ACADEMIC PROMOTION PROCEDURE

1. Introduction
This procedure is applicable to all staff in the Research and Teaching Job Family¹ (hereafter known as R&T) and seconded staff in UNMC and UNNC.

R&T staff will have the opportunity of applying for:
- promotion to Level 7 (normally accompanied by the title ‘Professor’);
- promotion to Level 6 (normally accompanied by the title ‘Associate Professor’).

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. Research and Teaching career paths at Levels 6 and 7 roles
This promotions procedure aims to ensure that the University offers promotion opportunities to staff that take account of the individual’s career profile and path.

Academic staff will be following one of three main career paths:

- where the focus of the role is on a combination of research and teaching* (e.g. Assistant Professor, Associate Professor);
- where the focus of the role is wholly or mainly to do with carrying out or supporting research (e.g. Senior Research Fellow, Principal Research Fellow);
- where the focus of the role is wholly or mainly to do with carrying out or supporting teaching and learning (e.g. Assistant Professor, Associate Professor).

*NB: Where staff have a contractual requirement to complete at least 30 credits of the PGCHE (or equivalent), this requirement must have been fulfilled before any promotion application will be considered.

For staff appointed or promoted to Level 5 (through the research & teaching and teaching & learning pathway) from 1 January 2011 it is a requirement to have completed 30 credits of PGCHE (or equivalent) before any promotion application will be considered.

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

<table>
<thead>
<tr>
<th>For Research and Teaching Role</th>
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<tbody>
<tr>
<td>Level 5</td>
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<tr>
<td>Level 6</td>
<td>Associate Professor</td>
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<tr>
<td>Level 7</td>
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Promotion & Regrading
4. Scope
Staff wishing to apply for promotion to Level 6 or Level 7 should use this promotions procedure. This includes staff who were formerly in the academic, research or ‘other related’ staff groups, as well as those appointed into the R&T Job Family.

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.

In the case of a promotion application from an academic veterinary clinician it is recognised that professional clinical practice is a significant part of the role. The balance of activities may be different from that of other R&T roles and there is likely to be less focus on research, given the importance of clinical practice in teaching and knowledge transfer.

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; global 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.

The criteria for promotion to Level 6 and Level 7 can be found in Appendix 1 (for Level 6) and Appendix 2 (for Level 7).

5.2 Promotion to Level 6
Those applying for promotion to this level must normally demonstrate high quality activity in each of the areas detailed above that are relevant to the focus of their role. Promotion may be on the basis of sustained excellence in one activity, with evidence of high quality activity in the applicant’s remaining area or areas of activity. In exceptional cases, evidence of sustained excellence in one activity may justify promotion.

5.3 Promotion to Level 7
Those applying for promotion to this level where the individual’s focus is on research or a combination of research and teaching must demonstrate sustained achievement of an internationally recognised level of excellence in research. Where this is demonstrated, the award of the title of ‘professor’ is appropriate.

A case for promotion where the individual’s focus is on teaching must normally be underpinned by a record of publications concerned with the pedagogy of the discipline which can be demonstrated to have had an international impact. The award of the title ‘professor’ is also appropriate in such a case.
There is normally a requirement for all applicants to demonstrate high quality activity in the remaining area or areas of activity relevant to the focus of their role. In exceptional cases, evidence of sustained international excellence in one activity may justify promotion.

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

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

6.1 Teaching and Learning reference for application for promotion to Level 6 through the ‘combined’ or ‘teaching’ paths.

For promotion to Level 6, 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, e.g. teaching quality, leadership, innovation, flexible approach to new methods and good citizenship. This part of the Head of School reference should point to evidence of the relevant matters and should, where possible, be informed by observation of the applicant in a classroom or other relevant setting. Where appropriate the reference should also include evidence of post-graduate teaching and supervision of research students.

7. Procedural steps

Step 1 - Initial Discussion
Staff should initially discuss their application with their line manager or a senior member of staff. In the case of staff applying from the UNMC or UNNC campuses, this initial discussion must 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 the Head of School by the deadline set and communicated to staff by the Head of School:

- the relevant completed Pro Forma and the name, job title and full contact details (including email address) of the applicant’s choice of external adviser (please see 7.1 below);

- an up-to-date Curriculum Vitae (CV), completed in the standard format only (details found in the Standard Format for CV Submission document).

In compiling a case for promotion and completing the relevant Pro Forma, the applicant may wish to make reference to the R&T Job Family, referring to the generic descriptors and ‘Indicative Criteria’ at Levels 6 or 7. Applicants should use the relevant 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 - Meeting of 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 meeting of the SPG**
The Head of School should give open feedback to the applicant 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 reports to the Faculty Pro-Vice-Chancellor**
The Head of School must make a brief report (using the School Promotion Group Report Pro
Forma) 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 first meeting of the Promotions
Committees3. 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 (including CV, Pro Forma and 5 research outputs)
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 relevant 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 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 for the
applicant, giving the reason for that request.
Step 7 - First meetings of the Promotions Committees

All applications will be reviewed in a consistent and fair manner by the Promotions Committees in order to decide those for which there is a *prima facie* case for promotion. The Committees will appoint external advisers (see 7.1) on the recommendation of the Faculty Pro-Vice-Chancellor, for each promotion case for which it decides there is a *prima facie* case.

7.1 External Advisers

For Level 6 candidates:
- three external advisers will be appointed, one nominated by the candidate;
- of the three external advisers appointed two should be external to the University and one internal (but not from the candidate’s own School). Where there is no internal adviser three external advisers will be appointed.

For Level 7 candidates:
- four external advisers will be appointed, one nominated by the candidate;

The external adviser nominated by the candidate should be contacted informally by the candidate to gain their agreement to act in this capacity prior to the candidate submitting their application for promotion.

For Level 7 candidates all advisers must be external to the University, including the one personally nominated by the candidate and ideally from different external institutions. For Level 6 candidates one adviser should be internal and two advisers should be external to the University and ideally from different external institutions. They should ideally be of Professorial status. Heads of School will not discuss the choice of School-nominated advisers with the candidate, though the candidate may inform the Head of School of any possible external adviser that should not be approached and the reason why.

Candidates should declare any personal or professional relationships with their nominated referee. All referees must be able to comment objectively on the application and must not have any formal personal relationship with the applicant, such as line management responsibility, have had no input to the application, hold no personal relationship such as relative or close friend/collaborator, a co-author or joint grant holder of the candidate. Where it becomes clear that a referee is connected to the applicant, the Committee has the discretion to seek a further independent reference.

External advisers should, where possible, be from Russell Group universities (or their equivalent abroad) and of major academic standing in the field and a sufficient number must be from UK institutions to allow the selection of at least one UK based external adviser. It is, however, understood that external advisers of high standing from other institutions may be nominated where appropriate, for example to match closely the area of expertise of the candidate. External advisers from outside UK Higher Education Institutions should normally only be used where they have a good understanding of the UK Higher Education system. Consideration could be given to U21 Institutions. External advisers should normally be of Professorial (Level 7) status. If this is not the case then justification of this must be supplied by the Faculty Pro-Vice-Chancellor to the Promotions Committees. To ensure equivalence, if an external adviser is drawn from systems using the North American system of academic titles, the precise rank, i.e. assistant, associate or full professor, must be stated. External advisers will also be asked to declare any interest with regard to the candidate.

Appointment of the external advisers will be made on the recommendation of the Faculty Pro-Vice-Chancellor. The Faculty Pro-Vice-Chancellors are responsible for compiling the names and current contact details of a sufficient number of External Advisers to allow the Promotions Committee to select those who may be contacted for a reference. It must be made clear that the final selection of external advisers is made by the University, and the final choice of names proposed to the Faculty Pro-Vice-Chancellor should be determined separately from the
candidate, by the Head of School. The Promotions Committees may, in exceptional circumstances, also seek external references additional to those noted above.

All such references will be sought by the Director of Human Resources or nominee, on behalf of the relevant Committee. Referees will be issued with the University promotion criteria and are invited to comment upon the extent to which they feel the applicant meets the criteria.

7.2 Promotion decisions
At the second meeting the Faculty Pro-Vice-Chancellor will present to the Committees the reports from the external advisers. The Promotions Committee will then arrive at its decision.

8. Confidentiality and feedback to candidates
The detailed proceedings, especially with regard to the names of candidates and the discussions of the various Committees 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 appropriate meeting of the Promotions Committee as is 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 applications 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 (having received the advice of external referees). 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 an Associate Professor is on Level 6 salary point 51 (£58,754), on promotion would move onto Level 7 salary point 2 (£59,926).

10. 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 (or Faculty PVC) not endorse their application and must receive the copy of Section C (see below) of the relevant Pro Forma that has been submitted to the Promotions Committees.
- R&T staff subject to a formal disciplinary, 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.

11. The Promotions Committees
Promotions to Level 7 and associated titles will be considered by a Committee consisting of the Vice-Chancellor (Chair), the Deputy Vice-Chancellor, the Pro-Vice-Chancellors, the Faculty Pro-Vice-Chancellors* and 3 professorial representatives elected by Senate. Promotions to Level 6 and associated titles will be considered by a Committee consisting of the Deputy Vice-Chancellor (Chair), the Pro-Vice-Chancellors, the Faculty Pro-Vice-Chancellors*and 3 non-professorial representatives elected by Senate.

*On an exceptional basis, where a Faculty Pro-Vice-Chancellor is not available, a nominee may be identified.
12. Role of the Faculty Pro-Vice-Chancellor
The relevant Faculty Pro-Vice-Chancellor will have responsibility for the presentation of each case at the relevant meetings of the Promotion Committees, and for describing the individual’s role and contribution within the framework of the agreed School’s aims and objectives. The Faculty Pro-Vice-Chancellor will also comment, where applicable, on the individual’s teaching and learning portfolio. 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 more widely 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 the most appropriate person).

13. 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.

14. Timetable
Please see the timetable (which may vary from year to year) for the academic 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
### APPENDIX 1

## GLOSSARY OF TERMS

<table>
<thead>
<tr>
<th>Term</th>
<th>Meaning</th>
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<tbody>
<tr>
<td>1 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. The R&amp;T Job Family is available on the HR web site (please see link below).</td>
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<tr>
<td>2 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. Where appropriate small Schools or Institutes may decide to have a Joint School/Institute Promotions Group.</td>
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<tr>
<td>3 Promotions Committees</td>
<td>There will be an Academic Promotions Committee (to Level 6) to consider all promotion applications to Level 6. There will also be a separate Academic Promotions Committee to consider all applications to Level 7.</td>
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R&T Job Family is available at

[http://www.nottingham.ac.uk/hr/guidesandsupport/jobfamiliesstaffgroupsandsummarytermsandconditions/jobfamilies/index.aspx](http://www.nottingham.ac.uk/hr/guidesandsupport/jobfamiliesstaffgroupsandsummarytermsandconditions/jobfamilies/index.aspx)