Rewarding Academic Excellence: Promotions Procedure

1. Criteria

1.1 The University will award the title of Professor as a personal distinction in recognition of outstanding academic achievement. The title of Reader or Principal Research Fellow will be awarded as a personal recognition of an individual contribution to research. University Teaching Fellow is a personal recognition of an individual's contribution to teaching and learning. Principal Enterprise Fellow will be awarded as a personal recognition of an individual's contribution to enterprise and knowledge transfer.

1.2 The criteria for the award of each title are provided in annex 1.

2. Appointment Procedures - Advertised Positions

2.1 Appointments to advertised posts will be in accordance with the University’s recruitment and selection procedures. The person specification for such posts will reflect the selection criteria for the award of title and the range of duties the postholder is expected to undertake.

2.2 Candidates will be interviewed by a panel normally chaired by the Vice-Chancellor, DVC, or PVC and will include the Dean of the School. In considering applications for Professor, Reader, Principal Research Fellow or Principal Enterprise Fellow titles the Panel will also include the Chair of the University Research Committee (or nominee), at least one other professor of the University and at least one external assessor of professorial standing. In considering applications for University Teaching Fellow the Panel will also include the Chair of University Teaching and Learning Committee (or nominee) and at least one other external assessor of professorial standing.

2.3 A member of this Panel will provide feedback to all applicants.

2.4 As part of their application candidates will be asked to supply the names of additional referees to comment specifically on the relevant criteria. Applicants for Reader, Principal Research Fellow, Principal Enterprise Fellow and University Teaching Fellow will need to provide details of an additional four referees. Applicants for Professorial Title will need to provide details of an additional six referees.

2.5 Annual targets in relation to research and/or professorial outcomes should be established on appointment and form part of the probationary performance review. Subsequent targets will be negotiated annually in accordance with the University’s appraisal scheme.
3. Conferment Procedures – Internal Applications

3.1 Applications from existing staff will be considered by the University each year, or more frequently dependent on the number of applications received.

3.2 Candidates are invited to submit applications, making the case for conferment, to the Dean of School/Director of Service. Candidates are required to state the category upon which they are basing their application (annex 1). Applications should take the form of a covering letter (a maximum of 4 sides of A4) and curriculum vitae (using the standard sequence detailed in annex 2). Candidates shall propose the names of independent referees of appropriate standing who are able to comment on the merits of the application. Candidates should submit 3 referee names (including one international) for the award of professorial title and 2 referee names (including one international) for the award of other titles. Details of referees should be submitted on the appropriate form (annex 3).

3.3 All staff applying for conferment will need to demonstrate at the first stage of consideration that they meet the criteria for promotion and are able to sustain and develop their performance at that level. Staff are required to complete a five year plan to identify planned research/teaching and learning/enterprise outputs, future skill development and planned career trajectory. All staff should complete a five year plan pro-forma (annex 4). In considering applications Deans/Directors will indicate whether the submitted plan is considered realistic and achievable.

3.4 The Dean/Director will provide recommendations (annex 5). Deans/Directors shall supply the names of at least three independent assessors of appropriate standing who can be consulted about the proposed conferment of professorial title and at least two independent assessors for conferment of Reader, Principal Research Fellow, Principal Enterprise Fellow or University Teaching Fellow titles. In selecting assessors, the Dean must act independently of the individual applicant and advice should be taken from other professors within the subject, both within and outside the University, as to which assessors should be put forward. Assessors should be independent, selected based on their individual expertise and reputation in their field. The list of assessors for conferment of professorial title should include at least two, but no more than three, international assessors. The list of assessors for conferment of all other titles should include at least one from outside the UK, but no more than two. Deans/Directors should submit basic information about why the assessor was chosen, e.g. research rating, level of expertise in specialist area etc. In addition, the Conferment Committee themselves may select independent assessors. Assessors should be different from those chosen by the candidates. Where possible Deans should arrange for all assessors, including those submitted by candidates, to be contacted to ascertain that they are able and willing to provide an assessment within the proposed timeframe. Where it has not been possible to contact assessors prior to submission of the recommendation this needs to be noted on the form. Please note that where assessors are not contacted prior to submission this may cause delays in obtaining assessments.

3.5 Applications, including names of assessors and recommendations from the Dean/Director, should be sent to the Director of Human Resources.
3.6 The Conferment Committee (VC, DVC, PVC (R+E), PVC (T+L), PVC (Int) at least one member of the professoriate and a Dean) will consider the prima facie case based on the applications and the recommendations of the Dean/Director. If the case proceeds, assessor reports are sought and a second meeting of the Conferment Committee will be held to consider the cases.

3.7 A member of this Committee will provide feedback to all applicants.

3.8 Unsuccessful applicants would not normally reapply for consideration within a two year period unless feedback had been provided as to why this might be appropriate.

4. **Salary - Professors**

4.1 Professors will be paid on a salary of three bands. The bands allow the University the flexibility and competitiveness it requires to recruit and retain staff at this level. Subsequent salary progression is subject to an annual review of performance against performance objectives set on conferment and annually thereafter.

4.2 Band 1 is the current grade 10. This recognizes the standard of excellence required to secure conferment of the title.

4.3 Band 2 recognizes significantly higher levels of distinction than those in Band 1. They are recognized as being international leaders of exceptional calibre in research and scholarship in their field, signalled not only by their substantial record of achievement but also by significant marks of esteem from their peers in the University, across the UK sector and abroad.

4.4 In exceptional cases the VC has discretion to offer a spot salary outside the bands. This is reserved for a very small number of professors who perform at the very highest level that could be expected. They are world leaders, not only because their research is universally acknowledged as being at the forefront of their own subject areas, but because of its formative and lasting contribution to their whole academic discipline.

4.5 Appointment to band will be in accordance with the Remuneration Policy. The VC, or DVC, as Chair of the appointment committee, may determine a salary within band 2 if there is sufficient evidence to warrant the salary.

4.6 Progression in all bands is in accordance with the annual salary review applicable to all Senior Staff Contract holders.

4.7 During the annual salary review the Dean may recommend that a professor move between bands. They should complete the relevant form and provide the names of six external independent assessors who can comment on the person’s standing against the relevant criteria. The assessor reports will be considered by the DVC and a
recommendation made to the VC as part of the salary review.

5. Salary – Readers and Fellows

5.1 Readers and Fellows are paid at Grade 9. Salary on appointment and salary progression are in accordance with the remuneration policy and subject to continued satisfactory performance against the targets in the individual’s research plan.

6. Role and Career Expectations

6.1 All professors are expected to maintain their research and maintain their academic reputation within their areas of interest at national and international levels. They are also expected to provide leadership through University roles of Dean, Head of Department and/or leadership of research centres/pedagogic developments/strategic initiatives.

6.2 Readers and Fellows are expected to maintain their research and develop their expertise through publication/exhibition in appropriate media, editor of journals, invited papers and presentation at international conferences, organisation of such conferences, leadership of research teams (as appropriate). Readers and UTFs are expected to contribute to undergraduate and postgraduate teaching and supervision and the balance between activities will be agreed through workload planning. PRFs and PEFs are expected to operate as PIs and to participate in postgraduate supervision and in wider postgraduate and undergraduate teaching where applicable. Where Readers and Fellows have specific support staff roles they will agree with their line manager any necessary changes to the balance of duties required in order to fulfil the Reader/Fellow role expectations and this will be recorded in a revised job description.

7. Emeritus Professors

7.1 The Research Committee and the Deans may make proposals for the conferment of the title of Emeritus Professor to the VC. This title may be conferred on members of the professoriate who are retiring or who have recently reached retirement and who are deemed to have served the University with particular distinction. Evidence of this would be an outstanding contribution to the life of the University through excellence in research, excellence in innovation or through innovative teaching and pioneering course or curriculum development with significant external recognition. An undertaking for an on-going commitment to academic activity will be a pre-condition to consideration. The title of Emeritus Professor will not be conferred lightly or automatically and is considered a particular distinction.

8 Declaration of Interest

8.1 Members of the committees are required to declare an interest if they have any close personal or professional association with a candidate. The Chair will determine whether this is sufficient to disbar the member from consideration of the case.
9 Absence of Members

9.1 Where in exceptional and unavoidable cases a member of the committee is unable to attend, the meeting will continue in that member’s absence. Where possible the individual will be asked to submit comments via email or telephone.

10 Equal Opportunities

10.1 The University is eager to attract larger numbers of applicants from groups of people currently under represented at this level within the University. Applications are encouraged from all experienced academic and research staff matching the criteria. Women are under-represented in these positions at the University and we welcome applications from female staff.

11 Previous Award of Titles by other HEIs

11.1 The University will recognize those titles awarded by other higher education institutions where the criteria used are equivalent. This will not affect the substantive grade or duties of the postholder. Individuals will be expected to maintain their research standing and/or distinction in teaching as part of their normal duties in accordance with the standard academic expectations of that title.
Award of Professor

a) Exceptional recognized achievement in research

This criterion will be demonstrated through:

- Evidence of outstanding contribution and sustained output of high quality peer-reviewed research publications or other recognized forms of output demonstrating high impact
- Expectation that the individual will be eligible to be submitted to REF (or equivalent exercise)
- Evidence of an established international reputation in a research field e.g. publications, regular invitations to be a contributor in major conferences, editorship of proceedings, performance, exhibitions, conference organisation.
- Sustained record of attracting funds appropriate to discipline standards
- Academic distinction e.g. academic awards, editorship of, refereeing for journals, grant reviewer for awarding bodies, services for learned societies
- Successful supervision of candidates for research degrees to completion and external examining of research theses
- Evidence of outstanding teaching/supervision through the integration and dissemination of research outputs
- Doctorate
- Where applicable, commercial or industrial exploitation, if intrinsic to the research case, including national/international recognition of the quality of the work.
- A track record of strong academic leadership
- The ability to secure future research outcomes and enhance individual research standing and reputation

Evidence will be measured through a range of:

- Relevant qualifications
- Career and experience
- Refereed and other publications, or equivalent outputs, and their level of scholarship
- Submission to the most recent REF, or its equivalent and anticipated future outcomes
- Grants/awards received
- Invitations to deliver papers at external events/give exhibitions/ performances
- Successful supervision of candidates for research degrees and external examining of research theses
- Spin out companies established
- Exploitation of Intellectual Property Rights (e.g. patents and royalties)
- Number of successful KTPs
- Consultancy income and contracts
- Professional practice e.g. engagement with professional bodies
- Contribution to education, training or development in professional sector e.g. chairing bodies of national or international standing
- External appointments and external awards
- External Assessor Reports
- CPD
b) Distinction in teaching, in conjunction with research and scholarly work of international standing

This criterion will be demonstrated through:

- Evidence of established international reputation in the field of pedagogy evidenced by e.g. publications, teaching contributions for professional bodies, contribution to national/international curriculum debate in the subject area, membership of education or training committees of professional institutions or publication of widely used textbooks
- Evidence of sustained output of refereed, high-quality publications in journals, conference proceedings and/or books
- Expectation that individual will be eligible to be submitted to REF (or equivalent exercise)
- Significant competitive award/grant-capture for teaching and learning
- Successful supervision of students who gain prizes or other distinctions
- Evidence of contribution to University policy and practice in teaching and learning
- Exceptionally positive feedback on teaching quality from appropriate sources
- Evidence of national reputation in research, for example, commissioned publications, successful conference organisation, regular invitations to participate in major conferences
- Doctorate
- Recognition as having made a significant contribution to the relevant profession
- A track record of strong academic leadership
- The ability to develop future outcomes and enhance individual standing and reputation in pedagogy

Evidence will be measured through a range of:

- Relevant qualifications
- Professional Recognition
- Career and experience
- Engagement with pedagogic initiatives and projects
- Refereed and other publications, or their equivalent, and their level of scholarship
- Submission to the most recent REF, or its equivalent, and anticipated future outcomes
- Grants/awards received
- Student achievements of distinction
- Invitations to deliver papers at external events/give exhibitions/performances
- Successful supervision of candidates for research degrees and external examining of research theses
- Consultancy income and contracts
- Professional practice e.g. engagement with professional bodies
- Contribution to education, training or development in professional sector e.g. chairing bodies of national or international standing
- External appointments and external awards
- External Assessor Reports
- CPD
c) Distinction in achievement in enterprise, innovation and/or knowledge transfer

The criterion will be demonstrated through:

- A significant record in transfer of intellectual property into the wider economy
- A significant record of translation of research findings into clinical/industrial/commercial/practice solutions
- Sustained success in securing major commercialisation
- Significant and sustained industrial/commercial collaborations
- Evidence of significant influences on the formulation of policies or of practice in organisations outside the University
- A significant contribution to research or policy development in the field of knowledge transfer
- Demonstrable leadership in academic enterprise and new academic enterprise processes designed, initiated and managed
- High visibility involvement in regional, national and international enterprise bodies
- An established reputation for industry/practice based research
- Major innovation in linking research and knowledge transfer through consultancies, CPD, enterprise activities
- International contribution to developing the link between the discipline and its stakeholders through e.g. membership of international committees, publications etc…
- The ability to develop commercial/industrial/practice standing at international level in an academic environment
- The ability to contribute to the development of research and teaching including research supervision

Evidence will be measured through a range of:

- Qualifications
- Engagement in knowledge creation and transfer in industry, commerce, government or NGOs (as appropriate)
- External funding
- Consultancy income
- Number and quality of new business projects launched
- Success in raising capital in support of new business projects
- National and international reputation of new business projects
- Submission to the REF (or equivalent) or potential for future assessments
- Management of investment funds, grants and contracts
- Invitations to present external lectures and other contributions to conferences and other public events
- Enterprise outputs (e.g. patents, licences)
- Extent and nature of involvement in consultancy
Award of Reader

**Distinction and recognized achievement in research and/or innovative application**

This criterion will be demonstrated through:

- Evidence of a high reputation in research with distinction in prospect
- Evidence of sustained output of high quality research publications or other recognized forms of output
- Expectation that the individual was/will be eligible to be submitted to REF (or equivalent exercise)
- Evidence of an established national reputation in a research field e.g publications, conference organisation, invitations to participate in conferences
- Doctorate
- Record of attracting funds
- Academic distinction e.g academic awards, editorship of, refereeing for journals, grant reviewer for awarding bodies, services for learned societies
- Successful supervision to completion of candidates for research degrees and external examining of research theses
- Where applicable, commercial or industrial exploitation, if intrinsic to the research case, including national recognition of the quality of the work
- The ability to secure future research outcomes and enhance individual research standing and reputation

Evidence will be measured through a range of:

- Relevant qualifications
- Career and experience
- Refereed and other publications, or their equivalent and their level of scholarship
- Submission to the most recent REF (or equivalent) and future outcomes
- Grants/awards received
- Invitations to deliver papers at external events/give exhibitions
- Successful supervision and joint supervision, of candidates for research degrees and external examining of research theses
- External appointments and awards
- External Assessor Reports
- CPD
Award of University Teaching Fellow

**Distinction and recognized achievement in teaching, learning and/or assessment**

This criterion will be demonstrated through:

- Evidence of a high reputation in teaching and learning with distinction in prospect
- Outcomes that demonstrate innovation and scholarship in teaching, learning and/or assessment
- Sustained output of high-quality publications and presentations on teaching, learning and assessment, many of which will be peer-reviewed/refereed
- Doctorate
- Success in competitive capture of funding to support teaching, learning and assessment
- Recognition as a subject specialist in teaching, learning and assessment, demonstrated by e.g. membership of QAA, HEA or professional body panels, external examining, membership of validation panels
- Spreading good practice and leadership in teaching, learning and assessment
- Curriculum design and development which encourages innovative practice and independent and collaborative learning
- Good feedback from students and staff.
- The ability to develop future outcomes and enhance individual standing and reputation in pedagogy

Evidence will be measured through a range of:

- Relevant qualifications
- Career and experience
- Publication of textbooks and articles
- Invitations to deliver papers at external events/give exhibitions
- Grants/awards received
- Professional Recognition
- Submission to the most recent REF (or equivalent) and anticipated future outcomes
- Teaching and assessment methods and materials
- Engagement with pedagogic initiatives
- Student publications, awards or exhibitions
- External examiner’s reports
- Course evaluations and student feedback
- External Assessor Reports
- CPD
Award of Principal Research Fellow

*Distinction and recognized achievement in research*

This criterion will be demonstrated through:

- Evidence of a high reputation in research with distinction in prospect
- Evidence of sustained output of high quality research publications or other recognized forms of output
- Expectation that the individual was/will be eligible to be submitted to REF (or equivalent exercise)
- Evidence of an established national reputation in a research field e.g publications, conference organisation, invitations to participate in conferences
- Doctorate
- Record of attracting funds
- Academic distinction e.g. academic awards, editorship of, refereeing for journals, grant reviewer for awarding bodies, services for learned societies
- Successful supervision to completion of candidates for research degrees and external examining of research theses
- Where applicable, commercial or industrial exploitation, if intrinsic to the research case, including national recognition of the quality of the work
- The ability to secure future research outcomes and enhance individual research standing and reputation

Evidence will be measured through a range of:

- Relevant qualifications
- Career and experience
- Refereed and other publications, or their equivalent and their level of scholarship
- Submission to the most recent REF (or equivalent) and anticipated future outcomes
- Grants/awards received
- Invitations to deliver papers at external events/give exhibitions
- Successful supervision and joint supervision, of candidates for research degrees and external examining of research theses
- External appointments and awards
- External Assessor Reports
- CPD
Award of Principal Enterprise Fellow

Distinction and recognized achievement in enterprise and knowledge transfer

This criterion will be demonstrated through:

- Significant and sustained levels of external engagement including KTPs, CPD courses and conferences
- Significant design and delivery of applied projects including training and consultancy services
- Doctorate or equivalent specialist knowledge and recognition as industry or practice "expert"
- Evidence of initiating innovative partnerships with external organisations
- Make a significant contribution to professional education including chairing bodies of national or international standing and contributing to their development
- Significant reputation for work in the field evidenced by papers, report patents, software etc…
- Professional standing in the field as evidenced by the recognition of industry/practice at national and international level including awards
- Has an established national network of contacts and engagement with relevant business sectors
- The ability to develop future commercial/industrial/practice standing

Evidence will be measured through a range of:

- Relevant qualifications
- Career and experience
- Refereed and other publications, or their equivalent and their level of scholarship
- Submission to the most recent REF (or equivalent) and anticipated future outcomes
- Grants/awards received
- Invitations to deliver papers at external events/give exhibitions
- Successful supervision and joint supervision, of candidates for research degrees and external examining of research theses
- External appointments and awards
- External Assessor Reports
- CPD
Annex Two

Guidance to Applicants

1. A statement of not more than 4 sides of A4, stating clearly which criteria the application is based and evidence supporting achievement against the criteria.

2. The proposed title to be conferred in the event of the application being successful.

3. A curriculum vitae including usual biographical, education and career details in a standard sequence. Work which is cited for promotion must be in the public domain and only items which meet this criteria should be included in your CV. You may report items ‘accepted for publication’ or ‘press’ separately in your covering letter.

4. The following is format should be followed. A failure to provide the required information will mean the application is returned to the applicant by the Dean for amendment. This may delay consideration of the application until the next round of appointments.

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Research

For all research outcomes enough information should be given to enable the committee to determine precisely what is being listed, whether it is a product of sole or multiple authorship and where it may be found. Authors must be shown in the order in which they are credited in the work. Publications and research funding should be listed and classified in accordance with the guidance below. Information should be provided on the following (as relevant):

a) Authored books
b) Edited books
c) Chapters in books, including other short works such as contribution to collections of essays
d) Articles in Refereed journals
e) Papers published in refereed conference proceedings
f) Practice based research – in the case of non-text based material, date at which output was made publicly available. This includes the publication and/or performance of creative writing and musical compositions. In the case of public exhibitions, the gallery where the exhibition was held, the number of pieces exhibited and the opening and closing dates of the exhibition
g) Other published work excluding short book reviews and letters to newspapers
h) List successful applications for research support in chronological order with the most recent first
i) List (most recent first) contribution to research supervision stating whether the student is currently registered, has been awarded a degree
j) List any contribution to external examining of research degrees
k) Any other activity and distinctions, including consultancies, prizes, visiting appointments, prestigious invitations to lecture

Applicants should include relevant citation ratings.

Enterprise and Knowledge Transfer

Evidence of enterprise and knowledge transfer activity giving details of partnerships with bodies external to the University e.g. spin-off companies, development of placement activities and conference organisation. Where appropriate, include a list of public output such as patents, licences, policy documents etc along with dates.

1.1.1 Listing Publications

1. Each section should be arranged in chronological order using for following form of citation:

i) **Books** – Author(s), title, editions (if other than first), number of pages, place of publication, publisher, year of publication

ii) **Parts of Books** – Author(s), title of contribution, name(s) of editor(s), title of book, edition(s) (if other than first), page numbers beginning and ending contributions, place of publication, publisher, year of publication
iii) **Full papers in refereed journals** – Author(s), title of paper/contribution, title of journal in full, volume number, series number of letter, page numbers beginning and ending paper/contribution, year of publication

iv) **Other significant contributions to journals** - as in (iii)

v) **Other creative and critical production** – May include research activity in the form of creative artefacts, involvement in or arrangement of performances, festivals, exhibitions or community projects. Title of event/creative production, nature and extent of involvement, supporting critical evidences (reviews etc.)

vi) **Research reviews and reports** – Author(s), title and number of volume where published (where appropriate), number of pages, place of publication and publisher (where appropriate), year of publication

2. In the left hand margin the following system MUST be used to indicate your contribution to jointly authored publications.

- Principal author should be indicated with an asterisk (*)
- Equal status should be indicated with =
- Jointly authorised with a research student should be marked + (in addition to any mark of principal authorship)
- Secondary or minor role should be marked <

A failure to include relevant information as requested above (including the use of the left hand marking system) will mean the application is returned to the applicant by the Dean for amendment. This may delay consideration of the application until the next round of appointments.

3. Only work that has been published at the date the application has been submitted will be taken into consideration. Work at press cannot be considered since it is not in the public domain. Publications, awards and other achievements that post-date the submission date cannot subsequently be taken into account.
External Assessors (Candidate Recommendations)

Please provide the names and contact details of external assessors who are qualified and able to provide a peer assessment of your suitability. Provide 3 assessors for Professor title, one of which must be international and 2 assessors for Reader and Fellow one of which must be international. You are advised to seek advice from members of the Professoriate and your Dean regarding the suitability of your recommendations.

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<th>Name</th>
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## Five Year Plan

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**Vision Statement (2 lines max)**

**Measurable Objectives (5 lines max)**
Specific Milestones (4 lines max)

Main Deliverables (5 lines max, outputs, partnerships, income...)

Other Benefits to the School (4 lines max, leadership, capacity building...)

Signed

Date
Internal Promotions Appointment: Recommendation to Conferment Committee

Name of Applicant

School/Service:

Title Applied for:  *(Please tick relevant box)*

**Professor**

Please identify which route

- Route a) Research
- Route b) Teaching
- Route c) Enterprise

**Reader**

**Principal Research Fellow**

**University Teaching Fellow**

**Principal Enterprise Fellow**

I confirm that this application is  

**Supported**

** Unsupported**
I confirm that the submitted plan is realistic and achievable

I confirm that submitted plan requires adjustments to secure outcomes

Details of adjustments:

I confirm that the application complies with the requirements for CV as outlined in the guidance document

I confirm that the choice of assessors has been made independently from the applicant and I have consulted relevant members of the professoriate in submitting the list

I confirm that all assessors (including those recommended by the candidate) have been contacted and are able and willing to submit an assessment in the time frame

OR

It has not been possible to contact the following assessors prior to submitting the application:

Please provide details relevant to contact with external assessors:

Signed by Dean/Director

Date
1. **Dean’s Recommendation**

*(Please comment on the applicant’s suitability measured against the relevant criteria)*
2. **External Assessors**

Please provide the names and contact details of external assessors who are qualified and able to provide a peer assessment of the applicant’s suitability. Provide 3 assessors for Professor title, one of which must be international (maximum of three out of the six from overseas), and 2 assessors for Reader and Fellow one of which must be international (maximum of two out of the four from overseas).

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*Attachments: Applicant’s CV, plan and supporting statement (in accordance with required format)*

3. (Dean/PVC) 

Signed:  Date:
### POLICY SIGN-OFF AND OWNERSHIP DETAILS

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### REVISION HISTORY

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<td>Job titles updated (minor amends)</td>
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<td>Sept 2017</td>
<td>Formatting updates (minor amends not requiring committee approval)</td>
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<td>V1.0</td>
<td>Sept 2016</td>
<td>First draft of new policy</td>
<td>Director of HR</td>
</tr>
</tbody>
</table>