

**POLICY & PROCEDURE****ANNUAL REVIEW  
PROMOTION TO PROFESSOR**

For use in:	All Colleges/Schools/Departments of the University
For use by:	Academic and Senior Research Staff
Owner:	Division of Human Resources
Date of Revision:	5 December 2017
Contact – comments:	Nerys Bradley

## **POLICY FOR PROMOTION TO PROFESSOR (VIA ANNUAL REVIEW)**

### **1. Aim**

1.1. The aim of the University's Policy for promotion to Professor through the Annual Review arrangements is:

- To allow equality of opportunity to all eligible employees to apply and, where appropriate, to obtain promotion to Professor (see Section 2.1, below, for details of eligibility);
- 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 eligible employees of the University of Leicester. "Eligible" means any academic member of staff who can demonstrate that they meet the criteria for promotion to Professor, as set out in the [Leicester Academic Career Map](#).

### **3. Principles**

3.1. Promotion to 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 in the year in which the decision is made.

3.4. Any academic colleague involved in compiling, commenting, 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 a professorial Head of Department (HoD)/Head of School (HoS).

3.6. In departments where the HoD/HoS is not of professorial status, the HoD/HoS will appoint a professorial departmental colleague with whom to consult.



- 3.7 Where reference to a HoD/HoS is made in this guidance document, an appointed professorial colleague may also undertake this role.
- 3.8 A professorial colleague appointed as per 3.5 will be asked to comment on the merits of the promotion case, and consult with the HoD/HoS to decide whether or not to recommend each case.
- 3.9 Where a professorial colleague from a cognate area is appointed, they may choose to consult with other professorial colleagues in relevant disciplines within the University on a case for promotion.
- 3.10 The Pro-Vice-Chancellor/Head of College for the College of Life Sciences must be consulted in the case of clinical staff.

#### **4. Committee Members and Panel Composition**

- 4.1 Cases submitted for promotion to Professor as part of the Annual Review will be considered by the University Promotion to Professor Committee (UPPC).
- 4.2 The Committee shall comprise the President and Vice-Chancellor (in the Chair), the Provost, the Pro-Vice-Chancellor (Research & Enterprise), the Pro-Vice-Chancellor (Student Experience), the Pro-Vice-Chancellor (International), the Director of Human Resources, and the three Heads of College/Pro-Vice-Chancellors. In addition, the President and Vice-Chancellor will, in consultation with the Heads of College, nominate one professorial member from each college, whose areas are complimentary to those of the Pro-Vice-Chancellors.

#### **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 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 Professor will be required to demonstrate contribution and achievement in the domains of teaching and research, and at least two other domains, one of which must be leadership and citizenship.

## 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 the CV template:

- (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/Head of School; 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 Professor, and should have an acknowledged reputation in their field.

9.4. A candidate or Head of Department/School may nominate an internal referee, where it can be shown that only an internal referee would be able to provide the Committee with a suitably expert evaluation of contribution and performance. This may be particularly relevant to staff applying for promotion on the teaching focused route, and can be explained on the nomination form. Anyone nominated as an internal referee cannot also author or co-author the departmental report.

9.5. 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 candidate's contributions. 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.

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



- 9.7. 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/HoS 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 relevant organisation.*

- 9.8. Candidates who proceed to the next stage will be invited with their Head of Department/School to discuss their application, and future plans, with committee members.

## **10. Communication and 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. Unsuccessful candidates will be offered an opportunity to meet with the Head of College and Head of Department/Head of School 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. The Committee strongly encourage those applicants who were unsuccessful in the previous review to take a fallow year to address the Committee's feedback.

## **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."

- 12.2. In 2017, only 22% of our professors at the University are female. In 2016/2017, we were disappointed that, following the introduction of the new [Leicester Academic Career Map](#), only 3 of the 21 applications for promotion to Professor were from female colleagues. We are committed to changing this, and want to achieve a position where we have an equal number of applications from women and men.

## **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.



Where identified/required, 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 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 their application. Should candidates not wish to disclose the circumstances to the Committee due to their personal and sensitive nature, please detail in a separate e-mail for the attention only of the Chair of the Committee and the HR Adviser supporting the Committee, and send to Nerys Bradley, via [nb255@leicester.ac.uk](mailto:nb255@leicester.ac.uk).

## PROCEDURE FOR PROMOTION TO PROFESSOR (VIA ANNUAL REVIEW)

### 1. Aim

- 1.1. This procedure is designed to support the policy for promotion to 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 the Performance Development Discussion (PDD), 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 focussed; Research focussed; 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 a [template CV](#) together with the academic promotions [Cover Sheet](#). To help with the completion of the CV template, please access [guidance to download details of research and publications from the IRIS system](#).
- 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. Candidates applying for promotion after a previous unsuccessful submission must ensure that the above documentation sets out evidence of how they have addressed the feedback given after their 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.
- 3.1.9. The next stage will be an invitation for the candidate and their Head of Department/School to discuss the application and future plans with committee members. This provides an opportunity to explore the strengths of the case, and to discuss your ambition and opportunities for further career development at the University.
- 3.1.10. Candidates who have been unsuccessful are strongly encouraged by the Committee to take a 'fallow year' before re-applying. This is to ensure that the Committee's feedback is fully addressed in discussion with a candidate's respective Head of Department/Head of School.

### **3.2. Heads of Department/Heads of School**

- 3.2.1. Heads of Departments/Heads of School should ensure that they are familiar with the policy and procedure for promotion to Professor 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/Heads of School should ensure that all eligible staff members are informed about the arrangements for promotion to Professor in a timely manner. Heads of Department/School should encourage **all** appropriately qualified staff to apply for promotion, bearing in mind that some people underestimate their own achievements. Research indicates that this is particularly the case for female applicants. This is further supported by the evidence in previous promotion cycles, where there has been a low application rate from women.
- 3.2.3. Please refer to Section 12.2 of the Policy. Heads of Department/School are requested to review the appropriately qualified academic staff and, wherever possible, to support the University's aim as outlined in Section 12.2. The aim is to achieve, wherever possible, equal number of applicants from both male and female applicants across our academic departments/schools.



- 3.2.4. Heads of Department/Heads of School are responsible for ensuring that departmentally-supported candidates are able to demonstrate evidence against the full range of promotion criteria when submitting an application for promotion to Professor.
- 3.2.5. Heads of Department/Heads of School 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.
- 3.2.6. Heads of Department/Heads of School must outline a strong case to underpin the submission for promotion for those on probation or newly arrived at Leicester (please refer to Section 3.2 of the Policy).
- 3.2.7. Where a candidate works in two or more departments on a contractual basis, the relevant Departmental/School Heads should agree the lead area from which the submission will be made, and both Heads should authorise an agreed statement.
- 3.2.8. For departmentally-nominated cases, Heads of Departments/Heads of School are required to complete the Head of Department/Head of School 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 relating to a previously unsuccessful promotion submission.
- 3.2.9. All applications for promotion must be sent to HR from the Head of Department's/Head of School's University email account.
- 3.2.10. Heads of Department/School are required to advise candidates whether or not they intend to support their case before the application is submitted to HR.
- 3.2.11. Heads of Department/School are required to nominate two referees in the candidate's field, and include a brief statement of the standing of each referee. Heads of Department/Heads of School must not involve the candidate in the selection of departmental referees.
- 3.2.12. Feedback letters to unsuccessful candidates will be copied to the relevant Head of Department/School and Head of College. Upon receipt of such letters, Heads of Department/Heads of School are expected to address the areas for development highlighted in the feedback letter 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 Department/Heads of School 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 to notify them about promotion to 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 Professor via the Annual Review.
- 3.3.5. HR will publish details of the policy and timetable for promotion to Professor, etc. on the University website at the start of the Annual Review.
- 3.3.6. HR will provide support, advice and guidance to Candidates, Heads of Department/Heads of School and Committee Members on the policy, procedure and timetable, etc. for promotion to 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 Committee meetings.
- 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 promotion criteria, and the candidate's documentation for promotion.
- 3.3.11. HR will request and, where necessary, send reminders to obtain 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 Department/School 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 from the committee to candidates, and copies will be sent to the relevant Heads of Department/Heads of School and Heads of College for finalising and agreement.
- 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 website.
- 3.3.19. HR will provide ongoing statistical data regarding the comparative success of different 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.