

# **ACADEMIC PROMOTION**

# **ASSOCIATE PROFESSOR**

# **AND PROFESSOR**

**April 2017 (Version 1)**

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## 1 General Policy Principles and Scope

The purpose of this policy is to:

- provide a fair, equitable and transparent method of assessment under which staff are rewarded on the basis of agreed standards;
- provide a flexible framework which recognises the various ways in which staff contribute to the University's mission and development;
- provide a link to the appraisal process and academic framework to support the career development of academic staff;

### 1.1 Scope

This policy applies to academic staff seeking promotion to professor or associate professor

### 1.2 Principles

The University has developed an academic employment framework, giving three distinct career streams for academic staff, with up to four levels within each stream.

A promotion policy and procedure exists for all academic staff within the academic employment framework, the principles of which are as follows:

the procedure will employ fair, equitable and transparent methods of assessment against published criteria;

all eligible academic staff may apply for promotion on the basis of personal merit;

decision making is through a promotions panel with the panel determining the level for any promotion, using the published criteria;

assessment of applications is made against the published promotion criteria and in all cases the overarching criterion for promotion is recognition of excellence;

the University will run an annual process for academic promotions at all levels but reserves the ability to limit successful applications based on financial current constraints;

any member of staff who meets the criteria but is turned down on the basis of financial constraints shall receive consideration in the next promotions round as a priority;

there are two separate processes which will apply to academic staff seeking promotion: One for promotion from lecturer to senior lecturer and one to professor and associate professor;

any member of staff whose application is declined because of failure to meet the criteria shall have the opportunity to appeal.

### **1.2.1 Assessment of merit**

Promotion is on the merit of the case considered against the criteria contained in the academic employment framework. These fall under four headings summarised in the framework:

- learning and teaching
- research and scholarship
- enterprise and engagement
- academic and professional leadership

In all cases, account will be taken of how applicants contribute, and will contribute, to realising the objectives set out in the strategic plan for the school and the University as a whole based on clearly defined outputs as set out the academic employment framework document.

### **1.2.2 Fair and equitable process**

The University will conduct the assessment method and decision making process according to the principles of equality of opportunity and so that they are free from direct or indirect discrimination (see the UWL Equality and Diversity Policy).

The appeal procedure is described in Section 4.

### **1.2.3 Eligibility**

All academic members of staff who are employed on academic terms and conditions are eligible to apply for promotion if they feel that they satisfy the criteria for the grade sought.

### **1.2.4 Confidentiality of information**

Staff involved in the promotion process will recognise and maintain the confidential nature of all the documentation and the process itself.

## **2 Promotion to associate professor and professor**

The criteria for promotion to an associate professor are outlined in the academic employment framework reflecting high reputation and outstanding contribution in one, or a number of areas of activity. Essential criteria are highlighted.

Progression to professor is not a condition of appointment to associate professor. However, normally those appointed as associate professor should have a fair prospect of promotion to professor assuming that their activity is maintained and developed as expected over time.

The normal route to an associate professor is via a senior lectureship, but applications from other staff will be considered, provided that they meet the criteria.

Promotion to professor requires the demonstration of excellence, high reputation and outstanding contribution. This may be in one or a number of academic areas.

Promotion would normally require the individual to have an external profile at international or at least national level and be recognised outside the University as meriting the promotion.

Evidence of past, present and future potential contributions will be taken into account.

## **2.1 Evidence**

The process will take account of the following evidence:

### **2.1.1 The curriculum vitae (CV)**

To aid the application and assessment process, applicants must use the UWL CV template in preparing this CV.

In the case of 'factual' criteria such as 'range of teaching', 'number of peer reviewed publications', the standard information listed in the CV will provide sufficient evidence.

For criteria that involve a judgment, for example, effectiveness of teaching, applicants should, where possible, make reference to external evidence of performance such as data from student feedback, peer review, extracts of reports of external examiners and appraisal reports.

### **2.1.2 Additional information**

Applications will comprise the CV and no more than ten additional pages of information.

Applicants should provide sufficient additional material (academic papers, policy reports, etc.) to enable the panel to come to a decision.

Applicants may refer to several academic papers, policy reports or similar documents which they have written or co-authored to support their application.

Overloading the panel with material may be detrimental to the application as the panel may not focus on the evidence regarded by the applicant to be of the highest quality.

Applicants must indicate which academic areas that they wish to be considered in their application and the weight that should be applied to each.

Wherever possible, statements should be evidenced. For example it is not sufficient merely to claim that research was "ground-breaking" or a policy report "influential". Applicants should include a covering statement describing why they consider that they merit promotion.

**2.1.3** In all cases the overarching criterion for promotion is recognition of excellence, this will usually be through demonstration of external recognition of excellence and reputation.

### **3 Application process, terms of reference and composition of panels**

#### **3.1 Application process**

- 3.1.1 Annually, normally in April, the university will invite all eligible academics to apply for promotion on the basis of personal merit. Applications are typically initiated by the staff member; however, the head of school may invite an individual to apply.

Applications for promotion will be managed by the human resources department.

All eligible staff will be advised when applications for promotion are being invited for consideration under this procedure. The invitation to apply will be publicised by the head of human resources and invitations appropriate to service and grade sent to eligible academics.

Applications should be submitted electronically to the human resources, services team, using the standard UWL CV format, by the published closing date. In the interests of fairness and consistency, only applications submitted using the standard University format will be accepted.

All applications will only progress with a supporting statement from the head of school recommending the individual's promotion. This will be the critical factor in establishing the worth of each application going forward to the UWL panel.

A covering statement should be attached to the CV giving the applicant's assessment of their contribution. This should address the academic areas which form the basis of the application and demonstrate the case for a distinctive contribution.

Applications should comprise a CV and no more than ten additional pages.

It is the responsibility of candidates to ensure that they have provided sufficient relevant information on which a decision can be made.

Three references will be required for each application two of which should be external to the University. The contact details of your referees must be submitted by the applicant at the point of application.

Applicants should nominate referees who should be sufficiently familiar with the applicant's work to comment meaningfully on the application. Referees should generally be professors, or people of professorial standing, familiar with the standards of promotion within UK universities

A promotions panel will be established.

The panel may, through the chair, propose to any member of staff, that she or he should submit an application for consideration at this stage.

Consideration of applications by the promotions panel, whether submitted by the applicant or initiated by the panel itself, does not guarantee promotion.

### **3.1.2 Applications**

The applicant should demonstrate how they meet the criteria based on the academic employment framework. Applicants should refer to the criteria for promotion and the 'UWL curriculum vitae template'. <https://intranet.uwl.ac.uk/HR/Pages/AEF.aspx>

Guidance will be available through the human resources pages of the intranet on what material is and is not appropriate to include in applications

### **3.1.3 Human resources input**

Human resources partners may facilitate discussion with school executives ensuring the needs of the schools are effectively incorporated into the panel's assessment.

The human resources team will check that all applications include the relevant paperwork prior to submission to the panel. Applicants should note that failure to provide all the required documentation may result in delays to the application being considered by the panel.

### **3.1.4 Assessment of applications**

The promotions panel will make an assessment of applications against the agreed promotion criteria. This will normally happen by the end of August each year.

The assessments, and a recommendation, will be recorded and candidates advised of any outcomes.

The chair of promotions panel will meet unsuccessful applicants if required and provide them with the assessment of the panel and feedback on their application.

The panel will record if individuals have complied with key relevant university policies, for example those on appraisal, providing timely and effective feedback to students, and the provision of evidence of their research outputs to University databases.

Unsuccessful candidates who feel that the decision of the panel has been unreasonable may attach a statement to the recommendation appealing the decision.

### **3.1.5 Possible interview with the promotion panel**

Applicants may be required to attend an interview with the promotion panel which will take place within two weeks of the closing date for applications.

The applicant may be asked to deliver a presentation on some aspect of his or her teaching, research or professional profile as appropriate.

The topic will be specified by the chair of the panel. The content of the presentation will be used by the panel to provide additional evidence of the candidate's performance on relevant assessment criteria.

The chair of the panel will record the decisions of the panel. This will provide the basis of feedback which may be requested by unsuccessful candidates.

Candidates will be notified of the decision of the promotion panel by the chair as soon as possible after a decision has been agreed, but no later than 2 weeks after the promotion panel have met. In the cases of successful applications, a letter confirming any agreed promotion will follow from the human resources department.

The effective date for promotion shall normally be September each year.

Unsuccessful candidates will be notified of the outcome followed by written confirmation. Unsuccessful candidates should be encouraged to work with their immediate manager to agree a development plan so that they are clear about what they need to do to gain promotion

Candidates who feel that the decision of the promotion panel has been unreasonable may appeal against the decision.

### **3.1.6 Promotion panel**

#### **Terms of reference**

- To receive and consider individual applications for the promotion of academic staff to associate professor and professor
- To provide a university-wide perspective
- To interview candidates for promotion if required
- To report all decisions to the human resources department and the academic board.

#### **Composition**

The promotion panel will comprise:

- vice chancellor or the deputy vice chancellor (chair);
- 2 pro vice chancellors;
- Human Resources representative.

The applications and references will be circulated to the promotion panel. If it is decided that an application should not proceed, the candidate will be informed by the pro vice-chancellor considering the application.

The promotion panel will explore the basis for the application and will pay particular attention to the candidate's continuing potential to make a contribution to the University. The promotion panel recommendations will be recorded.

Candidates will be notified of the decision of the promotion panel by the chair as soon as possible after a decision has been agreed, and within two weeks of the panel meeting. A letter confirming the decision will follow from the human resources department.

The decisions of promotion panels will be reported to the next meeting of the academic board.

### **3.1.7 Criteria for promotion**

These criteria are used to judge the contribution made under the academic areas shown below.

learning and teaching;  
research and scholarship;  
enterprise and employer engagement;  
academic and professional leadership.

Essential criteria for promotion are highlighted in the academic employment profiles.



## 4 Appeals process

Unsuccessful applicants can appeal against a decision of the promotions panel. A person considering an appeal should discuss the reasons for the decision of the panel with the chair before deciding to appeal.

Appeals can be allowed on the grounds of:

- a failure to follow the process as set out in the policy; or
- a failure to properly apply the criteria or decision rules.

Candidates may attach a statement (referring to the above grounds of appeal) to the Head of Human Resources indicating the basis for the appeal.

### 4.1 Appeal against promotion panel decisions

Appeals made against the decision of a promotion panel will be assessed by an appeal panel. The appeal panel will comprise:

- The vice chancellor or the deputy vice chancellor;
- the head of human resources.

**The findings of the appeals panel will be final.**

## 5. Re application

Candidates would not normally submit a further application less than two years after their unsuccessful submission unless otherwise advised by the chair of the panel.

## 6. Criteria for promotion

### Professor (Research Academic)

<b>LEARNING AND TEACHING (DEVELOPMENT &amp; DELIVERY)</b>
<ul style="list-style-type: none"> <li>● Doctorate in appropriate discipline</li> <li>● Extensive experience of delivering high quality teaching and supervision</li> <li>● Supervision of research students to successful completion</li> <li>● First supervisor of at least two postgraduate students</li> </ul>
<ul style="list-style-type: none"> <li>● Preferably HEA Fellowship</li> <li>● Oversee the design and delivery of educational degree curricula and playing a lead role in the development of educational strategy and operational standards.</li> <li>● Establish international reputation as an expert and leader within specialist field</li> <li>● Continually update knowledge and understanding in academic specialism and lead colleagues in identifying significant development opportunities</li> </ul>
<b>RESEARCH &amp; SCHOLARSHIP</b>
<ul style="list-style-type: none"> <li>● Provide research leadership within the department/school and university through identifying, developing and leading significant research directions and projects</li> <li>● Regularly present at national/international conferences, particularly as a keynote lecturer. At least two outputs per year</li> <li>● Secure substantial research grants / funding</li> <li>● Secure knowledge exchange activities</li> <li>● Evidence of a high quality and sustained record of achievement in research and publication recognised nationally or internationally</li> </ul>
<ul style="list-style-type: none"> <li>● Lead a programme of research, disseminating results through regular and sustained publications in high impact journals, books and conferences</li> <li>● Develop roles in the assessment and management of research at national and international levels</li> <li>● Develop and make leading contributions to research collaboration with other institutions or organisations</li> </ul>
<b>ENTERPRISE AND EMPLOYER ENGAGEMENT</b>
<p>Select three from the highlighted options in this section (enterprise and employer engagement) and the following section (academic and professional leadership). One must involve income generation.</p>
<ul style="list-style-type: none"> <li>● Develop and lead research based enterprise activities generating income.</li> <li>● Lead the development of knowledge exchange activities and promote public engagement by, for example, establishing research and/or educational links with industry</li> <li>● Evidence of influencing public policy and the professions at national and international level</li> </ul>
<ul style="list-style-type: none"> <li>● Proven ability to attract substantial research and/or enterprise funding and awards over a sustained period</li> <li>● Secure income through knowledge exchange activities</li> <li>● Cultivate research, consulting or advisory relationships with other organisations</li> <li>● Develop interactions with key stakeholders, to include public and community engagement</li> </ul>
<b>ACADEMIC &amp; PROFESSIONAL LEADERSHIP – INTERNAL &amp; EXTERNAL COMMUNITY</b>
<ul style="list-style-type: none"> <li>● Lead at a strategic level in the work of the school and university, for example through participation in the school senior management team and by playing a lead role on university committees</li> <li>● Lead the development, coordination and implementation of research strategy</li> </ul>
<ul style="list-style-type: none"> <li>● Manage significant activities and resources and provide outstanding leadership, support and direction to academic/professional staff</li> <li>● Engage in, and where appropriate, set the agenda in national and international academic debates and within professional institutes, learned/practitioner societies and governmental committees</li> </ul>

## Associate Professor (Research Academic)

<b>LEARNING AND TEACHING (DEVELOPMENT &amp; DELIVERY)</b>
<ul style="list-style-type: none"> <li>● Doctorate in appropriate discipline</li> <li>● Design, develop and deliver a range of high quality programmes of study (sometimes for entirely new courses) at various levels</li> <li>● Experience of supervision of research students: first supervision to completion</li> </ul>
<ul style="list-style-type: none"> <li>● Preferably HEA Fellowship</li> <li>● Sustained track record of leading design, development &amp; delivery of varied methodologies and substantial educational programmes</li> <li>● Contribute to teaching and learning policy, school plans and strategies</li> <li>● Develop and apply innovative and appropriate teaching techniques and material which create interest, understanding and enthusiasm amongst students</li> <li>● Continually update knowledge and understanding in academic specialism</li> </ul>
<b>RESEARCH &amp; SCHOLARSHIP</b>
<ul style="list-style-type: none"> <li>● Evidence of a research portfolio</li> <li>● Lead a programme of research, disseminating results through regular and sustained publications in high impact journals, books and conference proceedings</li> </ul>
<ul style="list-style-type: none"> <li>● Provide research leadership within the department/school and university through identifying, developing and leading significant research directions and projects</li> <li>● Act as a referee and contribute to peer assessment</li> </ul>
<b>ENTERPRISE AND EMPLOYER ENGAGEMENT</b>
<ul style="list-style-type: none"> <li>● Attract substantial research and/or enterprise funding over a sustained period</li> </ul>
<ul style="list-style-type: none"> <li>● Proactively support the development of knowledge exchange activities and promote public engagement by establishing research and/or educational links with industry</li> <li>● Demonstrable links with industry, government and/or relevant chartered/professional bodies</li> <li>● Secure substantial research grant funding and attract income through knowledge exchange activities</li> <li>● Evidence of securing and sustaining third stream income</li> </ul>
<b>ACADEMIC &amp; PROFESSIONAL LEADERSHIP – INTERNAL &amp; EXTERNAL COMMUNITY</b>
<ul style="list-style-type: none"> <li>● Contribute to leadership, development, coordination and implementation of research strategy</li> <li>● Contribute strategically to the school executive, board &amp; university</li> </ul>
Plus demonstrate one out of the criteria below
<ul style="list-style-type: none"> <li>● Lead high quality contributions to pedagogical research</li> <li>● Provide academic leadership in development and innovation across the curricula which are responsive to emerging challenges, priorities and needs</li> <li>● Act as a leader or manager e.g. course leader or major programme leader</li> <li>● Develop an established national reputation as an expert and leader within specialist field</li> <li>● Membership of relevant chartered/professional bodies</li> </ul>

## Professor (Teaching Academic)

<b>LEARNING AND TEACHING (DEVELOPMENT &amp; DELIVERY)</b>
<ul style="list-style-type: none"> <li>• Doctorate in appropriate discipline</li> <li>• HEA principal fellow</li> <li>• Extensive experience of delivering high quality teaching and supervision</li> <li>• Supervision of research students to successful completion</li> <li>• A record of leading innovation in all learning and teaching practice making use of the latest research, scholarship and technology</li> </ul>
<ul style="list-style-type: none"> <li>• Oversee the design and delivery of degree curricula and play a lead role in the development of educational strategy and operational standards</li> <li>• Established national or international reputation as an expert &amp; leader within specialist field</li> <li>• Lead the development and delivery of high professional standards in the university</li> <li>• Invitations to give keynote addresses on teaching and learning to university and well-regarded national or international conferences or to host such conferences</li> <li>• Contribute to national bodies concerned with the development of teaching and learning</li> <li>• Continually update knowledge and understanding in academic specialism and lead colleagues in identifying significant development opportunities</li> </ul>
<b>RESEARCH &amp; SCHOLARSHIP</b>
<ul style="list-style-type: none"> <li>• Lead high quality contributions to pedagogical research to enhance teaching and learning</li> <li>• A significant record of publication of books or articles on teaching and learning in well-regarded peer reviewed outlets</li> <li>• Evidence of a high quality and sustained record of achievement in research and publication, recognised nationally or internationally</li> </ul>
<ul style="list-style-type: none"> <li>• Regularly present at international or national conferences, particularly as a keynote speaker</li> <li>• Secure research grant / funding</li> <li>• Secure knowledge exchange activities</li> <li>• Develop research interests consistent with the strategic direction of the school or university</li> </ul>
<b>ENTERPRISE AND EMPLOYER ENGAGEMENT</b>
<ul style="list-style-type: none"> <li>• Plan and lead significant research outcomes in the commercial world.</li> <li>• Cultivate research, consulting or advisory relationships with other organisations.</li> <li>• Develop interactions with key stakeholders, to include public and community engagement.</li> </ul>
<ul style="list-style-type: none"> <li>• Lead the development of knowledge exchange activities and promote public engagement by, for example, establishing research and/or educational links with industry.</li> <li>• Secure income through knowledge exchange activities</li> <li>• Evidence of influencing public policy and the professions at national and international level.</li> <li>• Proven ability to attract research funding and awards over a sustained period.</li> </ul>
<b>ACADEMIC &amp; PROFESSIONAL LEADERSHIP – INTERNAL &amp; EXTERNAL COMMUNITY</b>
<ul style="list-style-type: none"> <li>• Lead at a strategic level in the work of the school and university, for example through participation in the school senior management team and by playing a lead role on university committees.</li> <li>• Provide strategic leadership to enhance student learning with a focus on teaching quality, contributing at a senior level to the school and university</li> </ul>
<ul style="list-style-type: none"> <li>• Manage significant activities and resources with an established track record of project, budget and staff management</li> <li>• Act as a lead in innovation in all learning and teaching activities, including use of technology</li> <li>• Provide leadership and direction to academic/professional staff developing strategies to support others through mentoring and coaching in delivering high quality teaching</li> <li>• Engage in, and where appropriate, set the agenda in national or international academic debates within professional institutes, learned/practitioner societies and governmental committees.</li> </ul>

## Associate Professor (Teaching Academic)

<b>LEARNING AND TEACHING (DEVELOPMENT &amp; DELIVERY)</b>			
<ul style="list-style-type: none"> <li>● Doctorate in appropriate discipline/s or achieved within six months of appointment</li> <li>● HEA senior fellow</li> <li>● Contribute to national profile of academic subject e.g. external examining; QAA inspector.</li> </ul>			
<ul style="list-style-type: none"> <li>● Design, develop and deliver a range of high quality programmes of study (sometimes entirely new courses) at various levels.</li> <li>● Develop and apply innovative and appropriate teaching techniques and material which create interest, understanding and enthusiasm amongst students.</li> <li>● Sustained track record of leading design, development &amp; delivery of varied methodologies and substantial educational programmes.</li> <li>● Contribute to review and development of teaching and learning at school or university level.</li> <li>● Contribute to teaching and learning policy, school plans and strategies</li> <li>● Significant experience in fostering teaching skills development in school or university.</li> <li>● Continually update knowledge and understanding in academic specialism.</li> </ul>			
<b>RESEARCH &amp; SCHOLARSHIP</b>			
<ul style="list-style-type: none"> <li>● Apply research to influence teaching and learning practice</li> <li>● Contribute towards research leadership within the department/school and university through identifying, developing and leading significant research directions and projects</li> </ul>			
<ul style="list-style-type: none"> <li>● Integrate subject and pedagogic research and scholarship as part of a cohesive approach to academic practice</li> <li>● Determine relevant research objectives and prepare research proposals.</li> <li>● Act as a referee and contribute to peer assessment</li> </ul>			
<b>ENTERPRISE AND EMPLOYER ENGAGEMENT</b>			
<ul style="list-style-type: none"> <li>● Establish demonstrable links with industry, government and/or relevant chartered/professional bodies</li> </ul>			
<ul style="list-style-type: none"> <li>● Lead the development of knowledge exchange activities and promote public engagement by establishing research and/or educational links with industry</li> <li>● Attract substantial research funding over a sustained period</li> <li>● Secure substantial research grant funding and attract income through knowledge exchange activities</li> <li>● A track record of securing third stream income</li> </ul>			
<b>ACADEMIC &amp; PROFESSIONAL LEADERSHIP – INTERNAL &amp; EXTERNAL COMMUNITY</b>			
<ul style="list-style-type: none"> <li>● Act as leader or manager e.g. course leader or major programme leader</li> </ul>			
<ul style="list-style-type: none"> <li>● Coordinate and support academic and professional staff: develop strategies to support others through mentoring and coaching in delivering teaching and learning</li> <li>● Lead high quality contributions to pedagogical research, assessment methodologies and blended learning methods</li> <li>● Mentor staff in teaching, learning and assessment techniques</li> <li>● Enhance teaching and learning visibility and impact across the school and university</li> <li>● Develop an established national reputation as an expert and leader within specialist field</li> <li>● Contribute strategically at a senior level to the school executive, board, &amp; university</li> <li>● Membership of relevant chartered/professional bodies</li> </ul>			
Essential criteria		Desirable	