Review Procedures for Academic Staff for Promotion to Senior Academic Grades

1. **Scope**
   1.1. To define the College’s procedures for promotion to the academic grades of Professor Of (Personal Chair), Professor In and Associate Professor.
   1.2. To define the College’s procedures for the award of accelerated advancement within the Associate Professor Grade.

2. **The Committees**

   The HR Committee establishes the Senior Academic Promotions Committee and proposes membership to the University Council.

   2.1. The Senior Academic Promotions Committee reviews applications for promotion to the grade of Associate Professor, Professor In and for the award of Professor Of. It also assesses applications for accelerated advancement in the Associate Professor grade. This Committee has responsibility for maintaining an overall consistency in the procedure. It may also make recommendations to the University Council on matters of policy and procedures.

   2.2. The Senior Academic Promotions Committee reviews, and makes recommendations to Council, on applications for Adjunct Associate Professor Titles.

   2.3. For the purpose of considering applications for promotion to Professor Of, a Sub-Committee of the Senior Academic Promotions Committee may be established when necessary in order to ensure an appropriate level of seniority. This Committee will be called the Personal Chairs Sub-Committee.

   2.4. The Personal Chairs Sub-Committee reviews, and makes recommendations to Council, on applications for Adjunct and Honorary Professor Titles.
2.5. For the purpose of considering applications to Associate Professor and Professor grades a Faculty Review Committee will be established. A review will be carried out at faculty level to consider all those candidates who have applied and to recommend those who have established a clear promotion case for consideration by the Senior Academic Promotions Committee. Membership of the Faculty Review Committee will be proposed by the Dean and Faculty Executive Committee and approved at Council and listed on the HR website.

2.6. Membership of the Committees are as follows:

<table>
<thead>
<tr>
<th>Senior Academic Promotions Committee</th>
<th>Personal Chairs Sub-Committee</th>
</tr>
</thead>
<tbody>
<tr>
<td>Provost (Chair)</td>
<td>Provost (Chair)</td>
</tr>
<tr>
<td>Vice-Provost/Chief Academic Officer</td>
<td>Vice-Provost/Chief Academic Officer</td>
</tr>
<tr>
<td>Deans of Faculties</td>
<td>Professors appointed by the University Council (4)</td>
</tr>
<tr>
<td>Members appointed by the University Council (2)</td>
<td>Members appointed by NFSA/ASA (2)</td>
</tr>
<tr>
<td>Members appointed by NFSA (1)/ASA (2)</td>
<td>Director of HR (Secretary) or nominee</td>
</tr>
<tr>
<td>Director of HR (Secretary) or nominee</td>
<td></td>
</tr>
<tr>
<td>Quorum - 6 (excluding HR Director)</td>
<td>Quorum - 5 (excluding HR Director)</td>
</tr>
<tr>
<td>Membership Term – 3 years (renewable)</td>
<td>Membership Term – 3 years (renewable)</td>
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<table>
<thead>
<tr>
<th>Faculty Review Committee</th>
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</thead>
<tbody>
<tr>
<td>Provost or nominee (Chair)</td>
</tr>
<tr>
<td>Deans of Faculty (non-scoring member)</td>
</tr>
<tr>
<td>5 Professors in the Faculty of appropriate seniority, reflecting disciplinary interests</td>
</tr>
<tr>
<td>1 Member appointed by ASA</td>
</tr>
<tr>
<td>Quorum – 5</td>
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</table>
2.6.1. With the exception of Faculty Deans and Provost or nominee, no other serving member of the Senior Academic Promotions Committee may be a member of the Faculty Review Committee.

2.6.2. Where any member of one of the Promotion Committees listed at 2.4 above is him/herself an applicant for promotion in any year, (whether a member ex-officio or otherwise), then that member will withdraw from the Committee for the full year in which their case is to be considered.

2.6.3. Where possible due consideration will be made to ensure both gender and Faculty balance on the Committee. The College will seek to have a full Committee presence at all meetings. The Provost, or their nominee, must be present. All Committees must be quorate to proceed. Once the quorum has been established, the Provost, or their nominee, can agree to proceed with the Committee in the case where all reasonable efforts have been made to establish a full Committee.

2.6.4. Scoring will be expected from all Committee members per each criterion (Research & Scholarship, Teaching, Service to College, Engagement with Discipline/Society). These will be reviewed, before a final agreed consensus score is decided by the Committee.

2.6.5. All Committees shall be fully briefed by the Secretary of the Senior Academic Promotions Committee in the exercise of their functions including the evaluation of academic performance, equity and freedom of information issues. All Committees shall maintain adequate records including reasons for their decisions in each case. All Committee members should be aware of the requirement for confidentiality on all aspects of the process.

2.6.6. Deans or School representatives shall not act as advocates for applicants from their School/Faculty.

2.6.7. A schedule of meeting dates shall be published on the HR Website and it is expected that members of the Committees will make all reasonable efforts to attend all meetings on the dates listed.

2.6.8. The Senior Academic Promotions Committee will make their recommendations for promotion for Professor In and Associate Professor to the University Council and to the Board of the College.
2.6.9. The Personal Chairs Sub-Committee will notify the Senior Academic Promotions Committee of the outcome of their considerations. The Personal Chairs Sub-Committee will make their recommendations for promotion to Professor Of to the University Council and to the Board of the College.

2.7. An ad hoc Appeals Committee shall be established by the Board to hear appeals arising from the decisions of the University Council and Board. The only ground for appeal shall be failure of any Committee to follow the terms of these Review Procedures. Appeals can apply to all decisions, e.g. those made by the Faculty Review Committee, the Personal Chairs Sub-Committee, and the Senior Academic Promotions Committee. In the case of unsuccessful candidates appeals can arise following the communication of the decision of the relevant Committee. In the case of successful candidates appeals arise following the decision by University Council.

2.7.1. Membership of the ad hoc Appeals Committee shall be:

- Senior Dean (Chair)
- 1 IFUT/ASA Representative
- One member appointed by the University Council

No person may be a member of the Appeals Committee who is currently a member of any of the Committees set out in 2.4. The three members above will be drawn from a panel appointed by the University Council.

2.7.2. Appeals must be lodged within eight working weeks from the date on the letter of notification sent to staff members informing them of the outcome of their application. Appeals should be sent to the Chair of the ad hoc Appeals Committee. No exceptions will be made.

2.7.3. The ad hoc Appeals Committee will not make decisions or recommendations for promotion.

2.7.4. Where the ad hoc Appeals Committee upholds an appeal the case will be referred back to the relevant Committee for reconsideration. If the relevant Committee has been re-constituted by the time the appeal is considered then the appeal may be considered by the re-constituted Committee.

2.7.5. The ad hoc Appeals Committee shall determine its own procedures and its decision shall be final.
2.7.6. Decisions of the ad hoc Appeals Committee shall be communicated in writing to the staff member and reported to the University Council and Board.

3. Definitions

3.1 Research is any or all of the following:

- the discovery, creation or critical development of new facts, ideas, theories or processes that advance knowledge or result in works of artistic accomplishment;
- the integration of the above into new syntheses;
- the application of new discoveries, creations, developments or syntheses to activities outside the University that are in consequence conducted differently;
- the publication or dissemination by other methods of any of the above for the purpose of education or informing the wider public;
- publications related to the conduct of pro bono consulting activities;
- Patents and licences.

3.2 Teaching is the conversion of knowledge in the relevant discipline or field of study derived from research as defined above into a reciprocal process of education and learning. It may include any or all of the following:

- the introduction of the concepts, methods and subject matter of the discipline or field of study in a manner which stimulates those taught and enables them to engage with the knowledge in a critical and independent manner appropriate to the level at which they have been taught;
- curriculum design, instruction, assessment and the creation of a social and academic environment that promotes learning;
- initiation into research by supervision or dissertations or other research projects at the appropriate level;
- supervising students to completion.

3.3 Service to College includes:

- administrative and management activities at the level of a discipline, school, centre, faculty or College-wide committee or working party;
- pastoral role as a College tutor;
- management role such as Head of Discipline, Head of School, Dean or College Officer;
- mentoring.
3.4 Engagement with the Discipline and Society:

- external examining;
- invited appearances before academic or public audiences;
- organization of workshops, seminars, conferences or other collaborative intellectual activity;
- service to the intellectual infrastructure of the discipline or field of study (editing research journals, conference proceedings, other scholarly publications, web sites, refereeing submitted materials etc.);
- contribution to academic and professional bodies;
- contribution to national and international bodies;
- pro bono consultancies resulting in publication;
- professional advice to government and public organizations;
- societal engagement relevant to the College’s mission statement.

Societal engagement unrelated to the mission statement of the College shall not be counted.

Activities shall not be double-counted. Postgraduate supervision shall be included under teaching.

Scholarly publications relating to teaching innovation shall be counted as a contribution to research.

4. Procedures

4.1 Timeline - Each year, the Secretary to the Senior Academic Promotions Committee shall decide on a timeline for the stages of the promotions process. All reasonable efforts will be made to adhere to the timeline. Variations in the timeline may occur, and additional meetings or an extension of the timeline may be required due to unforeseen circumstances. Such variations will not constitute a breach of the policy. Any changes will be notified via the same media.

4.2 Quota – The Board, when making the decision regarding the feasibility of a promotions round, will decide whether a quota will apply for the promotions round. This decision will have regard to the current financial and employment control arrangements and general HR considerations.

4.3 Advertisement - All information will be advertised on the HR website.

4.4 Application Process (Professor In and Associate Professor, including accelerated advancement) - Associate Professors who wish to apply for accelerated advancement,
or Academic Staff who wish to be considered for promotion will be required to complete the relevant sections of their candidate application form. Please see the appendices for the relevant information and candidate application form and additional forms to be included. Promotional criteria and weightings are outlined in the appendices.

4.4.1 Faculty Review Committee Stage – This is first stage of the selection process for promotion to Associate Professor and to Professor In (but not Professor Of) following submission of applications. All applicants will be reviewed for shortlisting.

4.4.2 An academic member of staff in more than one Faculty will determine in which Faculty they wish their application to be reviewed.

4.4.3 The Faculty Review Committees need to have regard to any overall quota for promotions when deciding how many staff to shortlist and to recommend for interview by the Senior Academic Promotions Committee.

4.4.4 The Faculty Review Committee will notify the Senior Academic Promotions Committee of applicants who have been reviewed at Faculty level but who have not been shortlisted. Reasons will be given by the Faculty Review Committee which can form the basis of feedback.

4.4.5 The Faculty Review Committee will only shortlist those applicants whom they consider have a very strong and competitive case for promotion. The Secretary of the Faculty Review Committee will notify, on behalf of the Committee, applicants who are not shortlisted in writing.

4.4.6 A single score at the Faculty Review Committee will be recorded for each applicant under each of the criteria (Research & Scholarship, Teaching, Service, Engagement). Scores for successful applicants will not be given to the Senior Academic Promotions Committee.

4.4.7 Applicants should be aware that progression to interview by the Senior Academic Promotions Committee is a second stage of the process, applicants will be reviewed in the overall context of applicants from all faculties, and each person will have to make their case to the Senior Academic Promotions Committee. This is a competitive process, and not all applicants may achieve promotion at this stage.

4.4.8 The division of the review process into Faculty cohorts shall not imply quotas or equivalence of promotion outcome among faculties in any given year.
4.4.9 The Faculty Review Committees need to have regard to any quota for promotions when deciding how many staff to shortlist and to recommend for promotion.

4.5 Application Process Professor Of (Personal Chair) - Applications for promotions to Professor Of will be reviewed and shortlisted for interview.

4.5.1 At shortlisting a single score at the Personal Chairs Sub-Committee will be recorded for each applicant under each of the criteria (Research & Scholarship, Teaching, Service, Engagement).

4.5.2 The Personal Chairs Sub-Committees need to have regard to any quota for promotions when deciding how many staff to shortlist and to recommend for promotion.

4.6 External Assessors – At the appropriate stage of the process (see appendices for relevant grades), the Provost, in consultation with the relevant Faculty Dean, and other appropriate parties, will seek references from two independent external assessors who are internationally recognised leaders in the field of the applicant. For Personal Chairs this will be prior to shortlisting and consideration by the Personal Chairs Sub-Committee, and for other grades, upon recommendation for interview by the Senior Academic Promotions Committee.

4.6.1 The following rules apply to the selection of external assessors:

- they should not normally be current or recent (in the past 7 years) collaborators or co-authors with the applicant.
- they should not be, or have been, the applicant’s PhD supervisor, or vice versa.

4.6.2 Applicants will not be involved in the selection of external assessors.

4.6.3 The independent role of External Assessors is to focus on research and scholarship, contribution to discipline and international profile. They assess and differentiate the applicant in their field and should comment on their standing in their field.

4.7 Interviews - Members of the Senior Academic Promotions Committee will interview shortlisted applicants (for Professor In and Associate Professor). The Personal Chairs Sub-Committee will interview candidates for the grade of Professor Of. The Personal Chairs Sub-Committee may also interview the Head of Discipline. At its discretion, the Committee may divide into two interview panels for the purpose of interviewing applicants for Associate Professor and Professor In separately. In such an instance, one
group would be chaired by the Provost and the other by the Vice-Provost/Chief Academic Officer.

4.8 Selection Decisions - Final recommendations for promotion by the Senior Academic Promotions Committee on the competitive promotion round will be merit based (this is the primary criterion). Secondary consideration will be given to the constraints of the available number of promotions as decided upon by the Board approved quota. Those applicants recommended for promotion will be the top ranked applicants in the University.

4.8.1 The Senior Academic Promotions Committee or Personal Chairs Sub-Committee (where appropriate) will:

- Recommend that the applicant be promoted to the relevant grade or
- Decide that the applicant not be promoted to the relevant grade or
- Recommend that the applicant be awarded accelerated advancement on the Associate Professor scale.

Successful applicants will be recommended to the University Council for promotion.

4.8.2 The decisions of the Senior Academic Promotions Committee or the Personal Chairs Sub-Committee for unsuccessful applicants will be communicated in writing to the applicant and the Head of School, following completion of the relevant process, by the Secretary to the Committee.

4.8.3 The recommendations of the Senior Academic Promotions Committee and Personal Chairs Sub-Committee for successful applicants (subject to approval of Council and Board), will be communicated to the applicant and the Head of School, following the completion of the relevant process, by the Secretary to the Committee.

4.9 Feedback - The Chair, or their nominee, of the Senior Academic Promotions Committee, or the Personal Chairs Sub-Committee will nominate a committee member to provide feedback to unsuccessful applicants.

4.9.1 Feedback will be provided on a confidential basis to the applicants.

4.9.2 The nature of the feedback to be given to applicants must be discussed and agreed by the relevant Promotions Committee prior to completion of their work.

4.9.3 All applicants will be given the feedback on the same basis as follows:
• Single agreed Committee score under each of the four headings.
• Positioning of their application e.g.
  o Strong case for promotion but given competitive nature of the process and quota were not promoted
  o Applicants on a positive trajectory for promotion, but more work required in named areas
  o Significantly more work required in named areas if promotion to be sought in the future

4.10 Promotion will usually take effect on 1st October of the agreed year following confirmation of the Senior Academic Promotions Committee’s recommendation by the University Council and Board.
APPENDIX ONE

Promotion to Professor Of (Personal Chair)

Process

Stage 1
Call for applications
Applicants submit applications

Stage 2
Appointment of external assessors
Review of applications by Personal Chairs Sub Committee and shortlisting for interview
Applicants informed of outcome

Stage 3
Interview of shortlisted candidates by Personal Chairs Sub-Committee
Applicants informed of outcome

Stage 4
Notification to Council and Board of applicants recommended for promotion

Applications

Applicants for promotion to Professor Of must include the following signed forms with their signed completed application:

- Head of School/Discipline Signed Report
- Four Peer Reviewers forms as listed below. These are in addition to the External Assessors reports that will be sought by the Provost:
  - two Research review forms completed by individuals internal or external to the College, who are able to comment knowledgeably and in detail on the quality of the applicant’s research.
  - one Teaching review form completed by an individual internal or external to the College, who will assess the applicant’s teaching on the basis of a teaching portfolio provided to them by the applicant.
  - one additional review form, completed by an individual internal or external to the College, who is in a position to comment on the applicant’s contribution in one of the four areas (i.e. Research, Teaching, Service to College or Engagement with the Discipline/Society); the intention is that they will be allocated to the principal area of strength as perceived by the applicant.
Criteria

- Professors Of through exemplary performance of their duties, provide leadership at the Discipline, School, Faculty and College levels. They demonstrate excellence in research, teaching and administration. They should be of international standing in one or more areas. They should also be continuing to develop their own professional competencies.

- Applicants who wish to be considered for promotion to the grade of Professor Of should demonstrate excellent performance and leadership in teaching, research and service to College. They should also demonstrate leadership at the national or international level.

- In each year Senior Promotions Committee will publish a guidance document on the consideration/application of criteria in that year.

- A prima facie case must be established before someone is shortlisted for interview.

Scoring

Senior Academic Promotions Committee will agree the methodology of scoring at the commencement of promotions each year. All Committees will be briefed.

Weightings

The weightings to be used for promotion to Professor Of are as follows:

<table>
<thead>
<tr>
<th>Research &amp; Scholarship</th>
<th>Teaching</th>
<th>Service to College</th>
<th>Engagement with Discipline/Society</th>
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<tbody>
<tr>
<td>50%</td>
<td>25%</td>
<td>10%</td>
<td>15%</td>
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APPENDIX TWO
Promotion to Professor In

Process

Stage 1
Call for applications
Applicants submit applications

Stage 2
Faculty Review of applications
Applicants informed of outcome

Stage 3
Appointment of external assessors for applicants recommended for shortlisting. Interviews by Senior Academic Promotions Committee of applicants recommended for shortlisting
Applicants informed of outcome

Stage 4
Notification to Council and Board of applicants recommended for promotion

Applications
Applicants for promotion to Professor In must include the following signed forms with their completed application:

- Head of School Signed Report
- Four Peer Reviewers forms as listed below. These are in addition to the External Assessors reports that will be sought by the Provost:
  - two Research review forms completed by individuals internal or external to the College, who are able to comment knowledgeably and in detail on the quality of the applicant’s research
  - one Teaching review form completed by an individual internal or external to the College, who will assess the applicant’s teaching on the basis of a teaching portfolio provided to them by the applicant
  - one additional review form, completed by an individual internal or external to the College, who is in a position to comment on the applicant’s contribution in one of the four areas (i.e. Research, Teaching, Service to College or Engagement with the Discipline/Society); the intention is that they will be allocated to the principal area of strength as perceived by the applicant.
• Professors In are senior members of the College and are expected to take on positions of leadership within their Discipline in research, teaching and administration. They demonstrate excellence in Research, Teaching and Administration. They will normally undertake senior leadership roles in the Discipline, School, Faculty or College. They should also make significant contributions to the wider community. They should be of national or international standing in one or more areas. They should also be continuing to develop their own professional competencies.

• Applicants who wish to be considered for promotion to the grade of Professor In should demonstrate at least very good performance and leadership in at least two of the following areas; teaching, research, service to College or engagement with the discipline/society (one of which must be teaching or research).
  
  o Consideration will also be given to the case for promotion by an applicant who demonstrates excellent performance in either teaching or research and at least good performance in the two remaining areas.

• In each year Senior Promotions Committee will publish a guidance document on the consideration/application of criteria in that year.

Scoring
Senior Academic Promotions Committee will agree the methodology of scoring at the commencement of promotions each year. All Committees will be briefed.

Weightings
The weightings to be used for promotion to Professor In are as follows:

<table>
<thead>
<tr>
<th>Research &amp; Scholarship</th>
<th>Teaching</th>
<th>Service to College</th>
<th>Engagement with Discipline/Society</th>
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<tr>
<td>45%</td>
<td>25%</td>
<td>15%</td>
<td>15%</td>
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APPENDIX THREE

Promotion to Associate Professor and Accelerated Advancement

Process

Stage 1
Call for applications
Applicants submit applications

Stage 2
Faculty Review of applications
Applicants informed of outcome

Stage 3
Appointment of external assessors for applicants recommended for shortlisting
Interviews by Senior Academic Promotions Committee of applicants recommended for shortlisting for promotion to Associate Professor.
Applicants informed of outcome.

Stage 4
Notification to Council and Board of applicants recommended for promotion.

Applications
Applicants for promotion to Associate Professor and/or accelerated advancement must include the following signed forms with their completed application:

- Head of School Signed Report

- Three Peer Reviewers forms as listed below. These are in addition to the External Assessors reports that will be sought by the Provost:
  - one Research review forms completed by individuals internal or external to the College, who are able to comment knowledgeably and in detail on the quality of the applicant’s research
  - one Teaching review form completed by an individual internal or external to the College, who will assess the applicant’s teaching on the basis of a teaching portfolio provided to them by the applicant
  - one additional review form, completed by an individual internal or external to the College, who is in a position to comment on the applicant’s contribution in one of the four areas (i.e. Research, Teaching, Service to College or Engagement with the Discipline/Society); the intention is that they will be allocated to the principal area of strength as perceived by the applicant.
Criteria

- Associate Professor are experienced academics with an on-going programme of scholarly activities. In teaching, they should be operating independently and as senior members of teaching teams where appropriate. They should have developed a sustained and expanded research programme and may undertake leadership positions at Discipline, School, Faculty or College level. In addition, they may be making significant contributions to the discipline/society. They may be specialising in one or more of the four areas of academic activity. They should also be developing their own professional competencies.

- Assistant Professors who wish to be considered for promotion to the grade of Associate Professor should demonstrate very good performance in at least two of the following areas; teaching, research, service to College or engagement with the discipline/society (one of which must be teaching or research).

- Consideration will also be given to the case for promotion by an applicant who demonstrates excellent performance in either teaching or research and at least good performance in the two remaining areas.

- Associate Professors who wish to be considered for accelerated advancement within the Associate Professorship scale shall demonstrate performance in both teaching and research which is well above the average for the grade. The committee may take into consideration unusually active contributions to College, the discipline/society.

- In each year Senior Promotions Committee will publish a guidance document on the consideration/application of criteria in that year.

- If applying for Associate Professor you must have proceeded over the Merit Bar on the Assistant Professor scale.

Scoring

Senior Academic Promotions Committee will agree the methodology of scoring at the commencement of promotions each year. All Committees will be briefed.

Weightings

The weightings to be used for promotion to Associate Professor are as follows:

<table>
<thead>
<tr>
<th>Research &amp; Scholarship</th>
<th>Teaching</th>
<th>Service to College</th>
<th>Engagement with Discipline/Society</th>
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