the General Board in relation to each of the three senior academic offices, taking care to ensure that the budget is not exceeded. The Main Committee may vary their procedure as necessary.

Minutes

9.24 If there is complete agreement with previous Committee evaluations, banding and scorings, no comment is necessary. Where there is not complete agreement with evaluations, comment must be recorded on Part 3 of Document 7A, 7B, or 7C, as relevant. Reference may be made in the Minutes to comment contained in referees' statements but will be anonymised if transcribed on to Part 3 of Document 7.

Recording statistical data

9.25 Equality of opportunity data relating to the exercise will be produced by the Human Resources Division from their records.

Subsequent Action

9.26 The General Board will receive the recommendations of the Main Committee no later than the date specified in the timetable (Section 3). Following that meeting, all applicants, Heads of Institutions and Chairs of Faculty Promotion Committees will be informed of the outcome of all applications simultaneously by letter. Letters will be sent to the applicants' institutions. Action regarding feedback will also be necessary (see below, Section 10).

10. FEEDBACK

10.1 The purpose of feedback is to provide an unsuccessful applicant with a clear sense of what they would need to do in order to raise the level of their achievement to the standard required to obtain promotion in a future exercise. Applicants may request feedback from their Head of Institution. Every attempt should be made to provide feedback that is helpful and constructive.

10.2 The Chairs of the Sub-Committees are encouraged to meet the relevant Heads of Institution, individually or together, to give feedback on unsuccessful applicants**.** The Heads of institutions may also find it useful to invite the Chair of the relevant Faculty Promotions Committee to attend their meeting with the Chair of the Sub-Committee.

10.3 Written feedback on all unsuccessful applications will be provided to the relevant Heads of Institution by the Chairs of the Sub-Committees, who are members of the Main Committee. This feedback will be collated by the Secretaries of the Sub-Committees and provided to the Chairs of the Sub-Committees in advance of this meeting and as soon as possible after applicants have been informed of the outcome of their application, in two forms:

(i) for each unsuccessful applicant, Parts 1, 2 and 3 of Document 7A, 7B, or 7C, as completed and signed off by the Chairs of the General Board's Main Committee, Sub-Committees and Faculty Promotion Committees. The comments on Document 7A, 7B, or 7C should be based on the relevant Committee Minutes and be suitably anonymised if necessary. Parts 1, 2 and 3 of the completed documentation checklist (Document 8) will also be provided.

(ii) a statement in generic terms on the overall standard of applications in relation to each of the senior academic offices, together with relevant statistical data. This should assist Heads of Institution in developing a sense of the standard that must be reached if applicants are to be successful in future exercises.

10.4 The Heads of Institution are responsible for communicating written feedback to unsuccessful applicants, if requested. This should be in the form of Documents 7A, 7B, or 7C, as relevant, and Document 8. They must also provide an opportunity for feedback in person and mentoring (by them or by the senior colleague who previously provided mentoring to the applicant), if this is requested by an applicant.

10.5 The applicant's overall score should be communicated to them as part of the wider feedback conversation and the applicant should be reminded that each promotion exercise and associated score is an in-year process only.

10.6 Feedback will be available to all applicants and will be provided as soon as possible after it is requested. The timetable for the provision of feedback and the lodging of appeals is specified in Section 3.

Disclosure of Documents and Appeal (Section 11)

10.7 The following documents must be disclosed if requested by the applicant:

(i) Parts 1, 2 and 3 of Document 7A, 7B, or 7C after the meeting of the General Board. (It may also be disclosed for information - but not for the purpose of formal feedback - after the second meeting of the Faculty Promotions Committee).

(ii) Parts 1, 2 and 3 of Document 8 after the meeting of the General Board.

(iii) Copies of references from referees where it is clear that they have agreed to the release of their references after the meeting of the General Board.

10.8 An unsuccessful applicant may wish to appeal. Reasonable time is required for the feedback process to enable individuals to consider the information provided and if they choose to submit an appeal in writing (Section 11).

11. APPEAL

Lodging an appeal

11.1 Applicants have the right to lodge an appeal against the decision of the General Board's Main Committee not to promote. Appeals must be made in writing to the Secretary of the Appeals Committee by the date specified in the timetable (Section 3) and give clearly the reasons on which the appeal is grounded. The procedure to be followed is explained below.

Membership of the Appeals Committee

11.2 The General Board will appoint an Appeals Committee to hear appeals after the General Board's Main Committee have made its recommendations to the General Board and these have been communicated to the applicants. The Committee will consist of a Chair and four other members. Each member should, if possible, be present at the meeting(s) of the Committee. If there are circumstances where this is not reasonably practicable, the quorum necessary to reach a substantive decision will be a simple majority of the members, i.e. three.

(i) Members must not be eligible to apply for promotion under the scheme.

(ii) A member may not take part in the consideration of a particular applicant's appeal if he or she was a member of a Committee which considered an appellant's application in the same promotions exercise.

(iii) If the Chair of the Committee withdraws for the whole or part of a meeting, the Committee shall appoint a Chair to act in his or her absence.

(iv) An HR Business Manager will act as the Secretary of the Appeals Committee.

The Role of the Appeals Committee

11.3 The role of the Appeals Committee will be to consider appeals lodged with the Secretary in writing by the date specified in the timetable (see Section 3) and to decide whether or not to refer an application for promotion back to the Main Committee for reconsideration.

11.4 Appeals may be made only on the ground of an alleged material defect in the application of the procedure or in the documentation which was not prepared by the applicant and was used by Committees which have considered the appellant's application; for example, where it is alleged that the documentation placed before a Committee or Committees was incomplete or where it is alleged that a Committee or Committees must have overlooked or misapprehended a significant fact.

11.5 The role of the Appeals Committee is limited to considering whether or not procedural fairness has prevailed in the consideration of an application for promotion. Accordingly, an appeal will **not** be a re-hearing or a general review of the application. The consideration of the Appeals Committee will be confined to the issues raised in the grounds of the appeal.

11.6 The Appeals Committee will not consider fresh evidence in support of the appellant's application for promotion unless it relates to a fault in the application of the procedure of a Committee or in the documentation.

Procedure of the Appeals Committee

11.7 The procedure for hearing appeals must follow the principles of Natural Justice (Appendix I, 1.1 – 1.2).

11.8 The Appeals Committee will receive the following documentation in respect of each appeal lodged:

A copy of this booklet.

And for each appellant (*where applicable*)*:*

(i) A statement of appeal (with any supplementary papers) submitted by the applicant.

(ii) The minutes of the meeting(s) of the relevant Committees.

(iii) The complete set of the documentation received by the relevant Committees when they considered the case for promotion.

11.9 Except in so far as is laid down in this Section, the Appeals Committee may determine at its absolute discretion their own procedure and how they will consider each appeal.

11.10 In preparing for a meeting at which appeals will be considered, individual members of the Appeals Committee may wish to form their own preliminary view as to whether, on the ground(s) of appeal, there is reason to question the correctness of the outcome of the consideration of the application in relation to a fault in the application of the procedure or in the documentation (11.4 -11.5).

11.11 The Appeals Committee shall meet to discuss each appeal. The Committee should aim to confine its consideration of appeals to the documentation. It is expected that applicants will not be asked to attend a hearing but the Appeals Committee may exercise discretion to invite an appellant to attend, if that is considered necessary. (The right to be heard does not mean literally that the 'hearing' must be oral; it may be entirely on the basis of documentation. If questions arise, an appellant may be asked for a clarification in writing).

11.12 The Appeals Committee will, before proceeding to a final consideration of the appeal, give the Chair(s) of the relevant Committee or Committees the opportunity to submit a written statement on behalf of their Committee responding to the grounds on which the appeal was lodged. The Chair of the relevant Committee may consult members of the Committee, as they deem appropriate, or, if necessary, reconvene the Committee to consider the terms of the response.

11.13 Decisions on appeals should be made collectively at the meeting. The Secretary of the Appeals Committee will be responsible for recording the decision in each case. If there is an equal division of opinion, the Chair shall exercise a casting vote.

Determination of appeals

11.14 The Appeals Committee will determine an appeal by doing one of the following:

1. Allow the appeal by upholding one or more of the grounds of appeal and stating that, in their view, the grounds on which the appeal has been upheld might have made a difference to the decision of the General Board's Main Committee, referring the appellant's application for promotion back to that Committee for reconsideration.

2. Uphold one or more grounds of appeal but stating that, in their view, the grounds on which the appeal has been upheld would have made no material difference to the decision of the General Board's Main Committee, nevertheless referring the appellant's application for promotion back to that Committee for reconsideration.

3. Reject the appeal on all grounds, including grounds adjudged as admissible under paragraph 11.4.

4. Strike out an appeal on the grounds that it is frivolous, vexatious, or otherwise an abuse of process.

11.15 If it is appropriate in a particular case, the Appeals Committee, in referring the application back to the General Board's Main Committee, may recommend that that Committee refers it back to the earlier Committee stage at which the fault (see 11.4 - 11.5) is alleged to have occurred.

11.16 There is no right of appeal against the Appeals Committee's determination of an appeal.

Minutes and subsequent action

11.17 The Secretary shall record the outcome of the Appeals Committee's consideration of each appeal in a separate minute. The minute shall state:

(i) the ground(s) of the appeal;

(ii) the determination of the appeal by reference to 1, 2, 3, or 4 specified in 11.14.

11.18 The outcome of the consideration of the appeal will be conveyed to the appellant by the Secretary of the Appeals Committee after consultation with the Chair of the Appeals Committee and the Director of the Human Resources Division.

11.19 In the case of appeals determined under 1 or 2 in 11.14, the Secretary of the Appeals Committee will refer the appellant's application back to the General Board's Main Committee for reconsideration in the light of the outcome of the Appeals Committee's consideration as recorded in the relevant minute of the meeting of the Appeals Committee.

11.20 The Secretary of the Appeals Committee will, without referral to the General Board's Main Committee, inform appellants whose appeals have been determined under 3 or 4 in 11.14, incorporating in the letter the substance of the relevant minute of the Appeals Committee. Copies of these letters should be sent for information to the Chairs and Secretaries of the General Board's Committee, the relevant Sub-Committee, and the relevant Faculty Promotions Committee.

11.21 The General Board's Main Committee will receive and consider the written report(s) on the appeal(s) considered by the Appeals Committee and determined under 1 and 2 of 11.14, bearing in mind any recommendation by the Appeals Committee that the application be referred back to an earlier Committee stage, with a view to deciding whether the applicant should or should not be promoted to the office/post for which he or she has applied.

11.22 In considering any appeal referred to them by the Appeals Committee, the General Board's Main Committee will comprise five members, including the external member relevant to the field of the appellant. The Committee may vary their procedure as necessary.

11.23 The Secretary of the General Board's Main Committee will inform each appellant of the General Board's Committee's reconsideration of their application.

11.24 There is no right of appeal against the outcome of the reconsideration of an application by the General Board's Main Committee.

12. REPORT OF THE GENERAL BOARD

12.1 The General Board will publish a Report listing the names of all successful applicants.

13. CONTRIBUTION REWARD SCHEME FOR SENIOR LECTURERS

Background to the Scheme

13.1 The Joint Report of the Council and the General Board on amendments to the pay and grading scheme for non-clinical staff implemented following the Second Joint Report of 25 July 2005 (***Reporter*, 6302, 2012-13, p. 418**) recommended that the scale of stipends for University Senior Lecturers should be extended by two contribution points with effect from 1 January 2014, to enable the University to:

- recognise outstanding teaching and other important contributions made by University Senior Lecturers,
- provide an alternative career pathway for those who may not wish to aspire to further promotion, and
- provide an incentive for individuals to develop their teaching and general contribution.

13.2 This guidance took effect from the 2014 Senior Academic Promotions exercise, with the first awards being implemented from 1 October 2014.

Introduction

13.3 This scheme provides for contribution increments to be awarded to University Senior Lecturers for significant contributions other than through research.

13.4 Applications together with a statement from the relevant Head of Institution will be considered by the promotions committees set up under the Senior Academic Promotions process.

Principles

13.5 Assessment of contribution should be clearly related to the institution's strategic plans and should recognise achievement in teaching and general contribution which is likely to contribute to the future academic success of the University.

13.6 Judgments should be based on objective evidence, i.e. the documentation provided for this exercise.

13.7 Heads of Institutions, with the assistance of appropriate senior colleagues if necessary, should ensure that as part of this exercise they review the contributions of all their Senior Lecturers who meet the eligibility criteria (13.11), so that all cases that meet the criteria are brought forward for consideration.

13.8 The criteria for assessing contribution must be applied fairly and consistently.

13.9 The Staff Review and Development Scheme, whilst remaining a separate and independent mechanism for reviewing personal contribution and facilitating development, could be used to inform this process.

13.10 The following general principles must also be applied throughout the process in order to achieve fair and proper consideration of proposals, as set out in more detail in Annex 1 of the Senior Academic Promotions guidance:

- Natural Justice
- Fairness and declaration of interest
- Equality of opportunity
- Allowance for additional considerations
- Confidentiality and data protection legislation
- Procedural adjustments and interpretation of guidance

Eligibility

13.11 Only University Senior Lecturers who are paid at the top of the service points (Grade 10, point 61) as at 1 October 2017 and have held this office on this point of Grade 10 for at least 12 months are eligible for consideration.

13.12 The holders of unestablished posts whose contract of employment specify the title 'Senior Lecturer' and who are paid at the top of the service points (Grade 10, point 61) as at 1 October 2017 and have at least 12 months service in this post and on point 61 are also eligible to apply for a contribution award providing the Head of Institution confirms that non-UEF funding can be identified to meet the gross cost of the increment at least to the end of the senior lecturer's current contract.

13.13 Those who are eligible and wish to be considered for a contribution increment(s) are responsible for preparing and submitting their application to the Secretary of the Faculty Promotions Committee for the institution to which their office or post is assigned by the deadline specified in the timetable for the Senior Academic Promotions exercise (see Section 3 of the SAP guidance).

Criteria

13.14 Contribution increments may be awarded to applicants who meet the following criteria:

- Outstanding and sustained excellence in teaching, and
- Outstanding and sustained general and/or administrative contributions.

13.15 Applicants should provide evidence that they meet the above criteria, with reference to the teaching and general contribution criteria for University Senior Lectureship set out in 5.15, 5.16 and 5.17 of the Senior Academic Promotions guidance.

13.16 The Head of Institution's case should comment on achievement of these criteria.

13.17 Most successful proposals will result in the award of one contribution increment. Exceptional cases would need to be made for the award of two increments.

13.18 If the candidate is successful, this level of contribution then becomes the normal expectation for that Senior Lecturer. Therefore the same evidence will not attract additional contribution rewards in future.

13.19 It would not normally be expected that an application from the same candidate is made in two successive Contribution Reward Scheme exercises. However, if one increment has been awarded in a previous exercise, an application can be made for an additional increment in a subsequent CRS exercise.

Procedure

Applications

13.20 Potential applicants should seek advice from the Head of Institution before deciding whether to apply.

13.21 Applicants who wish to be considered for a contribution reward (i.e. the award of either one or two increments) should complete Part 1 of Document 10 (CRS) providing evidence of their sustained excellence in teaching, and sustained general and/or administrative contributions in support of their institution's academic priorities.

13.22 Document 10 (CRS) with Part 1 completed should be submitted to the Secretary of the relevant Faculty Promotions Committee by the stated deadline for the Senior Academic Promotions exercise, which for this year's exercise is 23 October 2017 (see Section 3).

Faculty Promotions Committee

13.23 At the first meeting the Faculty Promotions Committee will consider the applications, deciding in each case who should provide the Head of Institution statement (by completing Part 2) and the name of an internal reference.

13.24 At the second meeting the Faculty Promotions Committee will consider all the documentation for each application, including completed Parts 1 and 2 and references, agree collectively the evaluations for each applicant and the number of contribution increments awarded (i.e. one or two increments) with reference to the criteria for this Scheme and will rank applicants in a list according to the strength of their application for a contribution reward, in accordance with general principles set out in the Senior Academic Promotions guidance. The Faculty Promotions Committee should clearly indicate where changes in the number of increments awarded has been agreed for applicants (i.e. from one to two increments or vice versa) and those applicants who are assessed as not meeting the minimum criteria for a contribution reward, documenting the reasons for these decisions.

Head of Institution

13.25 The Head of Institution should complete Part 2 of Document 10 (CRS) explaining whether they support the application and the reasons for their decision, returning the completed form to the FPC Secretary in time for the second meeting. Where there is more than one applicant from their institutions they should rank the supported applications from their Department in priority order.

Sub-Committee

13.26 The Sub-Committee will re-assess applicants, check that applicants have been consistently assessed across the Faculty Promotions Committees and create a single ranked list in priority order, clearly indicating any where a change in the number of increments awarded has been made and those that are assessed as not meeting the minimum criteria for a contribution reward, documenting the reasons for these decisions.

13.27 The Sub-Committee will also indicate the line for awarding an increment (in accordance with para 9.16 of the Senior Academic Promotions guidance).

Main Committee

13.28 The full documentation for each applicant will then be considered by the Main Committee as the awarding authority.

13.29 At the Main Committee the Chairs of the Sub-Committee, assisted by the respective external members, will present the rank order, explaining where and why the line for awarding an increment was drawn, identifying any particular case or cases where the Sub-Committee reached a different conclusion from the Faculty Promotions Committee, and any cases in which non-standard aspects have caused difficulty

13.30 The Main Committee will consider the documented evidence in respect of applicants and decide on the final ranking which would ensure a consistent standard has been achieved, including which applicants will receive a contribution reward.

13.31 Applicants are then advised of the outcome of the Scheme by their Head of Institution (using template documentation provided by Human Resources Division).

Timetable

13.32 The timetable for this Scheme is the same as for the Senior Academic Promotions exercise (see Section 3 of the Senior Academic Promotions guidance). Therefore, applicants will be notified in writing of the outcome of their application by their Head of Institution after the General Board meeting that considers SAP recommendations.

13.33 Unsuccessful applicants who wish to receive feedback should request this from their Head of Institution by the deadline set out in Section 3 of the Senior Academic Promotions guidance. Heads of Institution are responsible for communicating feedback in person to unsuccessful applicants, if requested.

APPENDIX I

GENERAL PRINCIPLES AND GUIDANCE TO BE OBSERVED THROUGHOUT THE PROCEDURE

1. Natural Justice

1.1 "Natural Justice" is defined as 'due process of law' or the 'requirements of procedural fairness'. There are two principles:
(i) No person may be a judge of their own cause.
(ii) The person must have the opportunity to be 'heard' fairly.

Accordingly:

1.2 All persons involved in the procedure and in the consideration of applications should be fully conversant with the guidance contained in this booklet. They should undertake their roles in a manner which is scrupulously fair in relation to proposals that have been submitted, whether or not the guidance makes explicit provision for all circumstances.

2. Fairness and Declaration of Interest

2.1 Any person involved in the preparation, presentation of documentation or in the consideration of applications who has a personal interest that may affect the impartial consideration of applications should declare this to the appropriate person. The appropriate person will be the Chair of the relevant Committee or the Head of Institution, as appropriate. If the Chair of the Committee or the Head of Institution has such an interest, they should declare it and discuss it with the relevant Chair of the Council of the School, or some other person as advised by the relevant HR Business Manager.

2.2 If it is considered that it would be inappropriate for a person who has declared an interest to participate in the evaluation of an application that person should take no further part in the process. The criteria to be used in making such judgments is not just whether the member should be able to set aside any personal differences with an applicant or preference for an applicant, but rather whether, given the circumstances, a 'bystander' would have real doubt as to whether the member could act in a way that is wholly free from bias.

3. Equal Opportunity

3.1 The University's statement of policy is as follows:
'The University of Cambridge is committed in its pursuit of academic excellence to equality of opportunity and to a pro-active and inclusive approach to equality, which supports and encourages all under-represented groups, promotes an inclusive culture, and values diversity. This commitment is underpinned by the University's core values, expressed in its mission statement:

- Freedom of thought and expression.
- Freedom from discrimination.

The University is therefore committed to a policy and practice which require that, for students, admission to the University and progression within undergraduate and graduate studies will be determined only by personal merit and by performance. For staff, entry into employment with the University and progression within employment will

be determined only by personal merit and by the application of criteria which are related to the duties and conditions of each particular post and the needs of the institution concerned.

Subject to statutory provisions, no student, member of staff, applicant for admission as a student, or applicant for appointment as a member of staff will be treated less favourably than another because of their belonging to a protected group. Protected groups are defined in the Equality Act 2010 as Sex, Gender Reassignment, Marriage or Civil Partnership, Pregnancy or Maternity, Race (including Ethnic or National Origin, Nationality or Colour), Disability, Sexual Orientation, Age, or Religion or Belief. The University respects all religious and philosophical beliefs, as well as the lack of religion or belief, and the right of all members of its community to discuss and debate these issues freely.

If any person admitted as a student or appointed as a member of staff considers that they are suffering from unlawful discrimination, harassment, or victimization in their admission, appointment, or progression through the University because of belonging to any of the above protected groups, they may make a complaint, which will be dealt with through the agreed procedures for complaints or grievances or the procedures for dealing with bullying and harassment, as appropriate.

The University will take active steps to promote good practice. In particular it will:

a. Work towards the elimination of unlawful discrimination, harassment, and victimisation based on a protected characteristic, whether actual, perceptive, or associative.
b. Advance equality of opportunity between persons who share a protected characteristic and persons who do not share it.
c. Foster good relations between persons who share a protected characteristic and persons who do not share it.
d. Subject its policies to continuous assessment in order to examine how they affect protected groups and to identify whether its policies help to achieve equality of opportunity for all these groups, or whether they have an adverse impact.
e. Monitor the recruitment and progress of all students and staff, collecting and collating equalities information and data as required by law or for the furtherance of University equalities objectives.
f. Promote an inclusive culture, good practice in teaching, learning, and assessment, and good management practice, through the development of codes of best practice, policies, and training.
g. Take positive action wherever possible to support this policy and its aims.
h. Publish this policy widely amongst staff and students, together with policy assessments, equality analysis and results of monitoring.

The Equal Opportunities Policy will be enacted through by the University's Equality Objectives, associated implementation plans, and the Combined Equality Scheme. The Combined Equality Scheme explains how the University will fulfil its statutory obligations in relation to equalities legislation.

It considers:

- Governance and Policy Development, including relevant committees, compliance, equal pay, assessing the impact of policies and practices and reporting.

- Developing and Implementing Best Practice.
- Inclusive Practice for Students and Staff—including the University's Diversity Networks, Dignity@Work, and Dignity at Study procedures.
- Promotion of Equality and Diversity, including relevant diversity events, training, and guidance.
- Data and Information Provision, including appropriate monitoring and compliance reporting.

Progress against actions and objectives will be reported in the Equality and Diversity Annual Reviews and Data Reports.

The University will meet all statutory obligations under relevant legislation and, where appropriate, anticipate future legal requirements. This will be informed by:

- The Equality Act (2010) and associated secondary legislation.
- Criminal Justice and Immigration Act (2008).
- The Racial and Religious Hatred Act (2006).
- The Civil Partnership Act (2004).
- The Gender Recognition Act (2004).
- Criminal Justice Act (2003).
- The Human Rights Act (1998).
- The Protection from Harassment Act (1997).
- Special Education Needs and Disability Act (2001).

In addition, this will be informed by the Codes of Practice or Guidance issued by the Equality and Human Rights Commission and other relevant bodies. These Codes are not legally binding (though they are admissible as evidence in Employment Tribunals) and the University supports them fully.

This policy will be amended as appropriate to meet the demands of future legislation.

Further information on legislation, the University's equality schemes and best practice, including links to the relevant legislation, is available on the Equality and Diversity pages, and on the website of the Equality and Human Rights Commission.

Allowance for additional considerations

3.2 Consideration should be given to the evidence set out in the annex to Document 2 (see 6.6), where the candidate provides details of any and all personal circumstances that should be taken into consideration when evaluating their teaching, research or general contribution (for example, caring responsibilities, periods of maternity/paternity/adoption leave, bereavement, ill health or injury, medical treatments or disability) and giving details of the impact this has had on their ability to carry out their usual duties. This will be taken into account to ensure that the performance of an applicant is judged fairly and objectively and that full account is taken of the impact on a candidate's performance. The quality and impact of an applicant's performance should be assessed objectively and on the same basis as other applicants but promotions committees should take into account any reduction in working time of the candidate due to additional considerations when judging the quantity of their work or output; for example, by assessing the volume of output pro-rata. Advice should be sought at the earliest opportunity from the relevant HR Business Manager.

3.3 In the case of a member of staff who has taken leave from their usual duties, e.g. maternity or sick leave, assessment of their contribution should focus on the period when they were at work, with allowance made for quantity of work/output, as appropriate, as set out in paragraph 3.2, on their return to work.

3.4 In the case of a member of staff who is known to have a disability, account should be taken of:

i) the nature of their disability,
ii) how they believe it has constrained performance, and, if appropriate,
iii) the effectiveness of any adjustments to their workplace or employment arrangements in overcoming these issues.

4. Committees

Age as a disqualification for membership

4.1 There is no age disqualification for membership**.**

Sabbatical leave

4.2 Members who are on sabbatical leave must seek permission from the Human Resources Division to attend meetings held during their period of leave.

Attendance and quorum

4.3 Meetings should be arranged so that, if possible, all members can be present. With regard to Faculty Promotion Committees and Sub-Committees, meetings should not be arranged unless the member appointed by the General Board can attend. The quorum for all Committees should be two-thirds of the whole membership, subject to a minimum of four members. Decisions/evaluations shall be valid with the concurrence of not less than a straight majority of the members present at a meeting.

4.4 All members should be aware that:

(i) a systematic approach in forming a view of an application is desirable;

(ii) the process of evaluation is a collective activity and all decisions should be arrived at collectively. If a member is unable to be present, they may provide a written statement of their view but such written views should be accorded less weight than those expressed in open discussion since written statements provided in absence cannot be challenged in committee.

(iii) If all members agree immediately on the same overall assessment, this can be accepted without discussion. Differences in individual members' evaluations should be discussed and a consensus reached. Detailed discussion will in most cases lead to collective agreement on the assessment.

5. Confidentiality and data protection legislation

5.1 Members of the Committees and University staff involved in the procedure should note that the process of consideration is confidential and that certain documentation in the guidance may not be disclosed to applicants or other persons who are not members of Committees or otherwise appropriately involved in the process.

5.2 The University's policy in relation to data protection legislation is to respect confidentiality of information provided by referees in so far as this is compatible with the requirements of the Act and other relevant legislation.

6. Procedural Adjustments and Interpretation of Guidance

6.1 The Chair of the Human Resources Committee shall have authority, on behalf of the General Board and Council to make any reasonable change or adjustment to the procedure, interpret aspects of the guidance mentioned in the booklet where doubt arises as to its meaning, or take other action that may be necessary to ensure the fair and efficient management of this and any subsequent promotions exercise.