



UNIVERSITY OF
PORTSMOUTH

POLICY ON PROMOTION AND APPOINTMENT TO READER AND PROFESSOR

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<http://policies.docstore.port.ac.uk/policy-082.pdf>

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Policy on Promotion and Appointment to Reader and Professor

SUMMARY

What is this Policy about?

This Policy document sets out the University's approach to promoting and appointing staff to Reader and Professor, including Emeritus positions. The Policy sets out the criteria for promotion and appointment, the process to be followed, and the membership of decision-making committees.

Who is this Policy for?

This Policy is for all staff seeking promotion and for staff involved in processing and assessing applications for appointment or promotion to Reader or Professor.

How does the University check this Policy is followed?

The Human Resources Department maintain an overview of the promotion and appointment processes and produce summary reports of outcomes for the University Executive Board and the Governors' Human Resources Committee. Appointments and promotions to Reader or Professor are reported to Academic Council.

Who should I contact if I have any queries about this Policy?

All enquirers may contact the Executive Director of Human Resources, via readersprofessors19@port.ac.uk.

PROMOTION AND APPOINTMENT TO READER AND PROFESSOR¹

INTRODUCTION

1. This document is a statement of policy and process and also gives guidance both to staff in preparing applications and to those staff responsible for evaluating applications and providing feedback to applicants. Those considering making an application should consult with their Head of Department (or equivalent) and must consult with the Executive Dean of their Faculty. Non-faculty based staff holding academic contracts should consult with their line manager about the most appropriate faculty through which to submit their application.
2. The University awards the title and appoints an individual as Reader or Professor on the basis of exceptional performance and externally-recognised distinction. The process applies only to Reader and Professor, and not to other grading activity under Higher Education Role Analysis (HERA). The award is made by the Vice-Chancellor who will take advice from Faculty and University Promotions Committees, internal and external assessors, and referees.
3. Promotion to Reader or Professor is based on the applicant demonstrating evidence across a range of attributes of academic leadership and citizenship. In addition, a successful candidate will have demonstrated evidence of excellence in at least one of the following enterprise and innovation, research, teaching and education, or across a combination of areas.
4. Readers are appointed to Grade 9. Professors are normally appointed to Grade 10. A Reader or Professor who already holds a management position paid above grades 9 or 10, such as a Head of Department or equivalent, will be paid on the higher scale for as long as they hold the management position. If the individual ceases to hold the management position, the subsequent salary will be determined by individual discussion with the Vice-Chancellor who will be advised by the Executive Dean.
5. The Vice-Chancellor has authority to approve higher salaries in response to performance or market issues.
6. Both full-time and part-time staff are eligible to apply for promotion.
7. Both Readers and Professors are expected to make a full contribution to all aspects of University activity.
8. Everyone involved in the process set out below is required to maintain the confidentiality of the application and the applicant, except in so far as it is appropriate to seek others' views.

9. The normal expectation is that professorial applications will only come from people who are already Readers. However, if an applicant believes that this normal route is not appropriate in their case they should consult with their Head of Department (or equivalent) and/or Executive Dean.
10. All applicants are advised to read Process for application (**Appendix 1**) and Selection of Referees and External Assessors (**Appendix 2**).
11. Professors are banded according to the level at which they are working and their contribution to the University. Band 1 will normally be for both internal and external candidates promoted or appointed to Professors. Band 2 is the appropriate Band for Professors who are able to demonstrate academic standing and distinction that is significantly greater than that required for promotion or appointment to Band 1. Band 3 is for the small number of professors who are able to demonstrate and sustain an unusually highly-accomplished track record of academic achievement and leadership. These exceptional individuals are normally recognised as such by their peers world-wide. The step difference in contribution between Bands 2 and 3 is significantly greater than the step difference between Bands 1 and 2.

PROCESS AND TIMELINE FOR PROMOTION TO READER AND PROFESSOR

12. A summary of the process and timeline for the promotion round is given below but further information about the application requirements is detailed at **Appendix 1**. The specific timeline for the year will be advertised on the HR web pages at:
port.ac.uk/departments/services/humanresources/recruitmentandselection/promotiontoreaderandprofessor/
13. November – Call for applications
Call issued to all academic and research staff inviting application for promotion. Staff who are interested in applying are strongly advised to discuss their application with their Head of Department or equivalent and must consult with their Executive Dean of Faculty before submission.
14. End of Autumn Term (December) – Closing date for applications
Staff wishing to be considered for promotion should submit their application to Human Resources using the appropriate mailbox advertised on the **HR web pages**.
15. January – Faculty review and evaluative statements from the Heads of Departments
A list of all applications received at the closing date will be sent to the Executive Deans of Faculty so that they are aware of the applications received for their faculty. The Faculty reviews the information provided by the applicant to ensure that the application has been completed in accordance with the requirements as laid in **Appendix 1** and **Appendix 2**. If the application has not been completed

¹ This includes the appointment of Honorary, Visiting and Emeritus positions.

correctly, the Executive Dean will advise HR who will inform the applicant and the application will not go forward. If the application has been completed correctly, the Faculty will obtain an evaluative statement from the Head of Department or equivalent covering all relevant activities. Heads of Department or equivalent² should prepare their statements as specified in **Appendix 3**.

16. February – first Faculty Promotion Committee
Faculty Promotions Committees (**Appendix 4**) will meet and consider the applications and statements. If the committee agrees that the application provides evidence as a potential case for promotion, HR will seek references and external assessments. Requests to referees and external assessors will follow a standard format (**Appendix 5**).
17. April – second Faculty Promotion Committee
Faculty Promotion Committees will consider all evidence and decide which cases to forward for consideration at University level. At the chair's discretion, consideration of this evidence may be completed at either a virtual or a physical committee meeting.
18. May/June
Applicants for promotion to Reader
The University Promotions Committee (**Appendix 6**) meets to decide the outcome for applicants.

Candidates for promotion to Professor
Interview panels (**Appendix 7**) convened to consider the cases of individual candidates.

All applicants and candidates will be informed of the outcome of either the University Promotions Committee or the individual interview panels.
19. September
Successful candidates transfer to their new position.

PROCESS AND TIMELINES FOR PROMOTION TO BAND 2 AND BAND 3 PROFESSOR

The specific timeline for the year will be advertised on the HR web pages at:

port.ac.uk/departments/services/humanresources/recruitmentandselection/promotiontoreaderandprofessor/

20. March
Professors wishing to be considered for promotion to Bands 2 and 3 should discuss their case with their Executive Dean, and if it is deemed appropriate, should follow the process for application at Appendix 1 and submit their application to HR using the appropriate mailbox advertised on the **HR web pages**.
21. April
HR will seek views of external assessors suggested by the Vice-Chancellor/Deputy or Pro Vice-Chancellors/Executive Dean if deemed necessary.
22. May/June
The University Promotions Committee (Appendix 6) will meet to decide the outcome for applicants. All

applicants will be informed of the outcome of the University Promotions Committee.

23. September

Successful applicants transfer to their new Band.

FEEDBACK FOR APPLICANTS DURING THE PROCESS

For decisions made at Faculty level, the Executive Dean will provide feedback in a face to face meeting to all applicants at each stage of the process. If requested by the applicant, this feedback should be followed up in writing to allow the application to take their development forward more easily within the context of the PDR. If the early stages of the process identify a problem with the application, the Executive Dean's feedback will include advice on the milestones to be reached before resubmission. This might be a relatively rapid process (if something is published or happens in the near future), or it may take longer. HR will provide formal acknowledgement of the progress an applicant makes through the stages of the promotion round.

Applicants can appeal against decisions at Faculty level, but only on the basis that the process of considering their application was flawed. Such appeals should be submitted to the Director of Human Resources within ten working days of receipt of the written confirmation of the Faculty decision. For decisions made at University level, the Vice-Chancellor will provide feedback to all applicants. There is no process of appeal against decisions made at University level.

CRITERIA FOR PROMOTION TO READER

Promotion to Reader is achieved through demonstrating evidence across a range of attributes of academic leadership and citizenship set out below. In addition, a successful candidate will have demonstrated sustained evidence of excellence in at least one of the following: enterprise and innovation, research, teaching and education, or by a combination of areas. If an applicant is considering a mixed route, they are strongly advised to seek guidance from their Head/Executive Dean/mentor on the appropriateness of the mix. Applicants are not expected to provide evidence of equal weight of evidence across all criteria. Newly-promoted Readers are expected to be on a trajectory for promotion to Professor within four years.

A new Reader or Professor will not have an automatic right for reduced teaching or administrative loads. These should be available only (as with other staff) on showing that more time spent on enterprise, innovation, research or other approved activities will bring benefit to the University.

ACADEMIC LEADERSHIP AND CITIZENSHIP

Evidence of:

- Academic leadership within the subject area, with a proven ability to lead, develop and motivate colleagues to achieve Department/Subject Group/Faculty/University goals.
- Contribution to the leadership of the department and to departmental/subject group level strategic planning and/or policy development.
- Departmental/Subject Group/Faculty/University level

² The evaluative statement for an applicant who is a Head of Department will be produced by the Executive Dean of Faculty.

activities, on behalf of the academic community, such as the chairing or active membership of key committees, review groups or working parties.

- Ability to influence, stimulate and inspire staff and students.
- Support for staff, for example, through mentoring and coaching.
- Nationally or internationally recognised contribution to the discipline/subject area through, for example, external examining and/or committee service within learned bodies.
- Successful development and delivery of initiatives which improve department performance.
- A developing external profile through contribution to peer review bodies, committees, research councils.
- Roles in public and community engagement.

ENTERPRISE AND INNOVATION

The successful candidate will demonstrate achievement in enterprise and innovation with national and/or international recognition.

As appropriate to the discipline, evidence of:

- Initiation and development of collaborations with other organisations, such as other education providers, industry, business, the public sector, the third sector.
- A developing track record of generating income for the University from consultancy, business and public sector contracts or professional development activities.
- Contribution, through the provision of expert opinion and consultancy, to the enhancement of professional policy or practice which impacts on the local, regional or national economy.
- Exploitation of intellectual property rights, such as through patents and/or licences that result in a contribution to University income and/or a more general benefit to society.
- Contribution to a spin-out company for the University that is of benefit to the local, regional or national economy.
- Initiation of productive relationships with external bodies at a local, regional, national or international level.
- Contribution to the leadership and delivery of departmental/subject area enterprise and innovation activities and strategy.
- Contribution to developmental/training activities in connection with enterprise and innovation within the University.

RESEARCH

The successful candidate will demonstrate achievement in research with national and/or international recognition.

As appropriate to the discipline, evidence of:

- National and developing international recognition in the peer community, achieved through a programme of research and through the production of research outputs of international quality.

- Initiation and development of research collaborations with other organisations that could include other education providers, industry, business, professional bodies, the public sector and the third sector.
- A record of attracting competitively-reviewed research grants that generates income for the University.
- Provision of expert opinion and commentary to external audiences and bodies, which could include providing peer review of research outputs and/or funding applications.
- Successful and ongoing supervision of postgraduate research students to the completion of their research degree studies.
- Invitations to present at national and international meetings and conferences.
- Contribution to the leadership and delivery of departmental research strategy.
- Contribution to developmental/training activities in connection with research within the University.

TEACHING AND EDUCATION

The successful candidate will demonstrate achievement in teaching and education with national and/or international recognition.

As appropriate to the discipline, evidence of:

- Significant contribution to effective curriculum development and innovation in course delivery.
- Significant contribution to the development of education strategy at Department/Faculty level.
- Initiation and development of teaching and education collaborations with other organisations that could include other education providers, industry, business, professional bodies, the public sector and the third sector.
- Excellence in teaching supported by objective evidence.
- Success in generating income for education/pedagogic research.
- Effective dissemination of innovation in teaching and learning (for example, conferences, presentations, networks, collaborations, joint projects, workshops, publications, websites) through internal and external channels.
- Active participation in relevant professional bodies at national and/or international level.
- Appropriate HEA membership, which could include FHEA, SFHEA or National Teaching Fellowship.
- Invitation to present at local, national or international educational meetings and conferences.
- Contribution to developmental/training activities in connection with teaching and education within the University.

CRITERIA FOR PROMOTION TO PROFESSOR (BAND 1)

Promotion to a Personal Chair is achieved through demonstrating evidence across a range of attributes of academic leadership and citizenship set out below. In addition, a successful

candidate will have demonstrated evidence of excellence in at least one of the following; enterprise and innovation, research, teaching and education, or by a combination of areas. Applicants are not expected to provide evidence or equal weight of evidence across all criteria.

ACADEMIC LEADERSHIP AND CITIZENSHIP

Evidence of:

- Excellent academic leadership with a proven ability to lead, develop and motivate colleagues, to achieve Department/Subject Group/Faculty/University goals.
- Influence on policy and a significant contribution to strategic direction across the Department/Subject Group/Faculty/University.
- Sustained ability to successfully lead and develop significant teams of staff, where such opportunities arise.
- Sustained ability to influence, stimulate and inspire staff and students.
- Ongoing support for the career management of staff, for example, through mentoring and coaching.
- Leadership on specific issues in a way that distinguishes the candidate and which brings substantial benefit to the University's reputation.
- Leadership of successful development and delivery of initiatives that improve the Department/Subject Group/Faculty/University.
- An external profile through contribution to peer review bodies, committees, research councils, appointment panels outside of the University, including Government committees, professional organisations or learned societies, with evidence of ability to shape the discipline and/or subject area nationally through these structures.
- A leading role in public and community engagement.

ENTERPRISE AND INNOVATION

The successful candidate will demonstrate enterprise and innovation achievement of high distinction with national or international recognition.

As appropriate to the discipline, evidence of:

- Successful collaborations with other organisations such as other education providers, industry, business, the public sector, the third sector.
- Significant success in generating income for the University from consultancy, business and public sector contracts or professional development activities.
- Significant contribution to the enhancement of professional policy or practice which impacts on the local, regional or national economy.
- An influential role in external professional, policy or decision-making bodies at local, regional, national or international level.
- Proven success in leadership and management of projects, which could include management of financial, human and physical resources and production of timely and appropriate outputs.

- Exploitation of intellectual property rights, such as through patents and/or licences that result in a substantial contribution to University income and/or a more general benefit to the University and society.
- A leading role in a successful spin-out company for the University, of benefit to the local, regional or national economy.
- External recognition which could include awards for development or application of public or professional policy or practice at regional, national or international level.
- Initiation and sustained productive relationships with external bodies at a local, regional, national or international level.
- A leading role in developing enterprise and innovation activities of other staff which could include mentoring of academic and research staff.
- A leading role and contributing to developmental/training activities in connection with enterprise and innovation within the University.

RESEARCH

The successful candidate will demonstrate research achievement of high distinction with international recognition.

As appropriate to the discipline, evidence of:

- Research profile with significant and substantial outputs of international quality.
- Demonstration of external impact of research that has reach and significance.
- Successful research collaborations, both internally and with other organisations. These could include other education providers, research institutes, industry, business, professional bodies, the public sector, the third sector.
- Significant success in obtaining external, competitively-reviewed research grants, as Principal or named Co-Investigator, or Partner, that bring income to the University.
- Membership of external grant awarding bodies and/or experience in reviewing grant applications for national and international funding bodies.
- Proven success in leadership and management of projects which could include management of financial, human and physical resources and the production of timely and appropriate outputs.
- Sustained record of successful postgraduate research student supervision.
- External recognition such as editorial roles which could include membership of editorial boards of international journals, book series or conference proceedings, regular reviewing or refereeing for journals, invited presentations to international or major national research meetings and conferences, external examiner for research degree candidates.
- Organisation of international or major national research meetings and conferences.
- Development of research activities of other staff which could include mentoring of academic and research staff.
- A leading role and contributing to developmental/training activities in connection with research within the University.

TEACHING AND EDUCATION

The successful candidate will demonstrate achievement in teaching and education of high distinction with national and/or international recognition.

As appropriate to the discipline, evidence of:

- A leading role in effective curriculum development.
- Effective leadership in the development of education strategy at Department/Subject Group/Faculty/ University level.
- Successful teaching and education collaborations, both internally and with other organisations. These could include other education providers, research institutes, industry, business, professional bodies, the public sector, the third sector.
- A sustained track record of excellence in teaching supported by objective evidence.
- Significant success in generating income for educational/ pedagogic research.
- Effective dissemination of innovation in teaching and learning, which could include conferences, presentations, networks, collaborations, joint projects, workshops, publications, websites, for sector impact of reach and significance.
- Appropriate HEA membership, which could include SFHEA, PFHEA or National Teaching Fellowship.
- A significant external profile developed through active participation in policy development processes, which could include contribution, at a senior level, to relevant professional bodies at national and/or international level.
- Proven success in leadership and management of projects, which could include management of financial, human and physical resources and production of timely and appropriate outputs.
- Organisation of major national or international educational meetings and conferences.
- Development of teaching and education activities of other staff, which could include mentoring of academic and related staff.
- A leading role and contribution to the developmental/ training activities in connection with teaching and education within the University.

PROMOTION TO PROFESSORIAL BANDS 2 AND 3

Professors are banded according to the level at which they are working, their external profile and their contribution to the University. Band 1 will normally be for both internal and external candidates promoted or appointed to Professor. A Professor at Band 2 will have built on the attributes of the Band 1 criteria, and a Band 3 Professor will have met the criteria for both Band 1 and 2.

The Band 2 and 3 summaries are as follow:

BAND 2

Band 2 is the appropriate Band for Professors who are able to demonstrate academic standing and distinction that is significantly greater than that required for promotion or

appointment to Band 1. Individuals will have a sustained record of internationally-recognised achievement in their field, evidence of a major institutional leadership role within the University, evidence that their expertise is in significant demand from partners within or beyond academia and/or evidence that they fulfil major international leadership roles within the discipline. See **Appendix 8** for examples.

Whilst internal promoted professors are appointed to Band 1, it is possible that for exceptional external candidates, appointments can be made to Band 2 where the professor is already well-established at another institution, or working at a comparable level outside Higher Education.

BAND 3

Band 3 is for the small number of professors who are able to demonstrate and sustain an unusually highly-accomplished track record of academic achievement and leadership. These exceptional individuals are normally recognised as such by their peers world-wide. The step difference in contribution between Bands 2 and 3 is significantly greater than the step difference between Bands 1 and 2. Band 3 professors bring great prestige to the University through their sustained record of academic achievement at the highest international level. This may take the form of leadership of world-leading research, election to the most prestigious learned societies, a leading role in high-impact interdisciplinary collaborations with a broad range of academic, industrial or governmental partners, or a position of unequivocal international authority. See **Appendix 8** for examples.

It is expected that only a small number of professors will meet the criteria needed to progress from Band 2 to Band 3. External appointments directly to Band 3 can be made where the professor is already well-established at another institution, or working at a comparable level outside Higher Education.

APPOINTMENT TO THE POSITION OF READER OR PROFESSOR

Applications will be invited via the HR online recruitment system in the normal way. Advertisements will make clear that the University reserves the right to seek view of independent external assessors, in addition to referees. Candidates will be assessed against the same criteria as for internal promotion.

Interview panels for professors will be chaired by the Vice-Chancellor, must include appropriate representation from outside the home faculty and may include one member from outside of the University.

APPOINTMENT TO HONORARY/VISITING READER AND PROFESSOR

Please see the Visiting and Honorary Appointments: Policy and Procedure.

APPOINTMENT TO EMERITUS PROFESSORSHIPS

The Vice-Chancellor may, at their discretion, confer the title of Emeritus Professor on any Professor of the University on or after their full retirement. A recommendation, which should be submitted six months either side of the individual's retirement date, should be supported by the Executive Dean of the Faculty in which the Professor worked and the appropriate head of Academic Department or equivalent. The Vice-Chancellor may also consider recommendations supported by a Pro Vice-Chancellor or the Deputy Vice-Chancellor. It is expected that candidates for Emeritus status will have made a substantial contribution to the reputation of the University and will have been in continuous employment by the University for at least five years before retirement. Any conferment of the title will be notified to Academic Council.

An Emeritus Professor is not required to exercise any teaching, research or supervisory role or any administrative, executive or representative function. The conferment of the title Emeritus Professor does not imply any continuing status as an employee or officer of the University, but there is an expectation that the Emeritus Professor will wish to continue a voluntary and unpaid association with the teaching and/or research activities of the University and that may include the title 'Emeritus Professor of the University of Portsmouth' in publications.

The University may include the names of those holding the title 'Emeritus Professor' in publications and publicity material.

Emeritus Professors are welcome to attend public University events including Congregations where they may choose to process with staff and other guests of the University (space constraints permitting).

3 Visiting Reader appointments are made for a period of three years, but may be renewed.

APPENDIX 1

PROCESS FOR APPLICATION TO READER, PROFESSOR, BAND 2 OR 3 PROFESSOR

1. Applicants are strongly advised to discuss their application with their Head of Department or equivalent and Executive Dean of Faculty before they submit. In particular, applicants are encouraged to discuss the evidence they wish to put forward for their application and the future plans that they will articulate in their applications.
2. A good application will demonstrate what the applicant has already achieved, as well as a reflection of how they will use the promoted position to develop their own activities and, crucially, to contribute to the development and leadership of the Department, Subject Area, Faculty and University.
3. Applicants may also wish to discuss their application and evidence of how they meet the University criteria with their mentor and/or senior collaborators.
4. An application for promotion consists of three documents:
 - Completed **application form**;
 - *Curriculum vitae* which has been produced in accordance with the **CV guidance**;
 - Names and contact details of external referees and assessors, in accordance with the **Selection guidance** provided in a separate document.
5. The application documents should be emailed to the appropriate mailbox advertised on the HR web pages by the relevant annual deadline.

GUIDELINES ON THE PRESENTATION OF CURRICULUM VITAE FOR APPLICANTS FOR PROMOTION (CV GUIDANCE)

Please ensure that you provide relevant details in proper chronological order, with more recent first. Use bullet points with no more than 2-3 lines of description per bullet point. Information provided in cv should be confined to the specified headings and no additional documents should be appended. Any additions will be disregarded.

1. Personal Record

- Full name and title
- Qualifications – academic (including degrees and class, diplomas etc., institution and date) and professional (names of institutions, including standard abbreviation of qualifications, and date)
- Current appointment, including dates
- Previous employment and appointments held, including dates
- Visiting appointments/secondments, including dates
- Memberships of academic and professional bodies

2. Academic Leadership and Citizenship

In all the following cases provide evidence of what innovations you have made in these roles, and how your work has led to improvements in the particular activity for which you have been responsible.

- General responsibility for an area of discipline, department, subject area or faculty academic activity.
- Service as an official at discipline, school, department, faculty or University level, and service on discipline, department, faculty or University committees.
- Service on external bodies as a University representative, and on local, national or international committees of learned and professional societies in a personal capacity.
- Service as an external examiner or as a referee (e.g., for a book published or for a research proposal).
- The holding of an office in, or the discharge of major responsibilities for, a learned society or professional body.
- Examples of public and community engagement.
- Examples of mentoring and coaching activity, including evidence of influencing and inspiring staff and students.

3. Enterprise and Innovation

Where appropriate, please provide evidence of how your enterprise and innovation work has been informed by your research and/or how this work informs your research. Please also provide evidence of how your enterprise and innovation work has changed practice in bodies outside the academic community. Where applicable, ensure that you include appropriate metrics.

- Invitations received to present external lectures and other contributions to professional conferences and other public events, where the primary audience is not academic, but policy-makers.
- Full details of external income generation.
- Involvement in executive education or continuing professional development.
- Involvement in external consultancy.
- Involvement in public policy advice/service in a professional capacity (e.g., service by invitation as an expert on advisory international, national, regional or local bodies).
- Examples of the creation and development of intellectual property and examples of outputs (e.g., patents and licences).
- Examples of leadership in academic enterprise (new academic enterprise processes designed, initiated and managed).
- Examples of raising capital in support of new business projects.
- Examples of involvement in spin-out companies and/or licences.

4. Research

Where applicable, ensure that you include appropriate metrics.

4.1 Publications

Please ensure that all the outputs recorded are in the research publication repository 'Parade'. It is understood by the promotion committees that there are major variations between publication practice and volume across subjects, so there are no generic rules about the required numbers of publications. Potential applicants might want to seek advice from colleagues inside and outside the University.

In the case of multi-author publications, applicants should quote all authors and give an assessment of the extent of the applicant's own individual contribution. Only published volumes should be included. Forthcoming articles should be listed separately at the end.

- Authored books
- Edited books
- Academic journal papers
- Book chapters
- Professional journal papers
- Popular journal papers
- Official reports
- Review articles
- Working papers
- Publications in conference proceedings
- Other publications: Research
- Other publications: Research equivalent
- Other media: Research
- Other media: Research equivalent
- Editorships: Journal
- Editorships: Newsletter

4.2 Research grants awarded (external and internal)

Provide details of grants awarded, including total amount awarded, amount attributable to University of Portsmouth, funding bodies, start and finish dates of award, your role in the award (e.g., sole PI, joint PI, research fellow/associate etc.) and key outputs.

4.3 Supervision of research students

Provide full details of current and past students (PhD, MPhil and MRes) with numbers and dates. The applicant's role as first supervisor and co-supervisor needs to be clear in each case.

4.4 Professional advisory or consultancy work

4.5 Lectures and conference activity

Academic invitations received for the presentation of external lectures, and departmental seminars. Presentation of conference papers in the UK and internationally

4.6 Major academic visits and collaborations, in the UK and abroad

5. Teaching and Education

Please ensure that your cv details the following in relation to both undergraduate and postgraduate teaching and student support activities. Appropriate metrics should be included.

- Summary of units taught, period of time taught, numbers of students taught, indicate those for which you were unit leader; those where you were responsible for authoring the material taught etc. You should include fieldwork, laboratory work etc.
- Programmes taught on, including details of those you were responsible for directing, managing etc.
- Other teaching: internal and external to the University of Portsmouth.
- Details of teaching assessment scores for each unit taught. Where evidence is being provided from units taught other than at the University of Portsmouth, you should briefly state the nature of scales used.
- Publications, conferences, invited activities etc. that contribute to scholarship within the area of teaching and learning. These may not be REF-returnable, but nevertheless demonstrate excellence in learning and teaching.
- Details of any teaching-related activities and other non-publication-related evidence of teaching and learning scholarship.
- Continuing education or extra-mural teaching.
- Innovative work and contributes to curriculum reform and development.
- Full details of external and internal income for teaching-related activity.
- Examination responsibilities.
- Appointments held related to teaching and learning, for example, including programme director, e-learning lead, examinations officer, year tutor etc.
- Examples of participation in policy development and process.
- Voluntary activities with students, including mentoring in schemes, supporting student societies, work with schools and outreach work etc.

APPENDIX 2

SELECTION OF REFEREES AND EXTERNAL ASSESSORS

Both referees and external assessors must be of sufficient standing to allow them to assess the appropriateness of the promotion under consideration. Although not an absolute, there is an expectation that both referees and assessors will be professors themselves. Referees and external assessors will be asked to benchmark the application against the University's criteria.

At least one referee or external assessor should be from a UK Higher Education Institution and at least one from overseas.

REFEREES

Applicants are asked to provide names of referees:

Readers	2
Professors	3

A referee must be external to the University of Portsmouth and they will be people who know your work. You should state how you have worked or collaborated with them.

EXTERNAL ASSESSORS

You will be asked to suggest the names of up to six possible independent assessors who the University may contact to comment on your work. These individuals will have the appropriate expertise to comment on your work. Except in exceptional circumstances, they should not have worked or collaborated with you; under no circumstances should they be current collaborators.

The Faculty Promotion Committee reserves the right to identify additional independent assessors to comment on your application and may choose not to contact any of the assessors you list.

APPENDIX 3

PROMOTION AND APPOINTMENT TO READER AND PROFESSOR

Form for the Preparation of the Evaluative Statement required by Heads of Department or equivalent

EVALUATIVE STATEMENT FOR APPLICANT	
Applicant's name	(Pre-populated by HR before sending)
Applicant's job title	(Pre-populated by HR before sending)
Position applied for	Please select ...(Pre-populated by HR before sending)
What is your recommendation in respect of this promotion application?	Please select ...

Please provide a statement that supports your recommendation specifically addressing the merits of the case for promotion when assessed against the relevant criteria as outlined in the applicant's personal statement. You are advised to discuss the application with the applicant's PDR reviewer if appropriate.

Academic Leadership and Citizenship

(Insert comments here- this space will be expandable)

Enterprise and Innovation

(Insert comments here- this space will be expandable)

Research

(Insert comments here- this space will be expandable)

Teaching and Education

(Insert comments here- this space will be expandable)

Name	
Job Title	
Date	

APPENDIX 4

FACULTY PROMOTION COMMITTEE (FPC)

Membership

- Chair – DVC / PVC *
- Executive Dean
- Two HODs (or equivalent)
- Two Professors from home Faculty
- Two Professors from other faculties (must be member of the promotion committee in their home Faculty)

In attendance as observers to the process

- HR Business Partner
- TU representative
- Secretariat provided by home Faculty

*The chair will alternate each year between the DVC and PVC (Research & Innovation).

HOD (or equivalent) and Professors will be members of the FPC for two years. HODs will be nominated by the Faculty Executive and Professors will be identified from within the Faculty, ensuring that the committee has an appropriate gender balance and that the subject expertise of the HODs is balanced.

HR Business Partner and the TU representative are in attendance at the meeting. The TU representative will act as an observer to the process and will not be involved in the decision-making of the Committee. The HR Business Partner will assist the Chair in ensuring that comments and consideration are made against the stated promotion criteria.

DUTIES AND RESPONSIBILITIES OF COMMITTEE MEMBERS

1. It is important that all members attend all meetings. If an individual is unable to attend any meeting, they should inform the Chair in advance of the meeting and provide a written evaluation of their view of the strengths/weaknesses of each of the applicants.
2. Members of the FPC should read the applications, evaluative statements and all related documentation in advance of the committee meetings to enable a full and thorough discussion.
3. Where the Chair of the Committee decides that the consideration of the evidence may be completed at a virtual committee meeting, members should ensure that they have read all the documentation to enable an informed decision on applicants to be made.
4. The FPC will make judgements and decisions based on the achievements to date and not future intentions. This is particularly the case where applicants have made reference to potential papers and grants that have been cited under achievements.
5. If an application for promotion is made by a member of the FPC, they should declare an interest and not attend meetings where their application will be considered.
6. All Committee members should have undertaken the University's **Unconscious Bias** online training before they commence their term of office.

APPENDIX 5a – REFEREE TEMPLATE

Date

PRIVATE AND CONFIDENTIAL

Dear

XXXX – Promotion to Reader/Professor – Request for Reference

XXXX is being considered for promotion to Reader/Professor through the xx route and, following an internal review, we have decided to seek external opinions on his/her suitability. Your background, expertise and standing in the field lead us to believe that you are someone who could provide a reference of XXXX's candidature. I attach XXX's application form, curriculum vitae, the University's Promotion Guidelines and a response report form.

The University's principal concerns in considering cases for promotion are to ensure that the applicant meets the University's promotion criteria, and is a credible candidate for promotion.

It would be very helpful to have your views as referee of XXX's suitability for promotion and to have your response by xx/xx/xxxx if that is at all possible. It would be helpful if you could complete the attached report form. Please let me know if I can provide any further information.

I would be very happy to accept your views via email or hard copy at the address given above.

I look forward to hearing from you.

Yours sincerely

Peter Brook
Executive Director of HR

Encs

APPENDIX 5b – EXTERNAL ASSESSOR TEMPLATE

Date

PRIVATE AND CONFIDENTIAL

Dear

XXXXX – Promotion to Reader/Professor – External Assessment

XXXX is being considered for promotion to Reader/Professor through the x route and, following an internal review, we have decided to seek external opinions on his/her suitability. Your background, expertise and standing in the field lead us to believe that you are someone who could provide an external assessment of XXXX's candidature and I understand that you have not previously worked or collaborated with xxxx. I attach XXX's application form, curriculum vitae, the University's Promotion Guidelines and a response report form.

The University's principal concerns in considering cases for promotion are to ensure that the applicant may meet the University's promotion criteria, and would be a credible candidate for promotion.

It would be very helpful to have your views as an external assessor of XXX's suitability for promotion and to have your response by xx/xx/xxxx if that is at all possible. It would be very helpful if you could complete the attached report form. Please let me know if I can provide any further information.

I would be very happy to accept your views via email or hard copy at the address given above.

I look forward to hearing from you.

Yours sincerely

Peter Brook
Executive Director of Human
Resources Encs.

APPENDIX 5c – PROMOTION TO READER AND PROFESSOR – REFEREE REPORT

Applicant Name	<i>(This will be pre-populated by HR before sending to referee)</i>
Applying for promotion	Reader/Professor <i>(pre-populated by HR)</i>
Route of application	Enterprise & Innovation/Research/Teaching & Education/mixed route <i>(re-populated by HR)</i>

This report is intended to provide objective and informed insight into the calibre and impact of the applicant's work, their contribution to their discipline and their professional reputation in their field of expertise. Please provide comments on the applicant's suitability for promotion, using the University's promotion criteria. Please use only those boxes which relate to the route through which the applicant is applying. However, referees are welcome to make any other relevant observations.

Summary of interaction with the applicant (including nature and duration of relationship, co-authored publications, and collaborative activities)

Academic Leadership and Citizenship

Enterprise and Innovation

[Type here]

PROMOTION AND APPOINTMENT TO READER AND PROFESSOR November 2018

Teaching and Education

Do you consider that the applicant is promotable to the level that has been applied for? Please provide a brief statement to substantiate your appraisal.

Name of referee	
Position and title	
Institution/Organisation	
Telephone contact number	
Email contact address	
Signature (if no electronic signature available, please type name)	
Date	

Please return this form via email to readersprofessors19@port.ac.uk by the deadline given in the letter of invitation.

APPENDIX 5d – PROMOTION TO READER AND PROFESSOR – EXTERNAL ASSESSOR REPORT

Applicant Name	<i>(This will be pre-populated by HR before sending to referee)</i>
Applying for promotion	Reader/Professor <i>(pre-populated by HR)</i>
Route of application	Enterprise & Innovation/Research/Teaching & Education/mixed route <i>(re-populated by HR)</i>

This report is intended to provide objective and informed insight into the calibre and impact of the applicant's work, their contribution to their discipline and their professional reputation in their field of expertise. Please provide comments on the applicant's suitability for promotion, using the University's promotion criteria. Please use only those boxes which relate to the route through which the applicant is applying. However, referees are welcome to make any other relevant observations.

Summary of interaction with the applicant (including nature and duration of relationship, co-authored publications, and collaborative activities)

Academic Leadership and Citizenship

Enterprise and Innovation

[Type here]

PROMOTION AND APPOINTMENT TO READER AND PROFESSOR November 2018

Teaching and Education

Do you consider that the applicant is promotable to the level that has been applied for? Please provide a brief statement to substantiate your appraisal.

Name of external assessor	
Position and title	
Institution/Organisation	
Telephone contact number	
Email contact address	
Signature (if no electronic signature available, please type name)	
Date	

Please return this form via email to readersprofessors19@port.ac.uk by the deadline given in the letter of invitation.

APPENDIX 6

UNIVERSITY PROMOTION COMMITTEE

Membership

- Vice-Chancellor (Chair)
- Deputy Vice-Chancellor
- Pro Vice-Chancellor (Research and Innovation)
- Executive Director of Human Resources
- Executive Deans of Faculty
- One Professor from each Faculty Committee

In attendance as observer to the process

- TU representative
- Secretariat provided by the Office of the Vice-Chancellor

APPENDIX 7

PROFESSORIAL INTERVIEW PANELS

Membership

- Vice-Chancellor (Chair)
- Deputy Vice-Chancellor and Pro Vice-Chancellor (Research and Innovation) as appropriate to route and depending on availability
- Executive Dean of home Faculty
- Head of home Department (or equivalent)
- One Professor from home Faculty
- One Professor from another Faculty
- External Professor (if deemed necessary)
- HR Business Partner

In attendance

- Secretariat provided by HR or the Office of the Vice-Chancellor

APPENDIX 8

Professors are banded according to the level at which they are working and their contribution to the University. Band 1 will normally be for internal and external candidates promoted or appointed to Professor. It is assumed that a Professor at Band 2 has built on the attributes of the initial promotion criteria, and that a Band 3 Professor has met the criteria for both Band 1 and 2.

BAND 2

Promotion to Band 2 requires the candidate to demonstrate evidence across a range of attributes of academic leadership and citizenship set out below. In addition, a successful candidate will have demonstrated evidence of excellence in at least one of the following; enterprise and innovation, research, teaching and education, or across a combination of areas.

Academic Leadership and Citizenship

Evidence of:

- Outstanding success and an effective and sustained leading contribution to the achievement of University's strategic goals.
- Major and ongoing contribution to shaping the future of the relevant faculty/ cross- disciplinary area/University.
- External recognition of achievement through: appointment as external assessor for professorial appointment or for quality reviews in other HEIs; leadership of major cross-University initiatives; editorship or associate editorship of high-impact journal(s) or book series; chair of national working groups on aspects of learning and teaching; membership of education or training committees of professional institutions and/or public bodies; significant media exposure; prestigious prizes or awards as appropriate to the discipline; visiting national/international appointments; membership of international committees, etc. concerned with Higher Education; collaboration with external bodies.

Enterprise and Innovation

As appropriate to the discipline, evidence of:

- A record of significant engagement with successful collaborative initiatives, for example, through a leading contribution to the development of professional practice, or through a leading role in the development and/or maintenance of industry, public sector, third sector, or international partnerships.
- An external income portfolio, as Project lead, that includes a significant rigorously reviewed commercial or charity income.
- Leadership of public and/or cultural engagement that has demonstrable reach and significant impact.
- Leading role in successful spin-out and/or licensing process.
- Research leading to societal benefit as demonstrated by, for example, job creation and/or significant licensing or other income and changes to Government legislation and guidelines.
- Lead role in at least one Impact Case Study likely to be graded 3* by the REF process.

Research

As appropriate to the discipline, evidence of:

- REF-enterable with at least four 3* outputs: a monograph may substitute for two outputs.
- An external funding portfolio, as Principal Investigator, that includes a significant RCUK or EU component and/or other rigorously reviewed commercial or charity income, sufficient to support a research team.
- Sustained record of successful postgraduate research student supervision.

Teaching and Education

As appropriate to the discipline, evidence of:

- A track record of a leading role in major Government education advisory bodies or agencies with remits covering higher education or the education sector as a whole.
- A leading role in the education or training committees of professional institutions with demonstrable reach and significant impact.
- Leadership of significant learning and teaching or related innovation at faculty/University level addressing key strategic priorities, such as retention, graduate attributes, improving assessment that has demonstrable and significant reach and impact.
- Appropriate HEA membership, which could include PFHEA or National Teaching Fellowship.

BAND 3

Promotion to Band 3 requires the candidate to demonstrate evidence across a range of attributes of academic leadership and citizenship set out below. In addition, a successful candidate will have demonstrated evidence of world-leading excellence in at least one of enterprise and innovation, research, teaching and education, or across a combination of areas.

Academic Leadership and Citizenship

Evidence of:

- Outstanding success and an effective contribution to the achievement of the University's strategic goals beyond the area of research and teaching, for example through negotiating complex partnerships, representing the University externally on matters of key importance, or through fundraising or other income generation.
- Active membership or leadership of national or international research sponsorship or evaluation panels, or other relevant committees, societies and funding bodies, including Research Councils' boards or sub-committees; leadership of the development of policy at national and/or international level.
- Accountability for the implementation of long-term strategic developments at department/subject area/faculty/ University levels with significant internal and/or external impact. This may include leadership responsibilities (current or previous) that have resulted in significant improvement in the performance of the department/subject area/faculty/ University.

Enterprise and Innovation

As appropriate to the discipline, evidence of:

- An external funding portfolio, as Principal Investigator, that includes a significant income from consultancy, business and public sector contracts or professional development activities.
- Key adviser to national or international governmental and third sector bodies and evidence of a transformational influence through the development of new policies and/or society impact.
- Leadership of successful spin-out and/or licensing process.
- Involvement in the decision-making of industry, governmental or third sector funding streams.
- A leading role in at least one impact case study likely to be graded 4* by the REF process.

Research

As appropriate to the discipline, evidence of:

- REF-enterable with a portfolio of 3* and 4* outputs: monograph may substitute for two outputs.
- A current grant portfolio, as Principal Investigator, with a significant RCUK or EU component and/or other rigorously reviewed commercial or charity income, sufficient to support a research team that is able to attract both independent fellows and world-leading visiting academics.
- Substantial track record of managing major research programmes or projects of international importance.
- REF panellist and/or equivalent major public research service.
- A leading role in the growth of postgraduate research student numbers, for example, through externally-funded places bringing benefits to multiple academics within subject specialism.
- A leading role in significant, large-scale, cross-University training programmes impacting on user engagement or employability of postgraduate research students.

Teaching and Education

As appropriate to the discipline, evidence of:

- Recognition of excellence from sustained and successful leadership in national/international educational agencies with responsibilities for higher education policy and/or curriculum.
- Leadership of significant learning and teaching or related innovation that has impacted on higher education practice.



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PORTSMOUTH

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