## Policy & Procedure

### Annual Review

**Promotion to Associate Professor**

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<th>For use in:</th>
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<tr>
<td>For use by:</td>
<td>Academic and Senior Research Staff (grade 8)</td>
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<td>Owner:</td>
<td>Division of Human Resources</td>
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<td>17 October 2016</td>
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<td>Contact – comments:</td>
<td>Nerys Bradley</td>
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POLICY FOR PROMOTION TO ASSOCIATE PROFESSOR (VIA ANNUAL REVIEW)

1. **Aim**

1.1. The aim of the University’s Policy for promotion to Associate Professor (grade 9) through the Annual Review arrangements is:

- To allow equality of opportunity to all eligible* employees to apply and, where appropriate, to obtain promotion to Associate Professor;
- To reward and retain talented employees with the appropriate skills, ability and evidence to demonstrate excellent academic performance;
- To highlight the central importance of research and teaching, while encouraging all colleagues to develop their contributions to and achievements in areas such as enterprise, engagement, citizenship and leadership;
- To recognise and value the contributions and achievements of our academic staff through career progression and reward.

2. **Scope**

2.1. The policy will apply to all eligible¹ employees of the University of Leicester.

3. **Principles**

3.1. Promotion to Associate Professor will be made on the basis of merit only. Seniority and long service will not, in themselves, be grounds for promotion.

3.2. While the University will not normally promote staff during their probationary period, it reserves the right to do so where an exceptionally strong case is made.

3.3. Promotions will usually be effective from 1 August.

3.4. Any academic colleague involved in compiling, commenting on, or consulting about, a case should ensure that any academic differences are set aside for the task of consideration.

3.5. All cases must be considered by the respective Head of Department (HoD).

3.6. The Head of College must be consulted in the case of clinical staff.

4. **Committee Members and Panel Composition**

4.1. Cases submitted for promotion to Associate Professor as part of the Annual Review will be considered by the respective College Staffing Committees.
4.2. Each Committee shall comprise the respective Head of College or their Deputy (in the Chair), College Academic Director, College Research Director, Director of Operations, and the Provost. For the College of Medicine, Biological Sciences and Psychology, the Associate Dean for Clinical Affairs will also be a member. In addition, there will be one professorial representative from each of the other two Colleges.

5. **Source of Application**

5.1. Applications can be either:

(i) departmentally identified and supported; or
(ii) self-initiated.

6. **Promotion Criteria**

6.1. The routes to promotion are based on the applicant’s current contractual role and designated career path: please refer to the Leicester Academic Career Map for further details.

7. **Assessment of Cases**

7.1. The title of Associate Professor is conferred to reflect leadership and substantial reputation in research and teaching, and leadership in contributions to their discipline, department, college and university.

7.2. Applicants applying for promotion to Associate Professor will be required to demonstrate contribution and achievement according to the weightings outlined in the Leicester Academic Career Map.

7.3. In considering recommendations or applications for promotion to Associate Professor, both internal and external advice will be sought. The College Staffing Committees will consider achievements in line with the Leicester Academic Career Map, in the domains appropriate to the applicant’s designate career path and application.

8. **Publications**

8.1. Only publications which are in the public domain will be considered by the Committee. Publications listed as being in press, forthcoming, submitted, under review or in preparation will be discounted. There are, however, two exceptions which can be detailed in the ‘unpublished research’ column, in Section 1 on Form B:

(i) if publishers’ page proofs of journal articles are available; and/or
(ii) where evidence can be provided from a publisher that the work will definitely be published in its existing form within the academic year in question.
9. References

9.1. The Committee will collect three external evaluations of each case, including:

(i) one of two referees nominated by the candidate;
(ii) one of two referees nominated by the Head of Department; and
(iii) an assessor nominated by the Head of College.

9.2. The Committee may seek additional reports from one or more additional referees in appropriate circumstances (e.g. if references do not provide sufficient information).

9.3. All referees are required to be of a grade/status/standing which is equivalent to Associate Professor, and should have an acknowledged reputation in their field.

9.4. Independent referees will be external to the University, sourced by the Head of College (or their nominee) and will not be disclosed to candidates.

9.5. Where the focus of a case rests on excellent performance in teaching, candidates may nominate internal referees drawn from any academic or administrative department in the University (except the Head of Department, or equivalent, if they have authored the departmental report). Referees for research and enterprise cases must be external to the University.

9.6. In choosing an assessor, the Head of College should consider standing in the field, and ability to provide the Committee with a national and international perspective on the contributions of the candidate. The Head of College should seek advice from the head of the candidate’s department that the proposed assessor is able to provide a fair and expert evaluation of the candidate’s case. The identity of the assessor should not be disclosed to the candidate.

9.7. The Committee will consider the advice of referees, but will ultimately exercise its own judgment in determining the outcome of promotion cases.

9.8. The first Committee meeting will decide if there is a prima facie case for seeking external references. If there is a prima facie case, references will be sought from three* external referees; one taken from the candidate nominations, one taken from the HoD nominations and one independent assessor nominated by the candidate’s Head of College.

* In the case of clinical staff (either substantive or those who hold honorary titles), an additional reference will be sought from the Medical Director of their Organisation.

10. Communication & Feedback

10.1. All candidates will be kept informed of the status of their case until a decision is reached.
10.2. Unsuccessful candidates will be provided with written feedback, and offered an opportunity to meet with the Head of College and Head of Department to agree any support or action required to address the feedback from the Committee.

11. Repeat Applications

11.1. Repeat applications will be assessed and determined on the same basis as first applications.

12. Equal Opportunities

12.1. The following is an agreed statement of the University's equality position: “The University of Leicester will positively promote equality of opportunity for all current and potential students, staff and its other stakeholders. It will not discriminate unfairly on the basis of sex, pregnancy and maternity, gender, gender reassignment, disability, race, ethnic or national origin, age, sexual orientation, socio-economic background, religion and belief, political beliefs, family circumstances including marriage and civil partnership and trade union membership.”

13. Special Factors

13.1. The Committee will make reasonable adjustments, where appropriate, if informed of special factors or circumstances which may have had an impact on a candidate’s contribution/output. Reasonable adjustments will be made in line with the relevant legislation relating to the specific factors/circumstances noted within an application. However, in all other respects, the quality and impact of a candidate’s performance will be assessed on the same basis as other candidates to ensure that all promotions to Associate Professor are of a high quality. Examples of special factors include disability, maternity leave, part-time working, flexible working arrangements, time away from work because of family responsibilities (such as caring for children or other relatives, etc). Candidates are requested to declare any specific circumstances on the cover sheet that accompanies Form B with their application.
PROCEDURE FOR PROMOTION TO ASSOCIATE PROFESSOR (VIA ANNUAL REVIEW)

1. Aim

1.1. This procedure is designed to support the policy for promotion to Associate Professor via the annual review arrangements, by providing detailed information about the roles and responsibilities of all the relevant parties involved.

2. Introduction

2.1. The introduction of the Leicester Academic Career Pathway provides clarity and transparency, making explicit a desire to encourage, recognise and reward contributions and achievements across a range of valued areas, explicitly including leadership, citizenship, enterprise and external engagement, and providing colleagues with a clearer sense of expected contributions and achievements at different levels of the academic career. In addition, there is an expectation that academic career progression is the outcome of a longer conversation based upon coaching, mentoring and constructive appraisal, and for a strong statement that the development and success of others – students, colleagues and external stakeholders – is an integral part of each academic career.

3. Roles & Responsibilities

3.1. Candidates

3.1.1. Candidates must apply for promotion within their designated career route, i.e. Teaching focused; Research focused; Teaching and Research.

3.1.2. Candidates must refer to the Leicester Academic Career Map, domains of contribution and achievement, together with the promotion weightings, when preparing their promotion case. Candidates are required to complete ‘Form B’, which has been developed as part of the Performance Development Discussion framework (PDD), together with the academic promotions ‘Cover Sheet’. It is acknowledged that not all academic staff will have completed Form B as part of their PDD with their line manager to date, as the form is optional for PDD purposes. A revised version of Form B has been created as a template for you to detail your achievements and outline your contribution as detailed in the Leicester Academic Career Pathway. To help with the completion of Form B, guidance can be found to assist candidates to download details of research and publications from the IRIS system. In future, any member of staff seeking promotion should complete Form B as part of their PDD with their line manager, and this form will serve as the documentary basis of a candidate’s case for promotion. Form B remains optional for colleagues using it solely for PDD purposes.
3.1.3. As part of the academic promotions ‘Cover Sheet’, candidates should indicate the weighting they wish to give to the domains of contribution upon which their case is based, using the Leicester Academic Career Map document.

3.1.4. Previously unsuccessful candidates must ensure that the above documentation sets out evidence of how they have addressed the feedback given after the previous submission.

3.1.5. Candidates are required to provide clear and concise written documentation that colleagues from non-cognate departments are able to understand. Technical/scientific language should be kept to a minimum.

3.1.6. All candidates are required to indicate their personal contribution to jointly authored publications by means of a percentage figure.

3.1.7. Where appropriate, candidates must have page-proofs readily to hand by the date of the first committee meeting so that, should the Committee decide to consult external referees, page-proofs can be sent to referees by HR in a timely manner.

3.1.8. All candidates are required to nominate two referees in their field, and provide a brief statement of referees’ standing. Additionally, clinical staff (either substantive or those who hold honorary titles) are required to provide the name of the Medical Director (MD) of their organisation, who will be contacted to provide a further reference. Clinical staff (either substantive or those who hold honorary titles) are required to notify their MD of their application for promotion.

3.2. Heads of Departments

3.2.1. Heads of Departments should ensure that they are familiar with the policy and procedure for promotion to Personal Chair so that they are able to appropriately advise candidates who may wish to apply for promotion via the Annual Review.

3.2.2. Heads of Departments should ensure that all eligible\(^1\) staff members are informed about the arrangements for promotion to Associate Professor in a timely manner.

3.2.3. Heads of Departments are responsible for ensuring that departmentally-supported candidates are able to demonstrate evidence against the relevant domains when submitting an application for promotion to Associate Professor.

3.2.4. Heads of Departments are required to take particular care in advising candidates on the timing of their application. Heads are also reminded of the potential importance in career terms of assigning appropriate opportunities for academic service and leadership, and encouraging colleagues who may be seeking promotion in the future to focus on contributions across the range of domains.
3.2.5. Heads of Departments must outline a strong case to underpin the submission for promotion for those on probation or newly arrived at Leicester.

3.2.6. Where a candidate works in two or more departments on a contractual basis, the relevant Departmental Heads should agree the lead department from which the submission will be made and both Heads should authorise an agreed departmental report.

3.2.7. For departmentally-nominated cases, Heads of Departments are required to complete the Head of Department statement template which includes:

- Comments on evidence that supports the domains outlined in the Candidate’s application;
- Comments on consultation with professorial colleagues, and the names of these colleagues;
- Comments, if applicable, on whether the Candidate has successfully addressed any feedback previously given relating to unsuccessful promotion submissions.

3.2.8. All applications for promotion must be sent to HR from the Head of Department’s personal University email account.

3.2.9. Heads of Departments are required to advise candidates whether or not they intend to support the candidate’s case before the application is submitted to HR.

3.2.10. Heads of Departments are required to nominate two referees in the candidate’s field and include a brief statement of the standing of each referee. Heads of Departments must not include the candidate in the selection of departmental referees.

3.2.11. Feedback letters from Head of College to unsuccessful candidates will be copied to relevant Heads of Department. Upon receipt of such letters, Heads of Departments are expected to address the areas for development highlighted in feedback letters with the unsuccessful applicant by putting relevant measures in place.

3.3. Division of Human Resources

3.3.1. HR will manage, co-ordinate and administer this procedure.

3.3.2. HR will invite Heads of Departments to review the position of academic and senior research staff in their departments at the start of the Annual Review.

3.3.3. HR will write to Academic and Senior Research Staff (at grade 8) to notify them about promotion to Associate Professor at the start of the Annual Review.

3.3.4. HR will update and maintain the relevant documentation outlining the policy, procedure and timetable, etc, on promotion to Associate Professor via the Annual Review.
3.3.5. HR will publish details of the policy and timetable for promotion to Associate Professor, etc, on the University intranet, at the start of the Annual Review.

3.3.6. HR will provide support, advice and guidance to Candidates, Heads of Departments and Committee Members on the policy, procedure and timetable, etc, for promotion to Associate Professor, via the Annual Review.

3.3.7. HR will collate and record details of submitted applications.

3.3.8. HR will organise, prepare and circulate committee papers in a timely manner, in advance of the first meeting.

3.3.9. HR representatives will attend all committee meetings and take notes.

3.3.10. HR will request reports from referees, with explicit reference to the promotions criteria and the candidate’s documentation for promotion.

3.3.11. HR will request and chase all references required by the committee.

3.3.12. HR will collate and circulate references to committee members, as and when they are received.

3.3.13. HR will contact Candidates/Heads of Departments to request page-proofs (where required) so that copies can be sent to referees.

3.3.14. HR will inform candidates of the status of their case after each meeting, until a decision is reached.

3.3.15. HR will provide committee members with progress updates at appropriate intervals.

3.3.16. HR will produce the draft written outturns on behalf of the committee for Heads of College to send to candidates, and copies will be sent to the relevant Heads of Departments.

3.3.17. HR will process all salary increases for successful candidates, and will inform the Payroll and Pensions Offices of the changes.

3.3.18. HR will publish a list of successful promotion candidates on the University intranet.

3.3.19. HR (Equalities Team) will provide ongoing statistical data regarding the comparative success of different equality groups in promotion rounds in order to monitor and, if necessary, to suggest improvements to the procedure and its application.

3.3.20. HR will present findings to the University Leadership Team on the promotion process, with key recommendations for further improvement, where applicable.
3.4. The College Staffing Committees

3.4.1. The Committees will meet to discuss applications for promotion to Associate Professor. Committee Members will endeavour to attend all meetings to ensure a balance of representation across the Committees.

3.4.2. The Committee will consider all of the paperwork submitted for each case and will maintain confidentiality of committee discussions in relation to each case.

3.4.3. At the first meetings, the Committees will qualitatively assess all applications. Unsuccessful cases will be identified along with cases which will proceed to references. The Committees will also nominate the candidate and departmental referees to be contacted (where applicable).

3.4.4. After the first meetings, the Head of College (or their nominee) will identify and contact the independent referees (where applicable).

3.4.5. At the second meetings, the Committees will assess cases with full sets of references, and will consider the advice of referees in assessing promotion cases.

3.4.6. The Committees will exercise their judgment to determine the outcome of each case.

3.4.7 The Committees will provide sufficient comments to enable written feedback to be given to unsuccessful candidates.

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1 “Eligible” means any academic member of staff who can demonstrate that they meet the criteria for promotion to Associate Professor, as set out in the Leicester Academic Career Map.