



ACADEMIC STAFF PROMOTIONS PROCEDURE

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1. GENERAL PRINCIPLES

This procedure adheres to the principles of the Charter of Incorporation of Aston University and of its Equality and Diversity Policy.

The basis of academic promotion is assessment by one's peers. In support of this, the purpose of this procedure is to ensure that all applications for promotion are treated in a fair and impartial way, and in line with the strategic aims and objectives of the University.

The University is committed to act in a manner which does not discriminate, either directly or indirectly, in its promotion decisions. It also recognises the need to take into account individual circumstances which may have resulted in a restricted opportunity for a staff member to perform to his or her potential. Examples of such circumstances are given at [Appendix F](#).

Good School and University citizenship is a prerequisite for consideration of applications for promotion. Here, citizenship is defined as making a pro-active contribution to the activities of the School, Department and/or University that fall outside of the expectations of the role; getting involved and taking responsibility, without being asked, for making the things happen that have a contribution to the achievement of Aston First objectives and in support of Aston's values (trust, empowerment, engagement, innovation, learning and scholarship, ambition);

demonstrating commitment to working unselfishly and effectively to the benefit of others and the University. Staff should demonstrate how they have met the leadership expectations of Aston First: inspiring others and gaining commitment; recognising and rewarding high performance; remaining open to new ideas and seeking to act quickly for positive change; attracting, retaining and developing outstanding staff; being ambitious for themselves, their teams and the University; engaging with staff by listening, observing and communicating; focussing on excellent customer service; being decisive and making balanced judgements; empowering staff to make reasoned decisions without fear of blame; engendering trust through their own actions; being fair in all matters

Staff should expect that activities and achievements which contribute primarily to the development and success of the University and its aims and objectives (as opposed to those which contribute primarily to the standing of the individual) will be viewed particularly positively.

2. ACADEMIC ROLE PROFILES AND PROMOTION CRITERIA

Details of the roles and responsibilities associated with each academic grade are given in the University's academic role profiles. The promotion criteria outlined below indicate the type of evidence that is required for promotion at each level.

Academic positions are by their nature diverse. Applicants should note that the Academic Role Profiles therefore focus on the main features of jobs within the University, and *are not* detailed descriptions of the activities of particular jobs. They provide an indication of the minimum level of the work which should be undertaken within each academic grade. Applicants for promotion are not required to provide evidence that they are undertaking every aspect of a Role Profile.

Applicants may wish to build other aspects of their roles into their case for promotion. Executive Deans (and line managers/PDR Reviewers) should be encouraging staff (where appropriate) to undertake some duties identifiable as characteristic of the grade above. Evidence of such activities will strengthen the case for promotion.

3. PROMOTIONS PROCEDURE

- 3.1 Each year, the Vice-Chancellor will initiate an academic staff promotions review. Applications for promotion will be invited from Lecturers, Senior Lecturers and Readers, and will be considered on the basis of the criteria in [Appendix A](#).
- 3.2 The arrangements for reviewing Lecturers at Grade 8, with a view to promoting them to Lecturer Grade 9 fall within this review. The procedure is set out at [Appendix E](#).
- 3.3 Those wishing to apply should complete the Academic Staff Promotion Application Form. Members of staff should indicate the level of promotion and the grounds on which they wish to be considered on the Application Form.
- 3.4 The Executive Dean (or his/her nominee) should be available to discuss applications with individual members of staff prior to the deadline for submitting applications. Applicants should approach their Executive Dean (or

nominee) for advice and guidance on their application, and also to talk to other relevant individuals such as members of the Professoriate.

- 3.5 Drop-in sessions will also be held by the relevant Pro-Vice-Chancellors with whom staff members wishing to explore applying for promotion are encouraged to engage. Pro-Vice-Chancellors will also be available to staff for follow-up discussions on a one-to-one basis.
- 3.6 Staff applying for promotion should reach agreement with their Executive Dean (or nominee) on the factual information presented on the application form. If they cannot agree, they should indicate on the form where they differ.
- 3.7 Applicants should normally have been employed at their current grade for at least one year before applying for promotion. Following a promotion it will generally take a number of years to reach the next level.
- 3.8 The School Promotions Committee will evaluate the level of achievement and overall strength of the application against the promotion criteria before deciding which applications to submit to the University Promotions Committee for further consideration.
- 3.9 The Executive Dean will inform those whose applications the Committee considers should not proceed of the reasons for this decision. Candidates who are not successful at this stage are encouraged to discuss with their Executive Dean (or nominee) what they need to do to meet the criteria for promotion. Notes will be taken by HR to support this.
- 3.10 Individuals whom the School Promotions Committee has decided should not proceed to a University Promotions Committee may decide, with or without contrary advice received from the Executive Dean (or nominee), whether they wish their application to be forwarded to the University Promotions Committee for further consideration.
- 3.11 The University Promotions Committee will consider all applications for promotion against the promotion criteria, and will take into account comments from referees. Where applications are for Readerships or Personal Chairs, comments and advice will be sought from distinguished, international external assessors, identified by the Executive Dean, the Pro-Vice-Chancellors and the Professoriate. (A detailed explanation of this stage of the procedure is given at [Appendix D](#)).
- 3.12 For promotions to Personal Chairs, the University Promotions Committee will then decide which applications should go forward to a Promotions Board. For promotions to other grades, the University Promotions Committee will determine the success of the application. As a quality control mechanism for the process, a proportion of candidates at each level may be selected by the University Promotions Committee to proceed to a Promotions Board.
- 3.13 Where the information submitted by a candidate requires further clarification, the University Promotions Committee can decide that an application should proceed to a Promotions Board.

- 3.14 Where applications are submitted to a Promotions Board for consideration, the Board should be similar in composition to an Appointments Board for the relevant levels.
- 3.15 The effective date for promotions will be 1 August, the start of the University financial year following the launch of the promotions review.
- 3.16 Candidates who are not promoted are encouraged to discuss with their Executive Dean what they need to do to meet the criteria for promotion. Notes will be taken by HR to support this. Given the time necessary to make a significant improvement in academic standing, applications which are unsuccessful at this final stage should not normally expect to be reviewed again within a two-year period.
- 3.17 The appeals procedure is detailed in [Appendix G](#).
- 3.18 Exceptionally it may be necessary to consider special cases for promotion at times other than the annual promotions cycle. This provision is not available as a route for late submissions. Special cases must be supported by the relevant Executive Dean who should prepare a report, describing the exceptional circumstances, for the Vice-Chancellor, as Chair of the University Promotions Committee. If it is accepted that the case merits review outside of the normal annual cycle, consideration of the academic case for promotion will follow a procedure similar (except in timing) to that for the normal annual Promotions Review. This will include completion, by the individual, of an [Academic Staff Internal Application Form](#).

4. CONSTITUTION OF UNIVERSITY PROMOTIONS COMMITTEE

The University Promotions Committee is chaired by the Vice-Chancellor, and comprises the Pro-Vice-Chancellors, Executive Deans and Chief Operating Officer. A member of the HR team will act as Secretary.

5. CONSTITUTION OF SCHOOL PROMOTION COMMITTEES

The constitution of a School Promotion Committee is at the discretion of the relevant Executive Dean; a majority of members should be professors and the Committee should include a member of the HR team. The Senior Pro-Vice-Chancellor and the Pro-Vice-Chancellors for Research, and Business Partnerships & Knowledge Transfer, will be invited to attend and/or submit comments on the applications.

APPENDIX A - CRITERIA FOR PROMOTION

Consideration of all proposals for promotion will involve the assessment of an individual's overall contributions to the strategic objectives of the University and their School. These will be judged under the following areas.

1. **Research:** contribution to the advancement of a subject/profession by research and scholarship
2. **Learning and teaching:** contribution to the advancement of a particular subject area/profession through learning and teaching via impact on student learning experience and achievement and scholarship
3. **Contribution to the wider mission:** contribution to the wider mission of the University, including leadership and management, community engagement and external professional activities

Promotion to each grade is normally open to those able to demonstrate **excellence** in research or in learning and teaching. In exceptional circumstances, excellence in their contribution to the wider mission of the University will be considered. Where a candidate is able to demonstrate excellence in both research and in learning & teaching, the requirement to demonstrate ability and effectiveness in contribution to the wider mission is likely to have been met but may be waived by the University Promotions Committee on the recommendation of the School Promotions Committee.

Candidates must clearly identify in their applications which of the three assessment areas they believe to be of primary importance in their application. Whichever area is selected as the primary basis for the application, candidates must also demonstrate their **ability and effectiveness** in the other two areas. The contribution in the other two areas need not be equal.

The Levels of Achievement ([Appendix B](#)) and the Notes for Guidance ([Appendix C](#)), indicate the type of evidence which applicants may wish to present. These lists are indicative only.

The criteria for promotion have been established in the context of the University's commitment to equality of opportunity for all staff and the University's strategy.

APPENDIX B – LEVELS OF ACHIEVEMENT

As outlined in Appendix A, promotion to each grade is normally open to those able to demonstrate **excellence** in the areas of research and of learning and teaching (or very exceptionally, the area of contribution to the wider mission of the university), and **ability and effectiveness** in the other two areas. Candidates are advised that in most cases only one area of excellence should be claimed.

Indicators of Achievement

These examples of the type of evidence required are common to all levels of promotion.

RESEARCH

Publications: academic papers/refereed journal articles, books/monographs; external research grant funding; research students supervised; patents (applied for and granted); invited lectures and seminars; plenary and invited presentations; invitations to join conference organizing committees, chair sessions, deliver keynote lectures; recognition in the form of awards and prizes for research; membership/fellowship of professional bodies; participation in international research collaborations; other indicators including various forms of research impact.

TEACHING AND LEARNING

Evidence of effective and innovative practice in learning and teaching including formal teaching qualifications (and other indicators such as fellowship of the HEA and National Teaching Fellowship), active and reflective engagement with student feedback processes, development of innovative course materials and forms of delivery; evidence of effective leadership in learning and teaching including invitations to speak at external meetings and join/lead national and international committees and reviews; publications including contributions to textbooks, journals and conferences and other forms of dissemination; external recognition in the form of membership and fellowship of professional organizations, collaborations, awards and prizes for teaching; positive impact on the student experience and acquisition of external funding for research and/or developments in learning & teaching.

NB: To demonstrate ability and effectiveness in learning and teaching, all staff will need to demonstrate active and reflective engagement with student feedback processes. To do this, student feedback should be summarised and submitted to the School Promotions Committee (and subsequently to the University Promotions Committee) together with the Module Reflection Pro Forma which can be found on the website at <http://www1.aston.ac.uk/registry/for-staff/regsandpolicies/annualreviewandmonitoring/>.

During 2012/13 the University is moving towards providing student feedback on a centralised basis. Where this is available, applicants may ask for their School Quality Office to provide it. Also, no application may proceed to University Promotions Committee without this material being present.

CONTRIBUTION TO THE WIDER MISSION OF THE UNIVERSITY

Leadership and senior level management roles in externally funded projects; contribution to businesses, the public sector and the community relevant to the University's mission; enhancing the University's reputation and external profile by taking leadership roles in professional and scholarly bodies; contributions to the development of government policy or standards.

(a) Levels of achievement required for promotion to Senior Lecturer

RESEARCH

Ability and Effectiveness, indicative minimum requirements:

A developing publication record (appropriate for the subject area) typically including the equivalent of at least 1 publication per year in an international journal (2* or above) and publications in other journals, refereed conferences; scholarly articles and textbooks, etc.

Excellence, indicative minimum requirements:

An established research profile, at least at national level, including evidence of a growing body of recent internationally excellent and leading publications (3* and 4*); invited conference presentations and seminars; and/or other evidence of research impact and esteem; making the candidate submissible for the REF. Evidence of research student supervision and successful completion; developing research leadership including attracting grant income at levels appropriate for the subject area.

LEARNING AND TEACHING

Ability and Effectiveness, indicative minimum requirements:

Independently assessed ability to communicate the discipline effectively in a learning and teaching context; evidence of quality and innovation in learning and teaching; evidence of good student feedback on their learning experience and critical reflective practice (required). Reflective practice is defined as "the process of learning through and from experience towards gaining new insights of self and/or practice" (Boud et al 1985; Boud and Fales, 1983; Mezirow, 1981, Jarvis, 1992)¹.

Excellence, indicative minimum requirements:

Independently assessed evidence of excellence in learning and teaching; PGCPP (or equivalent) qualification or Fellowship of the Higher Education Academy;; evidence of innovative teaching developments; evidence of the analysis and ongoing use of student feedback and critical reflective practice to achieve excellent personal performance (required); evidence of significant participation in learning and teaching and its impact on

Boud, D. and Fales, A. (1983) Reflective learning: key to learning from experience. *Journal of Humanistic Psychology*, 23(2), 99-117.

Boud, D., Keogh, R. and Walker, D. (1985) Promoting reflection in learning: a model. In D. Boud, R. Keogh and D. Walker (eds.) *Reflection: turning experience into learning*. London: Kogan Page.

Jarvis, P. (1992) Reflective practice and nursing. *Nurse Education Today*, 12(3), 174-181.

Mezirow, J. (1981) A critical theory of adult learning and education. *Adult Education*, 32(1), 3-24.

curriculum development across the subject group, the enhancement of the subject area; evidence of a positive impact on the student experience; evidence of being a recognized role-model in teaching e.g. engagement across the University via CLIPP initiatives, engagement at national level, peer mentoring, sharing best practice and acquisition of external funding for research and/or developments in learning & teaching.

WIDER MISSION OF THE UNIVERSITY

Ability and Effectiveness, indicative minimum requirements:

Evidence of active participation in at least one of the indicators of achievement outlined, or other relevant indicators.

Excellence, indicative minimum requirements:

Evidence of emerging leadership/significant active participation in at least three indicators of achievement; evidence should substantiate an exceptional level of demonstrable impact of the activities on the University's profile and recognition and external personal recognition/acclaim in at least one of the areas of activity

(b) Levels of achievement required for promotion to Reader

RESEARCH

Ability and Effectiveness, indicative minimum requirements:

An established publication record (appropriate for the subject area) and continuing scholarly activity, typically including the equivalent of at least 1 publication per year in an international journal (2* or above) and publications in other journals, refereed conferences; scholarly articles and textbooks, etc.

Excellence, indicative minimum requirements:

A rapidly developing international research profile; a strong publication record of internationally excellent and leading publications (3* and 4*) on an upward trajectory; invited keynote conference presentations and prestige lectures; and/or other evidence of significant research impact and esteem including prizes and awards; an established record of research student supervision and successful on-time completion; evidence of research leadership with a track record of, and current active, grants at levels appropriate for the subject area; esteem indicators such as membership of appropriate professional bodies

LEARNING AND TEACHING

Ability and Effectiveness, indicative minimum requirements:

Independently assessed ability to communicate the discipline effectively in a learning and teaching context; evidence of the analysis and ongoing use of good student feedback and critical reflective practice to improve personal performance in learning and teaching (required); evidence of quality and innovation in learning and teaching.

Excellence, indicative minimum requirements:

Independent evidence of excellence and innovation in learning and teaching including attracting external funding and awards; PGCPP or equivalent qualification; established national, and developing international, profile in learning and teaching including invitations to share innovative practice and external collaborations; evidence of leadership/significant participation in learning and teaching and its impact on curriculum development across the subject group and School, and the enhancement of the subject area, Evidence of the analysis and ongoing use of student feedback and critical reflective practice to achieve excellent personal performance (required); evidence of a positive impact on the student experience, a leading role in the support and mentoring of staff new to university teaching and learning and acquisition of external funding for research and/or developments in learning & teaching.

WIDER MISSION OF THE UNIVERSITY

Ability and Effectiveness, indicative minimum requirements:

Evidence of significant active participation across more than one of the indicators of achievement outlined above, or other relevant indicators.

Excellence, indicative minimum requirements:

Evidence of emerging leadership/significant management roles in at least three areas of the evidence of achievement indicated; evidence should substantiate an exceptional level of demonstrable impact of the activities on the University's profile and recognition and a national level of external personal recognition/acclaim in at least one of the areas of activity.

(c) Levels of achievement required for promotion to Professor

RESEARCH

Ability and Effectiveness, indicative minimum requirements:

A good publication record (appropriate for the subject area) and continuing scholarly activity, typically including the equivalent of at least 1 publication per year in an international journal (2* or above) and publications in other journals, refereed conferences; scholarly articles and textbooks etc; examples of research impact.

Excellence, indicative minimum requirements:

An established international research profile; a record of internationally excellent and leading publications (3* and 4*) demonstrating impact on the subject area; a record of invited international keynote conference presentations and prestige lectures; and/or other evidence of significant research impact and esteem including prizes and awards; a well established record of research student supervision and successful on-time completion; evidence of strong leadership and team-building in research with a track record of research grant income and successful completion of externally funded research projects, including recent or current grants, that is appropriate in terms of the expectations of the subject area; evidence of successful international research collaborations; growing esteem indicators such as fellowship of professional institutions.

LEARNING AND TEACHING

Ability and Effectiveness, indicative minimum requirements:

Independently assessed ability to communicate the discipline effectively in a learning and teaching context; evidence of the analysis and ongoing use of good student feedback and critical reflective practice to improve personal performance in learning and teaching (required); evidence of quality and innovation in learning and teaching; advice and mentoring of junior staff.

Excellence, indicative minimum requirements:

Independent evidence of excellence and innovation in learning and teaching including attracting external funding and awards; National Teaching Fellowship or equivalent external accreditation; international profile in learning and teaching including invitations to share innovative practice and external collaborations; evidence of leadership in learning and teaching and its impact on curriculum development across the University, the enhancement of the subject area; evidence of the analysis and ongoing use of student feedback and critical reflective practice to achieve excellent personal performance (required); evidence of innovation, outreach and positive impact on the student experience; a leading role in the support and mentoring of staff new to university teaching and learning and acquisition of external funding for research and/or developments in learning & teaching.

WIDER MISSION OF THE UNIVERSITY

Ability and Effectiveness, indicative minimum requirements:

Evidence of leadership across more than one of the indicators of achievement, or other relevant indicators.

Excellence, indicative minimum requirements:

Evidence of excellent leadership across at least three of the indicators of achievement outlined above; evidence should substantiate an exceptional level of demonstrable impact of the activities on the University's profile and recognition and a national or international level of external personal recognition/acclaim in at least one of the areas of activity.

APPENDIX C

GUIDANCE FOR APPLICANTS

1. Format of Applications

The University Promotions Committee wishes to take into account all relevant factors that have had an effect on an individual's career profile, and on the volume of output. Candidates should therefore provide the following (where appropriate):

- a) A completed application form identifying the criteria on which the application is based and summarising the case for promotion against each of the criteria, referring to the indicators of assessment, highlighting the most significant achievements and drawing attention to any specific issues relevant to the case; including any personal criteria as set out in ([Appendix F](#));
- b) a portfolio of supporting evidence which should include:
 - an index of the supporting evidence in the portfolio with a brief explanation of how it supports your case
 - a summary and analysis of your student feedback and annual Module Reflection forms (see [Appendix B](#)). This summary should from 2012/13 be the one produced as part of the centrally administered module questionnaire where this is available
 - an outline of your short to medium term plans
 - an outline of your contribution to citizenship of the School and University
 - any additional information you wish the Committee to consider
- c) the names, addresses and contact details of the appropriate number of referees (see [Appendix D](#)).

Please ensure that all pages of the application and the supporting portfolio are numbered and presented in an electronic format to your School HR Advisor in a file labeled with your name and that of your School. Any documents which are not in an electronic format must be presented in a format which can be scanned.

Details of the type of evidence required and how it will be assessed is given below for each of the three key areas.

It is important for ease and consistency of consideration that your application is set out in accordance with the following guidelines. If it is necessary to deviate from this format due to conventions relevant to your discipline, please indicate this in the summary in your application form.

2. Research

Please note that applicants are not expected to meet all of the indicators in all areas. Where applicants show a particularly strong record of achievement against one or more of the research indicators, this will be taken into account in evaluating the overall level of achievement for research.

a) **Publications in peer-reviewed journals and/or books.**

In this section you should include:

- research publications of joint or sole authorship, publications in refereed journals, and other articles, papers and conference proceedings

- other recognised research-based articles in refereed publications
- book(s) and monographs
- presentations of research findings at conferences.

Evidence should be presented as a conventional scholarly publication list.

- Where a paper has multiple authors, the corresponding author (i.e the person with whom the journal corresponds) should be underlined.
- Where there are joint publications, candidates should indicate whether they are the principal or lead author, a co-author or a contributor, and provide a clear statement of their personal intellectual contribution to the publication.
- Only work that has been published or accepted for publication should be included.
- Rating scale for publications. Please provide an estimated ranking for your publications, in line with the approach your School is taking for the REF, from 1* to 4*.
- Where possible and in particular for publications which are ranked as 3* or 4*, supporting evidence should be provided, including journal impact factors and citations.
- Where research is cited as one of the primary criteria for promotion, copies of up to three key articles or book chapters should be included in the portfolio.

b) External grants awarded

Evidence should include details of external grants awarded, specifying the amounts applied for and awarded, the funding body, the lead investigator(s), the principal investigator(s), and any other collaborators or partners. Where relevant, the grading of the grant applications should be included, together with any formal evaluations of final grant reports.

Please note:

You may include details of funding applications whose outcome is awaited, but you should not include details of unsuccessful bids.

c) Esteem indicators

Evidence could include

- organisation of major academic conferences/meetings
- award of medals, prizes or other academic distinctions by learned societies

d) Patents held

Please list patents held or applied for

e) Research students supervised

The names of students, their area of research/thesis title, level (i.e doctoral or masters) and year of completion should be recorded. The supervisory role played (i.e main or associate supervisor) should also be noted for each student.

e) Other evidence of contributions to research

This could include:

- membership of editorial board(s)
- refereeing of articles for peer-reviewed academic journals

- refereeing of grant applications by research councils and other major funding bodies
- other contributions to the public understanding of the subject area
- international and business collaborations.

3. Learning and Teaching

Evidence of critical reflective practice is required of all applicants.

The following are illustrative examples of indicators which could be included in the portfolio of evidence to support a promotion application. Evidence should be presented in the form of a list summarising achievements where relevant and should be accompanied by an analysis of student feedback:

a) Ability to communicate the discipline in a learning & teaching context

- PGCPP or other comparable recognized teaching qualification
- Membership of the HEA
- Independent peer reviews of teaching practice (these should normally be arranged through CLIPP or your Associate Dean for Learning and Teaching)
- Published, referenced papers on experience of applying learning & teaching theory
- Conference presentations

b) Evidence of quality and innovation in teaching

This should take the form of an assessment of the innovations introduced:

- development of innovative teaching materials or methodologies
- teaching innovation and course development, course design and administration at both postgraduate and undergraduate levels
- contributions to the development of new approaches to course design, learning and teaching and assessment practice within the School/University
- contributions to the teaching curriculum ensuring students at PG and UG are informed of the latest research
- contributions (e.g. textbooks, articles or development of computer schemes) that have informed the way in which the subject is taught within the discipline/School/University
- development and/or design of learning and teaching resources
- clinical teaching, if appropriate, evidence of clinical relevance, demonstrated by linking teaching with “evidence-based health care”

c) Evidence of critical reflective practice

- summary of student feedback
- completed Module Reflection forms (see [Appendix B](#))
- analysis of the impact of good teaching practice on student feedback

d) National/international profile for learning & teaching

- involvement in national learning & teaching projects and/or networks
- external examining
- contributions to national curriculum debate in the subject area
- contributions, e.g. textbooks, articles or development of computer schemes that have shaped the way in which the subject is taught
- prizes or awards for learning and teaching contributions

e) Leadership in learning & teaching and its impact on curriculum development, the enhancement of the subject area and positive impact on the student experience

- National Teaching Fellowship or equivalent external accreditation
- an evidenced account of leadership in learning & teaching and its impact internally, externally and on the student experience (this could take the form of a 2000 word essay)
- involvement in learning and teaching at an institutional, national or international level, for example running seminars, workshops or specialist courses in this or other universities
- collaborative teaching across subject and disciplinary boundaries that demonstrate a contribution to interdisciplinary/professional education
- the development and the building of teams consistent with the grade of promotion applied for
- acting as an innovator/champion in Learning and Teaching for the School/University/nationally/internationally
- evidence of improvements in student feedback
- obtaining external funding for pedagogic research and/or other developments in learning and teaching

4. Contribution to the Wider Mission of the University:

a) Leadership and senior level management of externally funded projects

This should be presented in the form of a list summarising achievements (where relevant) of the following:

- project and/or financial management for large projects including interdisciplinary groups that have a regional, national or international profile;

b) Contribution to businesses, public sector and the community

This should be presented in the form of a list summarising achievements (where relevant) of the following:

- innovation and knowledge transfer
- contribution to the successful commercialisation of patents, inventions and any other exploitable intellectual property
- contribution to culture and cultural enrichment
- contribution to industry, commerce and the public services
- advising government bodies on operational improvements (as opposed to improvements in policy or standards)

c) Enhancing the University's reputation/profile with professional/scholarly bodies

This should be presented in the form of a list summarising achievements (where relevant) of the following:

- leadership in work that has made a significant contribution to the advancement of knowledge and/or its application to the subject area/professional practice/policy-making at a national level
- leading the public understanding of one's subject at a national or international level

- leadership/senior roles in academic quality assurance assessments, validation panels, etc, at external institutions
- d) Contribution to the development of Government policy and standards**
This should be presented in the form of a list summarising achievements (where relevant) of the following:
- Contribution to work that has made a significant input to government policy-making (UK or overseas), including references to specific policy documents and their impact
 - Contribution to work that has made a significant input to the setting of standards (national or international), including references to specific standards documents and their impact.

APPENDIX D

REFEREES AND EXTERNAL ASSESSORS

Referees should be nominated by applicants and should be sufficiently familiar with the applicant's work to comment meaningfully on the application. These referees should generally be professors, or people of professorial standing, familiar with the standards for promotion within UK research-led universities. Where applicants are claiming international standing in any area, a balance of UK and international referees should be identified.

Where the application for promotion is to the rank of Reader or Professor, internal referees should not normally be nominated.

External Assessors should be nominated by the relevant senior members of the University (Executive Dean, PVCs, Professoriate) and should be (as far as possible) independent of the applicant. These referees should be professors, or people of professorial standing, familiar with the standards for promotion within UK research-led universities. Where applicants are claiming international standing in any area, a balance of UK and international referees should be identified. External Assessors should not include applicant's PhD supervisors or co-authors and should normally be kept confidential from the applicant. When nominating assessors, Executive Deans should be mindful of the reputation of the institution/subject area of the proposed assessor. The assessor's institution can have a bearing on the authority they bring.

For promotion to each rank, the final list of referees and external assessors who are to be consulted will be selected from names presented by the candidate and the Executive Dean (the Dean's list will include those from PVCs and the Professoriate.)

Referees and External Assessors where application for Promotion is to the Rank of Professor

Applicants should provide the details of three referees and Executive Deans should provide the details of three external assessors, all of whom should be in a position to comment on the work and reputation of the candidate in both a national and international context. At least two referees and two assessors will be consulted. At least one of the external assessors and one of the referees should be international.

Referees and External Assessors where application for Promotion is to the Rank of Reader

Applicants should provide the details of two referees and Executive Deans should provide the details of three external assessors, all of whom should be in a position to comment on the work and reputation of the candidate. At least one referee and two assessors will be consulted.

Referees and External Assessors where application for Promotion is to the Rank of Senior Lecturer

Applicants should provide the details of two referees and Executive Deans should provide the details of two external assessors, all of whom should be in a position to comment on the work and reputation of the candidate. At least one referee and one assessor will be consulted.

APPENDIX E

PROGRESSION FROM LECTURER GRADE 8 TO LECTURER GRADE 9

The procedure for the review of Lecturers appointed to Lecturer Grade 8, for progression to Lecturer Grade 9, falls within the Academic Staff Promotions Procedure.

All academic staff appointed to the Lecturer Grade 8 scale may apply annually for a review of their suitability for progression to the Lecturer Grade 9 scale until the maximum (non-contributory) point of the Grade 8 scale is reached, at which point the review is compulsory.

1. Procedure

- a) Executive Deans are required to carry out a review of all lecturers in the School, appointed to Lecturer Grade 8, who are at or above the maximum point of that scale, with a view to determining their suitability for progression to Lecturer Grade 9.
- b) All lecturers appointed to Lecturer Grade 8, regardless of whether or not they are at the maximum of that scale, will be advised annually, normally at the time the Academic Staff Promotions Review is launched, of their option to apply to their Executive Dean for a review of their suitability for progression to Lecturer Grade 9.
- c) All lecturers under review for progression to Lecturer Grade 9 must complete an Academic Staff Internal Application Form for consideration by the Executive Dean.
- d) Lecturers at the maximum point of Lecturer Grade 8, who are prevented from progressing to Lecturer Grade 9, should be advised by their Executive Dean what they need to do to reach the required standards and, where appropriate, should be given support and guidance to assist them to achieve the required standards. This may provide the basis for discussion at annual reviews.
- e) Executive Deans should carry out this review, and advise Personnel Services of their decision in respect of individual lecturers, in time for these to be effective from the following 1 April.
- f) Executive Deans should also prepare a report, for consideration by the University Promotions Committee, on the process adopted in carrying out the review. This report should include the names of all Lecturers subject to review, and should give details of the basis upon which decisions in respect of individual Lecturers have been reached.

2. Criteria

Progression from Lecturer Grade 8 to Grade 9 is dependent upon academic attainment and ability, and on a satisfactory standard of work. It should be the normal expectation that staff making satisfactory progress in all aspects of their academic career, including exhibiting good citizenship, and who are deemed to be ready to take on the challenges of a larger role, will progress to Grade 9. Executive Deans should be satisfied that an individual has carried out the duties and responsibilities expected of a lecturer in respect of:

- teaching, course preparation and examining;
- research and scholarship;
- departmental and other management or administrative responsibilities.

APPENDIX F

PERSONAL AND INDIVIDUAL CIRCUMSTANCES

If you have any personal and/or individual circumstances which you wish the Promotions Committee to take into account, please include a brief summary on the front of the applications form, expanding on them, if you wish, in a statement which should be attached to your application.

You are strongly encouraged to bring such circumstances to the notice of the Promotions Committee

Examples of relevant circumstances include, but are not restricted to:

- a). Family and domestic matters, including:
 - absence on maternity, paternity, parental or adoption leave and arrangements on return to work following these periods of leave;
 - part-time working or other flexible working arrangements;
 - time spent acting as a carer or other domestic commitments.

- b). Disability, ill-health and injury, including:
 - any disability to which the Equality Act 2010 applies, including both permanent disabilities, progressive illnesses from the point of diagnosis and any temporary disability with a duration of 12 months or more;
 - absence from work on the advice of a registered medical practitioner.

- c). Other absences which the institution is legally obliged to permit, such as absences for religious observance or absence arising out of responsibility as a representative of the workforce.

APPENDIX G

APPEALS PROCEDURE

1. Applicants not promoted shall have access to an appeals procedure, but only on the grounds of a defect in the procedure followed, or of a misunderstanding or misinterpretation by a Promotion Committee or Board of some significant factual element of the submission.
2. A written appeal should be made to the Chief Operating Officer who, having taken advice from the HR Director, will determine whether or not there has been a significant procedural defect or misunderstanding. The Chief Operating Officer shall have access to all papers submitted to the University Promotions Board. If the Chief Operating Officer is satisfied that there has been a significant defect in the procedure followed or a misinterpretation of a significant factual element, the relevant Promotions Committee or Board shall re-examine the case.
3. The outcome of this re-examination will be final.

12/12/12