

---

## **ACADEMIC PROMOTION PROCEDURE (to Level 6)**

### **1. Introduction**

This procedure is applicable to all staff in the Research and Teaching Job Family (hereafter known as R&T) and seconded staff in UNMC and UNNC wishing to apply for promotion to Level 6 within that grade normally accompanied by the title 'Associate Professor').

### **2. Equal Opportunities**

The University values the diversity of its people and is committed to supporting equal opportunities and eliminating discrimination. We recognise that individual's personal characteristics and life/family circumstances may impact on their work, and endeavour to consider the impact of personal circumstances in a fair manner at all stages of the promotions process. We therefore encourage applicants to ensure they explain clearly the impact that any personal circumstances have had on their career within the promotions pro-forma.

In assessing promotion applications, all participants in the process must ensure objective and relevant criteria are used to ensure that the promotions process operates fairly and with due regard to the Equality Act 2010 and to the protected characteristics detailed within the Act. All information related to individual personal circumstances which is noted within the promotions documentation must be kept strictly confidential.

#### **2.1 The Context of the application**

Applicants may wish to share additional information in support of their application, including but not limited to;

- Part-time status/period of part time or flexible working - care should be taken to account for the fact that reduced hours are worked.
- Reasons for any discontinuity in service and achievement, for example owing to maternity, adoption, parental or carers leave and family-related career breaks.
- Information relating to disability, including incapacity that lasts for more than six months.
- Periods of absence due to ill health or injury.
- Absences for more than six consecutive months (ie career breaks).
- Special leave of absence on secondment to other organisations.
- Unconventional career pathways<sup>1</sup>
- Impact on LGBTQ status on travel to countries with non-inclusive legal regimes.
- Other personal circumstances having comparable impact on an individual's achievements to those listed above.

This is not an exhaustive list. If applicants have any personal circumstances which they consider having had an impact on their output, it is encouraged that these are detailed. Whilst Committees may take account of the reduced quantity of output, quality must be maintained.

#### **2.2 Considering when to apply**

It is expected that individuals will be recruited to the University at the right level of role for their experience and skills. Following appointment and when staff can demonstrate that they meet the promotion criteria then they may wish to consider applying for promotion. There is no set timeframe when this could take place. Similarly, there is no time limit for individuals who have previously been promoted to then apply for a further promotion, this should be when that individual can evidence the criteria at the next level.

---

<sup>1</sup> For example, career history which includes time outside of academia, i.e. industry or consultancy

### 3. Roles and Career Pathways at Level 6

This promotions procedure aims to ensure that the University offers promotion opportunities to staff that take account of the individual's career profile and pathway.

Academic careers and promotions are considered under one of three *career pathways*. Each of the areas of contribution may be represented to different extent dependent on the focus of an individual's role, as well as their *career pathway*. Pathways will normally be reflected in a formal agreement of role responsibilities, and should be recognised through a formal record. Any promotion application that includes a change of career pathway requires approval by the Head of School and Faculty PVC. This may involve a formal change of contract.

The three pathways for the research and teaching job family are:

- Teaching and Curriculum Leadership pathway – levels 4, 5, 6 and 7
- Research and Teaching pathway – levels 5, 6 and 7
- Research pathway – levels 4, 5, 6 and 7.

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

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

\* For staff appointed or promoted to Level 5 (through the research & teaching and teaching & curriculum leadership pathway) from 1 January 2011 it is a requirement to have completed 30 credits of PGCHE (or equivalent) before any promotion application to Level 6 will be considered. For staff appointed or promoted to Level 5 (through the research & teaching and teaching & curriculum leadership pathway) from 1 January 2019 it is a requirement to have completed 40 credits of PGCHE (or equivalent) before any promotion application to Level 6 will be considered. For staff appointed or promoted to Level 6/7 (through the research & teaching and teaching & curriculum leadership pathway) from January 2019 it is a requirement to have a qualification or recognition from a professional body as accepted by HESA<sup>2</sup>

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

<b>For Research and Teaching Role</b>	
Level 5	Assistant Professor
Level 6	Associate Professor
Level 7	Professor
<b>For Research Roles</b>	
Level 5	Senior Research Fellow
Level 6	Principal Research Fellow
Level 7	Professor
<b>For Teaching and Curriculum Leadership Roles</b>	
Level 5	Assistant Professor
Level 6	Associate Professor
Level 7	Professor

### 4. Scope

Staff wishing to apply for promotion to Level 6 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.

---

<sup>2</sup> This can be achieved either through the Nottingham Recognition Scheme (those experienced in teaching) or the PGCHE (those with limited teaching experience).

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
- teaching and curriculum leadership 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 globally).

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 University is a signatory of the Declaration on Research Assessment (DORA). As such we commit to focus on the scientific content of publications as a basis for review of quality, and consideration of value and impact of research conducted, rather than any proxy measures such as Journal Impact Factor.

The criteria for promotion to Level 6 can be found in the Academic Promotions Framework.

### **5.2 Reference to R&T Job Family**

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.

## **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.

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 Curriculum Leadership 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 curriculum leadership 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 Faculty Pro-Vice Chancellor, Head of School or APVC. 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;
- an up-to-date Curriculum Vitae (CV), completed in the standard format only (details found in the Standard Format for CV Submission document).

The application should demonstrate what contribution they have made towards the successful achievements of the School/Faculties aims and objectives.

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. 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 – Pre-Committee Meetings & Promotion Report Pro-forma**

The Head of School must make a brief report to reflect the pre-committee meeting discussion (using the Promotion Report Pro-Forma), sending it electronically to the Faculty Pro-Vice-Chancellor, with a copy to Human Resources ([BR-HR-Promotions@exmail.nottingham.ac.uk](mailto:BR-HR-Promotions@exmail.nottingham.ac.uk)), as to the number of promotion cases considered and how many were supported or not supported (briefly giving the reasons why any applications were not supported were appropriate) by the pre-committee. The HoS pro-forma should reflect the committee discussions and recommendations. The Faculty Pro-Vice-Chancellor should receive all the Promotions Report Pro-formas from Heads of School, where appropriate and prior to Faculty Promotions Committee. This data will be monitored by Human Resources for equality and diversity purposes.

The Faculty Pro-Vice-Chancellor, in order to build up an informed view of the promotions cases, as well as ensuring consideration to applications has taken place in a fair and consistent manner, may arrange a School and/or Faculty Pre-Committee Meeting.

## **Step 4 – 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 [BR-HR-Promotions@exmail.nottingham.ac.uk](mailto:BR-HR-Promotions@exmail.nottingham.ac.uk) in Human Resources.
- Deadline for submission for applications to Level 6 is by 4:00pm on Wednesday 8 December 2021.
- If an electronic copy of one of the 5 research publications is not available one hard copy should be sent to Kathryn Howard, Human Resources by 15 December 2021.

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

**The Head of School must:**

- complete a Head of School 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 pro-forma to the applicant for it to be included in the final submission by the applicant;
- email the completed pro-forma to [BR-HR-Promotions@exmail.nottingham.ac.uk](mailto:BR-HR-Promotions@exmail.nottingham.ac.uk) in Human Resources by **15 December 2021** (copying in the applicant) if unable to return the completed pro-forma to applicant by 8 December 2021.

## **Step 5 – Meeting of the Promotions Committee (Level 6)**

Each Faculty Pro-Vice-Chancellor will present to the Committee the applications and the Promotions Committee will consider all application in a consistent and fair manner in order to decide those candidates to be promoted. Candidates will be considered in batches by career pathway; Research & Teaching, Teaching & Curriculum Leadership and Research. 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 pathway.

## **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 Appraisal and Development Conversations (ADC) 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. Successful candidates will be moved to the bottom point of the salary scale relevant to their new level, except where their current salary is already at or above that amount, in which case they will be moved to the next point up on the salary scale relevant to their new level.

For example:

<b>Previous Salary Point</b>	<b>New Salary Point</b>
Level 5 <b>Point 43</b> £50,296	Level 6 <b>Point 45</b> £53,348

This will mean a salary increase on promotion and access to a new salary scale up which the promoted candidate can progress.

## **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 the Head of School Pro Forma that has been submitted to the Promotions Committees.
- Candidates may challenge the Head of School Statement, on the basis of factual inaccuracies, via the Faculty Pro-Vice-Chancellor.
- 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 Committee Constitution**

Deputy Vice-Chancellor (Chair)  
Pro-Vice-Chancellors  
Faculty Pro-Vice-Chancellors  
Pro-Vice-Chancellor Equality, Diversity and Inclusivity  
Three non-professorial representatives (elected by Senate)  
Secretary: Director of Human Resources

## **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 curriculum leadership 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

<https://www.nottingham.ac.uk/hr/guidesandsupport/promotionandregrading/promotion/index.aspx>

**NB: The dates in the timetable are for 2021/22 only**

## APPENDIX 1

## GLOSSARY OF TERMS

Term	Meaning
1 Research & Teaching (R&T) Job Family	The R&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&T Job Family is available on the HR web site <a href="#">here</a>
2 School/ Faculty Pre-Committee Meetings	An advisory School/Faculty Pre-Committee Meeting maybe convened to support an informed view of the promotions cases, as well as ensuring consideration to applications has taken place in a fair and consistent manner.  These meetings are not mandated and will take place at the discretion of the Faculty Pro-Vice-Chancellor.
3 Promotions Committees	There will be an Academic Promotions Committee to consider all promotion applications to Level 6.
4. University Requirements for Teaching-related posts	For those applicants promoted to Level 6 (other than through the research pathway) with effect from 1 January 2019 it will be a requirement to gain a qualification or recognition by a professional body as accepted by HESA (if not already obtained): <a href="https://www.nottingham.ac.uk/hr/documents/university-requirement-for-teaching-related-posts.pdf">https://www.nottingham.ac.uk/hr/documents/university-requirement-for-teaching-related-posts.pdf</a> <a href="https://www.hesa.ac.uk/collection/c15025/a/actchqual/">https://www.hesa.ac.uk/collection/c15025/a/actchqual/</a>  For staff appointed or promoted from 1 January 2011 it is a requirement for Level 5 staff applying for promotion to Level 6 (through the research & teaching and teaching & curriculum leadership pathway) to have completed 30 credits of the PGCHE (or equivalent). For staff appointed or promoted from 1 January 2019 it is a requirement for Level 5 staff applying for promotion to Level 6 (through the research & teaching and teaching & curriculum leadership pathway) to have completed 40 credits of the PGCHE (or equivalent).