



ACADEMIC PROMOTION PROCEDURE (to Level 7)

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 7 (normally accompanied by the title '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 pathways¹.
- 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.

3. Roles and career pathways at Level 7

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

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 paths:

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

For staff appointed or promoted to Level 6/7 (through the research & teaching and teaching & curriculum leadership pathway) from 1 January 2019 it is a requirement to have a qualification or recognition from a professional body as accepted by HESA².

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

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

4. Scope

Staff wishing to apply for promotion to 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.

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

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 7 can be found in the Academic Promotions Framework.

5.2 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 7 through the 'combined' or 'teaching' paths.

For promotion to Level 7, 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 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).

The applicant should demonstrate what contribution they have made towards the successful achievement(s) of the School/Faculty's 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 Level 7. Applicants should use the relevant Pro Forma in a concise manner, keeping to the word limit. 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), 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 where 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 promotion 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 in Human Resources.
- Deadline for submission for applications to Level 7 is by 4.00 pm on Wednesday 27 October 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 3 November 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 Head of School pro-forma to BR-HR-Promotions@exmail.nottingham.ac.uk in Human Resources **by 3 November 2021** for applications to Level 7 (copying in the applicant) if unable to return the completed pro-forma to applicant by 27 October 2021.

*The Head of School can propose, if applicable, a change of job title for the applicant, giving the reason for that request.

Step 5 - First meeting of the Level 7 Promotions Committee

All applications will be reviewed in a consistent and fair manner by the Promotions Committee in order to decide those for which there is a *prima facie* case for promotion. Candidates will be considered in batches by career pathway; Research & Teaching, Teaching and Curriculum Leadership and Research. It will take into account all the evidence and details submitted and assess the application against the criteria set out in the relevant R&T Job Family level, with due regard to the relevant career path. The Promotions Committee 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

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.

All advisers must be external to the University, including the one personally nominated by the candidate and ideally from different external institutions. 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, whose decision is final as to who to put forward as External Adviser(s) and candidates will not be asked to provide names of potential External Advisers. 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 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

The Faculty Pro-Vice-Chancellor will present to the Promotions Committee the reports from the external advisers for Level 7 applications. 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 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:

Previous Salary Point	New Salary Point
Level 6 Point 51 £63,668	Level 7 Band A Point 1 £65,578

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 (see below) 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
Three 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/promotionandregarding/promotion/index.aspx>

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

1	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 here .
2	School/ Faculty Pre-Committee Meetings	An advisory School/Faculty Pre-Committee Meeting maybe convened to support an informed view of the promotion 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 7.
4	University Requirements for Teaching-related posts	For those applicants promoted to Level 6 or Level 7 (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): https://www.nottingham.ac.uk/hr/documents/university-requirement-for-teaching-related-posts.pdf https://www.hesa.ac.uk/collection/c15025/a/actchqual/ 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).