



Human Resources Division

Senior Academic Promotions

Procedure and Guidance

1 October 2020

CONTENTS

	Section	Page
<u>Introduction</u>	1	7
<u>Key Principles and Process to be Observed throughout the Procedure</u>	2	9
Key Principles	2.1	9
Fairness and declaration of interest	2.2 – 2.4	9
Equal opportunity	2.5 - 210	9
Allowance for contextual factors	2.11–2.13	10
Confidentiality and data protection legislation	2.14 – 2.15	11
<u>Timetable</u>	3	12
<u>Eligibility Criteria and Related Matters</u>	4	13
General	4.1 – 4.7	13
Professorships and Readerships	4.8 – 4.10	13
University Senior Lectureships	4.11 – 4.12	14
The effect of Special Ordinance C on eligibility	4.13 – 4.14	14
Funding implications	4.15 – 4.18	14
<u>Criteria, Performance Descriptors and Scoring Methodology</u>	5	16
General	5.1 - 5.2	16
<u>A. Criteria</u>	5.3 – 5.16	16
Professorship	5.6 – 5.8	16
Readership	5.9 – 5.11	17
University Senior Lectureship	5.12 – 5.16	17
<u>B. Performance Descriptors and Scoring Methodology</u>	5.17 - 5.48	19
General	5.17	19
Professorships and Readerships	5.18 – 5.24	19
Senior Lectureships	5.25 – 5.29	21
Guidance on banding and scoring Teaching and General Contribution criteria	5.30 – 5.40	22
General Comments concerning Scoring	5.41 – 5.44	23
Promotions Process	5.45 – 5.48	24

	Section	Page
<u>Application</u>	6	25
General	6.1 – 6.5	25
Allowance for contextual factors		
Interdisciplinary applications	6.6	25
Notification of outcomes	6.7 – 6.9	25
	6.10	26
<u>Documentation</u>	7	27
Assembly of documentation	7.1	27
<i>To be supplied by the applicant:</i>	7.2 – 7.4	27
Document 1. Curriculum vitae and annexes	7.5 – 7.6	27
Annex A – Research/Scholarship	7.7 – 7.12	28
Annex B – Teaching	7.13 – 7.23	29
Annex C – General Contribution	7.24 – 7.26	30
Document 2. Personal Statement and Annex	7.27 – 7.34	30
<i>To be supplied by the applicant and the Faculty Committee:</i>		31
Document 3. Referees	7.35	31
References – general remarks	7.36 – 7.44	31
Personal Professorship or Readership applications	7.45 – 7.49	32
University Senior Lectureship applications	7.50 – 7.53	33
<i>To be supplied by Head of Institution or other senior academic officer:</i>		34
Document 4: The Faculty/Departmental case for promotion	7.54 – 7.60	34
<i>To be supplied by a College:</i>		35
Document 5. College Teaching	7.61 – 7.62	35
<i>To be supplied by the NHS:</i>		35
Document 6. Clinical work and post-graduate medical teaching and training	7.63 – 7.64	35
<i>To be supplied by the Clinical Veterinary Manager</i>		36
Document 6V. Clinical veterinary work and postgraduate veterinary teaching and training	7.65 - 7.66	36

	Section	Page
<u>Promotions Committees</u>	8	37
General comments concerning membership	8.1 – 8.8	37
School and Faculty Committee membership	8.9 – 8.11	37
<u>The Faculty Committee</u>	9	38
The Role of the Faculty Committee	9.1 – 9.2	38
Membership	9.3 – 9.8	38
The role and responsibilities of the Chair	9.9	39
<i>Faculty Committee meeting</i>	9.10	40
Actions taken before the meeting	9.11 – 9.12	40
The meeting	9.13-9.19	41
Documentation	9.20	43
Procedure	9.21-9.22	43
Minutes	9.23	44
Subsequent action	9.24-9.26	44
<u>The School Committees and the Vice-Chancellor's Committee</u>	10	46
<i>Role of the School and Vice-Chancellor's Committees</i>	10.1	46
<i>School Committees</i>	10.2 – 10.18	46
Membership	10.3 – 10.9	46
Roles and responsibilities of the Chair	10.10-10.11	47
Documentation	10.12	48
Procedure	10.13–10.16	49
Minutes	10.16	49
Subsequent action	10.17-10.18	50
<i>Vice-Chancellor's Committee</i>	10.19-10.30	50
Membership	10.23-10.24	50
Role and responsibilities of the Chair	10.25	51
Documentation	10.26	51
Procedure	10.27	51
Minutes	10.28	52
Recording statistical data	10.29	52
Subsequent action	10.30	52
<u>Feedback</u>	11	53
Purpose of feedback	11.1	53
Providers of feedback	11.2 – 11.6	53
Disclosure of documents	11.7 – 11.8	53

	Section	Page
<u>Appeal</u>	12	55
Lodging an appeal	12.1	55
Membership of Appeals Committee	12.2	55
Role of Appeals Committee	12.3 – 12.6	55
Procedure	12.7 – 12.13	56
Determination of Appeals	12.14– 12.16	57
Minutes of Appeals Committee and subsequent action	12.17 - 12.24	57
<u>Report of the General Board</u>	13	59
<u>Contribution Reward Scheme for Senior Lecturers</u>	14	60
Background	14.1 – 14.2	60
Introduction	14.3 – 14.4	60
Principles	14.5 – 14.10	60
Eligibility	14.11 –14.13	61
Criteria	14.14 –14.19	61
Procedure	14.20 –14.31	62
Timetable	14.32-14.33	63

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-2020> as follows:

Document 1	Application (Coversheet) <i>Annexes A, B and C</i>
Document 2	Applicant's personal statement (Coversheet) <i>Annex (Contextual Factors)</i>
Document 3	Form for nominating referees
Document 3A	Standard letter to request references <i>Criteria and Evaluative Standards</i>
Document 3B	Standard letter to request updated references <i>Criteria and evaluative standards</i>
Document 4	The Faculty/Departmental Case for Promotion (<i>not disclosable</i>)
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
Document 9	Draft <i>pro forma</i> Faculty Committee Minutes and annexes [revised format]
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 2020. The booklet also includes, under Section 14, the Contribution Reward Scheme for University Senior Lecturers.
- 1.2 The guidance takes into account the Report of the General Board on arrangements for senior academic promotions published in the Reporter on 10 May 2018:
<https://www.admin.cam.ac.uk/reporter/2017-18/weekly/6505/section8.shtml#heading2-13>
- 1.3 All eligible members of staff (see Section 4) should be referred to the guidance booklet, at web address:
<https://www.hr.admin.cam.ac.uk/policies-procedures/senior-academic-promotions-2020>
by the Head of Institution¹ via the administrative office of the institution to which their office or post is assigned.
- 1.4 Application is for promotion to a specified senior academic office (see Section 6).
- 1.5 Those who wish to apply for promotion are advised to read the whole of this guidance.
- 1.6 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, including the content and 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:
<https://www.equality.admin.cam.ac.uk/initiatives/senior-academic-promotions-cv-scheme>
- 1.7 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.
- 1.8 Heads of Institutions are also required to review the gender balance of applications and provide an explanation to the Chair of the Faculty Committee when they are not in proportion to their representation in the proximate less senior office.
- 1.9 The presentation of applications within the prescribed guidelines is important.
- 1.10 All those who have a role in the procedure described in this booklet, whether members of Committees, administrators, Heads of Institutions, etc., are required to familiarise themselves with the advice contained in this guidance.
- 1.11 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.

- 1.12 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).
- 1.13 The number of promotions will depend not only on the number of applicants attaining the threshold necessary for promotion (5.17) 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 (4.15 – 4.18).
- 1.14 It will be assumed that by virtue of applying for promotion all successful applicants will accept appointment. 1.15 The University Senior Lectureship stipend scale and the stipends of the offices of Reader and Professor are set out below:

1 August 2019

		£pa	Grade
Cambridge University Senior Lectureship Scale*	Point 59	55,751	10
	Point 60	57,418	
	Point 61	59,135	
Cambridge Reader	Point 63	62,727	11
Cambridge Professor**	Point 68 (Band 1)	72,689	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.

- 1.16 Those staff holding NHS consultant contracts and promoted to University Senior Lectureships, Readerships, and Professorships will continue to be remunerated at levels equivalent to NHS levels of remuneration.
- 1.17 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.
- 1.18 Specific support for women considering promotion includes annual themed programmes 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. KEY PRINCIPLES AND PROCESS TO BE OBSERVED THROUGHOUT THE PROCEDURE

2.1 Key Principles

The following Key Principles apply:

- a) The University of Cambridge is committed, in its pursuit of academic excellence, to equality of opportunity and to a proactive approach that supports and encourages all under-represented groups, promotes an inclusive culture, and values diversity.
- b) All persons involved in administering academic promotions processes should exercise impartiality and fairness and be seen to do so. Declarations of interest should be made at appropriate stages. Appropriate training should be completed.
- c) Members of committees should ensure that their consideration is collective, fair, impartial and evidence-based.
- d) The University should provide a supportive career development process and academic officers should participate.
- e) All processes should be organized in a timely and transparent way.
- f) Constructive, helpful, developmental feedback should be provided at all appropriate stages.
- g) All applications and documentation should be treated as confidential and in accordance with data protection principles.

Fairness and Declaration of Interest

- 2.2 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.
- 2.3 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.
- 2.4 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.

Equal Opportunity

- 2.5 No member of staff will be treated less favourably than another because they belong to a protected group. Protected characteristics are: 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.

- 2.6 The University's Equal Opportunity policy must be observed at all times. The policy is set out at:

<https://www.admin.cam.ac.uk/univ/so/2012/chapter01-section13.html>

All staff who serve on committees or are otherwise involved in administering the senior academic promotions Scheme should ensure that they have read this policy and have completed the online E&D training module.

Under-representation in academic positions and unconscious bias

- 2.7 The University is concerned by the underrepresentation of women, Black and Minority Ethnic and disabled staff in senior academic positions. It also takes seriously the increasing body of evidence suggesting an impact of unconscious bias on the assessment of candidates for promotion and progression. The impact of bias can potentially negatively affect the recruitment, retention and progression of underrepresented staff members at all levels of career progression.

The following practical steps should be taken to bring equality and diversity and the risk of unconscious bias to the forefront of decision making within the senior academic promotions Scheme:

Committees

- 2.8 The gender balance of the promotions committee should be as close to 50% male and 50% female as reasonably possible and should normally include a minimum of two members of each gender. Consideration should also be given to the racial and ethnic diversity of the committees.
- 2.9 The Chair of each Committee should initiate and facilitate a discussion on unconscious bias at the outset of any meeting.

Heads of Institution

- 2.10 Heads of Institution should:

- have supportive conversations with all staff eligible to apply for senior promotions
- ensure that the SAP CV scheme is actively promoted to all staff.
- actively seek underrepresented staff who are potentially ready for promotion and encourage them to apply
- support underrepresented staff to find a mentor
- discuss promotion pathways with underrepresented staff not yet ready for promotion.

Allowance for contextual factors

- 2.11 The quality and impact of an applicant's performance should be assessed objectively and on the same basis as other applicants.
- 2.12 It is also important, however, to understand and address contextual factors by making appropriate equality-related adjustments to allow for a fair promotions process where those who have faced these additional barriers will be considered on an even footing. Promotions committees should take into account that not all careers follow a standard and uninterrupted route. All metrics should be considered in context with other factors to

ensure that a balanced view is taken of the individual's overall contribution to research or teaching or administration.

Contextual factors may include, but are not limited to:

- Part time working
- Ill health or injury
- Disability
- Caring responsibilities
- Periods of leave or unavailability including those related to maternity or parental leave
- Bereavement leave

- 2.13 It is important to note and agree that equality-related adjustments do not allow committees to lower the bar when assessing excellence.

For example, any reduction in working time of the candidate due to contextual factors should be taken into account when judging the quality of their work or output. One way of making an appropriate adjustment would be to consider the impact of the issue on the quantity of activity undertaken. In these circumstances committees would still require the candidate to demonstrate the same standard (quality) as other candidates in terms of the excellence of their contribution. However, the quantity of research output would be adjusted.

Advice about adjustments should be sought at the earliest opportunity from the relevant HR Business Manager in order that any relevant support may be provided.

Confidentiality and data protection legislation

- 2.14 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.
- 2.15 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 that legislation. Please see Documents 3A and 3B.

3. TIMETABLE FOR THE 2020 EXERCISE

Deadline for submission of documentation from applicants	4 November 2019
Meeting of Faculty Committees to evaluate complete documentation (to include references, Document 4 (Departmental/Faculty case), Document 5 (Senior Tutor's Statement) and Document 6 (NHS Statement), if applicable, against criteria	By 3 February 2020
Submission of complete and checked documentation of all applicants to Human Resources Division	By 10 February 2020
Meetings of the School Committees	By 23 March 2020
Meeting of the Vice-Chancellor's Committee	7 May 2020
The meeting of the General Board receives recommendations of the Vice-Chancellor's Committee and Report for approval and publication in Reporter	3 June 2020
Final date for feedback and for the lodging of appeals	6 July 2020
Appeals Committee meetings	To be confirmed

**If the Appeal stage of the 2019 exercise is not completed by 4 November 2019, 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 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
- 4.4 All staff eligible to apply for promotion who wish to apply are expected to consult their Head of Institution or other appropriate senior academic colleague before deciding whether to apply and which office to apply for (see also 1.7-1.8 about the role of Heads of Institution).
- 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.
- 4.6 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.
- 4.7 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

- 4.8 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.
- 4.9 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.
- 4.10 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. For example, a Curator 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

- 4.11 Only University Lecturers may be considered for promotion to University Senior Lectureships.
- 4.12 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 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

- 4.13 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.
- 4.14 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. For example, 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

- 4.15 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.
- 4.16 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.
- 4.17 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.

- 4.18 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. If an applicant has indicated that consideration should be given to contextual factors, 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 1.13). 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.

A. CRITERIA

Research/Scholarship

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

Teaching

- 5.4 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

- 5.5 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

- 5.6 There must be established international leadership in the relevant subject with reference to:
- (i) originality
 - (ii) contribution to the advancement of knowledge
 - (iii) reputation

Teaching²

- 5.7 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).

² This criterion does not apply to those whose duties do not include teaching. See 7.13 for further details.

General Contribution

- 5.8 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

- 5.9 There must be international recognition in the relevant subject with reference to:
- (i) originality
 - (ii) contribution to the advancement of knowledge
 - (iii) reputation

Teaching³

- 5.10 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

- 5.11 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

- 5.12 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, 5.17 onwards). These aspects are set out in more detail below for each of the assessment criteria (5.28 and 5.29).

Research/Scholarship

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

Teaching

- 5.14 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

³ This criterion does not apply to those whose duties do not include teaching. See 7.13 for further details.

⁴ *Reporter*, 1998-99, p.782

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).

- 5.15 The necessary evidence of teaching contribution cannot normally be accumulated within a period of less than 3 years (also see 7.14).

General Contribution

- 5.16 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

5.17 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 1.13 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 tables below should be used to summarise the description of achievement in relation to the criteria.

Professorships and Readerships

5.18 The maximum score for the Research/Scholarship criterion for those seeking promotion to a Professorship or a Readership is 50, with scores allocated against performance descriptors as shown in the table at 5.21 below.

5.19 The total maximum score for promotion to Professor or Reader would therefore be 100 (a maximum score of 50 in Research/Scholarship, a maximum score of 30 in Teaching, and a maximum score of 20 in General Contribution).

5.20 The lowest two bandings ('Clearly Unsatisfactory' and 'Insufficient Evidence') are deemed to be below the threshold for promotion

5.21 *Research/Scholarship*

The table below should be used when scoring achievement in relation to the Research/Scholarship criterion (score range 1 to 50 inclusive) for Professors and Readers:

Performance descriptor (banding)	Score
Outstanding Evidence	36 - 50
Strong Evidence	22 - 35
Clear Evidence	12 - 21
Insufficient Evidence	7 - 11
Clearly Unsatisfactory	1 – 6

5.22 *Teaching contribution*

The table below should be used when scoring achievement in relation to the Teaching criterion (score range 1-30 inclusive) for Professors and Readers:

Performance descriptor (banding)	Score
Outstanding Evidence	24 - 30
Strong Evidence	15 - 23
Clear Evidence	9 - 14
Insufficient Evidence	4 - 8
Clearly Unsatisfactory	1 - 3

5.23 *General Contribution*

The table below should be used when scoring achievement in relation to the General Contribution criterion (score range 1-20 inclusive) for Professors and Readers:

Performance descriptor (banding)	Score
Outstanding Evidence	16 - 20
Strong Evidence	10 - 15
Clear Evidence	7 - 9
Insufficient Evidence	4 - 6
Clearly Unsatisfactory	1 - 3

5.24 In exceptional circumstances the Head of Institution may propose a departure from the standard scoring model on an individual basis so that the maximum Teaching score is reduced to 20, with either Research/Scholarship up to a maximum of 60 and General Contribution remaining at a maximum of 20 points, or with Research/Scholarship remaining at 50 maximum but with General Contribution up to a maximum of 30 points. The proposal must be approved by the Faculty Committee with reasons recorded in the minutes. Heads of Institution and Faculty Committees should bear in mind the standard scoring model reflects extensive discussion across the University on the critical importance of high-quality teaching to the University's mission and the wish to reflect this in the promotions system.

The Head of institution case should set out the reasons for the proposed exception. An exception might be proposed where the applicant has had less opportunity to amass

evidence of teaching quality because of Institutional policies, for example where an Institution assigns lower teaching loads to new hires for a limited period so they can focus on establishing their research agenda, or the academic is carrying out exceptional, significant administrative duties where it has been agreed by the Institution they will carry out less teaching. It is not appropriate to seek to use the exception to side-step the normal expectation of three years teaching experience at Cambridge.

Senior Lectureships

- 5.25 The score available for the Research/Scholarship criteria for those applicants seeking promotion to University Senior Lecturer is capped at 4.
- 5.26 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).
- 5.27 The lowest two bandings ('Clearly Unsatisfactory' and 'Insufficient Evidence') are deemed to be below the threshold for promotion
- 5.28 *Research/Scholarship*
The table below should be used when scoring achievement in relation to the Research/Scholarship criterion (score range 1 to 4 inclusive) for Senior Lectureships:

Performance descriptor (banding)	Score
Clear Evidence	3 - 4
Insufficient Evidence	2
Clearly Unsatisfactory	1

- 5.29 *Teaching and General Contribution criteria*
The table below should be used when scoring achievement in relation to the Teaching and the General Contribution criteria (score range 1 to 10 inclusive) for Senior Lectureships:

Performance descriptor (banding)	Score
Outstanding Evidence	8 - 10
Strong Evidence	5 - 7
Clear Evidence	3 - 4
Insufficient Evidence	2
Clearly Unsatisfactory	1

Guidance on banding and scoring Teaching and General Contribution criteria

Assessment of Teaching contribution

- 5.30 The promotions committees should assess the quantity, quality and degree of innovation and leadership (e.g. course design at a macro level) in teaching.
- 5.31 If a teaching officer is doing a standard amount of teaching, for example lectures, exams and demonstrations, in a satisfactory way a score of 12-17 for Professorship/Readership or 4-5 for a Senior Lectureship application 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.
- 5.32 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.
- 5.33 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 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 Committee in the determination of the score for teaching.
- 5.34 A score of less than 12 for Professorship/Readership or 4 for a Senior Lectureship application 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.
- 5.35 The award of a very high score (i.e. 24 or more for a Professorship/Readership or 8 or more for a Senior Lectureship application) 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 Committee and/or School -Committee).
- 5.36 Examples of teaching excellence are set out below. These are non-exclusive and other examples may be as appropriate, depending on Faculty/Department disciplinary norms.

Direct contribution (teaching/student support):

- Favourable feedback recognised by students and peers and evidenced in student feedback
- Development or delivery of innovative learning (including on-line learning)
- Internal award for teaching such as Pilkington Prize for Teaching.

Leadership in student education

- Leadership within the University at institutional level (e.g. Course Organiser, Year Co-ordinator, Director of Teaching)

Dissemination of excellence in Student Education

- Publication on subject-specific or general pedagogy
- Major invitations to speak on pedagogy
- Authorship of textbooks adopted in a University course above and beyond the author's own teaching

External Esteem and Recognition

- Appointment as an external examiner
- Leadership of new practice in student support
- External Award for Teaching

Assessment of General Contribution

- 5.37 For a standard general contribution a score of 8-12 for Professorship/Readership or 4-5 for a Senior Lectureship application would be appropriate.
- 5.38 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.
- 5.39 The award of a very high score (i.e. 16 or more for a Professorship/Readership or 8 or more for a Senior Lectureship application) indicates that the candidate is making an exceptional contribution and should be addressed in the promotions committees' minutes (Faculty Committee and/or School Committee)

Below Threshold applicants

- 5.40 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.

General Comments concerning Scoring

- 5.41 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.
- 5.42 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 Faculty/School Committee for that year's exercise in creating a rank-ordered list, rather than being an absolute number.
- 5.43 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.
- 5.44 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

- 5.45 The Faculty Committee will allocate scores for the Research/Scholarship criterion and make an indicative assessment against the Teaching and General Contribution criteria for each applicant, providing recommendations to the School Committee and ranking 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 Committee will make a judgement on the appropriate rank order based on the strength of the applications.
- 5.46 The Faculty Committee will also confirm for each applicant whether in its view their case meets the criteria for promotion, clearly explaining in its minutes the reasons why any candidates do not meet this standard.
- 5.47 The School Committee will receive the ranked lists for each office from the relevant Faculty Committees, agree the final scores for each applicant 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.
- 5.48 The Vice-Chancellor's Committee will receive the ranked scored lists for each office from each School 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 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 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.
- 6.2 Application is for promotion to a single specified senior academic office.
- 6.3 Those who wish to apply are advised to read 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.
- 6.4 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.
- 6.5 The receipt of applications should be acknowledged by the Secretary of the Faculty Committee.

Allowance for contextual factors

- 6.6 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 contextual factors on their performance.

Interdisciplinary applications

- 6.7 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.

- 6.8 The interdisciplinary character of an applicant's work may in some cases be formally recognised in the office they hold. In such cases the Head of the Institution concerned will be the Head of the Institution to which the applicant's office is assigned.
- 6.9 Where it is clear that an application is interdisciplinary, the Chair of the Faculty 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. Additional senior academic(s) with appropriate specialised knowledge may be invited by the Faculty Committee as consultant(s) to attend the meeting of the Committee for the consideration of the application concerned.

An application may also be referred to a different or more than one School Committee if this is considered necessary for the fair consideration of the application. The applicant and the relevant School Committees will be informed accordingly by the Secretary..

Notification of outcomes

- 6.10 Applicants will be informed of the outcome of their applications by letter sent to their University institution, and by email if they choose this option on their application, as soon as the General Board have received and approved the Annual Report on the outcome of the exercise.

7. DOCUMENTATION

- 7.1 Responsibility for assembling the documentation required for the meeting of the Faculty Committee lies with the Chair. S/he will delegate the administrative task to the Secretary of the Committee supported by 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 Committee.
- 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.
- 7.4 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

- 7.5 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.
- 7.6 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

- 7.7 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.
- 7.8 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.
- 7.9 Work in progress or work completed but not yet published must be excluded from the list.
- 7.10 Copies of publications must not be included in the documentation submitted by the applicant.
- 7.11 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.
- 7.12 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

- 7.13 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.
- 7.14 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 on the basis of a full teaching stint.
- 7.15 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.
- 7.16 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.
- 7.17 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.
- 7.18 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.
- 7.19 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.
- 7.20 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.
- 7.21 Details of any Faculty/Departmental duties concerning the co-ordination of College teaching should also be included in this Annex.

- 7.22 Applicants who do not undertake College teaching will not be placed at a disadvantage in the consideration of their application.
- 7.23 Details of examining over the same period should also be included.

Annex C. General Contribution

- 7.24 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; the design and delivery of outreach programmes; contribution to the subject undertaken outside the University, editorial work, contribution to academic societies and meetings; details of research management, of research groups, and the creation and management of multi-institutional national/international research facilities.
- 7.25 Applicants should indicate any administrative work that the Faculty/Department has agreed shall be allowed against their annual teaching stint.
- 7.26 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

- 7.27 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 (Section 5): Research/Scholarship (including international recognition/leadership as appropriate), Teaching and General Contribution, bearing in mind the standards set out in the guidance. 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. 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 7.13).

- 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 (6.7 – 6.9).

Document 2: Personal Statement: Contextual Factors Annex

- 7.34 Attention is drawn to the guidance concerning contextual factors (2.11 – 2.13). Those applicants to whom this applies should tick the box on the coversheet and provide relevant information in the annex to the Personal Statement. If there is no explicit statement or indication on Document 2 that the applicant wishes such consideration for contextual factors 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 Committee

Document 3: Referees

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

References - 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 regarded as international leaders in their field, are research-active and familiar with the applicant's field of research. An applicant's PhD supervisor or academics with whom they collaborated on their research may be nominated as referees, as appropriate, but they should declare their interest as set out in the letter requesting the reference.
- 7.38 References, including the updating of references, should be sought by the Secretary of the Faculty 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.

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 On receiving the applicant documentation from the Secretary, members of the Faculty Committees should provide him/her with 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.
- 7.40 On receipt of the applicant documentation if the members of the Faculty Committee agree that an application is interdisciplinary, it may be decided that references in addition to those listed as required should be sought by the Secretary, seeking advice on the names of those additional referees from other Faculty Committees via the Chairs of those Committees.
- 7.41 The Chair and Secretary, seeking advice of the Faculty Committee members as appropriate once they have received the applicant documentation, 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.
- 7.42 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 Committee or by the applicant, before the meeting. In the event of more than the required number of referees becoming available before the 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; 7.38 refers) will be carried forward for one further round only. For example, if the re-application is for promotion from 1 October 2020, references obtained from previous application(s) for the same office applied for in the 2019 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 Secretary of the Faculty Committee should complete Document 3 by adding the names of three referees and one reserve which on receipt of the applicant documentation the members of the Faculty Committee have agreed by circulation (para 7.41) 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 2019 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 Secretary of the Faculty Committee should complete Document 3 by adding the names of the two referees and the reserve which the members of the Faculty Committee have agreed by circulation 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 Secretary of the Faculty Committee should complete Document 3 by adding the names of one referee and one reserve whom the members of the Faculty Committee have agreed by circulation 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 2019. 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 Secretary of the Faculty Committee should complete Document 3 by adding the names of one referee and one reserve whom the Faculty Committee have agreed by circulation 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 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 Committee for an applicant whose application will be considered by the same Faculty 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. The Statement in Document 4 should include confirmation that their duties do not include teaching if the applicant has indicated that is the case (see 7.13). 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 relevant HR Business Manager. 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 as part of the standard feedback arrangements. However, should the applicant make a data subject access request disclosure may be required, 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 provided details of contextual factors that should be taken into consideration when evaluating their contribution, attention is drawn to paras 2.11-2.13. The Head of Institution or other person responsible for preparing the statement should seek advice from the relevant HR Business Manager in the Human Resources Division before drafting the statement, which should comment on the effect of these contextual factors on the applicant's achievements. The promotions committees will take into account this information when evaluating the applicant's teaching, research and general contribution.
- 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, 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 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. This statement will be taken into account by the promotions committees when evaluating and scoring the applicant's contribution under the teaching criterion.
- 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 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.

- 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 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. PROMOTIONS COMMITTEES

General comments concerning membership

- 8.1 Committee members must be Professors or of professorial standing⁵.
- 8.2 If difficulty is experienced in achieving the minimum membership requirement, for example due to the size of the Faculty, the relevant Faculty Board may appoint a Professor or Professors external to the Faculty or Faculties.
- 8.3 There is no age disqualification for membership.
- 8.4 Members who are on sabbatical leave must seek permission to attend meetings held during their period of leave through the HR Business Manager.
- 8.5 University members of the promotions committees are expected to undertake relevant training in equality and diversity matters as specified by the Human Resources Division on behalf of the General Board.
- 8.6 All members of the promotions committees are responsible for ensuring that the assessment of applications has been conducted fairly and transparently and complies with the Scheme's Key Principles. Any member can challenge the process at any time if they consider that this is not the case by raising this with Chair of the relevant Committee.
- 8.7 Meetings should be arranged so that, if possible, all members can attend. The quorum for all Committees is two-thirds of the membership, subject to a minimum of four members. Decisions should be made with the concurrence of the majority of members attending the meeting.
- 8.8 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 with all decisions made collectively. If a member is unable to be present at the meeting, they may provide a written statement of their assessment of the applications. However, as written views cannot be challenged by other members, they should be accorded less weight than those openly discussed in the meeting.
 - (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.

School and Faculty Committee membership

- 8.9 The membership of both the Faculty Committees and School Committees should comprise:

⁵ 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 HR Business Manager (also see 2.8 concerning gender balance and diversity of committees)

- a minimum of five members and normally not more than nine members, who will be at professorial level and will be chosen to cover the range of disciplines covered by the committee.
- a professorial member of staff in an appropriate subject area who is independent of the institutions covered by that committee.

8.10 There should be no overlap in the membership of these committees in any exercise. Therefore, it is recommended that the School Committee membership is determined before that of the Faculty Committee.

Specific information concerning the membership of the relevant Committees is set out below in the relevant Sections (9, 10 and 11).

8.11 The full membership of the promotions committees will be published in the Reporter in the Michaelmas Term.

9. THE FACULTY COMMITTEE

The Role of the Faculty Committee

9.1 The role of the Faculty Committee is to:

- Advise the Chair and Secretary in deciding actions to take before the meeting, including nominating referees.
- Review applications, ensuring there is a complete set of documentation for each applicant.
- Consider each application at the meeting, evaluating and scoring the candidate's Research/Scholarship contribution against the evaluative criteria and recording collective decisions against indicators for this criterion.
- Make an *indicative assessment* of the candidate's teaching and general contribution, providing recommendations to the School Committee, then place applications for each senior academic office in a ranked list of priority.
- Decide whether each case meets the criteria across the three areas: Research/Scholarship, Teaching and General Contribution, confirming its assessment to the School Committee.

9.2 The Faculty Committee should then ensure 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 School Committee.

Membership

9.3 For each exercise the Faculty Boards will recommend appointment of the Faculty members of the Faculty Committee for approval by the relevant Council of the School. For academic reasons, e.g. to cover cognate disciplines, Faculty Boards may recommend that a Combined Faculty Committee be constituted to consider applications from more than one Faculty/Institution as appropriate. As for School Committees (para 10.3), members will normally serve for three years and no member should serve for more than two consecutive terms of three years.

- 9.4 In appointing members to Committees, Faculty Boards should bear in mind the value of diverse membership (also see para 2.8 and Section 8 above concerning membership provisions). The Minutes of meetings of Faculty Committees should record the gender of each member and, if known, ethnicity.
- 9.5 A Chair will be appointed from among the approved members. Other attendees at the meeting include:
- a Faculty or Departmental Administrator to act as Secretary, providing advice and guidance as appropriate and together with the Chair overseeing the fair and effective operation of the procedure.
 - the relevant Head of School (or another nominated member of the School Committee) as an invited observer.
- 9.6 All members of Committees have a responsibility for ensuring that the procedures and the guidance are observed; the Chair and the independent member have a particular role in this regard.
- 9.7 Faculty Committees may invite additional persons to attend meetings to assist in the consideration of interdisciplinary applications. These persons will not be members and will not therefore be entitled to vote. The names of those invited to attend may be disclosed to applicants.
- 9.8 Faculty Committees may sometimes be requested by the General Board to consider an application from outside their Faculty when this makes sense in academic terms.

The role and responsibilities of the Chair of the Faculty Committee

- 9.9 The Chair of the Faculty 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 are complete and conform to the guidance, with particular attention taken in relation to references. Any material submitted that is not in accordance with the guidelines should be returned to the applicant for necessary revision and re-submitted by the date on which agenda and papers are circulated to members of the Faculty Committee. On confirmation of this, the first part of Document 8 (documentation checklist for each applicant) should be completed and signed by the Secretary of the Committee.
 - (ii) Applications are assessed to check whether the appropriate office has been applied for (so that as appropriate the Faculty Committee can decide whether to invite revised applications to be submitted in time for consideration at the 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 Faculty 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 Committee.
- (vi) If an applicant has indicated contextual factors should be taken into consideration when evaluating their teaching, research or general contribution, advice should be sought from the HR Business Manager in advance of the meeting. This advice should be acted upon (2.11-2.13) and the action taken, and the reasons for this, recorded in the minutes of the meeting.
- (vii) All the relevant documentation is treated in the strictest confidence (2.14).
- (viii) Before any discussion or consideration of business at meetings of the Faculty Committee, members of the Committee and any other person(s) attending the meetings are asked to confirm that they have received, and are familiar with, this guidance. Members are asked to reflect on the risk of unconscious bias.
- (ix) The Committee is informed of any declarations of interest and appropriate action agreed before consideration of applications (2.2–2.4).
- (x) The business of the Faculty Committee is conducted in accordance with the guidance.
- (x) The evaluations agreed for each applicant, including comments regarding each criterion, are recorded on Part 1 of Document 7A (Professorship), 7B (Readership), or 7C (University Senior Lectureship).
- (xi) The advice concerning the ranking of applications is observed.
- (xii) The Minutes of the meeting of the Faculty 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 the Minutes not be deemed to meet these requirements, they may be returned to the Chair of the Faculty Committee for appropriate revision.
- (xiii) All necessary action is taken following approval of the Minutes in relation to the outcome of the business under consideration.

Faculty Committee meeting

- 9.10 Only one meeting of the Faculty Committee is required.

Actions taken before the meeting

- 9.11 After the deadline for applications the Secretary will provide the Faculty Committee with a list of applicants and the application documentation (usually via Moodle) so that they have early access to the cases and can provide advice to the Chair and Secretary in deciding actions to take before the meeting, as set out in para 9.12 below.

9.12 In advance of the meeting, the Chair and Secretary, in consultation with the Faculty Committee by correspondence, will confirm in the case of each applicant:

1. whether the application is interdisciplinary and whether it will be necessary to obtain additional information and/or to invite additional person(s) to attend the meeting as consultant(s);
2. what action it may be necessary to take in relation to contextual factors, taking into account advice provided by the HR Business Manager This may involve (with the applicant's permission) seeking written medical advice from the University Occupational Health Consultant. If the applicant has not provided sufficient detail as to the impact of these contextual factors on their duties, the Annex to Document 2 should be sent back to the applicant to provide this information;
3. what action it may be necessary to take having reviewed the gender balance of applications and seeking further information from the relevant Head of Institution as appropriate;
4. the Committee's choice of referees bearing in mind the relevant sections of the guidance and having, where appropriate, consulted with the applicant. Where an application is a re-application, the previous year's references should be carried forward and consideration given to updating existing references if appropriate (Please note that an updated reference is treated as one of the references for the current year).
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 6/6V) is required.
7. whether the application is for the appropriate office, taking into account the documentation received. Exceptionally, the applicant will be invited to submit a revised application for a different office for consideration by the Faculty Committee meeting (with documentation submitted by the date on which agenda and papers are circulated to the members);

The references and statements should be obtained by the Secretary in time for circulation with the application documents ahead of the meeting (para 9.20).

The meeting

- 9.13 The purpose of the meeting is to agree collectively in terms of the Research/Scholarship criterion the evaluations, banding and scores of the cases for promotion in respect of the offices applied for and to record collective decisions against indicators for this criterion. The criteria, performance descriptors (bandings) and scoring methodology for each senior academic office are set out in Section 5.
- 9.14 The Faculty Committee should also make an indicative assessment, including an indicative score, of candidates against the Teaching and General Contribution criteria, providing recommendations to the School Committee. Applications for each senior academic office should be placed in a ranked list of priority.

- 9.15 The Faculty Committee should also decide overall whether each case meets the criteria across the three areas: Research/Scholarship, Teaching and General Contribution, confirming its assessment to the School Committee.
- 9.16 Faculty 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.
- 9.17 In relation to applicants who have indicated that they wish consideration to be given to contextual factors (see 2.11-2.13), the Faculty Committee should evaluate the quantity 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 assessment made by the Faculty Committee should include the following:
- Consideration should be given to the evidence set out in the annex to Document 2 (see 6.6), and the details of contextual factors that should be taken into consideration when evaluating the criteria (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. The Committee should 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. However, when judging the quantity of their work or output, account should be taken of any reduction in working time for example, by assessing the volume of output pro-rata. Advice should be sought at the earliest opportunity from the HR Business Manager.
 - In the case of an applicant 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.
- 9.18 If the subject area of an application is such that it crosses School Committee boundaries, whether or not the applicant has indicated that their application is interdisciplinary, the Faculty Committee may decide that, in the interest of fairness, the application should be referred for consideration to a different School Committee. In such cases, the Faculty Committee should forward the application to the Secretary or Secretaries of the School Committee(s) concerned, giving reasons, and a view as to which School Committee evaluation should be given greater weight by the Vice-Chancellor's Committee. The applicant and the relevant School Committee Chairs will be informed accordingly.
- 9.19 If the applicant has indicated 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 Committee should not make an evaluation of (or score) that applicant's teaching contribution.

Documentation

9.20 The following documentation should be circulated if possible not less than a week in advance of the meeting.

- (i) Agenda for the meeting
- (iii) The required full 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 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).

The Secretary of the Committee should ensure that documentation is complete.

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

9.21 Faculty Committees are required collectively to:

- (i) Evaluate, band and score each application objectively against the criteria on the basis of all the evidence contained in the documentation including the impact of contextual factors 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 list of applications for each senior academic office. Joint ranking is not permissible and the Committee must therefore, agree the appropriate rank order for those applicants with the same score. The Committee must also make a judgement on where to rank candidates who have not teaching duties and therefore, have not been assessed on their teaching contribution.
- (ii) 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).

- 9.22 In its 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

- 9.23 In order to provide the School Committee with a sense of the relative strength of the cases for promotion for each office, the Minutes should include summaries of overall scoring (including the score for each of the criteria as well as the total score), ranked lists of all the applications for each office and clear reasons for these assessments.

For each applicant the Minutes should include the banding agreed for each criteria, as set out in Section 5 (including a recommendation for Research/Scholarship with reference to originality, contribution to the advancement of knowledge and reputation; also, an indicative assessment and recommendation for Teaching and General Contribution). The Minutes should also include a fairly and objectively worded minute containing a reasoned, specific justification of each agreed banding, as well as a justification where high scores have been awarded that indicate an exceptional contribution. For candidates who have declared they have no teaching duties, the minutes should also refer to their positioning within the rank order.

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, however, any such reference must be anonymised if it is transcribed on to Document 7.

The Minutes should state, where appropriate, whether an application has been treated as interdisciplinary and is to be referred to a different School Committee.

The Minutes should also state whether allowance has been made for contextual factors and if so what action was taken (2.11-2.13).

Document 9 sets out a standard format which may be used or adapted for drafting the Minutes.

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. Document 7 is disclosable on request under the feedback arrangements (Section 10).

Subsequent action

- 9.24 The full documentation received in respect of each applicant, together with the Minutes of the meeting of the Faculty Committee, should be forwarded electronically to the relevant HR Business Manager. Part 1 of Documents 7 and 8 for each applicant should be completed, signed, and forwarded with the documentation.
- 9.25 To assist understanding by the School Committee of the banding, scoring and ranking of applicants, the Faculty Committee Chair, or nominated representative, should attend part

of the relevant School Committee meeting in a non-voting capacity to present cases and provide clarification where needed.

- 9.26 Applicants may on request be given copies of Part 1 of Document 7, as relevant, after the meeting of the Faculty Committee, to inform them of the outcome of this stage of the process. 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 11).

10. THE SCHOOL COMMITTEES AND THE VICE CHANCELLOR'S COMMITTEE

Role of the School and Vice-Chancellor's Committees

- 10.1 The purpose of this part of the process is to regulate the local evaluations agreed by the Faculty Committees in order to achieve consistency of standard across the University and to reach agreement on the successful applicants who are to be proposed for promotion in the General Board's Annual Report to the University. This is achieved in two stages, by the School Committees and then at the Vice-Chancellor's Committee, as set out below:

SCHOOL COMMITTEES

- 10.2 The role of the School Committee is to:

- Review the Research/Scholarship evaluation and score for each candidate from the Faculty Committees, where necessary making changes it believes are necessary to ensure that they have been applied consistently between candidates and across School Committees, recording its decisions against the relevant indicators of excellence for this criterion.
- In addition, to assess and score each candidate against the Teaching and General Contribution criteria, recording decisions against the relevant indicators.
- Decide which applicants meet the required standard of excellence and should be promoted, producing a rank order of total scores for each office.
- Agree a feedback statement for each applicant to be provided at their feedback meeting with the Head of Institution.

Membership

- 10.3 Members of the School Committees will normally serve for three years. No member may serve for more than two consecutive terms of three years.

- 10.4 There will be six School Committees, one for each of the following Schools:

- (i) Arts and Humanities
- (ii) Humanities and Social Sciences
- (iii) Biological Sciences
- (iv) Clinical Medicine
- (v) Physical Sciences
- (vi) Technology

- 10.5 For each exercise the relevant Council of the School will agree membership, including nominating a Chair from an institution independent of that School for appointment by the General Board. The Head of School will be a member of this Committee.

- 10.6 The General Board will appoint an external member, who will be a distinguished academic, for each School Committee.

- 10.7 The HR Business Manager for the relevant School will act as Secretary, providing advice and guidance as appropriate and together with the Chair overseeing the fair and effective operation of the procedure.
- 10.8 The General Board and the Councils of the Schools should bear in mind gender and ethnicity in nominating and appointing members of these Committees (also see para 2.8 and Section 8 above concerning membership provisions).
- 10.9 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.

Role and responsibilities of the Chair of the School Committee

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

10.11 The Chair is expected to ensure that:

- (i) All the documentation received from the relevant Faculty Committees in relation to each applicant is complete and conforms to the guidance. Particular attention must be paid to:
 - a) references,
 - b) College teaching and clinical work;
 - c) applicants that have indicated contextual factors, (see (iv) below)
 - d) interdisciplinary applications

The evaluation and comments of the Faculty 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 or Secretary of the relevant Faculty Committee.

The documentation checklist in Part 2 of Document 8 should be completed and signed by the Secretary of the School Committee.

- (ii) Liaise if necessary with the Chair of any other School Committee to which a Faculty Committee has referred an application.
- (iii) Liaise if necessary with the Chair of any of the Faculty Committees which have considered applications submitted to the School Committee.
- (iv) If an applicant has indicated that contextual factors should be taken into consideration when evaluating their teaching, research or general contribution, advice must be sought from the appropriate HR Business Manager as to how the application should be treated (see 9.17).
- (v) All the relevant documentation is treated in the strictest confidence (2.14-2.15).

- (vi) Before any discussion or consideration of business at the meetings of the School-Committees, members of the Committee, and any other persons attending the meeting are asked to confirm that they are familiar with the guidance in this booklet. Members are also asked to reflect on the risk of unconscious bias.
- (vii) The School Committee is informed of any declarations of interest and appropriate action agreed before consideration of applications (2.2-2.4)
- (viii) The business of the School Committee is conducted in accordance with the principles set out in section 2.
- (ix) The evaluations and comments agreed for each applicant by the School 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 of the School Committee are an accurate record of the consideration of business and are approved by the School 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

- 10.12 The relevant HR Business Manager will prepare the agenda and papers for the meeting of the School 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 Committees
 - (iv) The documentation received for each applicant at the (and any subsequent) meeting of the Faculty Committees (Section 7)
 - (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 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 for each applicant, as signed off by the Chair of the Faculty Committee should be available for reference at the meeting, if necessary.

Procedure

- 10.13 School Committees are required collectively to:
- (i) Review the Research/Scholarship evaluation and score for each candidate from the relevant Faculty Committees, where necessary making changes it believes are necessary to ensure that they have been applied consistently between candidates and across Faculty Committees, recording its decisions.
 - (ii) In addition, taking account of the indicative evaluation and recommendations made by the Faculty Committee, to assess and score each candidate against the Teaching and General Contribution criteria, recording decisions.
 - (iii) Create a single ranked list for applicants to each of the offices for the relevant School. Joint ranking is not permissible and the Committee must therefore, agree the appropriate rank order for those applicants with the same score. The Committee must also make a judgement on where to rank candidates who do not have teaching duties and therefore, have not been assessed on their teaching contribution. Ensuring that the ranking reflects the fact that candidates who do not have teaching duties have more time to devote to other duties is a matter that requires a qualitative judgement.
 - (iv) Decide which applicants for each office meet the required standard of excellence and should be promoted, taking into account those applicants most deserving of promotion and bearing in mind the indicative budget
 - (v) Flag in the ranked list those applicants who have not met the minimum criteria for promotion).
 - (vi) Agree a feedback statement for each applicant to be provided at their feedback meeting with the Head of Institution
- 10.14 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.
- 10.15 To assist understanding by the School Committee of the ranking and scoring of applicants by the Faculty Committee, the Chair should attend part of the relevant School Committee meeting in a non-voting capacity to present cases and provide clarification where needed.

Minutes

- 10.16 In order to provide the Vice-Chancellor's Committee with a sense of the relative strength of the cases for promotion for each of the offices, the Minutes should include evaluations agreed in terms of the three criteria, summaries of overall scoring and a ranked list for each of the offices. Accordingly, School Committees should include a fairly and objectively worded minute containing a reasoned justification of the agreed evaluations and its determination of the rank order for each office, as well as clear reasons any adjustment in the Faculty Committee evaluations, banding, scoring.

The Minutes should also include justification where high scores have been awarded that indicate an exceptional contribution.

If there is complete agreement between a Faculty Committee and a School 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 Part 2 of 7.

Reference may be made in the Minutes to comment contained in referees' statements, however, any such reference must be anonymised, if it is transcribed on to Document 7.

The Minutes should also state, where appropriate, whether an application has been treated as interdisciplinary and has been referred from a Faculty Committee in a different School and/or whether allowance has been made for contextual factors 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

- 10.17 The full documentation received by the School Committee, together with the Minutes of the meeting of the School Committee should be forwarded to the Secretary of the Vice-Chancellor's Committee. Part 2 of Documents 7 and 8 for each applicant should be completed, signed, and forwarded with the documentation.
- 10.18 Applicants should **not** be informed of the outcome of the School Committee's evaluation or provided with feedback at this stage.

VICE-CHANCELLOR'S COMMITTEE

- 10.19 The role of the Vice-Chancellor's Committee is to moderate between the School Committees to ensure that a consistent standard has been achieved. Therefore, the Committee will receive the rank order of candidates for each office and consider the documentary evidence for applicants, deciding whether any adjustments in evaluation are necessary.
- 10.20 The Vice-Chancellor's Committee then makes recommendations to the General Board concerning applicants that should be promoted for the academic offices.
- 10.21 The General Board receives these recommendations and approves cases for promotion.
- 10.22 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

- 10.23 Membership will comprise:
- the Vice-Chancellor in the Chair
 - the Chair and external member of each School Committee
 - the Pro-Vice-Chancellor for Institutional and International Relations
- 10.24 Other attendees at the meeting include:

- the Director of Human Resources acting as Secretary , providing advice and guidance as appropriate and together with the Chair overseeing the fair and effective operation of the procedure
- the Academic Secretary as Secretary of the General Board.

The role and responsibilities of the Chair

10.25 These are essentially as for the Chairs of the School Committees (10.2) save that the check on documentation covers documentation received from each of the School Committees, rather than the Faculty Committees. Part 3 of Document 8 should be completed and signed by the Secretary.

Documentation

10.26 The Secretary will circulate the agenda and papers for the meeting of the Vice-Chancellor's 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 School Committee.
- (iv) Minutes of the School Committees and Faculty Committees, together with summary lists of evaluations and rankings agreed by the School Committees for all applicants in relation to each of the senior academic offices.
- (v) Parts 1 and 2 of Document 7 for each applicant as signed off by the Chair of the Faculty Committee and by the Chair of the School Committee, will be available for reference at the meeting.

Procedure

10.27 At the Vice-Chancellor's Committee the Chairs of the School Committees, assisted by the respective external members, will present in turn their School Committee assessments, explaining where and why the line for promotion was drawn. They will also identify any particular case or cases where the School Committee reached a different conclusion from the Faculty Committee, and any cases in which non-standard aspects have caused difficulty.

The role of the Committee is in part to moderate between the School 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 evaluations agreed by the Faculty Committees and the School Committees are necessary in the light of their overview of the standard of applications.

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

Minutes

- 10.28 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 7. 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

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

Subsequent Action

- 10.30 The General Board will receive the recommendations of the Vice-Chancellor's Committee no later than the date specified in the timetable (Section 3). Following that meeting, all applicants, Heads of Institutions and Chairs of Faculty 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 11).

11. FEEDBACK

- 11.1 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. The timetable for the provision of feedback and the lodging of appeals is specified in Section 3.
- 11.2 The Chairs of the School Committees, having discussed these cases with the relevant Heads of School, 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 Committee to attend their meeting with the Chair of the School Committee.
- 11.3 Written feedback on all unsuccessful applications will be provided to the relevant Heads of Institution by the Chairs of the School Committees, who are members of the Vice-Chancellor's Committee. This feedback will be collated by the Secretaries of the School Committees and provided to the Chairs of the School 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 Vice-Chancellor's Committee, School Committees and Faculty 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.
- 11.4 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. At this meeting they should provide a copy of the feedback statement prepared by the relevant School Committee. They may wish to discuss with their Head of School the feedback to be provided to unsuccessful applicants before holding individual meetings.
- 11.5 An unsuccessful applicant may ask for the feedback statement set out in the School Committee minutes to be carried forward for information to their next promotion application. This option is intended to help an applicant demonstrate how they have responded to feedback and further strengthened their application.
- 11.6 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.

Disclosure of Documents and Appeal (Section 11)

- 11.7 The following documents must be disclosed as part of the feedback process after the meeting of the General Board if requested by the applicant:
- (i) Parts 1, 2 and 3 of Document 7A, 7B, or 7C. It may also be disclosed for information - but not for the purpose of formal feedback - after the meeting of the Faculty Committee.
 - (ii) Parts 1, 2 and 3 of Document 8.
 - (iii) Copies of references from referees where they have agreed to the release of their references (in line with data protection legislation we will check with referees first before disclosing them).
- 11.8 Reasonable time is required for the feedback process to enable individuals to consider the information provided. An unsuccessful applicant may wish to appeal by following the procedure set out at Section 12.

12. APPEAL

Lodging an appeal

- 12.1 Applicants have the right to lodge an appeal against the decision of the Vice-Chancellor's 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

- 12.2 The General Board will appoint an Appeals Committee to hear appeals after the Vice-Chancellor's 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) The Assistant Director of Human Resources (Operations) will act as the Secretary of the Appeals Committee.

The Role of the Appeals Committee

- 12.3 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 Vice-Chancellor's Committee for reconsideration.
- 12.4 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.
- 12.5 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.

12.6 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

12.7 The procedure for hearing appeals must follow the principles of Natural Justice.

12.8 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.

12.9 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.

12.10 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 (12.4 -12.5).

12.11 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).

12.12 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.

12.13 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

- 12.14 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 Vice-Chancellor's 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 Vice-Chancellor's 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.
- 12.15 If it is appropriate in a particular case, the Appeals Committee, in referring the application back to the Vice-Chancellor's 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.
- 12.16 There is no right of appeal against the Appeals Committee's determination of an appeal.

Minutes and subsequent action

- 12.17 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 12.14.
- 12.18 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.
- 12.19 In the case of appeals determined under 1 or 2 in 12.14, the Secretary of the Appeals Committee will refer the appellant's application back to the Vice-Chancellor's 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.
- 12.20 The Secretary of the Appeals Committee will, without referral to the Vice-Chancellor's Committee, inform appellants whose appeals have been determined under 3 or 4 in 12.14, 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 Vice-Chancellor's Committee, the relevant School Committee, and the relevant Faculty Committee.

- 12.21 The Vice-Chancellor's 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 12.14, 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.
- 12.22 In considering any appeal referred to them by the Appeals Committee, the Vice-Chancellor's Committee will comprise five members, including the external member relevant to the field of the appellant. The Committee may vary their procedure as necessary.
- 12.23 The Secretary of the Vice-Chancellor's Committee will inform each appellant of the Vice-Chancellor's Committee's reconsideration of their application.
- 12.24 There is no right of appeal against the outcome of the reconsideration of an application by the Vice-Chancellor's Committee.

13. REPORT OF THE GENERAL BOARD

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

14. CONTRIBUTION REWARD SCHEME FOR SENIOR LECTURERS

Background to the Scheme

- 14.1 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.
- 14.2 This guidance took effect from the 2014 Senior Academic Promotions exercise, with the first awards being implemented from 1 October 2014.

Introduction

- 14.3 This scheme provides for contribution increments to be awarded to University Senior Lecturers for significant contributions other than through research.
- 14.4 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

- 14.5 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.
- 14.6 Judgments should be based on objective evidence, i.e. the documentation provided for this exercise.
- 14.7 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 (14.11), so that all cases that meet the criteria are brought forward for consideration.
- 14.8 The criteria for assessing contribution must be applied fairly and consistently.
- 14.9 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.

14.10 The following 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 Section 2 of the Senior Academic Promotions guidance and para 1.17:

- Key Principles
- Fairness and declaration of interest
- Equal opportunity
- Allowance for contextual factors
- Confidentiality and data protection legislation
- Procedural adjustments and interpretation of guidance (1.17)

Eligibility

14.11 Only University Senior Lecturers who are paid at the top of the service points (Grade 10, point 61) as at 1 October 2019 and have held this office on this point of Grade 10 for at least 12 months are eligible for consideration.

14.12 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 2019 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.

14.13 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 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

14.14 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.

14.15 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 5.13– 5.16 of the Senior Academic Promotions guidance.

14.16 The Head of Institution’s case should comment on achievement of these criteria.

14.17 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.

- 14.18 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.
- 14.19 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

- 14.20 Potential applicants should seek advice from the Head of Institution before deciding whether to apply.
- 14.21 Applicants who wish to be considered for a contribution reward 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.
- 14.22 Document 10 (CRS) with Part 1 completed should be submitted to the Secretary of the relevant Faculty Committee by the stated deadline for the Senior Academic Promotions exercise, which for this year's exercise is 4 November 2019 (see Section 3).

Head of Institution

- 14.23 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 Faculty Committee Secretary in time for the meeting. Where there is more than one applicant from their institution they should rank the supported applications in priority order.

Faculty Committee

- 14.24 After the deadline for applications, the Secretary of the Faculty Committee will circulate a summary list of applicants and the full application documentation to all committee members

The Chair, supported by the Secretary, and seeking the advice from the members of Committee by circulation as appropriate, will decide in each case who should provide the Head of Institution statement (by completing CRS Part 2) and the name of an internal referee.

- 14.25 At the meeting the Faculty Committee will consider all the documentation for each application, agree collectively the evaluations for each applicant and the number of contribution increments awarded with reference to the criteria for this Scheme and will rank applicants in a list according to the strength of their application. The Faculty Committee should clearly indicate where changes in the number of increments awarded has been agreed and those applicants who are assessed as not meeting the minimum criteria for a contribution reward, documenting the reasons for these decisions.

School Committee

- 14.26 The School Committee will re-assess applicants, check that applicants have been consistently assessed across the Faculty Committees and create a single ranked list in priority order, clearly indicating any applicants 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.
- 14.27 The School Committee will also indicate the line for awarding an increment.

Vice-Chancellor's Committee

- 14.28 The full documentation for each applicant will then be considered by the Vice-Chancellor's Committee as the awarding authority.
- 14.29 At the Committee meeting the Chairs of the School Committees, 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 School Committee reached a different conclusion from the Faculty Committee, and any cases in which non-standard aspects have caused difficulty.
- 14.30 The 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.
- 14.31 Applicants are then advised of the outcome of the Scheme by their Head of Institution (using template documentation provided by Human Resources Division).

Timetable

- 14.32 The timetable for this Scheme is the same as for the Senior Academic Promotions exercise (see Section 3 of the 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.
- 14.33 Unsuccessful applicants who wish to receive feedback should request this from their Head of Institution by the deadline set out in the timetable. Heads of Institution are responsible for communicating feedback in person to unsuccessful applicants, if requested.