

# PROMOTION TO ASSOCIATE PROFESSOR AND PROFESSOR

Summary.....	3
Introduction .....	4
Process and Timeline .....	5
Feedback for Applicants During the Process.....	6
Appeals.....	6
Criteria for Promotion to Associate Professor.....	7
Criteria for Promotion to Professor (Band 1).....	7
Promotion to Professorial Bands 2 and 3.....	8
Band 2.....	8
Band 3.....	9
Equality and Diversity.....	9
Presentation of Curriculum Vitae .....	10
Appendix 1.....	14
Appendix 2.....	15
Appendix 3.....	17
Appendix 4.....	18
Appendix 5.....	20
Appendix 6.....	21

<b>Document title</b>	
Policy on Promotion to Associate Professor and Professor	
<b>Document author and department</b>	
Professor Sherria Hoskins, Provost	
<b>Approving body</b>	
University Executive Board	
<b>Date of approval</b>	
October 2024	
<b>Review date</b>	
April 2026	
<b>Edition no.</b>	
16	
<b>ID Code</b>	
082	
<b>Date of effect</b>	
October 2024	
<b>EITHER</b> For public access online (internet)?	<b>NO</b>
For public access on request copy to be mailed	<b>YES</b>
<b>OR</b> For staff access only (intranet)?	
Password protected	<b>NO</b>
External queries relating to the document to be referred in the first instance to the Corporate Governance team: email <a href="mailto:corporate-governance@port.ac.uk">corporate-governance@port.ac.uk</a> If you need this document in an alternative format, please email <a href="mailto:corporate.communications@port.ac.uk">corporate.communications@port.ac.uk</a>	

The latest version of this document is always to be found at:

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

# Summary

## What is this document about?

This Policy document sets out the University's approach to promoting colleagues to Associate Professor and Professor. The Policy sets out the criteria for promotion, the process to be followed, and the membership of decision-making committees.

## Who is this for?

This policy is for all colleagues seeking promotion and for colleagues involved in processing and assessing applications for promotion to Associate Professor or Professor.

## How does the University check this is followed?

The Human Resources Department maintains an overview of the promotion processes and produces summary reports of outcomes for the University Executive Board and the People Culture and Engagement Committee. Promotions to Associate Professor or Professor are reported to Academic Council.

## Who can you contact if you have any queries about this document?

All enquirers may contact the Chief People Officer, via [promotions@port.ac.uk](mailto:promotions@port.ac.uk).

# PROMOTION TO ASSOCIATE PROFESSOR AND PROFESSOR

## INTRODUCTION

1. This document is a statement of policy and process and also gives guidance both to colleagues in preparing applications and to those colleagues responsible for evaluating applications and providing feedback to applicants. Those considering making an application should consult with their Head of School/Department and *must* consult with the Executive Dean of their Faculty/Faculties. Non-faculty based colleagues 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 Associate Professor or Professor on the basis of exceptional performance and externally-recognised distinction. The process applies only to Associate Professor 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 Associate Professor or Professor is based on the applicant demonstrating evidence of impact across a range of attributes of academic leadership and citizenship. In addition, a successful candidate will have demonstrated evidence of excellence and impact in at least one of the following: enterprise and innovation, research, teaching and education, or across a combination of areas.
4. For an application to be successful, promotion to Associate Professor and Professor must be supported by the Faculty committee. The Faculty must confirm that the application meets the strategic direction of the Faculty and University and cases will only be considered if the Faculty confirms that they are in a required area for delivery of the Faculties strategic action plan, with future plans aligned to the strategy and is sustainable. This assurance will be given as part of the Heads statement.
5. Associate Professors are appointed to Grade 9. Professors are normally appointed to Grade 10. An Associate Professor or Professor who already holds a management position paid above grades 9 or 10, such as a Head of School/Department will be paid on the higher grade 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 the Vice Chancellor or Provost, who will be advised by the Executive Dean.
6. The Vice-Chancellor or Provost has authority to approve higher salaries in response to performance or market issues.
7. Both full-time and part-time colleagues are eligible to apply for promotion.
8. Both Associate Professor and Professors are expected to make a full contribution to all aspects of University activity.

9. Everyone involved in the process set out below is required to maintain the confidentiality of the application and the applicant, except insofar as it is appropriate to seek others' views as a formal part of the process.
10. The normal expectation is that professorial applications will only come from people who are already Readers/Associate Professors. However, if an applicant believes that this normal route is not appropriate in their case they should consult with their Head of School/Department and/or Executive Dean.
11. All applicants must read the information in (**Appendix 1**) and Selection of Referees and External Assessors (**Appendix 2**) and follow the guidance therein.
12. Professors are banded according to the level at which they are working and their contribution to the University and discipline. Band 1 will normally be for both internal and external candidates promoted or appointed to Professor. 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, building a sustainable team, funded via their endeavours. 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 2 and 3 applications will need, in addition to a Heads statement of support, to be supported by an Executive Dean statement confirming that they are in a required area for delivery of the Faculties strategic action plan and is sustainable.

## PROCESS AND TIMELINE FOR PROMOTION TO ASSOCIATE PROFESSOR AND PROFESSOR AND PROFESSORIAL REBANDING

*Applications for Professorial re-banding are biennial and this will be advertised as open, in the relevant years.*

13. 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:  
<https://staff.port.ac.uk/departments/services/humanresources/myrole/developingmycareer/promotiontoassociateprofessorandprofessor/#d.en.200322>
14. October/November – Call for applications:  
Call issued to all academic and research colleagues inviting application for promotion. Colleagues who are interested in applying are strongly advised to discuss their application with their Head of School/Department and must consult with their Executive Dean of Faculty before submission, **failure to do so will result in the application not being progressed further.**
15. January – Closing date for applications:  
Colleagues wishing to be considered for promotion should submit their application via email to [promotions@port.ac.uk](mailto:promotions@port.ac.uk).

16. January/February –

Any application that has not been completed in accordance with the requirements as laid out in **Appendix 1** and **Appendix 2** **will not** go forward. If the application has been completed correctly, the Dean's Office will obtain the evaluative statements required from the Head of School and/or Executive Dean.

17. February/March – Faculty Promotions Committee (**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, the Provost will seek references and external assessments (excluding for Band 2 and 3). Requests to referees and external assessors will follow a standard format.

18. June/July:

***Applicants for promotion***

The University Promotions Committee (**Appendix 5**) meets to consider all evidence and decide the outcome for applicants.

***Candidates for promotion to Professor (Band 1, 2 and 3)***

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

All 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.

## FEEDBACK FOR APPLICANTS DURING THE PROCESS

For decisions made at Faculty level, the Executive Dean will provide feedback to all applicants at each stage of the process. Candidates may be notified via email initially, but full feedback should be provided in person to allow the applicant 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. The Vice-Chancellor, Chair of the University Promotions Committee or Executive Dean will provide feedback on the University level committee and interviews.

## APPEALS

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 in writing, stating full grounds of appeal together with clear evidence of where the process was flawed to the Chief People Officer, Human Resources Department, within ten working days of the date on which the applicant was informed of the decision.

There is no process of appeal against decisions made at University level.

## CRITERIA FOR PROMOTION TO ASSOCIATE PROFESSOR

Promotion to Associate Professor is achieved through demonstrating evidence of impact across a range of attributes of academic leadership and citizenship set out in the [contribution matrix](#). In addition, a successful candidate will have demonstrated sustained evidence of excellence and impact in at least one of the following routes: enterprise and innovation, research, teaching and education, or by a combination of these routes.

If an applicant is considering a mixed route for promotion, they are strongly advised to seek guidance from their Head/Executive Dean/mentor on the appropriateness of the chosen mix. To be explicit, a mixed route is not an easier option for applicants who cannot demonstrate excellence in the single routes (E, I, R).

Regardless of the chosen route (mixed or single), applicants are expected to provide evidence of meeting at least 80% of the criteria across academic leadership and citizenship **and** at least 80% of one other selected area. If two or more additional areas are selected then at least 60% of each of the criteria are expected to be fulfilled. Some criteria are critical to some routes (these have been highlighted in bold in the contribution matrix). Where more than one additional route is selected, the promotion committee will use their academic judgement to assess the totality of evidence, against the critical criteria outlined in the contribution matrix. The committee will use their understanding of the differences between academic disciplines in their assessment of fulfilment of the criteria. For example, when considering external income, the committee does not expect the same absolute levels of financial contribution, but will exercise their judgement of what is appropriate for the applicants' chosen route and academic discipline.

Newly-promoted full-time Associate Professors are expected to be on a trajectory for promotion to Professor within four years.

Associate Professors do not have an automatic right for reduced teaching or administrative loads. These should be available only (as with other colleagues) on demonstrating more achievements in these areas that bring benefit to the University.

Candidates should focus on providing demonstrative evidence for promotion during their period of employment at the University of Portsmouth.

## CRITERIA FOR PROMOTION TO PROFESSOR (BAND 1)

Promotion to a Personal Chair is achieved through demonstrating evidence of impact across a range of attributes of academic leadership and citizenship set out in the [contribution matrix](#). In addition, a successful candidate will have demonstrated evidence of excellence and impact 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 for promotion, they are strongly advised to seek guidance from their Head/Executive Dean/mentor on the appropriateness of the chosen mix. To be explicit, a mixed route should not be seen as an easier option if the applicant cannot demonstrate excellence in the single routes (enterprise and innovation, research, teaching and education).

Regardless of the chosen route (mixed or single), applicants are expected to provide evidence of meeting at least 80% of the criteria across academic leadership and citizenship. If in addition to this, a single route is chosen, applicants are expected to provide evidence of meeting at least 80% of the criteria of their chosen route. In cases where multiple routes are selected, in addition to meeting at least 80% of the criteria across academic leadership and citizenship, applicants are expected to provide evidence of meeting at least 60% of the criteria of their chosen routes. In all cases, the criteria highlighted in bold are essential. Applicants applying down both the research, and innovation and enterprise routes will be assessed on income holistically, rather than separately. The promotion committee will use their academic judgement to assess the totality of evidence, against the criteria outlined in the contribution matrix, as well as using their understanding of the differences between academic disciplines. For example, when considering external income, the committee does not expect the same absolute levels of financial contribution, but will exercise their judgement of what is the appropriate level of excellence for the applicants' chosen route and academic discipline.

## PROMOTION TO PROFESSORIAL BANDS 2 AND 3

***Applications for re-banding will be accepted biannually.***

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 follows:

### BAND 2

Band 2 is the appropriate band for professors who are able to demonstrate sustained 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.

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. Further information is set out in the [contribution matrix](#).

## 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.

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. Further information is set out in the [contribution matrix](#).

## EQUALITY AND DIVERSITY

The University is committed to an open and transparent process which is fair and without bias, promoting people based on performance and contribution.

To support equality and diversity in academic careers, where individual circumstances have significantly constrained an applicant's ability to produce the quantity of evidence that would normally be expected, an appropriate reduction will be accepted. This is intended to encourage individuals to apply for promotion on the basis of the quality of evidence they are able to present. All those involved in evaluating applications will accept an appropriate adjustment in outputs without penalty and will assess the evidence that is presented on the basis of quality.

Circumstances which may result in significant constraints would include periods of significant absence or restrictions on working pattern/part-time working for reasons such as (but not restricted to) maternity/paternity/adoption, pregnancy, disability, caring responsibilities, gender reassignment or any other circumstances relating to protected characteristics will be taken into account when the application is accessed. Individuals should complete the [declaration of circumstances form](#) for discussion at the Considerations Panel (**Appendix 3**)

Judgements about the appropriate level of reduction in each case will be made using the information provided by applicants within their submission. Judgements and the rationale will be recorded by those making decisions at each stage and made available as part of the feedback for all successful/unsuccessful candidates.

All Faculty and University promotion committee members will be trained in 'Diversity in the Workplace' and 'Unconscious Bias.'

We will aim to achieve a balance of representation across all assessment/interview panels, for example, we will ensure that both genders are represented on all professorial interview panels and may include 'invited' female professors, where necessary to achieve this.

## PRESENTATION OF CURRICULUM VITAE FOR APPLICANTS FOR PROMOTION

The University Academic CV has been designed to align with the requirements of the promotion criteria. This type of CV is very different to a CV used for external purposes, and focuses on your achievements in all areas of the contribution matrices; Academic Leadership and Citizenship, Enterprise and Innovation, Research and Teaching and Education. There is no page limit to an academic CV, although it is still recommended that you keep the CV concise and relevant.

The tailored University CV is required for any promotion application and can also be used to support your PDR conversation.

Please note that any project with external income should be outlined using the [External Income Table](#) and referenced in the relevant sections of your CV. If this table is not completed, members of the committee and/or Panel will be unable to assess the candidate's performance in this area.

***This format must be used when submitting an application for promotion, applications will not be accepted if the CVs is not presented in this format.***

The material that needs to be presented in your CV is outlined below, it is important that panels and others involved in assessing your case for promotion can find the information they need in your CV. Please ensure that you provide relevant details in proper chronological order, with more recent first. Use bullet points, normally with no more than 2-3 lines of description per bullet point. If an area is not met, you must acknowledge this. No additional documents should be appended and ***any such attachments 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, school 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 colleagues 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.
- Examples of collaborations with other organisations
- Involvement in the development of innovation and enterprise activity of colleagues.
- Involvement in the developmental/training activities in connection with enterprise and innovation within the University.

### 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 'PURE'. 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, second or third supervisor needs to be clear in each case, as does the source of fee funding and where this is external, who wrote the application to secure that funding.**

#### 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 modules taught, period of time taught, numbers of students taught, indicate those for which you were module leader; those where you were responsible for authoring the material taught etc. You should include fieldwork, laboratory work etc.
- Courses taught on, including details of those you were responsible for directing, managing etc.
- Other teaching: internal and external to the University of Portsmouth.
- Summary of teaching assessment scores. Where evidence is being provided for teaching at another than at the University, 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 and impact 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 contributions 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 course leader, e-learning lead, examinations officer, year tutor etc.
- Examples of participation in policy development and process.
- Voluntary activities with students, including mentoring schemes, supporting student societies, work with schools and outreach work etc.

## APPENDIX 1

### APPLICATION TO ASSOCIATE PROFESSOR, PROFESSOR, BAND 2 OR 3 PROFESSOR

1. Applicants are strongly advised to discuss their application with their Head of School and must consult with their Executive Dean of Faculty before they submit, **failure to do so will result in the application not being progressed further.**
  - a. In particular, applicants are encouraged to discuss the evidence they wish to put forward for their application and the future plans that they must articulate in their applications.
2. A good application will demonstrate what the applicant has already achieved and its impact, 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 School, 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, the template of which can be found on the HR website;
  - Curriculum vitae which has been produced in accordance with the CV guidance;
  - Names and contact details of external referees and potential assessors\*, selected in accordance with the guidance provided in **(Appendix 2)**.
5. The application documents must be emailed to Promotions@port.ac.uk by the relevant annual deadline.
6. If an application is unsuccessful at any stage, another application will not be considered within 2 years unless the applicant is specifically invited to apply the following year by the decision making panel at the point of decision.

*\* not required for Band 2 or Band 3 applications*

## APPENDIX 2

### SELECTION OF REFEREES AND EXTERNAL ASSESSORS

For promotion to Associate Professor or Professor, the Provost will request at least two external references and at least two reports from independent assessors. We will need a report from at least one international assessor.

- For promotion to Associate Professor, at least one of the referees/assessors should be from a UK Higher Education Institution and at least one must be international.
- For promotion to Professor at least one of the referees/assessors should be from a UK Higher Education Institution and at least two must be international.

Points to note:

- International referees/assessors are considered to be from those based and working mainly outside of the UK.
- An independent assessor must not have any form of personal relationship (e.g. dissertation supervisor) with the applicant, they may however have a past professional relationship with the applicant, as long this relationship is not significant nor fundamentally linked with the applicant's outputs being submitted as evidence for promotion (e.g. worked together on the outputs, impact or projects cited in the application).

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

### REFEREES

Applicants for Associate professor and Professor are requested to nominate **four** referees. The Faculty has discretion as to the final choice of referees used, and may source alternative references as appropriate.

A referee must be external to the University of Portsmouth\* and they will be people who know the applicant's work. Where relevant, applicants should state how and when they have worked or otherwise collaborated with them.

### EXTERNAL ASSESSORS

Applicants for Associate Professor and Professor are requested to suggest the names and contact details of **six** possible independent assessors who the University may contact to comment on their work. We expect at least one (two for Professors) international assessors. These individuals will have the appropriate expertise to comment on the applicant's work. Other than in very exceptional circumstances, they should not have worked or otherwise collaborated with the applicant, and under no circumstances should they be current collaborators.

**Comments from Assessors who are not deemed to be independent will be disregarded.**

The Faculty Promotion Committee reserves the right to identify additional independent assessors to comment on the applicant's application and may choose not to contact any of the assessors listed.

Assessors are asked to provide an independent, objective and informed judgement on the quality and impact of the applicant's contribution by assessing the application against the indicators for promotion.

\*Recent ex-University of Portsmouth colleagues are generally not considered to be appropriate for referees or external assessors

## APPENDIX 3

### CONSIDERATIONS PANEL

#### PURPOSE

A key aim of this Panel is to minimise any potential negative impact on the academic careers of colleagues whose productivity had been impacted by equality-related circumstances.

Applications will continue to be considered against the relevant criteria in terms of the quality of work of applicants but the Panel will consider the information provided and advise the Faculty Promotion Committee of what reduction in allowances should be made with regards to the quantity or outputs. The Panel will also raise awareness of individual colleagues' circumstances to provide much-needed support and consider what else might be done to drive positive behaviours in supporting colleagues with equality-related circumstances, without introducing unintended consequences. Reductions for circumstances focusing on individuals and units most in need of support.

#### MEMBERSHIP

- Head of Equity, Wellbeing & Inclusion/Delegate
- Chief People Officer/Delegate
- Deputy Vice-Chancellor (Global Engagement and Student Life)
- Chair/Co-Chair of Athena Swan Committee (Academic)

## APPENDIX 4

### FACULTY PROMOTION COMMITTEE (FPC)

#### PURPOSE

Faculty Promotion Committee (FPC) review and make shortlisting decisions for all promotion applications within the faculty. Supported applications progress to review by University Promotion Committee (UPC), with the Dean of Faculty documenting all decisions and supplying the Provost with a list of potential referees for supported cases.

In common with other decision-making panels, Faculty Promotion Committees (FPCs) are tasked with ensuring that the quality standards and expectations set out in the relevant contribution descriptors are upheld, and that there is fairness and equity in decision-making.

#### MEMBERSHIP

For a Promotion Committee (FPC) to be quorate, and for a meeting to proceed, the following attendees are required:

- The Dean of Faculty (in the Chair)
- The Provost or their delegate
- At least two Heads of School
- At least two Associate Deans from the home Faculty.
- Two Professors from another Faculty
- A member of the HR Business Partnering Team, as policy and process advisor.

In attendance as observer to the process

- UCU representative
- Secretariat provided by the Faculty

On occasion, it may be necessary for substitutes to attend in the place of required attendees. Where this is the case, substitutes should be of equivalent standing. No more than two of the required attendees may be substituted at any time.

The Chair may choose to include additional members at their discretion (for instance, to improve the diversity of the committee's composition).

#### ROLE AND RESPONSIBILITIES

- All members of the committee who have not completed the University's Unconscious Bias and Diversity in the Workplace training within the last three years will undertake this training *before* they participate in the promotion process.
- All members should 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.
- Members of the FPC should read the applications, evaluative statements, policy and all related documentation in advance of the committee meetings to enable a full and thorough discussion.

- 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.
- The FPC will make judgements and decisions based on the achievements to date, trajectory and future plan. Reference to potential papers and grants that have been cited under achievements will not be considered as part of an applicant's track record.
- 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.

The Faculty Promotion Committee (FPC) will:

- Assess the merits of each case, as written (including any additional contextual information) with reference to the quality standards and expectations set out in the contribution descriptors.
- Consciously and actively consider advice from the Considerations Panel when assessing applications, ensuring reasonable adjustments are (or have been) made, as required.
  - Where individuals have declared information about any equality-related circumstances that may have significantly constrained their ability to produce the quantity of evidence that would normally be expected, the Dean will share with the Panel the appropriate reduction that has been agreed by the Considerations Panel and should be accepted.
  - All those involved in evaluating applications will accept an appropriate adjustment in outputs without penalty and will assess the evidence that is presented on the basis of quality.
- 'Support' for review by the University Promotion Committee (UPC) cases deemed to meet or exceed the quality standards and expectations set out in the relevant contribution descriptors.
- 'Reject' cases deemed not to meet the quality standards and expectations set out in the relevant contribution descriptors.
- On an exceptional basis, highlight cases for the UPCs close attention, where there might be unique, unusual or precedent-setting aspects to a case, meriting a wider, level discussion. (FPC must still indicate whether they 'Support' or 'Reject' such cases).
- In all cases, compile criteria aligned meaningful and constructive feedback for the applicant from the Dean, identifying strengths, weaknesses and recommendations for future focus. Where individual circumstances are known, feedback must cover this. Where cases are rejected, the feedback must provide clear commentary on the reasons for this.
- Agree referees, nominate a minimum of two additional independent referees (in addition to the applicant's nominated referees) for all cases seeking promotion.

Where a Faculty Promotion Committee (FPC) is split equally in any decision, the Chair has a casting vote.

### **FREQUENCY OF MEETINGS**

Faculty Promotion Committee (FPC) will meet at least once during the promotion round to discharge these responsibilities, in accordance with the published promotion process timetable.

The Chair may exercise their discretion as to whether these responsibilities are better served by holding a single meeting or a series of meetings (for example, considering Associate Professor and Professor applications at separate meetings).

## APPENDIX 5

# UNIVERSITY PROMOTION COMMITTEE (UPC)

### PURPOSE

This group is the core decision making body for applications made at Associate Professor and Professor Level and will calibrate and make the final decision on promotion to Associate Professor, maintaining overall consistency in decisions at Institutional level.

In all cases of application for promotion FPCs and/or UPC will communicate decisions to applicants and feedback will be provided; key themes from references will be included.

Decisions will be communicated as soon as practically possible once decisions have been endorsed/confirmed. In the spirit of continuous development, all applicants will receive detailed feedback on their applications (where possible, this should be in person), particularly where they have not been successful.

### MEMBERSHIP

For a Promotion Committee (UPC) to be quorate, and for a meeting to proceed, the following attendees are required:

- Vice-Chancellor or Provost (Chair)
- Chief People Officer/delegate
- Executive Deans of Faculty
- One Associate Dean from each Faculty Committee

In attendance as observer to the process

- UCU representative
- Secretariat provided by HR

On occasion, it may be necessary for substitutes to attend in the place of required attendees. Where this is the case, substitutes should be of equivalent standing. No more than two of the required attendees may be substituted at any time.

## APPENDIX 6

# PROFESSORIAL INTERVIEW PANELS

### PURPOSE

The Professorial Interview Panel provides an opportunity to explore a candidate's suitability for promotion through personal dialogue by further assessing evidence of achievements and plans and will establish at a University level whether there is a clear case for an applicant's suitability for promotion to Professor or professorial re-banding.

Interviews are expected to be around 45 minutes in length and the format will normally be as follows:

- After introductions, the Chair will open the interview, inviting the applicant to summarise their suitability for promotion in up to 5 minutes. Slides/handouts will not be expected.
- Prior to interview, the panel will have reviewed applications and agreed areas of focus for questions.
- Dependent on the application, career pathway and strength of evidence provided in the application, the panel may feel it appropriate to focus on one area more than others.
- Overall, the panel's questions will provide an opportunity for applicants to demonstrate their suitability for promotion.

### MEMBERSHIP

- Vice-Chancellor and/or Provost (Chair) depending on availability
- Deputy Vice-Chancellor (Research and Innovation) and/or Deputy Vice-Chancellor (Education) as appropriate to route and depending on availability
- A Deans or Associate Dean from Faculties not that of the applicant

### In attendance

- Executive Dean of home Faculty will attend to assist with information but not participate in Decision.
- A member of the HR Business Partnering team as policy and process adviser.