RESEARCH & TEACHING PROMOTION PROCEDURE (to Levels 4 & 5)

1. Introduction
This promotion process is applicable to staff within the Research and Teaching (R&T) Job Family including seconded staff in UNMC and UNNC wishing to apply for promotion to Level 4 and Level 5 within that job family.

2. Equal Opportunities
In assessing promotion applications, all participants in the process must ensure objective and relevant criteria are used and that there is no discrimination on the grounds of gender, gender reassignment, pregnancy and maternity, race, disability, age, religion or political belief, sexual orientation, trade union membership/activity or marital/civil partnership status. When considering an application for promotion from a part-time member of staff, care should be taken to account for the fact that reduced hours are worked. The reasons for any discontinuity in service and achievement, for example owing to maternity leave or family-related career breaks, will be taken into consideration as part of the University’s Equal Opportunities Policy.

3. Roles and career paths at Levels 4 and 5
This procedure aims to ensure that the University offers promotion opportunities to staff taking account of the individual’s career profile and pathway.

R&T staff will be following one of three main career paths:
- where the focus of the role is on a combination of research and teaching;
- where the focus of the role is wholly or mainly to do with carrying out or supporting research;
- where the focus of the role is wholly or mainly to do with carrying out or supporting teaching and learning.

R&T staff currently with a research only focus or teaching and learning focus can apply for promotion to Level 5 with a change of focus to research and teaching. For example, a current Level 4 Research Fellow who now has a combined research focus and teaching and learning focus can apply to be promoted to Assistant Professor (previously known as Lecturer). The Head of School should include the reasons for this change in focus in Section C.

For your information these are the core Research & Teaching job family titles:

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<tr>
<th>For Research and Teaching Roles</th>
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<tbody>
<tr>
<td>Level 5</td>
<td>Assistant Professor</td>
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<th>For Research Roles</th>
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<tr>
<td>Level 4a</td>
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<td>Level 4</td>
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<td>Level 5</td>
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<table>
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<th>For Teaching and Learning Roles</th>
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<td>Level 4a</td>
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<td>Level 4</td>
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<td>Level 5</td>
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4. Scope
R&T staff wishing to apply for promotion to a role in Levels 4 or 5 in the R&T Job Family should use this promotions procedure. For research staff on Level 4 Research Career Training Grade, progression to R&T Level 4 is dependent on the award of a PhD and there is no requirement to use this promotions procedure for such advancement. Where research staff on Level 4 are awarded a personal Fellowship and the funds have been received, the member of staff concerned should complete the Fellowship Pro Forma for Promotion to R&T Level 5 and send it...
to HR Shared Services. The individual can be promoted to Level 5 without having to use this promotion procedure.

For seconded staff at the overseas campuses where reference is made to Head of School this will mean joint action between the UK Head of School and the appropriate person at the overseas campus.

5. Criteria for promotion

5.1 For all applicants
The University’s promotion process recognises a high level of achievement in three broad areas of activity:

- research and scholarship; } including engaging with business/external stakeholders – knowledge exchange and global research – international
- teaching and learning activity; } research – international
- university and academic service and good citizenship (whether by offering e.g. leadership, management, administration, collegiality, knowledge exchange or pastoral care within the University, or by engaging on behalf of the University with the wider community including internationally).

All applicants are expected to demonstrate high achievement in the areas applicable to the focus of their role and all must include evidence of university and academic service. Each individual case will be judged on its merits. In exceptional cases, evidence of sustained excellence in one activity may justify promotion.

The criteria for promotion to Level 4 and 5 can be found in Appendix 1 (for Level 4) and Appendix 2 (for Level 5).

5.2 Reference to the R&T Job Family
The University has aligned its promotions procedure with the R&T Job Family. In providing a case for promotion, the applicant should make reference to the appropriate descriptors and indicative criteria within the job family, describing how their role best fits the job family level into which they are applying for promotion. The individual should articulate why they consider they are now contributing at the higher level, providing the Promotions Committee with the appropriate evidence.

6. Submissions for Promotion
All R&T staff may put themselves forward for promotion where they consider their knowledge, skills and experience match the relevant criteria.

6.1 Teaching and Learning reference for application for promotion to Level 4 through the “teaching” path OR to Level 5 through the ‘combined’ or ‘teaching’ paths
For those applying either through the combined (research and teaching) or the teaching career path, there must be included, as part of the Head of School reference, a section describing the teaching and learning activities of the applicant and provide evidence of teaching quality, leadership, innovation and good citizenship. Where possible this reference should be informed by observation of the applicant in a classroom. Where appropriate the reference should also include evidence of post-graduate teaching and supervision of research students.

For those applying for promotion, other than through the research career path, the provision of SET scores in the standard format is an essential requirement.

7. Procedural steps

Step 1 - Initial Discussion
All staff wishing to be considered for promotion should initially discuss this with their line manager or most appropriate senior member of staff. In the case of staff applying from UNMC
or UNNC, this initial discussion should either be with their Head of School (UK based) or with the campus Provost (or the most appropriate person). Open and constructive feedback should be given to the individual at this stage, as to whether their application is ready for submission and if not, where the gaps appear to be, what is needed in general terms for it to be supported and how the applicant may address these issues.

**Step 2 - Documentation required from all applicants**

All applicants must complete and submit by email, to their Head of School, by the deadline set and communicated to staff by the Head of School:

- a completed Pro Forma for Promotion;
- an up-to-date Curriculum Vitae (CV), completed in the standard format only (details found in the Standard Format for CV submission document).

The applicant should demonstrate what contribution they have made towards the successful achievement of the School’s aims and objectives.

In compiling a case for promotion and completing the Pro Forma, the applicant should make reference to the Research and Teaching Job Family, referring to the generic descriptors and ‘Indicative Criteria’ at Levels 4 or 5. Applicants should use the Pro Forma in a concise manner, keeping to the word limit, to provide further evidence to underpin their promotion application that may not have been covered by the detail in their CV. In completing both the CV and the Pro Forma, there may be headings where there is no relevant entry to be made because of the focus of the role of the individual applicant. If this is the case please indicate ‘Not applicable’, giving a brief reason, and eliminate any unnecessary space on the form. Please also enter the word counts where indicated.

**Step 3 - Applications considered by the School Promotions Group (SPG)**

Applications submitted to the Head of School will be considered by the SPG. If the point of reference for overseas seconded applicants is unclear i.e. which UK School or Head of School would be appropriate, the applicant should propose the most relevant School, after discussion and endorsement by the campus Provost (or the most appropriate person). The Head of School will arrange the timing of the SPG meeting to fit the operational requirements of the School and should inform staff of when this is taking place and what documentation is required.

**Step 4 – Feedback to applicant after SPG consideration**

The Head of School should give open feedback to the applicants and where the Head of School, in light of the advice from the SPG, considers that the promotion application is not yet strong enough, the feedback to the applicant should give advice and details of where the gaps appear to be, what is needed in general terms for it to be supported and how the applicant may address these issues. It is recommended that the feedback is in writing, following the format of Section C on the relevant Pro Forma. However at this stage in the process, the Head of School may wish to give the feedback to the applicant verbally. Feedback from the Head of School must be given to the applicant in sufficient detail and time to give them, where appropriate, the opportunity of improving (or withdrawing) their application.

**Step 5 – Head of School report to the Faculty Pro-Vice-Chancellor**

The Head of School must make a brief report (using the School Promotion Group Report Form) sending it electronically to the Faculty Pro-Vice-Chancellor, with a copy to Human Resources (Kathryn.Howard@nottingham.ac.uk), as to the number of promotion cases the SPG considered and how many were supported or not supported (briefly giving the reasons why any applications were not supported). This data will then be monitored by Human Resources for equality and diversity purposes. The Faculty Pro-Vice-Chancellor should receive all the SPGs Pro Forma from the Head of School prior to the meeting of the R&T Promotions Committee. In order for the Faculty Pro-Vice-Chancellor to build up an informed view of the promotion cases, as well as ensuring that the SPGs have given consideration to applications in a fair and consistent manner, it is recommended that the Faculty Pro-Vice-Chancellor, once all the SPGs have met, should arrange a meeting for all relevant Heads of Schools.
Step 6 – Details to be sent to Human Resources

The applicant is responsible for submitting their own application and he/she must:

- submit their final application (both CV and Pro Forma) electronically (in Microsoft ‘Word’ where possible), copying in their Head of School, sending it to Kathryn.Howard@nottingham.ac.uk in Human Resources by 4.00 pm on 19 October 2016;
- unless applying from the overseas campuses, also submit to Kathryn Howard in Human Resources, FOUR paper copies of their application by 26 October 2016;
- the details in the paper copies of the application must be the same as the details submitted electronically;
- if the 5 research publications have been submitted electronically it is not necessary to provide hard copies of these documents.

Please note that applications received after the closing date will not be accepted.

The Head of School must:

- complete Section C* of the Pro Forma;
- for seconded staff at the overseas campuses an additional statement is required from the appropriate person in UNMC or UNNC;
- return the completed Section C to the applicant for it to be included in the final submission by the applicant, to HR, by 4.00 pm on 19 October 2016;
- email the completed Section C to Kathryn.Howard@nottingham.ac.uk in Human Resources by 26 October 2016 (copying in the applicant) if unable to return the completed Section C to applicant by 19 October 2016.

*In Section C the Head of School can propose, if applicable, a change of job title and the reason for that request.

Step 7 - Meeting of the R&T Promotions Committee (Level 4 and 5)

The R&T Promotions Committee will consider all applications in a consistent and fair manner in order to decide those candidates to be promoted. It will take into account all the evidence and details submitted and assess the application against the standards set out in the relevant R&T Job Family level, with due regard to the relevant career path. The relevant Faculty Pro-Vice-Chancellor will have the responsibility of presenting each promotion case at the meeting of the R&T Promotions Committee.

8. Confidentiality and feedback to candidates

The detailed proceedings, especially with regard to the names of candidates and the discussions of the Committee concerned with promotions, are to be treated as strictly confidential. However the importance and value of providing appropriate information and feedback to candidates is also recognised, especially to the unsuccessful candidates.

It is the responsibility of the Faculty Pro-Vice-Chancellor to ensure that all candidates are informed of the progress and outcome of their application, as soon after the meeting of the R&T Promotions Committee as possible. It is recommended that the feedback from the Faculty Pro-Vice-Chancellor to unsuccessful candidates, whenever possible, should be through a face-to-face meeting with the individual. The Faculty Pro-Vice-Chancellor must, as specifically as possible and without breaching the confidence of other cases, inform the individual and the Head of School in what respect the candidate fell short of the criteria for promotion. The Head of School and the individual should then review the Personal Development and Performance Review goals of the individual to reflect the feedback from the Committee. In the case of overseas application the Faculty Pro-Vice-Chancellor should put in place the most appropriate feedback mechanisms, which may be via the campus Provost or the Head of School (UK base).

9. Salary on Promotion

Research & Teaching promotions are made to reward achievement. Standard procedure is to move successful candidates to a new Level at the next appropriate point on the salary scale. This will mean a salary increase on promotion and access to a new salary scale up which the
promoted candidate can progress. For example if a Research Fellow is on Level 4 salary point 36 (£37,768), on promotion would move onto Level 5 - salary point 37 (£38,896).

10. PGCHE
For those applicants promoted to Level 5 (other than through the research pathway) it will be a requirement to complete 30 credits of the PGCHE (if not already obtained or have an equivalent qualification).

For staff appointed or promoted from 1 January 2011 it is a requirement for Level 4 staff applying for promotion to Level 5 (through the research & teaching and teaching & learning pathway) to have completed ATP (Associate Teacher’s Programme) (or equivalent).

11. Other Procedural Details
- There is no prohibition on consecutive annual applications.
- All staff will have the opportunity of making a personal promotion application should their Head of School not endorse their application and must receive the copy of Section C (Head of School Statement) of the pro forma that has been submitted to the R&T Promotions Committee.
- Staff who are subject to a formal disciplinary warning or who are currently being monitored for underperformance are not normally eligible for consideration for promotion during the period of warning, sanction or performance monitoring.

12. The R&T Promotions Committee
The Promotions Committee which will consider promotion applications to Levels 4 and 5 has the following membership:
- Faculty Pro-Vice-Chancellor (Chair)
- All Faculty Pro-Vice-Chancellors*
- Faculty Pro-Vice-Chancellor’s nominee (for Chair)
- Three Non-professorial representatives (elected by Senate)

*On an exceptional basis, where a Faculty Pro-Vice-Chancellor is not available, a nominee may be identified.

13. Role of the Faculty Pro-Vice-Chancellor
The relevant Faculty Pro-Vice-Chancellor will have the responsibility of presenting each promotion case at the meetings of the R&T Promotions Committee, describing the individual’s role and contribution within the framework of the agreed School’s aims and objectives. In the case of promotion applications from UNMC or UNNC, the Faculty Pro-Vice-Chancellor should also take into account the overseas context when presenting the case. Prior to the Faculty Pro-Vice-Chancellor presenting all the cases, he/she will have consulted the Head of School, and at his or her discretion, may consult wider within and/or outside the University, in the light of the applicant’s curriculum vitae. In the case of applications from a member of staff from an overseas campus, the Faculty Pro-Vice-Chancellor should also consult with the relevant Provost (or most appropriate person).

14. Appeals Process
Unsuccessful candidates may appeal against a promotion decision, on the grounds of procedural irregularity only. Should a candidate wish to appeal, they should write to the Registrar, outlining the alleged flaw in the procedure, within 21 calendar days of the decision being communicated to the individual member of staff concerned. The appeal will be held in accordance with the relevant procedure. If the panel upholds the appeal it will refer the case and its report for reconsideration to the appropriate Promotions Committee.

15. Timetable
Please see the timetable (which may vary from year to year) for the R&T (Level 4 & 5) promotion procedure. Full details of all the dates are available at http://www.nottingham.ac.uk/hr/guidesandsupport/promotionandregrading/promotion/index.aspx

NB: The dates in the timetable are for 2016/17 only.
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<tr>
<th>Term</th>
<th>Meaning</th>
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<tbody>
<tr>
<td>Research &amp; Teaching (R&amp;T) Job Family</td>
<td>The R&amp;T Job Family summarises the main generic features of roles at five different levels, unified by the concept of scholarship. Each level has generic role descriptors setting out what is expected of staff at the particular level, as well as a collection of competencies expected. Each level in the job family considers the type of work and describes the key factors which differentiate one level from the next.</td>
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<td>The generic descriptors at each job family level are intended to be neither prescriptive nor exhaustive and it is unlikely that role holders will undertake every work activity illustrated.</td>
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<td>The R&amp;T Job Family is available on the HR web site (please see link below).</td>
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<td>School Promotions Group</td>
<td>The SPG will consist of the Head of School (who will organise and chair this Group) and at least 4 research and educational leaders from within the School/Department, membership of which is decided by the School Management Board (or equivalent). When this meeting is held is at the discretion of the Head of School, who should inform staff of when this is taking place and what documentation is required.</td>
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<td>Where appropriate small Schools or Institutes may decide to have a Joint School/Institute Promotions Group.</td>
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The R&T Job Family is available at

http://www.nottingham.ac.uk/hr/guidesandsupport/jobfamiliesstaffgroupsandsummarytermsandconditions/jobfamilies/index.aspx