

PROMOTION COMMITTEE RULES AND PROCEDURES

RULES AND PROCEDURES RELATING TO THE TERMS AND CONFIRMATION OF APPOINTMENT, DETERMINATION OF SALARY, ADVANCEMENT AND PROMOTION OF MEMBERS OF ACADEMIC STAFF

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TERMINOLOGY

'Promotions Committee', where not prefaced by University, Faculty or School, indicates Faculty, followed by University.

Academic staff indicates Lecturers A and B; Senior Lecturer; Reader and Chair.

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SECTION 1: GENERAL PROCEDURES

1. The Council is the ultimate authority in all matters relating to the employment and conditions of service of members of Academic Staff and acts upon the advice of HRD in these matters. The Senate has set up Promotions Committees whose composition and terms of reference are given in Appendix A.
2. In each School there shall be a School Promotions Committee, established by the School Board, of which the Head of School shall be Chair.
3. In each Faculty there shall be a Faculty Promotions Committee, comprising Heads of School, and Chaired by the Dean of Faculty. Associate Deans may be co-opted.
4. Recommendations to the Promotions Committee shall be made by the Head of School as a result of consideration of the case by the School Promotions Committee, which shall take account of the Head of School's prior consultation with other members of staff as s/he considers appropriate. (The documentation to be received by the relevant Promotions Committee shall be as set out in section 2.)
5. The Promotions Committees shall seek to ensure consistency of judgement from year to year.
6. The grading/salary of an individual member of staff should not be less favourable than that of others on grounds of sex, marital status, gender reassignment, race, colour, nationality, ethnic origin, disability, religion or belief, political belief, sexual orientation, transgender status, pregnancy or childbirth, membership of a trade union, fixed term or part-time working, or age.
7. The grading and salary of all members of academic staff below the grade of Professor shall be reviewed annually in each School, according to the Committee's published timetable for the consideration of business and taking account of the relevant section of the Rules and Procedures.
8. Not less than ten weeks before the relevant meeting of the Faculty Promotions Committee, the Director of Human Resources shall notify the Head of School of each School of the categories of business relating to grading and salary review due to be considered by the Committee. This notification will ask the Head of School to ensure that all members of academic staff in the School are informed promptly of the arrangements and timetable for this review and are given the opportunity to submit their own cases for consideration by the School Promotions Committee.
9. Opportunity should be taken during the appraisal process to discuss career progression with individuals and encourage suitable applications to be made to the School Promotions Committee.

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10. Following consideration of cases by the School Promotions Committee, members of staff are entitled to know whether or not they are being recommended to the Promotions Committee for promotion or advancement of salary. When asked for this information by a member of the School's academic staff, the Head of School shall ensure that the member of staff is so informed not less than five weeks before the date of the relevant Committee meeting. A member of staff for whom no recommendation is being made

- for the award of an individual (special) increment of salary within the scale, or
- to advance to or within the range of discretionary points above the normal academic scale maximum, or
- for promotion from Tutor to Lecturer A, or
- for promotion from Lecturer A to Lecturer B, or
- for promotion from Lecturer to Senior Lecturer or Reader, or
- for appointment of a Senior Lecturer to a Readership

may make a personal submission for consideration by the Promotions Committee, see Section 2.

11. Any personal submission shall be considered at the same meeting of the Committee at which recommendations from Heads of School under the same category of business are considered. The Promotions Committee will accord parity of treatment to both recommendations from Heads of School and personal submissions and neither category of case will be treated less favourably than the other. In reaching its decision the Promotions Committee will apply the same criteria and procedure in all cases as set out in the relevant parts of this document.
12. Reports and recommendations from the Head of a School for consideration by the Promotions Committee shall be submitted to the Director of Human Resources not less than four weeks before the date of the relevant Committee meeting. Any personal submission shall be submitted to the Director of Human Resources by the individual concerned not less than two weeks before the relevant meeting.
13. A member of staff making a personal submission shall have the right to discuss the submission with their Dean of Faculty prior to the meeting of the University Promotions Committee.
14. It is important that the promotions process forms part of a wider performance review process, so that an individual receives clear guidance on the expectations of their role, identification of their training and development needs and feedback on their performance, as identified through the annual appraisal, research planning and workload distribution processes.
15. Applicants should be made aware of the criteria against which they will be assessed and guidance on the format of their submission to ensure they cover all aspects of the criteria.
16. Feedback will be given by the Head of School to individuals whose submission is not successful. This will usually be given verbally but may be requested in writing.

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17. Where retention of a key individual is demonstrably at risk, an accelerated promotions process may, at the discretion of the Vice-Chancellor, be considered.
- 18. Financial Considerations**
 - 18.1 Each Faculty will be required to show that the promotions being proposed have provision within the approved 5-year income and expenditure plan.
- 19. Overview of Promotions**
 - 19.1 HRD will review the outcomes of the promotions process annually.
 - 19.2 The University will allow for review of its procedures at regular intervals from time to time in order to ensure that it maintains itself at the forefront of good practice.
 - 19.3 The next section sets out details of the evidence to be submitted to the Promotions Committee in respect of each recommendation or submission. Further details of the factors to be taken into account by the Committee in the evaluation of teaching, research, enterprise and engagement, and other duties are set out in Appendix B.

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SECTION 2: DOCUMENTATION

1. Each member of staff who makes a submission to be considered by a meeting of the relevant School Promotions Committee shall be expected to submit to the Head of School, for consultation by members of the School's Committee, a completed Academic Promotions Template. This should be completed with reference to the Academic Promotions Guidance Notes. Both documents can be accessed on the HRD intranet.
2. The evidence to be submitted to the School Promotions Committee shall comprise in respect of each recommendation and submission:
 - (a) a completed Academic Promotions Template prepared by the member of staff and presenting a profile of the individual's career, highlighting recent and current activities in teaching, research, enterprise and engagement, and other duties (see Appendix B for guidance on the evaluation of these factors) and with a short list of selected publications, as instructed in the Guidance Notes. In cases of submission for promotion or appointment to Reader, and promotion to Chair, an appended full list of research grants and publications.
 - (b) optionally should the member of staff wish, a brief (normally not more than two-page) agreed summary of recent appraisal record but no negative inference should be drawn from the absence of this item.
 - (c) a Teaching Portfolio, see Academic Promotions Guidance Notes, to be provided to the Head of School prior to the School Promotions Committee meeting, so it is available for perusal by the Committee should this be necessary.
3. The evidence to be submitted to the Faculty Promotions Committee, and to the University Committee should the case not be supported by Faculty, shall comprise in respect of each recommendation and submission:
 - (a) a completed Academic Promotions Template prepared by the member of staff and presenting a profile of the individual's career, highlighting recent and current activities in teaching, research, enterprise and engagement, and other duties (see Appendix B for guidance on the evaluation of these factors) with a short list of selected publications, as instructed in the Guidance Notes. In cases of submission for promotion or appointment to Reader, or promotion to Chair, a appended full list of research grants and publications.
 - (b) optionally, should the member of staff wish, a brief (normally not more than two-page) agreed summary of recent appraisal records; but no negative inference should be drawn from the absence of this item.
 - (c) a statement from the Head of School on behalf of the recommendation of the School Promotions Committee.
4. In the case of a personal submission the evidence to be considered by a Faculty Promotions Committee should normally be item (a) in the preceding clause, and, if the member of staff so chooses, item (b) above. No negative inference should be drawn from the absence of items (b) or (c) from the documentation relating to any personal submission case.

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5. Where the consideration of particular categories of cases requires the presentation of additional information, the requirement is specified in the relevant section of the Rules and Procedures.

SECTION 3: CONFIRMATION OF APPOINTMENT

1. The following procedures are intended to give Lecturer and Tutor probationers a full opportunity to develop appropriate skills and to demonstrate suitability and competence before a decision is taken on whether to confirm the appointment.
2. The default probationary period for newly appointed Lecturers at UEA is five years. Formal review of the probationer's progress will take place in the Promotions round which is nearest to the start of the final year of probation and there will be no further extension of probation. However, earlier Confirmation of Appointment may be recommended. Should a member of staff feel they should be considered for earlier confirmation they should discuss this with their Head of School.
3. The staff appraisal and development scheme provides regular occasions for a joint review of progress. More specifically, Appendix D to these Rules and Procedures gives guidelines on the support which probationary staff should expect to receive, including counselling in the event of difficulties during the probationary period. The following paragraphs of this Section set out the arrangements for formal review of probation by the Committee.
4. Attention is drawn to the General Procedures and Documentation sections of these Rules and Procedures for guidance relating to the presentation and consideration of cases under this section.
5. Following consideration by the relevant School Promotions Committee, a report shall be made to the Promotions Committee by the Head of School normally at its first meeting in the final twelve months of the member of staff's probationary period. The report shall review the extent to which the Lecturer or Tutor has demonstrated, and shows promise of continuing to develop, a satisfactory standard of effectiveness as detailed in the Assessment Standards grid, Appendix C, in appropriate areas of assessment drawn from:
 - (a) teaching and related administration, management and leadership and other student facing activities;
 - (b) research and related administration, management and leadership;
 - (c) enterprise and engagement and related administration, management and leadership;
 - (d) progress with the MA-HEP (see clause 11 below).

Lesser contributions of related administration, management and leadership in (a), (b) and (c) above would be expected from those new to the academic profession.

6. If the Committee decides that it is not possible to recommend confirmation of the appointment, the Lecturer or Tutor concerned shall receive a letter from the Director of Human Resources referring to the ways in which his or her performance is judged not to be adequate, advising what needs to be done by way of improvement, and stating that the appointment will not be confirmed until a satisfactory standard of effectiveness is considered to have been

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achieved. The Head of School concerned shall meet with the member of staff and discuss the position fully, advising further on steps to be taken, and assistance which will be given, before the case next comes up for review. The implication of potential loss of post should be made explicit.

7. If the confirmation of the Lecturer's or Tutor's appointment has not been recommended when first considered by the Committee, the case shall be reviewed, using the same procedure as before, at a subsequent meeting not later than three months before the end of the probationary period.
8. If the Committee decides that it is not possible to recommend confirmation of the appointment following this further review the appointment will not be confirmed and notice will be given.
9. A Lecturer or Tutor may appeal against a decision of the University Promotions Committee to recommend non-confirmation of his or her appointment in accordance with the appeals procedure set out in Appendix E.
10. Members of academic staff on probation are required to undertake a course of study in the University's MA in Higher Education Practice (MA-HEP), wherever possible to begin in the first year of appointment, unless they have accreditation of prior experiential learning (APEL) for all or part of this; or they are registered with the Nursing and Midwifery Council (NMC) and are undertaking the NMC teaching qualification; or are undertaking the University's Masters in Clinical Education.
11. Confirmation of appointment will be subject to satisfactory progression through the course, and successful completion of the Certificate in Higher Education Practice and, for those enrolled on to the course with effect from September 2008, completion of the Module of Evaluation of Teaching Competence. Completion of the Diploma and/or the MA is optional and appropriate consideration relating to an individual's part time status will be taken into account by CSED where necessary. The Promotions Committee will receive information on the individual's progress from a report provided by the Director, MA-HEP, CSED, and summarised in the HoS's statement,
12. Where this is a requirement of their appointment, fixed term staff on probation will undertake the MA-HEP for the duration of their appointment.
13. The expectation is that confirmation of appointment will occur prior to any promotion to a higher grade being considered.

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SECTION 4: ADVANCEMENT FROM LECTURER GRADE A TO GRADE B

1. Advancement to Lecturer Grade B is dependent solely upon individual performance. It is not competitive, but is made on a positive recommendation based on academic attainment and ability and on a satisfactory standard of work. Advancement from Grade A on reaching the scale maximum will be the normal expectation.
2. All staff on the maximum point of Grade A shall normally be considered by the School Promotions Committee, for advancement to Grade B, at the first (Autumn) meeting of the academic year (i.e. the first meeting after reaching the scale maximum). Exceptionally, consideration of the case of any member of staff on the maximum point of Grade A whose period of service is less than twelve months at the time of the first meeting of the academic year may be deferred until a later meeting, but no later than the final meeting of the same academic year.
3. A member of staff may be advanced to Grade B before reaching the maximum point of Grade A. Any case for the advancement of a member of staff to Grade B before reaching the maximum of Grade A shall also be considered at the first (Autumn) meeting of the academic year.
4. Attention is drawn to the General Procedures and Documentation sections of these Rules and Procedures for guidance relating to the presentation and consideration of cases under this section.
5. Advancement from Grade A to Grade B shall be the subject of a report and recommendation by the Head of School, following consideration of the case by the relevant School Promotions Committee. The report shall review the extent to which the Lecturer concerned has demonstrated, and shows promise of continuing to maintain, a standard of effectiveness and attainment appropriate to his or her period of service in the Lecturer grade, as detailed in the Assessment Standards grid, Appendix C, in appropriate areas of assessment drawn from
 - (a) teaching and related administration, management and leadership and other student facing activities;
 - (b) research and related administration, management and leadership;
 - (c) enterprise and engagement and related administration, management and leadership;

(See Appendix B for further details).
6. If the Committee decides that it is not possible to recommend advancement to Grade B the Lecturer concerned shall receive a letter from the Director of Human Resources referring to the ways in which his or her performance is judged not to be adequate, advising what needs to be done by way of improvement, and stating that the member of staff's salary will remain at the Grade A maximum until a satisfactory standard of effectiveness in accordance with the criteria in Paragraph 5 above is considered to have been achieved.
7. If advancement to Grade B has not been recommended when first considered by the Committee, the case shall be reviewed, using the same procedure as before, at the final meeting of the same academic year, i.e. the meeting immediately preceding the incremental date on which advancement would take effect if approved.

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8. A Lecturer at the Grade A maximum who has not been recommended for advancement to Grade B following the further review specified in Paragraph 7 above and who is dissatisfied with the outcome may appeal against the decision, but only on the grounds of a defect in procedure. An appeal under this section will be heard in accordance with the procedure set out in Appendix E.
9. In the case of any Lecturer whose salary is held at the maximum of the Grade A scale, whether or not he or she appealed against the decision that it should be so held, shall be reviewed each year in accordance with the normal timetable and procedures set out in this section.

SECTION 5: PROMOTIONS

1. General

- 1.1 Consideration of cases for promotion of Lecturers to the grade of Senior Lecturer or Reader, the appointment of Senior Lecturers to Readerships, and promotions to Chair shall normally be undertaken by the Committee at the second meeting of the academic year (i.e. the Spring meeting). If subsequently endorsed by the Committee such a promotion shall normally take effect from 1 August next.
- 1.2 Consideration of cases for promotion of Tutor (ATS1) to Lecturer A (ATS2) shall normally be undertaken by the Committee at the first meeting of the academic year (i.e. the Autumn meeting). If subsequently endorsed by the Committee such a promotion shall normally take effect from 1 August next.
- 1.3 Attention is drawn to the Documentation and General Procedures sections of these Rules and Procedures for guidance relating to the presentation and consideration of cases for promotion.
- 1.4 Subject to alternative arrangements approved by the Council for the funding of promotions, promotion to a Senior Lectureship, Readership or Chair will not be recommended by the Promotions Committee unless the School or other unit concerned confirms its capacity to meet the cost of the promotion within its approved 5-year income and expenditure plan, although transitional Faculty assistance will be considered in cases of special difficulty. Appointment from Senior Lecturer to Reader is cost neutral.
- 1.5 A recommendation shall in no circumstances be submitted to the Promotions Committee if the candidate has stated that he or she is not agreeable to being put forward.
- 1.6 It is important that the promotions process forms part of a wider performance review process, so that an individual receives clear guidance on the expectations of their role, identification of their training and development needs and feedback on their performance. As a minimum this should occur through the annual appraisal process.
- 1.7 Applicants should be made aware of the criteria against which they will be assessed as detailed in Appendix C.
- 1.8 Submissions shall be made on the Academic Promotions Template. This document, along with the Academic Promotions Template Guidance document, can be obtained on the HRD intranet.
- 1.9 Feedback will be given by the Head of School to individuals whose submission is not successful.
- 1.10 A member of staff for whom a recommendation or personal submission for promotion has been made unsuccessfully to the Promotions Committee should be told of the outcome of their case's consideration, and be given the opportunity to be informed of the reasons why the case was not successful by the Head of School (or the Dean of Faculty with whom any candidate making a personal submission has discussed his or her case). Through the staff appraisal and development process, unsuccessful candidates who have been

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considered by the Committee not to meet the criteria for promotion should be given advice on how to improve their performance.

- 1.11 A candidate for promotion whose case has been unsuccessful and who is dissatisfied with the outcome may appeal against the decision, but only on the grounds of a defect in procedure. An appeal under this section will be heard in accordance with the procedure set out in Appendix E.

2. Promotion to Lecturer or Senior Lecturer

- 2.1 Section 1 above shall apply. Submissions should be made in line with the Section 2, Paragraph 2, and the submission will be assessed in line with the standards outlined in Appendix C.

3. Promotion or Appointment to Reader

Paragraphs 1.1 – 1.11 above shall apply, and in addition the following:

- 3.1 Submissions should be made in line with the Section 2, Paragraph 2, and the submission will be assessed in line with the standards outlined in Appendix C.
- 3.2 If, on consideration of a case for promotion/appointment to a Readership submitted in accordance with the General Procedures in Part 1 of this Section, the Promotion Committee's preliminary view is that the candidate achieves the assessment standards set out in Appendix C (and if, in the case of a promotion from Lecturer to Reader, the cost can be met as specified in Paragraph 1.3 of this Section), external assessors reports will be sought by the Human Resources Division.
- 3.3 Reports will be sought from at least two and normally three external assessors, whose names shall be chosen by the Vice-Chancellor from a list approved by the Committee on the nomination of the Head of School after consultation with the candidate, the School Promotions Committee and other members of staff as appropriate. These external assessors should be persons of national or international standing in the candidate's academic field, and are asked to provide impartial assessments of the candidate's academic standing, attainments and suitability for promotion. They should not, unless this is unavoidable, be the candidate's personal referees.
- 3.4 The Vice-Chancellor may, at his or her own discretion, approach one additional external assessor not necessarily included in the list approved by the School Promotions Committee.
- 3.5 Reports sought and obtained from external assessors shall be received by the Committee at the Summer meeting; the Committee shall give further consideration to the case in the light of these reports, and if it is satisfied that the candidate meets the requirements as set out in Appendix C it will recommend that the member of staff be promoted or appointed to a Readership.

SECTION 6: PROMOTION TO CHAIR

1. General Principles

- 1.1 Section 5, Paragraphs 1.1 – 1.11 shall apply, and in addition the following:**
- 1.2 Submissions should be made in line with the Section 2, Paragraph 2, and the submission will be assessed in line with the standards outlined in Appendix C.
- 1.3 There is no upper or lower limit to the number of chairs in the University which may be filled. A recommendation to the University Promotions Committee for the consideration of a promotion is made via the Faculty Promotions Committee which shall recommend consideration of such a promotion if satisfied that there is a *prima facie* case in the light of all the circumstances, and specifically with regard to the calibre of the individual concerned and the academic welfare and reputation of the University.
- 1.4 In cases of submission for promotion or appointment to Chair the completed academic template should be accompanied by a full list of research grants and publications
- 1.5 If, on consideration of a case for promotion to Chair submitted in accordance with the General Procedures in Part 1 of this Section, the Promotion Committee's preliminary view is that the candidate achieves the assessment standards set out in Appendix C external assessors reports will be sought by the Human Resources Division.
- 1.6 Reports will be sought from at least two and normally three external assessors, whose names shall be chosen by the Vice-Chancellor from a list approved by the Committee on the nomination of the Head of School after consultation with the candidate, the School Promotions Committee and other members of staff as appropriate. These external assessors should be persons of national or international standing in the candidate's academic field, and are asked to provide impartial assessments of the candidate's academic standing, attainments and suitability for promotion. They should not, unless this is unavoidable, be the candidate's personal referees.
- 1.7 The Vice-Chancellor may, at his or her own discretion, approach one additional external assessor not necessarily included in the list approved by the School Promotions Committee.
- 1.8 For Chair submission through the ATS route, where an external assessor may be asked to 'attest to the transformative role or leading role within the University', it will sometimes be appropriate for an external assessor to be external to the School, rather than external to the University,
- 1.9 Reports sought and obtained from external assessors shall be received by the Committee at the Summer meeting; the Committee shall give further consideration to the case in the light of these reports, and if it is satisfied that the candidate meets the requirements as set out in Appendix C it will recommend that the member of staff be promoted or appointed to a Chair.

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- 1.10 Where resources are insufficient to fund all cases under consideration, a School Promotions Committee should review each case alongside any other cases in order that a view may be taken on which case(s) should be given priority.
- 1.11 Where the case rests in part on any factor that is not evident from the rest of the documentation (such as leadership within the University), the Head of School's statement should refer to this explicitly.
- 1.12 As a prelude to the annual promotions round, the Head of School will consult with the Dean of Faculty on affordability of promotions within the School in general. As a general principle, Schools should not proceed with recommendations for promotion for which there is no capacity within the School's approved 5-year Income and Expenditure plan.
- 1.13 Cases should be assessed using the Assessment standards in Appendix C. However, it is acknowledged that some administrative, managerial or leadership roles and/or tasks are not easily included within these, such as Head of School, Dean of Faculty or PVC, as the breadth of their portfolio is not anchored to one or other of these areas.
- 1.14 Therefore in considering a submission for promotion to a Chair, additional due regard may be given to any such role that an individual undertakes which is not easily included in the Assessment standard categories.
- 1.15 In cases where a Head of School or holder of another senior Faculty/University wide role has undertaken, and continues to undertake, an outstanding and transformative management/academic leadership role, this may be taken into account when considering the volume of A attainment and performance in research or one other area for ATR and the volume of A attainment and performance in teaching or one other area for ATS, when considering promotion to Chair.

2. Personal Submissions

- 2.1. Individuals who have not succeeded within a School's internal process may make their own submission to the Faculty Promotions Committee via HRD. This should comprise a completed academic Promotions Template, a complete list of publications and a personal statement setting out their case.

3. 'Out of Time' Submissions

- 3.1 In exceptional circumstances, and with the express permission of the Vice-Chancellor, a School Promotions Committee may put forward an individual case other than in accordance with the timetable reflected above. In all other respects the procedure to be followed in such a case shall be as set out above.

SECTION 7: REVIEW OF INDIVIDUAL SALARIES

1. The salaries of those newly appointed to the University as Lecturers are determined in accordance with the guidelines in Appendix F. This section provides guidance on further review of salaries of existing staff.
2. Normal annual scale increments are payable from 1 August unless the appointment commenced on or after 1st April in the same year.
3. There shall be an annual review of the salary of each member of staff in the grades of Tutor, Lecturer, Senior Lecturer and Reader, recommendations arising from which will normally be considered by the Promotions Committee at the Summer meeting in each academic year.
4. Attention is drawn to the Documentation and General Procedures sections of these Rules and Procedures for guidance relating to the presentation and consideration of cases under this section.
5. In reviewing salaries annually, Heads of School and School Promotions Committees shall be required to note in particular the cases of individual members of staff paid less than others of similar experience and/or Lecturers paid less than might normally be expected, given the guidelines in Appendix F. They should consider whether the salary in such a case continues to represent a satisfactory relationship with other members of staff in the same School. They should also consider whether factors which determined a lower-than-normal starting salary on appointment may no longer be relevant.
6. The award of special increments over and above the normal annual increment within a salary scale, or of advancement to or within the discretionary range, may be made in recognition of special merit in the performance of an individual member of staff in the grade in question, or for purposes of retention of valued staff or to redress anomalies (i.e. where an individual's salary is not any longer considered to represent a satisfactory relationship with the other members of staff).
7. Where an individual is performing at the expected grade of their position, but additionally at least any one area is sustained in a higher grade, this offers opportunity for a Special Increment or Discretionary Award. Where this is not sustained, an ex gratia payment may be appropriate. The ex-gratia process applies to academic staff but does not form part of the formal academic promotions process detailed in this document. The procedure may be found on the HR website and is advised separately to Heads of School.
8. An individual member of staff who considers that a special increment of salary or discretionary range point is merited, but for whom no recommendation is being made by the Head of the School in question, may make a personal submission in accordance with Paragraph 7-13 of the General Procedures.
9. The number of special increments of salary awarded, and of the number of discretionary points awarded, shall be reviewed annually by the Equality and Diversity Committee.

**APPENDIX A: MEMBERSHIP, TERMS OF REFERENCE AND PROGRAMME
OF MEETINGS OF THE PROMOTIONS COMMITTEES**

1. The Promotion process shall comprise three levels, namely School, Faculty, and University.
2. No Promotions Committee should comprise all men, or all women.
3. A School Promotion Committee shall reflect a professorial/non-professorial mix.
4. A School Promotions Committee should include in its membership the School's Chair(s) of the School's Teaching, Research, and Enterprise and Engagement Committees or equivalent. To ensure gender balance a School may have cross representation from another School by co-option.
5. Schools consisting of ten or fewer faculty members should be encouraged to form joint committees.
6. A Faculty Promotions Committee meeting should consist of the Dean of Faculty as Chair, Head of each School in that Faculty, and the Faculty Human Resources Manager. Associate Deans of Research and Teaching may be co-opted.
7. Where there may be a potential conflict of interest, e.g. a member of Promotions Committee is PhD supervisor, mentor or Advising Colleague to, or has another close relationship with, a candidate whose submission is being considered, this relationship should be disclosed to the Committee.
8. Members of the Promotions Committee shall absent themselves during a discussion where their own case, or where the case of an individual with whom they have a direct household relationship, is being considered.
9. The University Promotions Committee consists of the Vice Chancellor and the Deans of Faculty. The Head of School for any case to be considered may be in attendance.

Terms of Reference

1. To consider recommendations and submissions concerning:
 - (a) confirmation of appointment
 - (b) advancement from Tutor (ATS1) to Lecturer A (ATS2)
 - (c) advancement from Lecturer A to Lecturer B (ATR/ATS3)
 - (d) promotion of a Lecturer to a Senior Lectureship (ATR/ATS4)
 - (e) promotion of a Lecturer to a Readership (ATR/ATS4)
 - (f) appointment of a Senior Lecturer to a Readership
 - (g) promotion to Chair
 - (h) the award of special increments of salary in the Lecturer and Senior Lecturer/Reader scales and of points on the discretionary ranges
 - (i) the promotion of members of the Research and Analogous staff

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2. To take the steps necessary to see that all eligible members of staff have been considered on the same basis at the appropriate time for confirmation of appointment, promotion and advancement of grade and/or salary in accordance with the foregoing Rules and Procedures.
3. To keep under review the terms and conditions of appointment, determination of salary and promotion of the appropriate members of staff in general.
4. To make recommendations for appointments to honorary posts of Professor and Reader.

Programme of Meetings

Promotions Committees normally meet on three occasions in the year.

- (a) The consideration of cases for confirmation of appointment normally takes place at the first meeting in the final twelve months of the member of staff's probationary period (and this category of business may therefore be considered at any of the three scheduled meetings).
- (b) The business of the first (Autumn) meeting of the year is normally, in addition to any item under (a) above
 - consideration of cases for advancement from Tutor (ATS1) to Lecturer A (ATS2) and from Lecturer A (ATR/ATS2) to Lecturer B (ATR/ATS3)
 - such other business as may arise.
- (c) The business of the second (Spring) meeting of the year is normally, in addition to any item under (a) above
 - consideration of cases for the promotion of Lecturers (ATR/ATS3) to Senior Lectureships/Readerships (ATR/ATS4)
 - consideration of cases for the appointment of Senior Lecturers to Readerships
 - consideration of cases for promotion to Chair
 - such other business as may arise
- (d) The business of the third (Summer) meeting of the year is normally, in addition to any item under (a) above
 - consideration of assessors' reports on Readership and Chair candidates arising from the preceding meeting
 - consideration of cases arising from the Review of Individual Salaries
 - such other business as may arise

**APPENDIX B: EVALUATION OF TEACHING, RESEARCH, ENTERPRISE AND
ENGAGEMENT AND RELATED ADMINISTRATION, MANAGEMENT AND
LEADERSHIP**

This appendix comprises an extensive, though not exhaustive, account of factors that may feature in an individual's profile of activities, grouped within the main categories under which performance is to be assessed. The factors are not presented in any order or priority (either between or within the individual categories); nor do they necessarily carry equal weight. Not all factors will be relevant to every individual, nor will they be relevant at each stage of his or her career. Although presented in the main as lists of activities, it must be understood that they are not simply 'tick-lists'. They are intended as prompts on aspects of performance.

1. INTRODUCTION

- 1.1 At each stage of an individual member of staff's career which is assessed under these Rules and Procedures, each Promotions Committee will effectively be asking the questions "What activities has the member of staff undertaken?" and "How good has his or her performance of these activities been?" It will do so in respect of each of the categories listed in the title of this appendix, dependant upon the category of the member of staff being considered, as detailed below.
- 1.2 The appendix is designed to give guidance to individuals in drawing up their own profile of activities, in anticipation of these questions. It should also assist Heads of School, School Promotions Committees and others required to give guidance to the Promotions Committee in accordance with the relevant sections of the Rules and Procedures.
- 1.3 Appendix C provides guidance to individual members of staff and to members of promotions committees on the assessment standards to be achieved.
- 1.4 In all cases of promotion, confirmation of appointment, special increment and discretionary awards, the promotions process shall assess the performance of those staff in Academic Teaching and Research (ATR) posts in the categories of Teaching, Research, Enterprise and Engagement and the performance of those Staff in Academic Teaching and Scholarship (ATS) posts in Teaching, and Enterprise and Engagement.
- 1.5 Where a Head of School or holder of another senior Faculty/University wide role has undertaken, and continues to undertake, an outstanding and transformative management/academic leadership role, this may be taken into account when considering the volume of A attainment and performance in research or one other area for ATR and the volume of A attainment and performance in teaching or one other area for ATS, when considering promotion to Chair.
- 1.6 Examples of activity relating to the role of an Associate Dean may be found in the appropriate section, for example the role of AD for Admissions may draw upon examples within teaching activity (being a prospective student activity), from teaching related administration, management and leadership, and in, for example, section 6.4.8. Responsibility for a specific area of activity within a School or across the Faculty, e.g. admissions.

2. TEACHING AND LEARNING AND RELATED ADMINISTRATION AND OTHER STUDENT FACING ACTIVITY

Additional related examples may be found in Paragraphs 5 and 6 of this section.

- 2.1 The expectation is that teaching at UEA is:
- based on high professional standards and a caring and supportive approach to students;
 - grounded in an engagement with research and the latest theory and debate developments in subject area and, where relevant, professional practice and policy;
 - effectively planned, with due attention to coherence, continuity and progression in student learning;
 - intellectually challenging, seeking to develop in students characteristics of curiosity, enthusiasm for their subject, resilient independence in learning and intellectual integrity;
 - underpinned by timely, well-designed, sensitive, formative and informative assessment practices;
 - informed by student feedback and evaluations and peer review, with an open-minded willingness to engage with both supportive and critical feedback.
- 2.2 The promotions procedures should provide explicit assessment of quality and contribution in teaching in order to improve clarity and transparency and ensure a proper recognition of teaching ability and effectiveness.
- 2.3 Evidence of teaching quality and contributions to teaching and related administration shall be presented within the Academic Promotions Template, supported by evidence assembled in a Teaching Portfolio. The Portfolio, including written evidence in relevant areas from the examples below, shall be maintained as evidence in support of the self-assessment.
- 2.4 The Head of School or his/her nominee will certify that the self-assessment is appropriately based on the Portfolio of evidence. (See Section 4.7 of the Academic Promotions Template for a description of typical Portfolio contents, and examples of evidence of teaching below.)
- 2.5 The Teaching section of the Academic Promotions Template will provide the basis for the assignment of a grade by the Promotions Committee, assessed against the Assessment Standards detailed in Appendix C.
- 2.6 The definition of teaching quality in promotions should be built around the concepts of a highly effective and sustained contribution and a significant contribution to the development of teaching techniques.
- 2.7 Factors relevant to high quality teaching and learning and related administration which may be taken into account include:

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- 2.7.1 teaching effectively
 - a range and variety of courses and modules
 - at different levels and/or to different groups, e.g. small group teaching by seminar workshop or tutorial, or teaching of practical classes in laboratories, teaching field courses, demonstrating professional practice
 - with the use of teaching resources, technologies and techniques which are appropriate to the course/module
- 2.7.2 adaptability and flexibility in changing areas of teaching and learning
- 2.7.3 contributions to curriculum development and the design of courses/modules
 - on a single subject basis
 - on an interdisciplinary basis
 - in planning teaching programmes
 - in monitoring, review and revision of courses/modules
 - for delivery by the member of staff concerned
 - for delivery by/with other colleagues
 - for continuing education programmes
 - for distance learning
- 2.7.4 the development of improved teaching methods and resources and of varied methods of assessment
- 2.7.5 the load of teaching and assessment and its relationship with the load of others in the School
- 2.7.6 innovation in teaching
- 2.7.7 development of curricula and design of new courses/modules
- 2.7.8 publication of teaching texts, reviews and other teaching materials
- 2.7.9 development of novel learning and improved teaching methods
- 2.7.10 assessment of teaching skills and effectiveness from student feed-back, and from faculty mentoring
- 2.7.11 awards for excellence in teaching
- 2.7.12 contributions to outreach activities and to public awareness
- 2.7.13 setting, marking and assessing work; examinations and feedback to students
- 2.7.14 leadership in any areas of teaching and assessment
- 2.7.15 external invitations to lecture
- 2.7.16 individual or collaborative participation in successful bids to the Higher Education Academy
- 2.7.17 an active role in a National Subject Centre

2.7.18 successful Teaching Fellowship projects

2.7.19 senior membership of the Higher Education Academy

3. RESEARCH AND RELATED ADMINISTRATION

Additional related examples may be found in Paragraphs 5 and 6 of this section.

- 3.1 Assessment of cases for promotion in relation to the research and related administration should be based upon evidence of contributions to research, as presented in the Research section of the Academic Promotions Template.
- 3.2 In assessing research achievement, Promotion Committees should recognise the differences between disciplines in the way research is reported. Whatever the discipline, the output and the quality of the work must be verifiable and evidenced.
- 3.3 Although it is recognised that the significance of publications of different kinds will vary from one discipline to another, outputs which have been subject to peer review should be given particular weight.
- 3.4 Where presentations are ephemeral such as dramatic productions, musical performances, films, television (albeit these may also be presented in DVD or video format) and radio broadcasts, evidence of critique, commentary or review should be submitted wherever possible, and preservation of documentation associated with such presentations is strongly encouraged for evidential purposes.
- 3.5 While recognising that the scale of funding to support research is very different across the four Faculties, all research areas have opportunities to secure funds. The scale, quantity, quality and competitiveness of funding sources are important factors to be evaluated.
- 3.6 Research activity is to be distinguished from research attainment and impact.
- 3.7 Research activity** includes:
 - 3.7.1 the study of texts, historical documents, archives or other basic sources
 - 3.7.2 the collation, synthesis, analysis and interpretation of data or other material
 - 3.7.3 the development of new research techniques
 - 3.7.4 applying for research grants and contracts
 - 3.7.5 success in obtaining research grants and contracts and leadership of funded research teams

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3.7.6. participation in team research projects, leadership of university research groups and leadership in community research programmes

3.7.7 establishing international research partnerships and alliances

3.7.8 examination of external PhDs

3.8 Research attainment results in a contribution to knowledge, evidence of which must be available in some form or another for assessment of its quality. Such forms include:

3.8.1 the publication of books, articles and essays, or the equivalent in other fields, including computing software, which are regarded as being primarily internationally excellent or better (RAE/REF criteria); in some cases internationally-recognised work will be also taken into account (refer to table)

3.8.2 major public policy or societal benefit impact (including translation of basic knowledge through to application or adoption)

3.8.3 presentations in the form of dramatic productions, musical performances, films, television and radio broadcasts, etc., with evidence of critique, commentary or review wherever possible, which are regarded as being primarily internationally excellent or better (RAE/REF criteria) or better; in some cases internationally-recognised work will also be taken into account (see Appendix C)

3.8.4. completion of reports for governmental or international agencies, which may remain unpublished or be published anonymously

3.8.5 the presentation of papers at major academic conferences, etc., especially invitations to give keynote lectures

3.8.6 invitations to and organisation of international conferences

3.8.7 measures of esteem e.g. Fellowship of Learned Societies and Chair of external research or practice groups

3.8.8 recruitment of PGR students and supervision of successful PhD theses, with a normal expectation that these will be peer-reviewed and joint publications, where appropriate, with the post graduate student

3.8.9 success in research grant applications, especially from sources, and at a level, which represents internationally excellent activity by RAE/REF criteria; in some cases performance at internationally-recognised levels will be taken into account (see Appendix C).

3.9 Research Impact is diverse, and includes:

3.9.1 the demonstrable contribution that excellent research makes to society and the economy;

- 3.9.2 the contribution that research-related knowledge and skills makes to the benefit of individuals, organisations, and nations by fostering economic performance both of the UK and more widely;
- 3.9.3 the use of research-related knowledge to increase the effectiveness of public services and policy, and to enhance quality of life, health and creative output.

4.0 ENTERPRISE AND ENGAGEMENT AND RELATED ADMINISTRATION

Additional related examples may be found in Paragraphs 5 and 6 of this section.

- 4.1 Assessment of cases for promotion in relation to Enterprise and Engagement and related administration should be based upon evidence of contributions, as presented in the Enterprise and Engagement section of the Academic Promotions Template.
- 4.2 Enterprise and Engagement incorporates 'Knowledge transfer', and comprises academic **enterprise** and business, community and public **engagement**, and is normally the use of or development of intellectual capital through an interaction between the University and non-academic sectors.
- 4.3 Teaching often includes a component of enterprise and engagement, e.g. the incorporation into the curriculum and learning experiences of social, cultural and economic context.
- 4.4 In documenting activities under the enterprise and engagement categories, candidates for promotion should stress the quality of both the project or activity and the additional benefits to the University engendered by the relationship with a partner.
- 4.5 Examples of evidence of Academic **Enterprise** and related administration which may be taken into account include:
 - 4.5.1 research activities which contribute to the public good, providing direct or indirect social and/or economic benefit, e.g. research which results in better treatment of a particular disease, construction of a building, manufacturing process, or creation of major public artworks
 - 4.5.2 generation of Intellectual Property (IP) including patents and copyrights
 - 4.5.3 licensing of new ideas, technology or research results
 - 4.5.4 undertaking paid consultancy project work for external organisations. It is expected that such activity would be measured by the overall benefit (including economic) to the University (including unpaid work developing a contract or business leads that led to paid work)
 - 4.5.5 activity as a consultant for an external organization through the University's managed consultancy service

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- 4.5.6 the creation of a start-up company or other venture based on academic property realised by the candidate through Research or other activities. It is expected that the University will have a not-insignificant equity in such a venture
- 4.5.7 participating in Knowledge Transfer Partnerships (KTPs) and other similar schemes such as Knowledge Partners East of England (KEEP)
- 4.5.8 delivery of professional training courses, for example for business and health sectors
- 4.5.9 involvement in the facilitation of commercialisation of research, teaching or other academic capital
- 4.5.10 reports of government and other agencies which demonstrate the candidate's contribution
- 4.5.11 research or advice to external organisation where knowledge developed in the University becomes a product, service or technique
- 4.5.12 membership of government committees or inquiries where it can be demonstrated that the activity has informed policy (including on teaching and research).
- 4.6 Activities encompassing **Engagement** include communicating knowledge and enriching cultural life (ONE-WAY e.g. public lecturers, media work, writing for the non-specialist, exhibitions, show casing academic know-how), providing a service and being in dialogue with the public and communities (TWO-WAY e.g. volunteering, consultancy, user involvement in research, forums, focus groups, pro-bono schemes, drama outreach, museum education, student societies) and being in dialogue with the public and policy-makers (THREE-WAY e.g. government committees involving the academic as the 'expert' e.g. expert panel, government led public consultation, task forces).
 - 4.6.1 Examples of evidence of Community and Public Engagement and related administration which may be taken into account include:
 - 4.6.2 Teaching
 - how engagement influenced the curriculum and the teaching of colleagues
 - how engagement provided direct or indirect opportunities for student involvement
 - evidence of successful curriculum design or redesign
 - new courses developed with engagement themes
 - contribution to training of peers on public engagement
 - formal peer evaluation of teaching and learning
 - other examples of evidence include invitations to teach for outside agencies, to provide guest lectures and to act as a consultant
 - 4.6.3 Research
 - publications based on community-based research
 - change in practice or policy change resulting from practitioner's research or practice
 - research cited by community groups, public sector

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- facilitating the development of further research which contributes benefits to the broader community
- contribution to broader economic, social and cultural understanding
- role in research teams, both in terms of promoting team research and in defining an independent contribution to team activity
- other examples of evidence include grants, contracts, prizes, awards, medals, elections to learned societies, invitations to hold visiting research posts abroad, the presentation of papers at academic conferences, etc., invitations to international conferences, Fellowship of Learned Societies, invitations to give plenary or named lectures at national (N) or international conferences/Publications: up to 20 of most significant.

4.6.4 Knowledge Transfer

- summary of public influence such as involvement in policy development, policy changes, new laws, or changes in agency practices
- other examples of evidence include outreach to the wider community including Schools, policy-work, representing your profession at regional, national or international levels, giving public lectures, concerts, exhibitions, school visits, working with the media, participating in placement schemes and internships.

4.6.5 Teaching, Enterprise, Research and Engagement combined

- multiple, complementary outputs reflecting a cycle of scholarship, integrating teaching, research, and service e.g. a publication, community informed education materials, and media stories - all deriving from one collaborative project
- how the activity contributed to the institutional and departmental missions and priorities
- standing – the individual's standing and reputation in their profession and/or the community
- membership of government panels and inquiries

4.6.6 CUE-East Awards

- Recognition of impact via a CUE East Award for public and community engagement.
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Note that 5 and 6 below should be considered as prompts in relation to the previous areas of assessment in 2, 3 and 4.

5 OTHER ACADEMIC ACTIVITIES RELATED TO TEACHING AND LEARNING AND RELATED STUDENT FACING ACTIVITY; RESEARCH; AND ENTERPRISE AND ENGAGEMENT

- 5.1 There are other academic activities which may be taken into account when assessing a member of staff's teaching, research, enterprise and engagement as these activities both reflect and affect an individual's performance and standing as a teacher, researcher and academic, e.g:
 - 5.1.1 the assessment, evaluation, appraisal or criticism of other scholars' work by acting as a referee or publisher for a learned journal
 - 5.1.2 acting as external examiner in other universities
 - 5.1.3 involvement in research proposal grading and assessment for external bodies (research councils, charities, etc) nationally and/or internationally
 - 5.1.4 involvement in systems of quality audit and/or assessment in higher education
 - 5.1.5 participation in quality assurance activities related to the University's involvement in access programmes and franchised and validated courses
 - 5.1.6 publication of textbooks
 - 5.1.7 the application of scholarship in advisory or consulting work
 - 5.1.8 involvement in the development and delivery of academic staff development and training activities
 - 5.1.9 contributions to the dissemination of knowledge through the convening of conferences and colloquia.

6 ADMINISTRATION, MANAGEMENT AND LEADERSHIP RELATED TO TEACHING AND LEARNING AND RELATED STUDENT FACING ACTIVITY; RESEARCH; ENTERPRISE AND ENGAGEMENT

- 6.1 A distinction should be drawn between relatively passive roles such as being a member of a committee and more active, executive and reforming roles; also between administration associated with teaching and research, and supervising and reforming administration of others' teaching and research. Constructive initiative should also be identified.
- 6.2 Evidence to be considered should be outlined in the appropriate sections of the Academic Promotions Template, i.e. relating to Teaching, Research, Enterprise and Engagement.
- 6.3 Examples of factors which will be taken into account include:

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- 6.3.1 assuming executive responsibilities at School and/or University level: not solely as the holder of a formal office such as Head of School or Director of a Centre, but also as Admissions Directors, School Directors of Teaching and Learning, Chair of Examiners, Chair of a committee, etc.
- 6.3.2 involvement in the management of resources (including human resources) and in strategic planning and decision making, at School and/or University level
- 6.3.3 advising students, either on academic matters or on personal matters
- 6.3.4 the selection of students for admission, including interviewing, etc.
- 6.3.5 participation in committees in the University
- 6.3.6 service on regional, national and international committees or Assessment Panels with some form of acknowledged output
- 6.3.7 the organisation of conferences, seminars, etc., especially those involving people from outside the University
- 6.3.8 the successful execution of a major executive task (either sustained or a one off project) which facilitates School performance or business
- 6.3.9 evidence of a capacity to contribute creatively and constructively to the management of School business
- 6.3.10 capacity to manage more junior and/or support staff where such opportunities exist
- 6.3.11 responsible and effective involvement in the broader arena of the University or in the outside professional arena (where such opportunity exists)
- 6.3.12 significant and sustained contribution to the management of the School (e.g. in planning and resource management, or policy development, or improvement of procedures, etc)
- 6.3.13 evidence of strong people management skills
- 6.3.14 recognition as having made a significant contribution to management or administration within the broader arena of the University or the profession.
- 6.4 Administrative, Managerial and Leadership input should also be considered in the following ways:
 - 6.4.1 decision making, e.g. input to decisions affecting a team, a department, a School or the institution
 - 6.4.2 initiative and problem solving, e.g. devising or contributing to the development of new courses to attract students or identified potential funding opportunities
 - 6.4.3 liaison and networking, e.g. participation in networks; leading or chairing internal and/or external panels, networks; enterprise and engagement activities
 - 6.4.4 management of facilities, e.g. specialised laboratories or workshops

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- 6.4.5 pastoral care and welfare, e.g. responding to staff welfare issues or providing welfare advice and guidance to students
- 6.4.6 planning and organising resources, e.g. delivering a course or programme of study, managing research projects or contributing to long term planning of the department or School
- 6.4.7 representing the University on external bodies
- 6.4.8 responsibility for a specific area of activity within a School or across the Faculty, e.g. admissions, examinations, timetabling, library provision, schools liaison, the affective environment of students teaching and learning
- 6.4.9 service delivery, e.g. adapting service provision to meet changing needs; setting overall quality or teaching standards for the institution
- 6.4.10 team development and motivation, e.g. providing coaching or guidance to members of the team based on personal knowledge or expertise or acting as a mentor or Advising Colleague to a less experienced colleague or overseeing the work of a team or unit, for example running leading a course or module.
- 6.5 Administration undertaken by an individual that directly relates to research, teaching or enterprise/engagement should be considered under those headings. However, it is acknowledged that some administrative, managerial or leadership roles and/or tasks are not easily included within these, such as Head of School, Dean of Faculty or PVC, as the breadth of their portfolio is not anchored to one or other of the areas above.
- 6.6 Therefore in considering a submission for promotion to a Chair, additional due regard should be given to any such role that an individual undertakes which is not easily included in these categories.
- 6.7 Where a Head of School or holder of another senior Faculty/University wide role has undertaken, and continues to undertake, an outstanding and transformative management/academic leadership role, this may be taken into account when considering the volume of A attainment and performance in research or one other area for ATR, and the volume of A attainment and performance in teaching or one other area for ATS, when considering promotion to Chair.

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APPENDIX C: ASSESSMENT STANDARDS

- 1.1 In all cases of confirmation of appointment, special increment, discretionary awards, and promotion, the Promotions Process shall assess the performance of Academic Teaching and Research (ATR) staff in Teaching, Research, Enterprise and Engagement, and of Academic Teaching and Scholarship (ATS) staff in Teaching, Enterprise and Engagement.
- 1.2 The process shall consist of two parts, namely, the presentation of evidence on the Academic Promotions Template, followed by the assessment of attainment against defined criteria according to a common scale. Written instructions in the form of Guidance Notes outline the evidence and output that will be required. Attainment of specified graded levels of achievement will constitute a *prima facie* case for promotion. In the case of promotion to Reader or Professor, the achievements must be complemented by external assessment in order for a promotion to be awarded. External Assessors' reports should normally concur in a strong recommendation to promote for the submission to go forward.
- 1.3 Achievement should be considered retrospectively. Care should be taken not to 'double-count', that is, an individual should not be awarded a promotion or increment for prospective work.
- 1.4 The following assessment standards provide indicative descriptors of the expectations at each of levels A to E to assist the Promotions Committees. **It is not expected that an individual should meet all of the criteria in each of the appropriate section. Examples are to provide an indicative level**, and designed for use in conjunction with the Promotions Grids on page 32. Also see Appendix B.
- 1.5 Submissions will be assessed as follows reflecting the respective allocation of time to activity between ATR and ATS
For Academic Teaching and Research (ATR) Posts: 3 of 3 areas of assessment selected from Teaching, Research, Enterprise and Engagement⁵
For Academic Teaching and Scholarship (ATS) Posts: 2 of 2 areas of assessment: Teaching, Enterprise and Engagement⁵
- 1.6 Schools may need to weight and calibrate requirements and where the Faculty confirms the promotion the Faculty Committee should help inform the calibration.
- 1.7 Assessment standards D and E in the Assessment grid fall below the standards required for promotion with regard to Research and Teaching. The definitions are provided for the Promotions Committee and the individual as an indicator of what falls below the level required, and to assist the individual in professional development.
2. **Special Increments and Discretionary Awards**
- 2.1 Where an individual is performing at the expected grade of their position, but additionally any one area is sustained in a higher grade this offers opportunity for a Special Increment or Discretionary Award. Where this is not sustained an ex-gratia payment may be appropriate.

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Submissions will be assessed as follows:

For Academic Teaching and Research (ATR) Posts: 3 of 3 areas of assessment selected from Teaching, Research, Enterprise and Engagement⁵

For Academic Teaching and Scholarship (ATS) Posts: 2 of 2 areas of assessment: Teaching, Enterprise and Engagement⁵.

ATR		ATS	
Promotion to Chair ³	A in Research and in one other area ¹ At least C in the third area of assessment.	Promotion to Chair	A in Teaching and E&E ¹ .
Promotion to Reader ³	A in Research, B in a second area and at least C in the third area of assessment.	Promotion to Reader	A in Teaching and B in E&E (or A in E&E and B in Teaching).
Promotion to Senior Lecturer ⁴	B in Teaching. B in Research. At least C in E&E.	Promotion to Senior Lecturer ⁴	B in Teaching and in E&E. ²
Promotion to Lecturer B (Acad 3); and Confirmation of Appointment at Lecturer B (Acad 3)	C in Research with clear promise of B predominance in the future. C in Teaching. D in E&E.	Promotion to Lecturer B (Acad 3); and Confirmation of Appointment at Lecturer B (Acad 3)	C in Teaching C in E&E
Confirmation of appointment at Lecturer A (Acad 2)	C in Research C in Teaching D in E&E	Promotion to Lecturer A (Acad 2); and Confirmation of Appointment at Lecturer A (Acad 2)	C in Teaching D in E&E
Promotion to Lecturer A	Not applicable for ATR	Confirmation of appointment at Lecturer/Tutor (Acad 1)	At least C in Teaching

¹ Where a Head of School or holder of another senior Faculty/University wide role has undertaken, and continues to undertake, an outstanding and transformative academic leadership role, this may be taken into account when considering the volume of A attainment and performance in research or one other area for ATR and the volume of A attainment and performance in teaching or one other area for ATS, when considering promotion to Chair.

² Where an ATS Lecturer seeks promotion to Senior Lecturer the normal expectation is B in Teaching and one other area. There may be occasions where the Faculty/School has need of a senior academic to fulfil a specific leadership role on the Teaching side. In this exceptional situation it is possible to consider for promotion an individual who is judged to have the leadership potential required and is extremely strong on Teaching but not on Enterprise or Engagement. The individual would then, if promoted, take on the specific leadership role on the Teaching side for as long as required to do so.

³ The difference between Chair/Reader is in volume and/or impact of A attainment and performance

⁴ ATS promotion to SL requires a B in enterprise and engagement, reflecting an increased commitment to the development of this field and the greater allocation of time to this activity, whereas ATR promotion to SL requires only a C, as there is also a requirement to attain a B in research. There may, however, be exceptional circumstances where an ATS promotion may occur without attaining a B in E&E

⁵ Enterprise and Engagement are a single area of assessment although there is a deliberate drive to embed both elements within the University. In principle, within this single area of assessment, engagement may be rewarded without evidence of enterprise, and vice-versa, and therefore they are described separately in this document but where a Faculty plan dictates a minimum threshold for either or both, a Faculty should make a judgement about the appropriate balance between the two elements, and their value to the Faculty's achievement of its aims and objectives.

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Assessment standards:

	Research¹ and related administration, management and leadership	Enterprise Assessment and related administration, management and leadership	Engagement Assessment and related administration, management and leadership	Teaching and related administration, management and leadership
A	<p>Performance indicated by:</p> <ul style="list-style-type: none"> • predominantly world leading/ internationally excellent attainment and performance • exceptional policy or application impact may be taken into account 	<p>Indicative examples of performance may include:</p> <ul style="list-style-type: none"> • a significant contribution to the development of and leadership in academic enterprise across a broad range of enterprise and cultural activities • exceptional contribution to the public good • exceptional levels of interaction with business, professional bodies and/or government • exceptional performance in transferring knowledge from research activity 	<p>Indicative examples of performance may include:</p> <ul style="list-style-type: none"> • a significant contribution to the development of and leadership in academic public and community engagement across a broad range of activities • exceptional contribution to the public good • exceptional levels of interaction with public and community organisations including the public sector and governmental bodies 	<p>Indicative examples of exceptional performance may include:</p> <ul style="list-style-type: none"> • evidence of consistently excellent performance, evidenced through teaching which actively challenges, enthuses and engages students, eliciting high quality student work and sustaining the highest quality of student intellectual responses. Teaching at this level is often marked by an intellectual generosity with colleagues and students • consistently good student evaluation data, peer reviews of teaching, external examiner reports and, where relevant, professional body course reviews. There will be evidence of interventions which show that teaching is modified in relation to student assessment, feedback and guidance • a likelihood of strong and sustained evidence of leadership and development roles in teaching across the academic unit, with clear evidence of sustained innovation, creativity and the use of a range of innovative and traditional pedagogical practices • teaching which might be explicitly informed by pedagogic scholarship in the subject area, and the individual will be making contributions to thinking, debate and development about the quality of teaching within subject networks, the University and internationally. There is likely to be evidence of published work in and around the teaching of the subject as well as evidence of a leading national role or leading role within the University • exceptionally accomplished standards of teaching and leadership within the discipline or subject

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<p>B</p>	<p>High Standard of performance indicated by:</p> <ul style="list-style-type: none"> • predominantly at least internationally excellent attainment and performance • very high policy or application impact may be taken into account 	<p>Indicative examples of high standard of performance may include:</p> <ul style="list-style-type: none"> • strong contribution to the development of academic enterprise across a broad range of enterprise and cultural activities • high levels of commercialization including licensing, consultancy, industrially funded research and/or start-up company or other venture • significant contribution to the public good • high levels of interaction with business, professional bodies and/or government 	<p>Indicative examples of high standard of performance may include:</p> <ul style="list-style-type: none"> • a strong contribution to the development of academic public and community engagement across a broad range of activities • high levels of community funded research • significant contribution to the public good • high levels of interaction with public and community organisations including the public sector and governmental bodies 	<p>Indicative examples of high standard of performance may include:</p> <ul style="list-style-type: none"> • evidence of consistently good performance, evidenced through teaching sessions which actively challenge, enthuse and engage students, eliciting high quality student work and sustaining a high quality of student intellectual responses • good student evaluation data and peer reviews of teaching and evidence of continuous development and improvement in teaching skills and repertoire • consistently positive reports on the delivery of courses which are seen by external examiners and / or professional bodies • likelihood of evidence of significant contributions to student support • evidence of success in a leadership role in teaching across the academic unit, with evidence of sustained leadership of course development and the use of a range of both innovative and traditional pedagogical practices
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PROMOTION COMMITTEE RULES AND PROCEDURES

<p>C Competent standard of performance indicated by:</p> <ul style="list-style-type: none"> • some of the assessed attainment and performance being of at least internationally excellent level, with the rest being at least at internationally recognised levels • strong policy or application impact may be taken into account 	<p>Indicative examples of competent performance may include:</p> <ul style="list-style-type: none"> • evidence of academic enterprise across a narrow range of enterprise or cultural activities • good levels of commercialization including licensing, consultancy and industrially funded research • contribution to the public good • promotion and maintenance of moderate levels of interaction with business, professional bodies and/or government 	<p>Indicative examples of competent performance may include:</p> <ul style="list-style-type: none"> • evidence of academic enterprise across a narrow range of public and community engagement activities • good levels of community funded research • contribution to the public good • promotion and maintenance of moderate levels of interaction with public and community organisations including the public sector and governmental bodies 	<p>Indicative examples of competent performance may include:</p> <ul style="list-style-type: none"> • consistently careful attention to preparation, teaching and assessment of students • evidence of attention to the engagement, learning, progress and assessment of individual students as well as groups, and evidence of the modification of teaching approaches in the light of feedback from students • materials revised at least annually and teaching explicitly related to current developments in the subject area, in terms of research, scholarship and current professional practice • good participation in course/module review meetings and the individual would be likely to be playing a constructive and fully engaged role in course teams. University internal quality assurance procedures would be completed conscientiously and to time • student evaluations which would be at least good across a range of teaching and clear evidence of engagement with up-to-date technologies and pedagogical practice
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SEE APPENDIX C, PARAGRAPH 1.7

D	<p>Modest standard of performance indicated by:</p> <ul style="list-style-type: none"> attainment and performance consistently below internationally excellent (i.e. not 3*), and/or including some below internationally recognised level (not even 2*) 	<p>Indicative examples of emerging performance may include:</p> <ul style="list-style-type: none"> low level of commercialization activity low level of interaction with business, professional bodies and/or government 	<p>Indicative examples of emerging performance may include:</p> <ul style="list-style-type: none"> low level of public and community engagement activity low level of interaction with public and community organisations including the public sector and governmental bodies 	<p>Indicative examples of barely acceptable or borderline performance may include:</p> <ul style="list-style-type: none"> concerns about the individual's commitment to teaching and reservations about their standards of professional conduct with students and colleagues insufficient attention to the preparation, and delivery of teaching and the assessment of student learning. University internal quality assurance procedures would not be completed as conscientiously as needed or to time. Teaching would not take account of significant developments in the subject area. Attendance at course/module review meeting and team meetings is inadequate student evaluations or external examiner reports giving cause for concern <p>NB: Teaching that is regarded as barely acceptable should prompt discussions about how teaching must be improved and the setting of clear and agreed targets, realistic deadlines for improvement and subsequent evaluation of teaching against the standards for competent performance.</p>
E	<p>Low standard of performance indicated by:</p> <ul style="list-style-type: none"> absence of any internationally recognised attainment and performance, (not even 2*) 	<p>Examples of lack of evidence of performance, or poor performance, may include:</p> <ul style="list-style-type: none"> no commercialization activity no interaction with business, professional bodies and/or government 	<p>Examples of lack of evidence of performance, or poor performance, may include:</p> <ul style="list-style-type: none"> no public and community engagement activity no interaction with public and community organisations including the public sector and governmental bodies 	<p>Examples of unacceptable performance may include:</p> <ul style="list-style-type: none"> clear cause for concern about overall teaching competence and professional standards. Such concerns are likely to emerge from complaints from colleagues, student evaluations, student complaints, peer review of teaching or external examiner feedback. There is likely to be evidence of poor preparation, lack of commitment, poor communication of the subject and its underlying ideas and concepts, inadequate attention to assessment, and feedback to students is likely to be perfunctory and inconsistent <p>NB Teaching that is graded E should prompt explicit capability proceedings.</p>

¹ Research may be indicated by funding AND/OR impact dependent on discipline to allow for differing demands.

APPENDIX D: PROBATIONARY STAFF GUIDELINES

1. A probationary period of service of five years is a condition of appointment for all entrants to the university teaching profession in the Lecturer grade except where the person concerned has satisfactorily completed probation in another university. A person appointed who has previous relevant service but has not satisfactorily completed a full probationary period may be made subject to an initial probationary period of less than five years. Variations from these procedures which are necessary in the case of fixed term appointments are set out in the annex to this appendix.
2. For the probationary period to serve its purpose, staff should know what is expected of them in the performance of their duties and be given the opportunity, through experience and by receiving appropriate training as necessary, to develop a standard of effective performance which will enable the University to confirm the appointment.
3. Section 3 of the Rules and Procedures of the Promotions Committee describes the formal arrangements for considering confirmation of probationary appointments. This appendix outlines recommended approaches to workload and gives guidelines on the particular counselling that probationary staff should receive, especially in the event of difficulties during the probationary period. By proposing action for both the Head of School (or equivalent) and the individual probationer to take, it aims to ensure that any difficulties (especially those which might lead to non-confirmation) are identified and, as far as possible, overcome without recourse to the formal warning procedure described in Section 3, Paragraph 6.
4. The induction programme for new members of staff should include general introductions to the University, its structure and procedures, and to the individual School/unit concerned. It should include a specific introduction to the work which the probationer is to undertake within the context of the School/unit's overall aims, objectives and procedures. At the commencement of the probationary period, the Head of School should arrange to make the new recruit aware of the standard of performance expected for confirmation of the appointment. This should include specific reference to the timetable, procedures and criteria set out in Section 3 of the Rules and Procedures of the Promotions Committee. Normally, teaching and associated administration, management and leadership loads should be lighter than those of established members of faculty.¹

¹ **Sliding scale:** this may be reflected in significantly lower teaching/student facing demands in Year 1 and 2, some relief in Year 3, modest relief in Year 4, and minimal relief in Year 5. Administration related to Research, Teaching and E&E should be expected to start correspondingly light but rise to near full complement in Year 5. Where prior service reduces the 5 year period, the relief provided should be according to the notional total number of years already served. For part-time academic staff, relief should be pro-rata to the contractual full-time equivalent basis on which they are employed.

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5. The University's Centre for Staff and Educational Development (CSED) arranges formal induction programmes each academic year as part of the MA-HEP which new members of Lecturing staff are expected to attend. These include some sessions particularly orientated towards those new to university academic staff duties. Heads of School reporting on probationers' progress to the Promotions Committee will be expected to report on whether the member of staff concerned has successfully completed the required modules of the MA-HEP programme.
6. At an early stage in the appointment, the probationer should be given an opportunity to discuss with the Head of School and/or senior Advising Colleague (see Paragraph 7 below) any particular training or development need which, in the light of the probationer's education, professional training and previous experience, may assist him or her to achieve the required standard of performance in all parts of the assigned duties. The probationer should receive a co-ordinated development programme of a helpful and comprehensive nature which lasts throughout the probationary period and provides a means of identifying and overcoming any difficulties which may arise.
7. The Senate has agreed that in order to provide advice and guidance, an Advising Colleague is to be assigned within the School/Unit to each probationer on appointment. This should be someone who is not involved with any formal assessment of the probationer's performance, but is a well-established member of faculty familiar with the true nature of the problems faced by probationers. The Advising Colleague's role is:
 - (1) to help the probationer settle in to the working environment of the School/unit
 - (2) to help protect the probationer from exploitation by established colleagues
 - (3) to encourage the development of the probationer's academic talent and to help self-evaluation of his or her own teaching, research, enterprise and engagement and related administrative performance.
 - (4) to be actively involved in the development of the probationer's teaching expertise and style.

The Advising Colleague and the probationer should arrange to meet regularly – at least quarterly is suggested – to review progress, identify and acknowledge achievements, jointly identify any difficulties or uncertainties and agree means of responding to these.

8. The Staff Appraisal and Development Scheme is an important vehicle for personal review and self-assessment on the part of any probationer and for guidance and advice from a senior member of staff acting as appraiser. The annual appraisal round is not a substitute for the other activities and structures designed to support and guide probationary lecturers which are described in the preceding paragraphs, but should be seen as complementing and providing formal reinforcement for these support and guidance mechanisms. The member of staff may choose to include an agreed summary of appraisal records in the documentation prepared for presentation to the School Promotions Committee when his or her case for confirmation is considered.

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9. The Head of School receives all appraisal records and should also ensure that he or she is familiar by other means with the progress of a probationary lecturer, and is available to discuss progress with the individual if requested.²
10. As a link between the informal reviews of progress, and the formal consideration of cases for confirmation of appointment which takes place at the beginning of the final year of probation, the Head of School will be asked by the Human Resources Division, one year before this formal review, to report to the Director of Human Resources whether he or she expects to be able to recommend confirmation in a further year's time. If the Head of School does not expect to be able to recommend confirmation, this report should state in which areas the probationer's performance is at that stage considered inadequate:
 - (a) teaching and related administration, management and leadership and other student facing activities
 - (b) research and related administration, management and leadership
 - (c) enterprise and engagement and related administration, management and leadership

Such a report will not be passed to the Promotions Committee but a copy should be made available by the Head of School to the probationer who should then discuss it with the Head of School. This provides a specific occasion for the Head of School to address the question of the probationer's performance; and it also provides an opportunity for the member of staff to seek and/or be offered advice and assistance from outside the School/unit in which he or she works.

11. Should the Head of School identify any difficulties with the probationer's progress in advance of the request to report to the Director of Human Resources, these should be raised with the relevant Human Resources Manager at the earliest opportunity to enable steps to be taken to address the concerns.

² In FOH the Research Institute Director will oversee the research progress of the probationer.

ANNEX TO APPENDIX D:
PROBATIONARY PROCEDURES FOR ACADEMIC STAFF ON FIXED
TERM APPOINTMENTS

1. A probationary period of service of five years is a condition of appointment for all entrants to the university teaching profession in the Lecturer grade except where the person concerned has satisfactorily completed probation in another university. A person appointed who has previous relevant service but has not satisfactorily completed a full probationary period may be made subject to an initial probationary period of less than five years. The following procedures nevertheless assume that probation will be for five years in the great majority of appointments to established posts in the University.
2. The following procedures relate to Lecturers appointed to **fixed term** posts who have not satisfactorily completed probation in another university and will normally be subject to an initial period of probation.
3. **Fixed term of five years or more**

The standard probationary period of five years will normally apply.
4. **Fixed term of five years**

The normal probationary period will be the full period of the appointment.
5. In both the above categories, the probation of the member of staff will be subject to the guidelines set out in Appendix C of the Promotions Committee's Rules and Procedures. The appointment will also be subject to formal review by the Promotions Committee at the beginning of the final year of probation. A decision to confirm the appointment **will not** imply any commitment to continue the employment beyond the specified term.
6. **Fixed term of one to four years**

Staff appointed for fixed term periods of one to four years will be subject to the same guidance and support mechanisms as any probationer, and expected to perform to similar standards to those expected of probationers (see Appendix D of the Promotions Committee's Rules and Procedures). However, there will be no formal review by the Promotions Committee in this case, **unless** the appointment is extended to a total period of five years or longer. At this point it shall be decided whether (and if so when) a formal review of probationary performance by the Promotions Committee shall take place. A decision to confirm the appointment will **not** imply any commitment to continue the employment beyond the specified term.
7. Where this is a requirement of their employment, fixed term staff on probation will undertake the MA-HEP (see Section 3, paragraph 10, and Appendix D, paragraph 5) for the duration of their appointment.
8. Any queries concerning the operation of these procedures should be addressed to the Human Resources Division.

APPENDIX E: APPEALS

1. The following appeals procedure is available to staff in the circumstances described in the following sections of the Rules and Procedures:
 - (a) Confirmation of Appointment (Section 3, Paragraph 10)
 - (ii) Advancement from Lecturer Grade A to Grade B (Section 4, Paragraph 8)
 - (iii) Promotions (Section 5, Paragraph 1.11)

Notice of appeal in such circumstances shall be lodged with the Director of Human Resources, in writing, not more than 10 days after the date of the written notification to the member of staff of the decision of the University Promotions Committee which is being appealed.

2. An appeal shall be heard by an Appeals Committee comprising three senior members of academic staff, nominated by the Vice-Chancellor, with a lay member of the Council who will act as Chair. No member of the Appeals Committee may be a member of the University Promotions Committee, nor a member of staff of the same School/unit as the appellant. The secretary of the Committee shall not be either the secretary or a member of the University Promotions Committee. While every effort will be made by the Director of Human Resources to ensure that the composition of the Committee would provide no grounds for objection, an objection by the appellant to the membership of any person on the Committee may nevertheless be raised formally with the Director of Human Resources who will refer the matter to the Vice-Chancellor for alternative nominations where appropriate.
3. The Appeals Committee's decisions are final and shall not be the subject of further discussion or appeal. The Committee's task is to determine whether or not appeals lodged by members of staff are to succeed. It communicates its findings directly to the Vice-Chancellor.
4. The Appeals Committee will review the case previously dealt with by the Promotions Committee. The documentation presented to that Committee will be made available to the appellant immediately after the appeal is lodged, and will be the documentation presented by the University to the Appeals Committee. The appellant and/or his or her representative (who can be a Trade Union representative or work colleague) may present additional relevant information, which must be lodged with the secretary so as to be circulated to all parties to the appeal hearing not later than one week before the date fixed for the hearing.
5. Witnesses may be invited to attend the hearing to give evidence. The University may call persons to speak to matters of fact leading up to the decision of the Promotions Committee or such matters as have been raised by the appellant. The appellant may call persons to speak to such matters of fact or to present additional relevant information. The names of any persons to be called by either side should be notified, in advance of the hearing, to the secretary, who will notify all parties to the appeal hearing.

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6. Conduct of the Hearing:
 - (a) The University officers presenting the case, the appellant and/or the appellant's representatives will be invited to attend the hearing.
 - (b) The Chair will call upon the University officers to restate the case as presented to the Promotions Committee. The Chair will then call upon the appellant and/or the appellant's representatives to present their case.
 - (c) Elucidation may follow by question and answer of any points arising.
 - (d) Witnesses may be called by either side, in which case they will be invited to enter the room, make their statement and/or be examined by either side and by the Committee, then withdraw. Witnesses will not otherwise be present at any part of the proceedings.
 - (e) At any time during the hearing either side may request a brief adjournment and agreement to such a request shall not unreasonably be withheld.
 - (f) There being no further questions the appellant, any representatives and the University officers presenting the case will withdraw.
 - (g) The Committee will consider its decision alone except for the presence of the secretary.
 - (h) The Committee shall endeavour to reach a decision as quickly as possible but may, if it so wishes, adjourn for one working day before reconvening to reach a decision.
7. The Committee's decision will be communicated to the appellant as quickly as possible by the secretary of the Appeals Committee
8. If the Appeals Committee decides to confirm the decision of the Promotions Committee to hold a Lecturer to the top point of the Grade A scale, the case shall be automatically reviewed a year later by the Promotions Committee, whose decision may constitute grounds for a further appeal.

**APPENDIX F: DETERMINATION OF LECTURERS' SALARIES ON
APPOINTMENT**

1. The salary of a Lecturer on appointment will be determined by reference to the individual's qualifications and to his or her relevant experience in higher education.
2. It would normally be expected that an individual taking up their first post as a Lecturer within higher education with a first degree and a PhD would be appointed to the first (bottom) point of the Lecturer Grade A scale. (In some disciplines a Master's degree and/or appropriate professional training may take the place of a PhD).
3. In setting the initial salary for other than a new recruit taking up their first Lecturer post (as in 2 above) the following factors will be taken into consideration to determine whether the individual should be placed on a higher point on the scale:

Years of experience (relevant to a University Lecturer) in
 - (a) teaching and related administration, management and leadership and other student facing activities
 - (b) research and related administration, management and leadership
 - (c) enterprise and engagement and related administration, management and leadership
 - (d) other academic activities related to teaching and research
 - (e) associated professional activities
4. Where necessary for recruitment purposes, an appointee with appropriate experience and training may be appointed at a higher salary than the norm.
5. An individual's salary on appointment shall not be less favourable than others' on grounds of sex, marital status, race, colour, nationality, ethnic origin, sexual orientation, transgender status, political or religious belief, age or fixed term, or part time status (save that salary will be paid pro-rata)

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APPENDIX G: TABLE OF GRADE COMPARISONS

GRADE ON SINGLE PAY SPINE	ACADEMIC GRADE	RESEARCH ASSOCIATE GRADES, COMPARISON FOR INFORMATION ONLY
Academic 1/Grade 6	Tutor	RA1B
Academic 2/Grade 7	Lecturer A	RA1A
Academic 3/Grade 8	Lecturer B	RAII
Academic 4/Grade 9	Senior Lecturer/Reader	RAIII
Academic 5/Grade 10	Chair	RAIV