

## Report of the General Board on the introduction of a single procedure for the consideration of applications for promotion to personal Professorships, Readerships, and University Senior Lectureships

The GENERAL BOARD beg leave to report to the University as follows:

### 1. Introduction

1.1 In accordance with the University's Human Resources Strategy (see paragraph 3 below), this Report brings forward proposals for approval by the Regent House for the amalgamation of the existing separate procedures for the consideration of applications for promotion to personal Professorships, Readerships, and University Senior Lectureships into a single scheme. The draft guidance relating to the proposed single scheme is set out in Appendix 2 to this Report.

### 2. Background

2.1 Promotion schemes in relation to the senior academic offices referred to have taken up much of the time of the central bodies and their Committees in recent years and have featured prominently in many Discussions. The University's policy on promotion has evolved over a number of years as part of its commitment to responding to the changing environment both within the University and outside it. A full and clear account of the period from the late eighties to 1996 in which issues central to promotions policy were discussed and debated is set out in the General Board's Notice of 22 July 1996 (*Reporter*, 1995–96, p. 1033 ff). The current scheme for promotion to personal Professorships and Readerships, which was introduced in 1998, is set out in the General Board's Report of 21 October 1998 (Report of the General Board on the procedure for the consideration of applications for the establishment of personal Professorships and Readerships in 1999 and subsequent years, *Reporter*, 1998–99, p. 106 ff).

2.2 In their Report on the recruitment, reward and retention of academic and academic-related offices and associated matters (*Reporter*, 1997–98, p. 804) the General Board proposed *inter alia* the introduction of the office of University Senior Lecturer. The General Board's subsequent Report on the introduction of a University Senior Lectureship into the Cambridge structure of academic offices, and associated matters (*Reporter*, 1998–99, p. 782 ff) brought forward proposals for the implementation of a scheme for the consideration of applications for promotion to that office. The scheme, as described in the Report, was, with certain modifications, subsequently approved by the Regent House and implemented with effect from 1 October 2000.

### 3. The University's Human Resources Strategy: Senior Academic Promotions

3.1 The 'full' Human Resources Strategy, as approved by the HEFCE, is set out in the Appendix to the recent Joint Report of the Council and the General Board on a Human Resources Strategy for the University (*Reporter*, 2001–02, p. 773). Paragraph 23 of the Strategy reads as follows:

#### *Senior Academic Promotions*

The Personnel Committee has been charged by the General Board with reviewing the procedures for promotion to Reader and Professor. Together with

the introduction in 2001 of a procedure for promotion to University Senior Lecturer, these are the principal means within the University by which individual performance in research, teaching, and scholarship is evaluated and recognized. As well as making general improvements to the procedure in the light of experience of its operation over the last five years, a proposal to conflate the separate procedures for promotion to Senior Lecturer and to Reader and Professor into a single senior academic promotions scheme has been welcomed in consultation. Detailed drafting is underway with a view to introducing a new procedure for 2002–03, including provision for disabled and interdisciplinary candidates, improvements to the definitions of the criteria for promotion, and ... greater clarity about the career path available for academics. As a consequence of the increasing number of promotions to Reader and Professor, consideration will have to be given to the requirements on the holders of such offices to undertake teaching duties.

### 4. Consultation

4.1 In the course of the Michaelmas Term 2001 the Board undertook a consultation exercise on the reform of senior academic promotions procedures and on academic career structure. The General Board were particularly concerned to clarify the career structure for University teaching officers and to consolidate decision-making in relation to senior academic promotions.

4.2 The Board's proposals on changes to career structure will form the subject of a separate Report which will be published in due course. With regard to senior academic promotions procedures, the Board explained in the consultation document (available on the Personnel Division's web-site at <http://www.admin.cam.ac.uk/cam-only/offices/personnel/promotion/>) that they favoured the introduction of a single procedure, rather than the retention of separate schemes, because it would:

- (i) entail a wider overview of academic attainment at the highest level; the University Senior Lectureship would be a natural route to further promotion;
- (ii) speed up the current promotions process;
- (iii) eliminate some of the duplication and effort involved in the running of separate promotion schemes.

4.3 The Board put forward two Model Schemes for achieving these aims:

**Model 'A'**, which was based on the framework of the two existing separate schemes, and combined them into a single procedure with adjustments to ensure a more streamlined process.

**Model 'B'**, which was a more centrally driven procedure, reducing the number of stages in the current process through the elimination of the Faculty Promotions Committee and introducing School-level involvement directly into the decision-making process.

These schemes are reproduced diagrammatically in Appendix 1. In the event a clear consensus emerged from the consultation for a single scheme based on Model 'A'.

4.4 With regard to Model 'A' the current role of Faculty Appointments Committees in the University Senior Lectureships procedure would be replaced by Faculty Promotions Committees and the General Board and its Sub-committees. Such a change would involve introducing a provision into Statute D to give the General Board the power to appoint to University Senior Lectureships when appointments result from a promotions exercise.

### 5. Proposed Single Promotions Scheme

5.1 The Board have accordingly agreed to recommend, on the advice of the Personnel Committee, that there be a single procedure for the consideration of applications for promotion to personal Professorships, Readerships, and University Senior Lectureships, based on Model 'A', as set out in Appendix 2 to this Report. Under the single procedure, all the documentation, including references, would be assembled in Faculties or Departments. There would be a full evaluation of applications in terms of the criteria by Faculty Promotions Committees, as under the existing scheme for promotion to personal Professorships and Readerships. Under the new scheme all applications and documents would be forwarded by Faculty Promotions Committees to the General Board Committee stages. A General Board Committee on Senior Academic Promotions would be served, as the Board's Committee on personal Professorships and Readerships is currently served, by Sub-committees but these would be increased from two (Arts and Humanities and Social Sciences; Science and Technology) to five; the Sub-committees would reflect School-based academic areas. The General Board's Committee on Senior Academic Promotions and its Sub-committees would receive documentation and evaluations from the Faculty Promotions Committees and determine the final evaluations by the standard for each senior academic office across the University. There would be a single appeal stage after the General Board's Committee had completed its consideration.

5.2 The General Board have agreed also to recommend that, subject to the approval of the recommendations of the Report, the date of the implementation of the new scheme, and the abolition of the existing separate promotions schemes, be as soon as practicably possible.

5.3 Attention is drawn in particular to the following features of the new scheme as set out in Appendix 2:

#### Eligibility (Appendix 2, Section 2)

5.4 The eligibility rules remain the same as under the current separate promotion schemes. However, the Board are aware that the duties of certain offices, such as Assistant Directors of Studies in International Relations and Assistant Directors of Development Studies, are very similar to those of University Lecturers but that it is not at present possible for the holders of such offices to be considered for promotion to University Senior Lectureships. In such cases the Board take the view that the way forward is for the authority of the institution concerned to propose the conversion of such offices to University Lectureships, thus making the officers eligible to apply for promotion to University Senior Lectureships. Statute D, XVII, however, limits the establishment of University Lectureships to Faculties and Departments and it will be

necessary to amend it to enable University Lectureships to be established in institutions primarily concerned with teaching and research which are not Faculties and Departments. The Board intend to bring forward proposals in the near future for the necessary revisions of Statute D, XVII and D, XVIII.

#### Application (Appendix 2, Section 4)

5.5 Under the existing schemes it is possible for eligible members of the academic staff to apply for a University Senior Lectureship and/or for a Readership, or a Professorship in a particular year. The Board remain committed to the principle that it should be possible to achieve promotion from a University Lectureship or from a University Senior Lectureship to a personal Readership or Professorship, and that the University Senior Lectureship should not be seen merely as a means of providing reward for those University Lecturers who are unlikely to be successful in obtaining promotion to a personal Professorship or Readership.

5.6 The Board expect that a substantial majority (of the order of 80%) of University Lecturers will achieve promotion to a senior academic office in the course of their University career.

5.7 Much thought has been given to the rules that determine what promotion can be applied for in a single promotions exercise. The options considered included: the same arrangement as at present; a single application for the next senior office; application for a single specified office; application for any office or offices for senior academic promotion with the General Board determining the appropriate promotion; application for senior academic promotion, the senior office being unspecified by the applicant and the General Board, bearing in mind a normative career path (see previous paragraph), deciding in the light of the evidence what that office should be.

5.8 Of these options, the Board favour application for a single specified office for the following reasons. In a single scheme, under which it is possible to apply for senior academic offices for which the criteria vary, particularly as between Professorship/Readership and University Senior Lectureship, the Board believe that it is important that the task of referees and others who are involved in the process of producing the documented evidence for promotion is clear and straightforward. Under the existing separate schemes, referees, for example, know clearly that they are expected to address the criteria for the scheme under which the candidate has applied. Under a consolidated scheme it is essential that such simplicity and clarity is maintained; this would, in the Board's view, be compromised if applicants were to be allowed under a single scheme to continue to apply for, say, both a Readership and a University Senior Lectureship, as they can at present under the separate schemes.

5.9 Under the scheme that the Board favour, the Board would expect prospective applicants to seek advice from their Head of institution or other senior academic colleague(s) on the particular office for which it is appropriate to apply for promotion at the current stage of their academic career.

#### Interdisciplinarity (Appendix 2, Sections 4, 6, and 7)

5.10 The proposed new arrangements make provision for the involvement, if considered necessary by

the relevant Committee, of additional senior academics with appropriate specialized knowledge at the Faculty Promotions Committees and General Board Subcommittee stages.

**Disability and allowance for periods of absence on account of family commitments, illness, etc.**

5.11 Both the current separate promotion schemes make provision for allowance to be made in the consideration of applications on account of disability and/or periods of absence on account of family commitments, illness, or of some other substantial reason. This provision has been incorporated into the proposed new single promotion scheme.

**Criteria and Evaluative Standards (Appendix 2, Section 3)**

5.12 The consultation exercise referred to above elicited a general view that some improvement of the current criteria was desirable but the response did not provide any clear sense as to what that improvement might be. The Board have given considerable thought to this.

5.13 The current criteria for promotion to senior academic promotions relate almost entirely to achievement in research/scholarship; for offices whose duties include teaching there must, in addition, be evidence of an effective contribution to undergraduate and/or postgraduate teaching. The criteria for promotion to a University Senior Lectureship refer not only to teaching and research/scholarship but also to general contribution. The Board believe that, while it is essential in the case of promotion to a personal Professorship or Readership to maintain a predominant weighting in favour of achievement in research/scholarship, account should also be taken of both teaching and general contribution. The General Board have defined general contribution widely and flexibly so as to include all contributions to the subject that are not covered by the research and teaching criteria, for example in administration both within and outside the University and, where appropriate, management of research groups, editorial work, etc.

5.14 The Board remain of the view that the weighting of the criteria, when taken together, should continue to emphasize clearly achievement in research/scholarship. However, they believe that the existing six criteria relating to research/scholarship can, with some redefinition, be reduced to three – (i) originality, (ii) contribution to the advancement of knowledge, and (iii) reputation – in order to reduce overlap and to provide greater clarity and flexibility, (see Appendix 2, Section 3A).

5.15 The minimum standards that must be obtained to achieve promotion will be as specified in Section 3B of the Guidance (see Appendix 2).

5.16 Although the Board expect that decisions on all applications will continue to be made primarily by reference to the criteria, the number of promotions that it will be possible to approve in a particular year may be influenced by the University's general financial situation.

**Documentation (Appendix 2, Section 5)**

*Structured curriculum vitae*

5.17 The *curriculum vitae* submitted by applicants should be in a common structured format with separate Annexes for providing detailed information with regard to research/scholarship, teaching, and general contribution.

*The Case for Promotion*

5.18 The General Board have considered what evidence should be used in the construction of the case for promotion. They believe that the case should be a statement of the Faculty/Department's view and should not be based on other evidence generated by the promotions procedure itself: it is for the Promotions Committee to form a view on the strength of the case for promotion based on all the evidence generated by the procedure.

*References*

5.19 At present references are obtained by the Academic Secretary in the case of the current senior academic promotions scheme and by the Secretary of the relevant Appointments Committee in the case of the current University Senior Lectureship scheme. Under the proposed new arrangements, all references will be obtained by the Secretary of the relevant Faculty Promotions Committee.

**Committee Structure (Appendix 2, Section 7)**

5.20 Instead of two Sub-committees at the General Board stage (Arts and Humanities and Social Sciences; Science and Technology), there will be five, each of which will reflect School-based areas. The Chairs of the Sub-committees will be members of the main General Board's Committee on Senior Academic Promotions, which will replace the current Committee on personal Professorships and Readerships, and each person appointed as Chair of a Sub-committee will chair a Sub-committee not concerned with the academic area of his or her Council of the School. The internal members of the Sub-committees will be appointed by the General Board on the nomination of the respective Councils of the Schools. The external member of each Sub-committee will also be a member of the Board's Committee on Senior Academic Promotions.

**Feedback and Appeal (Appendix 2, Sections 8 and 9)**

5.21 Feedback and Appeal will occur at the end of the process. However, applicants may, on request, be given copies of Document 7 for information at the end of the Faculty Promotions Committee stage.

**Administrative load**

5.22 Although the task of seeking references may add to the current load of Faculties and Departments, it is hoped that this will be more than offset by the elimination of administrative duplication that exists with the current separately run schemes. The General Board intend to monitor the load on Faculties and Departments and would welcome feedback in the light of their experience of operating the new scheme.

**6. The General Board recommend:**

I. That, subject to the approval of Her Majesty in Council, the Statutes of the University be amended as set out below, and that these amendments be submitted under the Common Seal of the University for the approval of Her Majesty in Council.

**Statute D**

CHAPTER XVIII  
UNIVERSITY SENIOR LECTURERS

By renumbering sections 3 and 4 as sections 4 and 5, respectively and by inserting the following new section 3:

3. Appointments to University Senior Lectureships shall be made by the General Board if they are made through a general promotions scheme approved by the Regent House. Such appointments shall, subject to the provisions of Statute U, be to the retiring age.

II. That approval be given to the procedure proposed by the General Board in this Report, and to the Guidance in Appendix 2 to the Report, for the consideration of applications for promotion to personal Professorships, Readerships, and University Senior Lectureships.

III. That, subject to the approval of recommendation II, the current senior academic promotions schemes be abolished and the scheme described in this Report and Appendix be implemented from a date to be determined by the General Board.

IV. That the General Board be given authority to make such changes in the procedure as they consider necessary from time to time for the fair and efficient management of the promotions exercise.

2 October 2002

ALEC N. BROERS, *Vice-Chancellor*  
P. J. BAYLEY  
N. O. A. BULLOCK  
KATIE CHILDS  
ANDREW CLIFF

MALCOLM GRANT  
J. C. GRAY  
S. LEATON GRAY  
PETER LIPTON

A. C. MINSON  
KATE PRETTY  
M. SCHOFIELD  
S. J. YOUNG

**Summary of main changes**

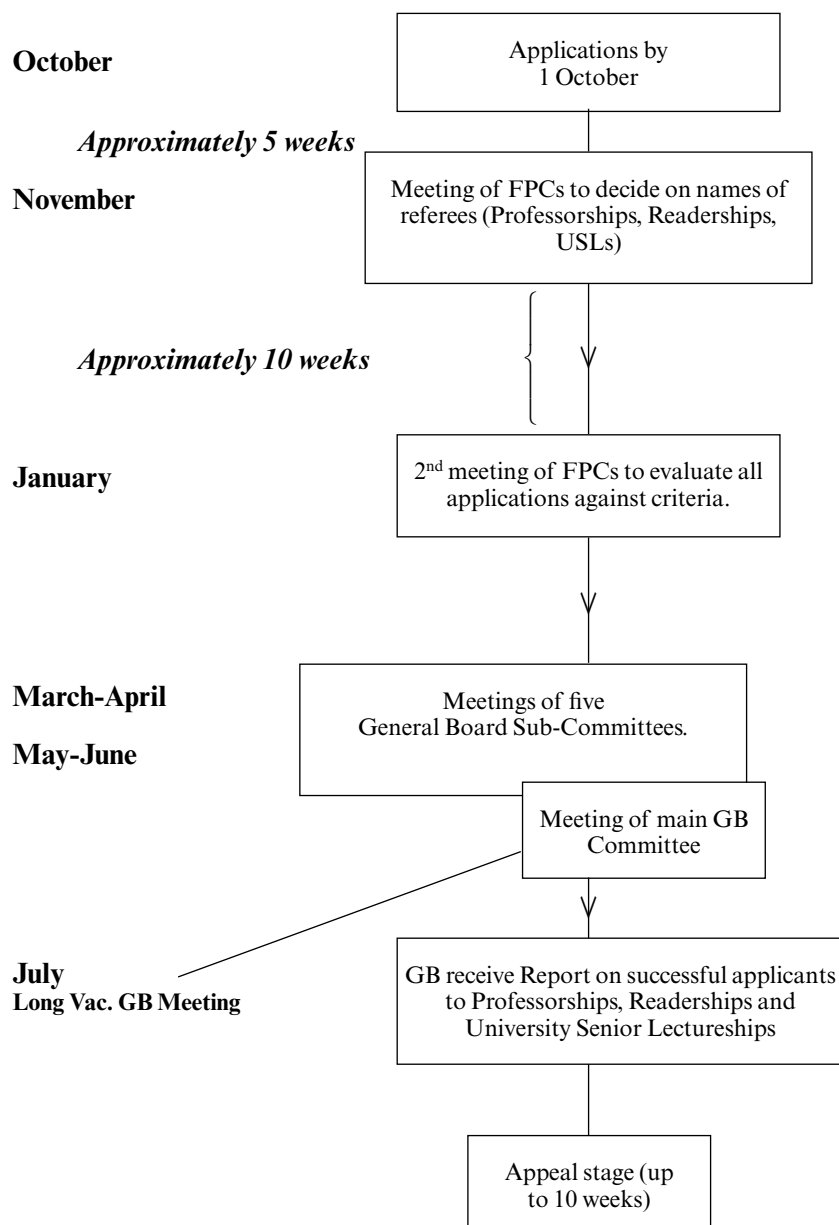
1. There will be a single procedure for the consideration of applications for promotion to personal Professorships, Readerships, and University Senior Lectureships.
2. Application will be for promotion to a specified senior academic office.
3. All applications will initially be considered by the Faculty Promotions Committees.
4. All applications will be considered at each stage.
5. The criteria in each case will include general contribution to the applicant's subject. Criteria under the heading Research/Scholarship have been reduced to three – (i) originality, (ii) contribution to the advancement of knowledge, and (iii) reputation.
6. There will be five General Board Sub-committees reflecting school-based areas.
7. Feedback and appeal will be at the end of the process.

## APPENDIX 1

**Academic Promotion to Personal Professorships, Readerships,  
and University Senior Lectureships**

## MODEL A

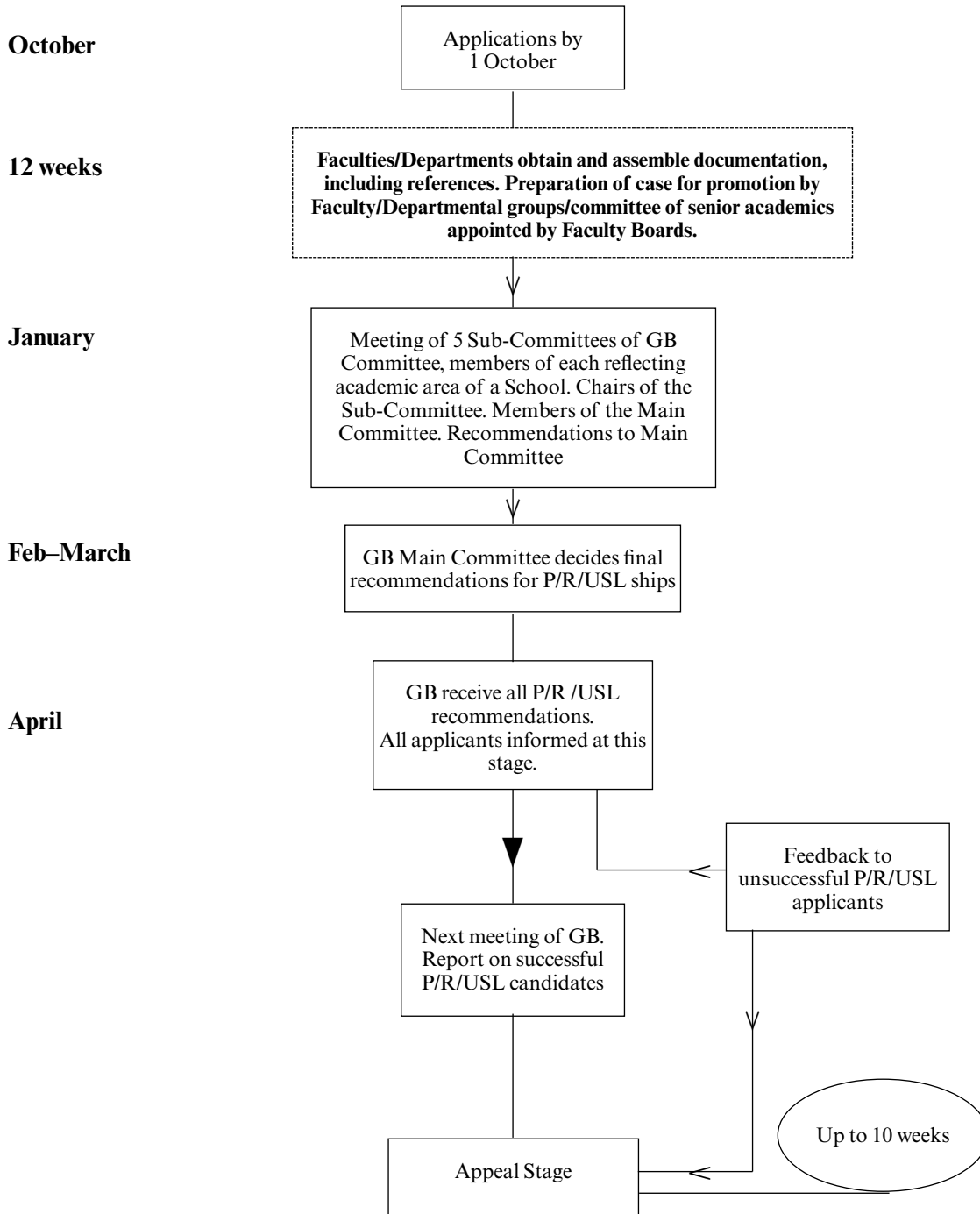
Combining existing procedures



## Academic Promotions to Personal Professorship, Readership, and University Senior Lectureships

### MODEL B

#### School-led approach





**APPENDIX 2**

**Guidance**



## INTRODUCTION

1. This booklet sets out the procedure for the consideration of applications for promotion to the offices of University Senior Lecturer, Reader, and Professor with effect from 1st October [ ]. The single procedure described in the booklet has replaced the hitherto separate procedures for considering applications for promotion to University Senior Lectureships and to personal Readerships and Professorships.

2. All eligible members of staff (see Section 2) should be provided with a copy of this guidance booklet by the Head of the Department or Chair of the Faculty Board via the administrative office of the Department or Faculty to which their office or post is assigned. (Hereafter the term 'Head of Institution' is used to mean of Head of Department or other institution or Chair of a Faculty Board not organized into Departments.)

3. Application is for promotion to a specified senior academic office (see Section 4).

4. Those who wish to apply are advised to read the whole of this guidance and to seek advice from their Head of Institution or a senior academic colleague before deciding which office to apply for.

5. The presentation of applications within the prescribed guidelines is important.

6. All those who have a role in the procedure described in this booklet, whether members of Committees, administrators, Heads of institutions, etc., are advised to familiarize themselves with the advice contained in this guidance.

7. The Board expect that a substantial majority (of the order of 80%) of University Lecturers will achieve promotion to a senior academic office in the course of their University career.

8. The case for promotion is assessed in relation to the criteria on the strength of the evidence contained in all the relevant documentation (see Sections 3 and 5).

9. In the case of offices and posts which are non-UEF funded, it is a requirement that the cost of the promotion be met from the same source as that which funds the office or post.

10. The University Senior Lectureship stipend scale and the stipends of the offices of Reader and Professor are set out in context below.

11. In the case of eligible members of staff who hold NHS consultant contracts, it should be noted that those University Lecturers, University Senior Lecturers, Readers, and Professors holding NHS consultant contracts are remunerated on a basis equivalent to NHS consultant staff. Those promoted to University Senior Lectureships, Readerships, and Professorships will therefore continue to be remunerated at levels equivalent to scale points on the NHS consultant scale.

University Lecturers at the top or penultimate place of the scale of stipends who are in receipt of a discretionary payment awarded under the old discretionary payments scheme.

12. There are no additional discretionary increments above the top of the University Lecturer stipend scale. University Lecturers who are at the top of the scale and in receipt of a discretionary payment awarded under the old discretionary payments scheme must apply for promotion to a University Senior Lectureship or to a personal Readership or Professorship, if they are to ensure permanent consolidation of their discretionary payment as part of their University stipend. University Lecturers who are in receipt of a discretionary payment and are at the penultimate place on the scale on 1st October [ ] should also apply for promotion as the value of their discretionary payment is greater than the final incremental step on the University Lecturer scale and permanent consolidation of the discretionary payment without financial loss is not possible through application under the new additional increments scheme.

## GENERAL PRINCIPLES AND GUIDANCE TO BE OBSERVED THROUGHOUT THE PROCEDURE

### 1. Natural Justice

1.1 'Natural Justice' is defined as 'due process of law' or the 'requirements of procedural fairness'. It applies to any procedure whether or not it is explicitly mentioned. There are two principles:

(i) No person may be a judge in his/her own cause (the rule against bias).

(ii) The person must have the opportunity to be 'heard' fairly; justice must be seen to be done.

Accordingly:

1.2 All persons involved in the procedure and in the consideration of applications should be fully conversant with the guidance contained in this booklet. They should undertake their roles in a manner which is scrupulously fair to the applicant, whether or not the guidance makes explicit provision for all circumstances.

### 2. Declaration of Interest and Bias

2.1 Any person involved in the preparation, presentation of documentation, or in the consideration of applications or appeals, who has any interest that may be regarded as prejudicial to the impartial consideration of applications or, in the case of appeals, has participated in the consideration of applications in an earlier stage or stages of the procedure, should declare this to the appropriate person. The appropriate person will be the Head of the applicant's institution, Chair of the Faculty Promotions Committee, General Board's Senior Academic Promotions Committee or

(1 March 2002 rate)

	£	
Top 3 points of Cambridge University Lectureship Scale:	31,947	
	33,038	
	34,734	
Cambridge University Senior Lectureship Scale:	36,755	(1) Incremental
	37,482	(2) progression
	38,603	(3) is automatic
Reader	41,732	
Professor	48,005	

Sub-committee or Chair of the Appeals Committee, depending on the stage of the procedure. A record should be kept of all such declarations. In the case of Committee members, the Chair of the Committee concerned will inform the Committee of any such declarations at the beginning of the first meeting. If the Chair has an interest to declare, he or she should inform the Secretary. The Committee should be informed of any such declaration at the beginning of the first meeting. If in doubt, a Committee member should seek the advice of the Committee as to whether he or she has a declarable interest. It will be for the Committee to decide whether there is such an interest and what the appropriate action, if any, should be.

2.2 The Committee concerned should consider whether, in the particular circumstances, it would appear to be unfair if a member who has declared an interest were to participate in the deliberations in relation to any particular applicant. The issue for consideration is not just whether the member should be able to set aside any personal differences with an applicant or preference for an applicant, but rather whether, given the circumstances, a 'bystander' who had some understanding of academic practice would have real doubt as to whether the member could act in a way that is wholly free from bias: the principle is not just whether there is or is likely to be bias, but whether there is any appearance of bias. The test to apply to any actual or potential allegation of bias is whether a bystander might believe that there is any genuine danger of bias, that is it excludes fanciful or far-fetched allegations of bias. An allegation requires objective evidence, not simple assertion.

### 3. Equal Opportunity

3.1 The University's statement of policy is as follows: The University of Cambridge is committed in its pursuit of academic excellence to equality of opportunity and to a pro-active and inclusive approach to equality, which supports and encourages all under-represented groups, promotes an inclusive culture, and values diversity.

The University is therefore committed to a policy and practice which require that, for students, admission to the University and progression within undergraduate and graduate studies, will be determined only by personal merit and by performance. For staff, entry into employment with the University and progression within employment will be determined only by personal merit and by the application of criteria which are related to the duties and conditions of each particular post and the needs of the institution concerned.

Subject to statutory provisions, no applicant for admission as a student, or for a staff appointment, or student, or member of staff, will be treated less favourably than another on the grounds of sex (including gender reassignment), marital or parental status, race, ethnic or national origin, colour, disability, sexual orientation, religion, or age. For students, ability to meet the requirements of the selection criteria for competitive admission and for staff, ability to perform the job, will be the primary consideration.

If any person admitted as a student or appointed as an employee considers that he or she is suffering from unequal treatment on any of the above grounds in his or her admission, appointment, or progression through the University, he or she may make a complaint, which will be dealt with through the agreed procedures for

complaints or grievances or the procedures for dealing with bullying and harassment, as appropriate.

The University will take active steps to promote good practice. In particular it will:

- \* Promote equality of opportunity.
- \* Promote good relations between people of different racial groups, between women and men, and between disabled and non-disabled people.
- \* Have due regard to the need to eliminate discrimination on grounds of race, sex, disability, and all other grounds set out in the statement on equal opportunities.
- \* Subject its policies to continuous assessment in order to examine how they affect all under-represented groups, especially ethnic minority students and staff, women, and disabled students and staff, and to identify whether its policies help to achieve equality of opportunity for all these groups, or whether they have an adverse impact.
- \* Monitor the recruitment and progress of all students and staff, paying particular attention to the recruitment and progress of ethnic minority students and staff, women, and disabled students and staff.
- \* Promote an inclusive culture, good practice in teaching, learning, and assessment, and good management practice, through the development of codes of best practice, policies, and training.
- \* Take positive action wherever possible to support this policy and its aims.
- \* Publish this policy widely amongst staff and students, together with policy assessments and results of monitoring.

The University will meet all statutory obligations under relevant legislation and, where appropriate, anticipate future legal requirements signalled under EU Directives. The University's policy is guided by:

- Equal Pay Act (1970) Sex Discrimination Act (1975)
- Race Relations Act (1976) Disability Discrimination Act (1995)
- Special Educational Needs and Disability Act (2001)
- Human Rights Act (1998)
- Race Relations (Amendment) Act (2000)
- EU Equal Treatment Framework Directive (2000/78) and, in addition, the Codes of Practice issued by the Equal Opportunities Commission and the Commission for Racial Equality, together with the Codes of Practice on Disability and Age Diversity. These Codes are not legally binding (though they are admissible as evidence in Employment Tribunals) and the University supports them fully.

The policy will be amended as appropriate to meet the demands of future legislation.

Further guidance will be issued on the general duty under the RR(A)A to:

- \* Have due regard to the need to eliminate racial discrimination
- \* Promote equality of opportunity and good race relations

and on the specific duties under the RR(A)A to:

- \* Assess the impact of policies on ethnic minority students and staff
- \* Monitor the recruitment and progress of ethnic minority students and staff
- \* Set out arrangements for publishing the results of impact assessments and monitoring

The codes of practice referred to in the policy statement are accessible as follows:

EOC Code of Practice: [http://www.eoc.org.uk/EOCeng/dynpages/law\\_codes\\_of\\_practice.asp](http://www.eoc.org.uk/EOCeng/dynpages/law_codes_of_practice.asp)

CRE Code of Practice: [http://www.cre.gov.uk/gdpract/employ\\_cop.html](http://www.cre.gov.uk/gdpract/employ_cop.html)

DDA Code of Practice: <http://www.disability.gov.uk/dda/finalcode.html>

Code of Practice on Age Diversity:

<http://www.agepositive.gov.uk/codeOfPractice.cfm?sectionid=790>

Code of Practice on Race Relations (Amendment) Act (forthcoming early 2002)

### 3.2 In relation to the documentation:

- (i) Decisions regarding the nomination of referees and persons to provide statements in respect of applicants should be made dispassionately and objectively.
- (ii) Those providing statements about applicants must in their preparation ensure fairness and equality of treatment for all applicants. They should avoid any assumptions or misconceptions about career patterns, measurement of academic or other success, gender (including gender reassignment), age, religion, ethnicity, nationality or national origin, colour, disability, sexual orientation, or marital or parental status. Where possible, they should indicate whether, and the extent to which, an applicant's record (and therefore his or her access to opportunities for promotion) may have been adversely affected by any criterion or condition which has a disproportionate effect on persons of the same sex, marital status, race or disability, and whether the applicant may have been adversely affected as a result of any direct discrimination, victimization, or other unfairness.

### 3.3 All members of Committees should be aware that:

- (i) The case for promotion is evaluated in terms of the criteria. Promotion should not be seen as a means of rewarding long service, of enhancing pension, or as a device for retaining an individual who has been offered, or who may be attracted to, a senior post in another institution or organization.
- (ii) All applications must be considered impartially in relation to the documented evidence alone.
- (iii) Committees should use a systematic approach in forming their own view of each application.
- (iv) In preparing for discussion on the evaluation of applications, individual members should form their own view of the strength of each applicant's case for promotion in relation to the relevant criteria (Section 3A) and evaluative standards (Section 3B). It is not essential for each individual's evaluation to be recorded but members may find it helpful to go through this process.
- (v) The process of evaluation is a collective activity; all decisions should be arrived at collectively. (If a member is unable to be present, he/she may provide a written statement of their view but such written views should be accorded less weight than those expressed in open discussion since written statements provided in absence cannot be challenged in committee.)
- (vi) If all members agree immediately on the same overall evaluation, this can be accepted without

discussion. Differences in individual members' evaluations should be discussed and a consensus reached. Detailed discussion will in most cases lead to collective agreement upon the evaluation of each of the criteria, and, finally, to a consensus on the overall decision. Should there be a failure to reach a collective view or consensus on an overall decision, the Committee should address the question as to whether on any grounds bias has in any respect influenced consideration on the case for promotion.

- (vii) Evaluations agreed by Committees must be formally recorded.

### *Allowance for periods of absence on account of family commitments and illness*

3.4 Consideration should be given to any special circumstances which may have resulted in a lack of opportunity for any applicant or group of applicants to perform to their full potential, for example time away from work because of family responsibilities for bringing up children or caring for relatives or for illness. The quality and impact of an applicant's performance should be assessed objectively and on the same basis as all other applicants, but allowance may be made in relation to the quantity of work/output of such applicants. Applicants who consider that such allowance should be made should specify the circumstances in their personal statement.

### *Disability*

3.5 Whilst it would be expected that the quality and impact of an applicant's performance could be assessed objectively in all cases, allowance should be made in relation to the quantity of work/output of a disabled applicant. Where an applicant has developed a disability during his/her employment with the University, the assessment period may be extended to include a period before the applicant became disabled.

3.6 An applicant who has a disability and believes that it may have affected his/her performance in relation to the promotion criteria should indicate the following in their personal statement:

- (i) the nature of their disability;
- (ii) how they believe it has constrained their performance;
- (iii) and, if appropriate, the effectiveness of any adjustments to their workplace or employment arrangements in overcoming these problems.

3.7 On receiving such a statement, the Head of the institution concerned should seek advice from the Personnel Division through the relevant Personnel Consultant. In the case of applicants who declare a disability in their application, the Head of the institution should list all adjustments which have been made to accommodate their disability. Also, it may be necessary to seek further information from the applicant and statements relating to the effect of the disability on performance from the University's Occupational Health Physician and/or the University Disability Adviser before the appropriate documentation can be assembled for consideration by the Faculty Promotions Committee and General Board Sub-committee and Committee.

3.8 Full details of the University's Disability and Employment policy can be found on the Web at: <http://www.admin.cam.ac.uk/offices/personnel/policy/disability.html>.

#### 4. Committees

##### *Age as a disqualification for membership*

4.1 Statute D, XV, 9, in so far as it applies to standing Boards of Electors, shall apply to membership of Committees, that is persons who have reached the age of 67 years on [date] are ineligible to be members.

4.2 Members who are on sabbatical leave must seek permission from the Personnel Division to attend meetings held during their period of leave.

##### *Attendance and quorum*

4.3 Meetings should be arranged so that, if possible, all members can be present. Meetings should **not** be arranged unless the member appointed by the General Board can attend. The quorum for all Committees should be two-thirds of the whole membership, subject to a minimum of four members. Decisions/evaluations shall be valid with the concurrence of not less than a straight majority of the members present at a meeting.

#### 5. Confidentiality and the Data Protection Act, 1998

5.1 Members of Committees and University staff involved in the procedure should note that the process of consideration is confidential and that certain documentation in the guidance may not be disclosed to applicants or other persons who are not members of Committees or otherwise appropriately involved in the process. The University's policy in relation to the Data Protection Act, 1998 is to respect confidentiality of information provided by referees in so far as this is compatible with the requirements of the Act and other relevant legislation. In the context of this promotion scheme Documents 3, 4, 5, and 6 are **not** disclosable to applicants (see Section 5); the Annex to Document 4, Document 7, and Document 8 are disclosable (see Sections 5 and 8).

#### 6. Procedural Adjustments and Interpretation of Guidance

6.1 The Chair of the Personnel Committee shall have authority, on behalf of the General Board, to make any reasonable change or adjustment to the procedure, interpret aspects of the guidance mentioned in the booklet where doubt arises as to its meaning, or take other action that may be necessary to ensure the fair and efficient management of this and any subsequent promotions exercise.

6.2 If the Chair of the Personnel Committee is eligible to apply for promotion under the scheme, the Personnel Committee shall appoint from its members a serving member of the General Board to act in his or her place for this purpose.

### GUIDANCE

#### 1. TIMETABLE FOR THE EXERCISE

The timetable for the exercise is set out below.

### TO BE DETERMINED

#### 2. ELIGIBILITY CRITERIA AND RELATED MATTERS

2.1 This section explains the eligibility criteria for consideration for promotion to each of the three senior academic offices.

2.2 Eligibility is restricted to members of staff who hold a qualifying office or post in relation to the senior

academic office to which they are applying for promotion at the deadline for the submission of applications and on the date that promotion would take effect.

2.3 Applicants who are in their probationary period at the time of the deadline for the submission of applications are not eligible to apply for promotion.

2.4 If there is any doubt as to the eligibility of a prospective applicant, the Chair of the Personnel Committee will rule on the matter on behalf of the General Board.

2.5 Applicants who are unsuccessful in their application for promotion in one year's exercise may apply without restriction for promotion in subsequent exercises.

#### The effect of Statute D, XVII and XVIII on eligibility

2.6 Statute D, XIV (Professors) and XVI (Readers) make no explicit, specific provision for the minimum amount of teaching which must be undertaken by Professors and Readers and do not therefore preclude the holder of an office not included in Schedule J from being promoted to a Professorship or Readership and continuing to fulfil the duties of the office from which he or she has been promoted, as well as holding the office of Reader or Professor, for example a Curator promoted to a personal Readership or Professorship. As Statute D, XVII and XVIII, on the other hand, prescribes a minimum of thirty hours lecturing (or equivalent) a year for University Lecturers and University Senior Lecturers, it would not be feasible to have such an arrangement in respect of promotion to a University Senior Lectureship for the holders of offices or posts that are not primarily concerned with teaching. In the case of a Curator, for example, not only would the holder of that office be required to fulfil the duties of the Curatorship, but he or she would be expected in addition to undertake teaching that complied with the minimum statutory requirement for the office of University Senior Lecturer.

#### Promotion to Professorships and Readerships

2.7 The holders of University offices whose duties are primarily concerned with research/scholarship or teaching and research/scholarship are eligible for promotion to these offices.

2.8 Exceptionally, holders of University offices whose duties are not primarily concerned with either teaching or research or both may be eligible for consideration if they are known to have made a significant contribution to research in addition to fulfilling the duties of the office they currently hold. A person who does not hold an office listed in Schedule J of the Statutes would only be promoted to a personal Readership or Professorship on condition that his or her duties after promotion were principally those of the office from which he or she has been promoted, for example a Curator would be expected to continue to discharge in full the duties of his or her Curatorship.

2.9 As it is not possible under the Statutes to appoint to a Professorship or a Readership in an unestablished capacity, the holders of unestablished posts may be considered for such promotion only if funding is available from the same source as that supporting the cost of the current post in order to establish a personal Professorship or Readership for a period of not less than five years.

**Promotion to University Senior Lectureships**

2.10 Only University Lecturers may be considered for promotion to University Senior Lectureships.

2.11 The holders of unestablished posts whose contracts of employment specify the title Lecturer may be considered for promotion to the unestablished post of Senior Lecturer. The holders of such unestablished posts held on a part-time basis may also be eligible to apply and, if successful, would be expected to continue to work on the same part-time basis. The period of the appointment would be from the effective date of the promotion to the end date of their current tenure. Holders of such posts should discuss the matter of their possible promotion with their Head of institution before deciding whether or not to submit an application for promotion.

**3. CRITERIA AND EVALUATIVE STANDARDS**

3.1 Promotion is determined in terms of the criteria on the basis of the evidence contained in all the relevant documentation.

3.2 All applicants should consider carefully the criteria and evaluative standards for each of the senior academic offices referred to below and are advised to discuss their position with their Head of institution or an appropriate senior academic colleague before submitting an application for promotion.

**A. Criteria***Research/Scholarship*

3.3 Account may be taken of evidence in relation to research/scholarship regardless of where it has been undertaken.

*Teaching*

3.4 Account may be taken of evidence from previous academic employment in the University and/or College(s) in relation to teaching, but **not** from institutions external to the University.

*General Contribution*

3.5 Evidence of contribution to the applicant's subject other than in teaching and research may include contributions made outside the University.

**Professorship***Research/Scholarship*

3.6 There must be evidence of established international leadership in the relevant subject with reference to:

- (i) originality
- (ii) contribution to the advancement of knowledge
- (iii) reputation

*Teaching<sup>1</sup>*

3.7 There must be evidence of an effective contribution to undergraduate and/or postgraduate teaching.

*General Contribution*

3.8 There must be evidence of an effective contribution to the subject other than in teaching and research. This may include administration and, where appropriate, management of research groups, and the creation and management of multi-institutional/national/international research facilities. It may also

include contributions to the subject made outside the University and also editorial work, and clinical work (if applicable).

**Readership***Research/Scholarship*

3.9 There must be evidence of international recognition in the relevant subject with reference to:

- (i) originality
- (ii) contribution to the advancement of knowledge
- (iii) reputation

*Teaching<sup>1</sup>*

3.10 There must be evidence of an effective contribution to undergraduate and/or postgraduate teaching.

*General Contribution*

3.11 There must be evidence of an effective contribution to the subject other than in teaching and research. This may include administration and, where appropriate, management of research groups, and the creation and management of multi-institutional/national/international research facilities. It may also include contributions to the subject made outside the University and also editorial work, and clinical work (if applicable).

**University Senior Lectureship***Research/Scholarship*

3.12 There must be evidence of achievement in research/scholarship at least at a level that would allow the relevant Faculty and Department to count the applicant as research-active for the purposes of the most recent or next national Research Assessment Exercise.

*Teaching*

3.13 There must be evidence of sustained excellence in teaching with reference to: course development and innovation; and the delivery of teaching including, as appropriate, lecturing, conducting seminars, supervising undergraduate and graduate students, and directing studies (if applicable).

*General Contribution*

3.14 There must be evidence of an effective contribution to the subject other than in teaching and research. This may include administration and, where appropriate, management of research groups, and the creation and management of multi-institutional/national/international research facilities. It may also include contributions, other than teaching or research, to the subject made outside the University and also editorial work, and clinical work (if applicable).

**B. Evaluative Standards**

3.15 The standards relating to evidence explained below indicate the minimum threshold to be attained if promotion is to be achieved. Although the Board expect that decisions on all applications will continue to be made primarily by reference to the criteria, the number of promotions that it will be possible to

<sup>1</sup> The criterion does not apply to those whose duties do not include teaching or who have been dispensed from discharging teaching duties for a period of at least three years prior to the closing date for the submission of applications.

approve in a particular year may be influenced by the University's general financial situation.

Clear evidence	(C)
Satisfactory evidence	(S)
Doubt	(D)

'C', 'S' and 'D' are to be regarded as a convenient notation for summarizing description of achievement in relation to the criteria.

### 3.16 For a Professorship

'C's in each of the research/scholarship criteria.

A 'C' in relation to one of the criteria relating to teaching and general contribution and an 'S' in the other.<sup>2</sup>

### 3.17 For a Readership

Cs in each of the research/scholarship criteria.

A 'C' in relation to one of the criteria regarding relating to teaching and general contribution and an 'S' in the other.<sup>2</sup>

### 3.18 For a University Senior Lectureship

Two 'C's and one 'S'.

## 4. APPLICATION

4.1 Those who are eligible and wish to be considered for promotion are responsible for preparing and submitting their application to the Chair of the Faculty Promotions Committee for the institution to which the applicant's office or post is assigned, by the deadline specified in the timetable (see Section 1). No application or additional information from the applicant relating to the application will be accepted by the Faculty Promotions Committee after the deadline.

4.2 Application is for promotion to a single specified senior academic office.

4.3 Those who wish to apply are advised to read the whole of this guidance and to seek advice from their Head of Institution or an appropriate senior academic colleague before deciding which office to apply for.

4.4 Heads of institutions or other senior academic members of staff of the relevant institution may encourage individuals to apply.

4.5 The receipt of applications should be acknowledged by the Chair or Secretary of the Faculty Promotions Committee.

*Disability and/or allowance for periods of absence on account of family commitments, illness, etc*

4.6 The attention of prospective applicants who have a disability or who believe that consideration should be given to significant periods of absence or any special circumstances which may have resulted in a lack of opportunity to perform to their full potential is drawn to the relevant paragraphs in the section on General Principles.

### *Interdisciplinary applications*

4.7 Applicants who consider their teaching and research to be interdisciplinary and who wish this to be taken into account should explain clearly the

interdisciplinary aspects of their work in their personal statement and indicate the University institutions that their work mostly concerns.

4.8 The interdisciplinary character of an applicant's work may in some cases be formally recognized in the office he or she holds. Some University Lectureships involve duties which are determined under Statute D, XVII, 4 as concerning more than one institution. In such cases the Head of the institution concerned will be the Head of institution to which the applicant's office is assigned.

4.9 Where it is clear that an application is interdisciplinary, the Chair of the Faculty Promotions Committee shall ensure that, where it is appropriate, action is taken in seeking any additional relevant information regarding the application, for example duties carried out in other institutions, additional references, and that, if necessary, additional senior academic(s) with appropriate specialised knowledge are invited by the Faculty Promotions Committee as consultant(s) to attend the second meeting of the Faculty Promotions Committee for the consideration of the application concerned (see below).

## 5. DOCUMENTATION

5.1 The responsibility for assembling the documentation required for the meetings of the Faculty Promotions Committee rests with the Chair of the Faculty Promotions Committee. He/she would be expected to delegate the administrative task to the Secretary of the Committee who will receive support from his or her Faculty or Departmental administrative office.

### **To be supplied by the applicant**

5.2 Applicants are required to supply the following documents, single-sided on A4 paper. They should adhere to the format of the documentation as indicated below, using, as appropriate, the Coversheets and Documents set out in the Annex to this Guidance.

5.3 Applicants must indicate the specific office for which they are applying for promotion by ticking the appropriate box on Documents 1, 2, and 3.

In preparing their submission (see Annex), candidates are advised to be mindful of the promotion criteria for the office to which they are applying and the evaluative standards used in the assessment of applications (see Section 3).

### **Document 1. Curriculum Vitae**

5.4 A concise *curriculum vitae* of not more than two sides of A4 should be attached to the Document Coversheet (see Annex). The CV should provide the following information and be presented in the order below:

1. **Personal details:** name, Faculty/Department, present appointment (specifying whether it is an office or an unestablished appointment) and start and end dates of appointment.
2. **Education/Qualifications:** details of degrees, diplomas, and other qualifications and where and when obtained.
3. **Professional History:** a complete account of all previous professional appointments held, with dates and in chronological order.
4. **Other Appointments and Affiliations:** a list of membership of professional bodies, learned

<sup>2</sup> A 'C' in general contribution for those whose duties do not involve teaching or who have been dispensed from discharging duties for a period of at least three years prior to the closing date for the submission of applications.

societies, advisory bodies, peer review activities (grants, journals, books, etc.), editorships, etc., with start, and where relevant, end dates.

5. **Prizes, Awards and other Honours:** a list of prizes and awards received and elections to prestigious professional/scientific bodies including the full name of the awarding/electing body and date (year) of award/election.

5.5 Details of research/scholarship, teaching (including, if applicable, College supervision and clinical postgraduate teaching and training), and general contribution including, if applicable, clinical duties, should be provided in the Annexes as attachments in accordance with the guidance below.

*Annex A. Research/Scholarship*

5.6 Applicants should provide an up-to-date list of publications, ordered in accordance with the conventions of the relevant academic discipline. This should include only work which has already been published, is in the public domain, and is available for consideration. A work will be regarded as published if it is traceable in ordinary catalogues and if copies are obtainable at the time of application, or at some previous time by members of the general public through normal trade channels. Proofs of papers not yet published are notmissible. Work published electronically may bemissible if it can be regarded as being published in the same formal sense as in a journal or book. Placing a paper on a University web page does not count as publication but electronic publication of an invited talk which will be published as part of the proceedings of a Higher Education Institution may be regarded asmissible provided that hard copies are available in published form.

5.7 Work in progress or work completed but not yet published should be excluded from the list.

5.8 Copies of publications should not be included in the documentation submitted by the applicant.

5.9 Committees may take account of evidence relating to the external contribution of an applicant in disciplines or interdisciplinary subjects where the communication of research results is not, or is only partly, in the form of conventional scholarly publication. Applicants should draw attention to this in this Annex and in their personal statement (Document 2), if appropriate in their case.

5.10 Information may also be provided on:

- (i) **Grants:** details of major external grants and contracts awarded (including values and dates), together with the names of co-investigators where applicable. The information presented should enable the reader to determine at a glance which grants/contracts are current.
- (ii) **Invited talks:** a list of major lectures/seminars, or other research presentations.
- (iii) **Postdoctoral** and other research co-workers, including visiting academics, with whom the applicant is or has been directly associated in the recent past.

*Annex B. Teaching*

5.11 **Please indicate in this Annex if your duties do not include teaching or if you have been dispensed from discharging teaching duties for a period of at least three years prior to the closing date for the submission of applications.**

5.12 Applicants should provide a record of all courses taught over such a period as may be necessary

to show evidence of fulfilment of the teaching criteria, which will normally be not less than three years prior to the closing date for submission of applications. The record should specify the annual number of hours of teaching undertaken as part of the applicant's Faculty/Departmental teaching duties (stint) and should include details of administrative work which the Faculty/Department has agreed to be equivalent to part of the applicant's annual teaching stint. If applicable, mention should be made of any regular and substantial contribution to the teaching programmes of other Faculties/Departments.

5.13 The record should also include an up to date list of postgraduate students formally supervised with their results, over the period of employment; details of course development and pedagogical innovation.

5.14 If the applicant holds an Honorary NHS consultant contract, information which describes contribution to postgraduate medical education and training should be provided.

5.15 The record may include samples of course descriptions, hand-outs, and bibliographies up to a maximum of ten sides of A4.

5.16 The record may also include details of teaching undertaken for a College or Colleges, as College teaching may be included as part of the evidence on which assessment for promotion is based. It may also include details of work undertaken as a Director of Studies at a College or Colleges.

5.17 Details of any Faculty/Departmental duties concerning the co-ordination of College teaching should also be included in this Annex.

5.18 Applicants who do not undertake College teaching will not be placed at a disadvantage in the consideration of their application.

5.19 Details of examining over the same period should also be included.

*Annex C. General Contribution*

5.20 Applicants should provide a list of contributions other than in teaching and research undertaken in the Faculty/Department and also any work outside the Faculty/Department, for example, service on central University bodies, working parties, reviews and contribution to the subject undertaken outside the University, editorial work, and, where appropriate, details of research management, of research groups, and the creation and management of multi-institutional national/international research facilities.

5.21 Applicants should indicate any administrative work that the Faculty/Department has agreed shall be allowed against the Faculty's annual teaching stint (see Annex B).

5.22 Applicants who hold Honorary NHS consultant contracts should include details of their participation in regional and national committees (e.g. Royal Colleges, General Medical Council, etc.) and bodies concerned with undergraduate and postgraduate medical education, and also details of their clinical duties.

**Document 2. Personal Statement**

5.23 Applicants must indicate the specific office to which they are applying for promotion by ticking the appropriate box on the Document 2 Coversheet (see Annex).

5.24 All applicants are advised to submit a personal statement in support of their application. This should

not exceed 1,000 words and should cover the applicant's full range of duties and be presented in the light of the criteria for the office to which the applicant seeks promotion.

5.25 With regard to those whose duties include teaching, the statement should include a self-assessment of the impact of the individual's Faculty/Departmental and College teaching (if applicable) on students. Student feedback is an important factor in assessing the effectiveness of teaching. At present individual Faculties/Departments employ their own methods for assessing such effectiveness. In order to provide as fair an opportunity as possible for each applicant to demonstrate his or her effectiveness, applicants are requested to provide a self-assessment which takes into account student feedback on the courses they teach and have taught. This self-assessment will be commented on by the Head of the institution (see Document 4 below).

5.26 If College teaching is applicable, the applicant should specify in Document 5 the name of the College and the Senior Tutor who should provide the statement. If an applicant holds an Honorary NHS consultant contract, this should clearly be indicated in the personal statement, as the statement in Document 6 will need to be sought from the appropriate NHS hospital.

5.27 The attention of prospective applicants who have a disability or who believe that consideration should be given to special circumstances which may have resulted in a lack of opportunity to perform to their full potential is drawn to the relevant paragraphs of the section on General Principles in the Introduction.

5.28 Applicants who consider their work to be interdisciplinary and who wish account to be taken of this should provide reasons for their view (see Section 4).

#### ***To be supplied by the Applicant and the Faculty Promotions Committee***

#### **Document 3. Referees**

5.29 The names of referees nominated by the applicant and the Faculty Promotions Committee must be included in Document 3.

#### *General remarks:*

5.30 ***Referees must not be individuals who are applicants to the office to which the applicant is seeking promotion in the same promotions exercise.***

5.31 ***The addresses, fax numbers, and e-mail addresses of all referees and reserve referees must be provided.***

5.32 All references should be sought by the Secretary for the Faculty Promotions Committee using the relevant standard letter (Document 3A or 3B in the Annex). Copies of the applicant's *curriculum vitae*, including Annexes, personal statement, and the relevant explanatory note on the criteria and evaluative standards for the office concerned should be enclosed with the letter. Each referee will be asked to comment on the application in terms of the criteria for the academic office for which the candidate has applied.

5.33 In the case of re-applications, references from previous year's applications will be carried forward, up to a maximum period of three years. The references carried forward will be all those obtained in relation to previous years' applications for the same office as that specified in the current application. No references will be carried forward which were obtained under the old promotion scheme, for which the criteria were different.

(i) Faculty Promotions Committees should try to

ensure that through the choice of referees the combination of references, whether new, updated, or carried forward, provides comment across the full range of the applicant's duties, particularly in relation to the criteria for the specific office to which promotion is being sought.

- (ii) The Faculty Promotions Committees should provide any information known to them in relation to the individual referees nominated, including those nominated by the applicant, for example whether the applicant has collaborated with the referee in the area of the applicant's work in which the referee is expert.
- (iii) If the Faculty Promotions Committee agrees that an application is interdisciplinary, it may decide to seek references in addition to those listed as required below, seeking advice on the names of additional referees from other Faculty Promotions Committees via the Chairs of those Committees.
- (iv) Faculties/Departments must have arrangements in place to protect the confidentiality of references and other confidential documentation held on file in Faculty/Departmental offices.

#### *Application for promotion to a Personal Professorship or Readership*

5.34 ***Referees should normally be external to the University but there may be circumstances where it is appropriate to nominate referees from cognate areas in the University.***

(i) *First time applications*

5.35 Five references are required. Applicants must supply on Document 3 the names of two, and the name of one reserve referee. The Chair/Secretary of the Faculty Promotions Committee should complete Document 3 by adding the names of three referees and one reserve which the Faculty Promotions Committee agrees should be sought in addition to references from the individuals nominated by the applicant.

(ii) *Re-applications*

FOR THE FIRST YEAR OF THE NEW SCHEME THE REQUIREMENTS REGARDING REAPPLICATION WILL NOT APPLY.

5.36 Three references additional to those supplied in previous years are required. Applicants must supply on Document 3 the name of one of the three referees together with a reserve who may be approached if it is not possible to obtain a reference from the nominated referee. The Chair/Secretary of the Faculty Promotions Committee should complete Document 3 by adding the names of the two referees and the reserve which the Faculty Promotions Committee agreed should be sought in addition to references from individuals nominated by the applicant.

5.37 A referee cited in a previous application should be chosen only if there have been significant changes in the applicant's publication record or other circumstances relating to the case for promotion since the referee was last approached.

5.38 If the references from previous years' applications are being carried forward, these should be listed in Document 3 by completing Section (iii). Only references relating to previous applications for the same office to which promotion is being sought should be carried forward.



*Application for promotion to a University Senior Lectureship*

**Referees need not be external to the University**

(i) *First time and re-applications*

5.39 Two referees are required. Applicants must supply the name of one referee and the name of a reserve referee who may be approached if it is not possible to obtain a reference from the nominated referee. The Chair/Secretary of the Faculty Promotions Committee should complete Document 3 by adding the names of one referee and one reserve which the Faculty Promotions Committee agrees should be sought in addition to references from individuals nominated by the applicant.

**FOR THE FIRST YEAR OF THE NEW SCHEME THE REQUIREMENTS REGARDING RE-APPLICATIONS WILL NOT APPLY.**

5.40 A referee cited in a previous application should be chosen only if there have been significant changes in the applicant's publication record or other circumstances relating to the case for promotion since the referee was last approached.

5.41 If the references from previous years' applications are being carried forward, these should be listed in Document 3 by completing Section (iii). Only references relating to previous applications for the same office to which promotion is being sought should be carried forward.

***To be supplied by the Head of the applicant's institution or other senior academic officer nominated by the Faculty Promotions Committee***

**Document 4 and Annex. The Faculty/Departmental Case for Promotion**

5.42 The Head of the institution or other senior academic officer nominated by the Faculty Promotions Committee should present the Faculty/Departmental case for promotion on Document 4 and provide in the separate Annex any relevant factual comment on the information contained in the application and the applicant's personal statement (see Document 2).

5.43 The statement provided in Document 4 should be a statement which represents the internal view of the Faculty/Department of the case for promotion; it should **not** be based on other evidence generated by the promotion procedure. It should comment on the strength of the case for promotion to the office specified by the applicant in terms of the criteria for that office; the comment should be based on knowledge of the applicant's contribution and achievement in relation to research, teaching (if applicable), and general contribution.

5.44 The case for promotion will not be disclosable on request to the applicant but the Annex will (see section on General Principles in the introduction and Section 8). Please note that the applicant should be given the opportunity to comment on the Annex before the documentation is submitted to the second meeting of the Faculty Promotions Committee.

5.45 If an applicant regards his or her case for promotion as interdisciplinary, or holds a 'joint' University Lectureship (see Statute D, XVII, 4), or his or her duties involve a regular and substantial contribution to the teaching programme of other Faculty/Departments, it may be necessary for the Head of the institution or person responsible for preparing the case for promotion to consult with the Head(s) of

other relevant institutions before drafting the statement. The factual statement in the Annex should be signed by the Head of the institution as a correct record of the applicant's contribution.

5.46 In the case of an applicant who has declared a disability in his or her application or has indicated that consideration should be given to special circumstances which may have resulted in a lack of opportunity to perform to their full potential, attention is drawn to the relevant paragraphs of the section on General Principles. The Head of the institution or other person responsible for preparing the statement should seek advice from the appropriate Personnel Consultant in the Personnel Division before drafting the statement.

5.47 In the case of applicants who hold offices or unestablished posts which are not centrally funded, the statement must include details of the funding, including the source from which the cost of the promotion is to be met.

***To be supplied by a College***

**Document 5. College Teaching**

5.48 If an applicant requests that his or her College teaching or work as Director of Studies should be taken into account, the Chair of the Faculty Promotions Committee should request a statement from the Senior Tutor of the College for which the member of staff has regularly undertaken the greater part of his or her College teaching, providing a factual description of the scope and amount of such teaching work, and commenting on the effectiveness of the applicant's contribution.

5.49 The name and College of the Senior Tutor will be provided by the applicant in Document 2.

***To be supplied by the NHS***

**Document 6. Clinical work and postgraduate medical teaching and training**

5.50 The applicant's personal statement will indicate whether he or she holds an honorary NHS consultant contract. In such cases, the Chair of the Faculty Promotions Committee should request a statement from the appropriate NHS Trust to provide a commentary on the candidate's role and effectiveness of his or her contribution to clinical work and postgraduate medical teaching and training. The Clinical School office will have a list of the persons of the relevant hospitals nominated to provide such statements.

5.51 The information provided in relation to teaching will be considered in relation to the teaching criteria and that provided in relation to clinical duties in relation to the general contribution criterion.

**6. THE FACULTY PROMOTIONS COMMITTEE**

6.1 All Faculty Boards and similar authorities must ensure that they have agreed formally that a Faculty Promotions Committee shall consider applications for promotion to the offices of University Senior Lecturer, Reader, or Professor.

**The Role of the Faculty Promotions Committee**

6.2 The role of the Faculty Promotions Committee is to evaluate the case for promotion on the basis of the documented evidence and to ensure that the complete documentation necessary for the next stage of

consideration is forwarded to the relevant Personnel Consultant in the Personnel Division.

#### *Membership*

6.3 Faculty Boards should agree the appointment of the Faculty members of the Committee, including the Chair, by [date]. The membership should be determined after the membership of the General Board's Committee for Senior Academic Promotions and its Sub-committees has been determined as there must be no overlap between the membership of these Committees and of the Faculty Promotions Committees. The Secretary of the Committee will normally be the Faculty or Departmental Administrator for the institution concerned. Where this is not the case, the Faculty Board should appoint an appropriate local administrator to be the Secretary.

6.4 In addition, the General Board will appoint one member to each Faculty Promotions Committee, external to the Faculty concerned. The member appointed by the General Board will have a particular responsibility for seeing that the procedures and the guidance are observed.

6.5 The full membership of a Faculty Promotions Committee will be not less than five members and normally not more than nine members. The members must be Professors or of professorial standing.

6.6 If difficulty is experienced in achieving the minimum membership requirement, as may happen in the case of a small Faculty, the Faculty Board concerned may appoint a Professor or Professors external to the Faculty.

6.7 Faculty Promotions Committees may invite additional persons to attend meetings to assist in the consideration of interdisciplinary applications. Such additional persons will not be members and will not therefore be able to exercise a vote.

6.8 The full membership of each Faculty Promotions Committee will be published in the *Reporter*. The names of persons invited by the Committee to attend in order to assist with the consideration of interdisciplinary applications may be disclosed to applicants on request.

#### *Combined Faculty Promotions Committees*

6.9 Small Faculties may experience difficulty in meeting the membership requirements. Where this is the case, and it makes sense in academic terms, the General Board may agree that a Faculty Promotions Committee be constituted to serve more than one Faculty.

#### *The role and responsibilities of the Chair of the Faculty Promotions Committee*

6.10 The Chair of the Faculty Promotions Committee will have the responsibilities listed below. The duties associated with these responsibilities may, where appropriate, be delegated to the Secretary of the Committee and/or to the relevant Faculty/Departmental administrator(s). The Chair of the Committee is expected to ensure that:

- (i) All applications conform to the guidance and that material not in accordance with the guidelines, such as copies of actual publications, is returned to the applicant. If the documentation does not conform to the guidelines the applicant must be informed and requested to revise it so as to achieve conformity in advance of the date on which agenda and

papers are circulated to members of the Faculty Promotions Committee.

- (ii) All applications are acknowledged.
- (iii) Well in advance of the first and second meetings of the Committee a check is made to confirm that the documentation relating to each application is complete and conforms to the guidance. Particular care is necessary before the second meeting in the case of references. The first part of Document 8 (the documentation checklist for each applicant) should be completed and signed by the Secretary of the Committee.
- (iv) If an applicant has declared a disability in his or her application, and/or has indicated that consideration should be given to special circumstances which may have resulted in a lack of opportunity to perform to their full potential, advice has been sought from the appropriate Personnel Consultant in the Personnel Division well in advance of the meeting of the Committee and that that advice has been acted upon (see relevant paragraphs in the section on General Principles).
- (v) All the relevant documentation is treated in the strictest confidence (see General Principles).
- (vi) Before there is any discussion or consideration of business at meetings of the Faculty Promotions Committee, members of the Committee and any other person attending the meetings are asked to confirm that they have received copies of this booklet and are conversant with the guidance in it.
- (vii) The Committee is informed of any declarations of interest so that these may be considered before there is any consideration of applications (see relevant paragraphs in General Principles).
- (viii) The business of the Faculty Promotions Committee is conducted in accordance with the principles set out in the section on General Principles.
- (ix) That the evaluations agreed for each applicant are recorded on Document 7A (Professorship), 7B (Readership), or 7C (University Senior Lectureship) and that comments agreed in relation to the evaluation of each criterion of the specific senior academic office for which application has been made are also recorded.
- (x) The Minutes of the meetings of the Faculty Promotions Committee are an accurate record of the consideration of business, and are approved by the Committee; such approval may be obtained by circulation.
- (xi) All necessary action is taken following approval of the Minutes in relation to the outcome of the business under consideration.

#### **Meetings of the Faculty Promotions Committees**

6.11 Two meetings will normally be necessary.

##### *The First Meeting*

6.12 The purpose of the first meeting is to consider the applications and other available documentation with a view to determining the additional evidence that must be sought before the Committee can consider and evaluate the case for promotion. The evaluation of the case for promotion will take place at the second meeting.

6.13 In addition to the agenda for the meeting, the documentation which should be made available for the meeting should be as follows:

- (i) a copy of this guidance,
- (ii) the applications (i.e. CVs, together with Annexes and personal statements) received. In the case of re-applications, previous references should be appended to the applications, although this will not apply to the first exercise of the new scheme.

The Faculty Promotions Committee should decide in the case of each applicant:

- (i) whether the application is interdisciplinary and whether it will be necessary to obtain additional information and/or to invite additional person(s) to attend the second meeting as consultant(s);
- (ii) what action it may be necessary to take in the light of advice provided by the relevant Personnel Consultant before the second meeting of the Committee on behalf of an applicant who had indicated that allowance be made in relation to a disability or other circumstances specified in the personal statements (see Section 5, Document 2);
- (iii) whether information on College teaching (Document 5) and/or clinical work (Document 6) is required;
- (iv) bearing in mind (i) and (ii) above, and the names of the referees nominated by the applicant, and also whether the application is first-time or a re-application – the names of any additional referees that may be required in addition to those nominated by the applicant, or any references which require updating;
- (viii) the appropriate person to provide the Faculty/Departmental case for promotion (Document 4).

6.14 A clear, concise, and suitably detailed record of the meeting should be minuted.

#### *The Second Meeting*

6.15 The purpose of the second meeting is to agree collectively in terms of the relevant criteria an evaluation of the case for promotion in respect of the office to which application for promotion has been made. The criteria and evaluative standards for each senior academic office are set out in Section 3.

#### *Documentation*

6.16 The following documentation should be circulated if possible not less than a week in advance of the meeting. If the documentation is incomplete or does not comply with the requirements, it should be reported to the Chair as soon as possible. The Chair or Secretary of the Committee should ensure that any omission or deficiency in the documentation is rectified before the meeting.

- (i) Agenda for the meeting
- (ii) Minutes of the first meeting of the Faculty Promotions Committee
- (iii) *The required documentation, i.e. for each applicant:*
  1. A *curriculum vitae* together with Annexes A, B (if applicable), and C.
  2. Personal statement (Document 2)
  3. References, i.e. Document 3, together with:
    - \* Statements of referees nominated by the applicant

\* Statements of referees, including updated statements, nominated by the Faculty Promotions Committee and any additional referees

\* In the case of re-applications, copies of previous years' references

4. The academic case for promotion received from the Faculty/Department (Document 4)
5. If applicable, statement(s) from relevant College(s) and/or NHS hospital (Documents 5 & 6)

#### *Minutes*

6.17 The Minutes should include for each applicant a separate, fairly and objectively worded minute containing a reasoned justification of each agreed evaluation. Reference may be made in the Minutes to comment contained in referees' statements but care should be taken to ensure that such reference is anonymized. In order to provide the General Board's Main Committee and its Sub-committees with a sense of the relative strength of the cases for each of the senior academic offices, the Minutes should also include summaries of overall rankings of all the applications for each of the three senior academic offices in order to provide a sense of the relative strength of the applications for the next Committee stage. The Minutes should also state, where appropriate, whether an application has been treated as interdisciplinary and/or whether allowance has been made for disability and/or periods of absence.

6.18 Evaluations and comments must also be recorded on Document 7A (Professorship), 7B (Readership), or 7C (University Senior Lectureship), as relevant, which is disclosable on request under the feedback arrangements (see below and Section 8).

#### *Subsequent Action*

6.19 The full documentation received in respect of each applicant by the Faculty Promotions Committee, together with the Minutes of both meetings of the Faculty Promotions Committee should be forwarded to the Personnel Division.

6.20 Applicants may on request be given copies of Document 7A, 7B, or 7C, as relevant, to inform them of the outcome of the Faculty Promotions Committee stage of the process of consideration.

## 7. THE GENERAL BOARD'S COMMITTEE ON SENIOR ACADEMIC PROMOTIONS AND ITS SUB-COMMITTEES

### **The Role of the Main Committee and Sub-committees**

7.1 The purpose of this part of the process is to regulate the local evaluations agreed by the Faculty Promotions Committees in order to achieve consistency of standard across the University and to reach agreement on the names of the successful applicants who are to be proposed for promotion to senior academic offices in the General Board's Annual Report to the University. This is to be achieved in two stages:

#### *The first stage*

7.2 Sub-committees of the General Board's Committee on Senior Academic Promotions reassess the evaluations received from the Faculty Promotions Committee in the context of the School-based subject areas and on a comparative basis.

*The second stage*

7.3 In the second stage, the Board's Senior Academic Promotions Committee considers the evaluations and the evidence received from the Faculty Promotions Committees and from the Sub-committees, taking a University-wide perspective and having regard to the evaluations agreed in the previous Committee stages.

7.4 This approach from local to School-based and finally University-wide perspective will provide the broad context necessary for the consideration of interdisciplinary applications.

**Membership**

7.5 There should be no overlapping membership between the General Board's Senior Academic Promotions Committee/Sub-committees and the Faculty Promotions Committees in the same annual exercise. Members of the Board's Committee and Sub-committees should be determined in advance of the appointment of the membership of Faculty Promotions Committees by Faculty Boards.

7.6 Members of the General Board's Committee and its Sub-committees are appointed for three years. No member may serve for more than two consecutive terms of three years.

**The General Board's Committee on Senior Academic Promotions**

7.7 Membership will comprise:

- (i) The Vice-Chancellor (in the Chair)
  - (ii) The Chairs of the Sub-committees (see below)
  - (iii) Five external members who will be distinguished academics, one drawn from each of the Sub-committee areas.
- {     } will act as Secretary.

**The Sub-committees**

7.8 There will be five Sub-committees, each reflecting the following School-based areas:

- (i) Arts and Humanities
- (ii) Humanities and Social Sciences
- (iii) Biological and Medical Sciences
- (iv) Physical Sciences
- (v) Technology

Personnel Consultants will act as Secretaries of the Sub-committees.

7.9 Each Sub-committee will have not less than four and not more than five members appointed from within the University, and one member external to the University.

7.10 The General Board will appoint the internal members on the nomination of the respective Councils of the Schools. The external members will be appointed by the General Board in the light of the appointment of the internal members, and will be drawn from the external members of the main Committee.

7.11 In agreeing their nominations, the Councils of the Schools may wish to rotate membership among their institutions over time so as to ensure that all institutions are appropriately represented.

7.12 The Chairs of the Sub-committees will be members of the General Board's Senior Academic Promotions Committee and will be appointed by the General Board. Each person appointed will chair a Sub-committee not concerned with the academic area of his or her own Council of the School.

**The Sub-committee Stage***The Role and responsibilities of the Chair of the Sub-committee*

7.13 The Chair of the Sub-committee will have the responsibilities listed below. The duties associated with these responsibilities may, where appropriate, be delegated to the Secretary of the Sub-committee.

7.14 The Chair of the Sub-committee is expected to ensure that:

- (i) All the documentation received from the relevant Faculty Promotions Committees in relation to each applicant is complete and conforms to the guidance. Particular attention must be paid to references, College teaching, and NHS work; and to whether all the necessary relevant information has been presented in respect of those applicants who have declared a disability and/or who wish allowance to be made on account of significant periods of absence; and/or who have indicated that their application is of an interdisciplinary nature; that the evaluation and comments of the Faculty Promotions Committees in respect of each applicant have been recorded appropriately on Document 7 A (Professorship), B (Readership), or C (University Senior Lectureship), as relevant. Any queries that arise should be addressed to the Chair/Secretary of the relevant Faculty Promotions Committee. The documentation checklist in Part 2 of Document 8 should be completed and signed by the Secretary of the Sub-committee.
- (ii) If an applicant has declared a disability in his or her application, and has indicated that consideration should be given to special circumstances which may have resulted in a lack of opportunity to perform to their full potential, advice has been sought from the appropriate Personnel Consultant in the Personnel Division and that it is clear how the application should be treated (see relevant paragraphs in the section on General Principles).
- (iii) All the relevant documentation is treated in the strictest confidence (see paragraph 5, General Principles).
- (iv) Before there is any discussion or consideration of business at the meeting(s) of the Sub-committees, members of the Committee, and any other persons attending the meeting(s), have confirmed that they are conversant with the guidance in this booklet.
- (v) The Sub-committee is informed of any declarations of interest so that these may be considered before there is any consideration of applications (see relevant paragraph in Section on General Principles).
- (vi) The business of the Sub-committee is conducted in accordance with the principles set out in the Section on General Principles.
- (vii) The evaluations and comments agreed for each applicant by the Sub-committee in relation to the criteria for the offices for which the applicant is eligible are recorded on Document 7.
- (viii) The Minutes of the meeting(s) of the Sub-committee are an accurate record of the consideration of business and are approved by the Sub-committee; such approval may be obtained by circulation.

- (ix) All necessary action is taken, following approval of the Minutes, in relation to the outcome of the business considered.

#### *Documentation*

7.15 The relevant Personnel Consultant will prepare the agenda and papers for the meeting of the Sub-committee. The documentation should be circulated if possible not less than a week in advance of the meeting. It should comprise:

- (i) An agenda
- (ii) A copy of this guidance
- (iii) Minutes of the relevant Faculty Promotions Committees
- (iv) The documentation received for each applicant at the second (and any subsequent) meeting of the Faculty Promotions Committees (see Section 6)
- (v) Document 7 A, B, or C, as relevant, for each applicant, as signed off by the Chair of the Faculty Promotions Committee
- (vi) Comprehensive lists of all applicants for each of the three senior academic offices, i.e. Professorships, Readerships, University Senior Lectureships, containing for each applicant: name; institution; whether the application is interdisciplinary or whether any allowance should be made in relation to a declaration of disability and/or significant periods of absence or other circumstances; the evaluations, comments and ranking given by the relevant Faculty Promotions Committee in relation to each of the senior academic offices for which the candidate has applied.

#### *Minutes*

7.16 The Minutes should include for each applicant a separate, fairly and objectively worded minute containing a reasoned justification of agreed evaluation. If there is complete agreement between a Faculty Promotions Committee and a Sub-committee in relation to a particular evaluation, no comment will be necessary in the Minutes or on Document 7 A, B, or C. If an adjustment of an evaluation of a Faculty Promotions Committee is considered necessary, reasons must be given in the Minutes and also recorded on Document 7 A, B, or C. Reference may be made in the Minutes to comment contained in referees' statements but care should be taken to ensure that such reference is anonymized. The Minutes should also include summaries of overall rankings of all the applications for each of the three senior academic offices in order to provide the Main Committee with a sense of the relative strength of the applications. The Minutes should also state, where appropriate, whether an application has been treated as interdisciplinary and/or whether allowance has been made for disability and/or periods of absence.

#### *Subsequent Action*

7.17 The full documentation received by the Sub-committee, together with the Minutes of the meeting(s) of the Sub-committees should be forwarded to in the Personnel Division.

7.18 Applicants should **not** be informed of the outcome of the Sub-committee's or Faculty Promotions Committee's evaluation. Feedback should **not** be provided at this stage.

### **The Main Committee Stage**

#### *The role and responsibilities of the Chair*

7.19 These are essentially as for the Chairs of the Sub-committees save that the check on documentation covers documentation received from each of the Sub-committees, rather than the Faculty Promotions Committees. The third section of the documentation check form (Document 8) should be completed and signed by the Secretary.

#### *Documentation*

7.20 The Secretary will circulate the agenda and papers for the meeting of the Main Committee well in advance of the meeting. The papers should comprise:

- (i) An agenda
- (ii) A copy of this guidance
- (iii) The documentation received for each applicant by the relevant Sub-committee
- (iv) Document 7 A, B, or C for each applicant as signed off by the Chair of the Faculty Promotions Committee and by the Chair of the Sub-committee
- (v) Minutes of the Sub-committees, together with summary lists of evaluations and rankings agreed by the Sub-committees for all applicants in relation to each of the senior academic offices.

Minutes of the Faculty Promotion Committees will be made available for consultation to members of the Main Committee before and during the meeting(s).

7.21 After the Committee has considered all the documented evidence in respect of each candidate, the Committee will decide whether any adjustment in evaluations agreed by the Faculty Promotions Committees and the Main Committee's Sub-committees is necessary in the light of their overview of the standard of applications.

#### *Minutes*

7.22 The Minutes should include for each applicant a separate, fairly and objectively worded minute providing reasoned justification of each agreed evaluation. If there is complete agreement with previous Committee evaluations, no comment is necessary. Where there is not complete agreement, comment must be recorded on Document 7 A, B, or C, as relevant. Reference may be made in the Minutes to comment contained in referees' statements but care should be taken to ensure that such reference is anonymized. The Minutes should also include summaries of overall rankings of all the applications for each of the three senior academic offices. The Minutes should also state, where appropriate, whether an application has been treated as interdisciplinary and/or whether allowance has been made for disability and/or periods of absence.

7.23 The Minutes should also include the statistical data in the following format, separately, for Professorships, Readerships, and University Senior Lectureships:

	Male			Female		
	Total applicants	Ethnicity (if known)	Disability (if disclosed)	Total applicants	Ethnicity (if known)	Disability (if disclosed)
Applications received						
Applications meeting the minimum evaluative standards						
Number of promotions						

	Male			Female		
	Total applicants	Ethnicity (if known)	Disability (if disclosed)	Total applicants	Ethnicity (if known)	Disability (if disclosed)
Applications received						
Applications meeting the minimum evaluative standards						
Number of promotions						

	Male			Female		
	Total applicants	Ethnicity (if known)	Disability (if disclosed)	Total applicants	Ethnicity (if known)	Disability (if disclosed)
Applications received						
Applications meeting the minimum evaluative standards						
Number of promotions						

#### *Subsequent Action*

7.24 The General Board will receive the recommendations of the Senior Academic Promotions Committee no later than [date]. Following that meeting, all applicants will be informed simultaneously of the outcome of their applications. Copies of these letters will be sent to Heads of institutions. Action regarding feedback will also be necessary (see below, Section 8).

### 8. FEEDBACK

8.1 The purpose of feedback is to provide an unsuccessful applicant with a clear sense of what he or she must do in order to raise the level of his or her work to the standard required to obtain promotion in a future exercise. Every attempt should be made to provide feedback in a helpful and constructive manner.

8.2 Written feedback on all unsuccessful applications will be provided by the Chairs of the Sub-committees to the Chairs of the Faculty Promotions Committees. This will be in two forms:

- (i) For each unsuccessful applicant, Document 7 A, B, or C, as completed and signed off by the Chairs of the General Board's Senior Academic Promotions Committee and Sub-committees. The comments on Document 7 A, B, or C should be based on the relevant Committee Minutes and be suitably anonymized if necessary.
- (ii) on the overall standard of applications in relation to each of the senior academic offices. This will assist Faculty Promotions Committees to develop a sense of the standard that applications must reach if they are to be successful.

8.3 The Chairs of the Sub-committees should meet individually the Chairs of the relevant Faculty Promotions Committees. The Heads of the relevant institutions may also find it useful to be present at those meetings provided they themselves have not applied for promotion in the same round.

8.4 The Chairs of the Faculty Promotions Committees are responsible for communicating written feedback to unsuccessful applicants, if requested. It is recommended that this should be in the form of Document 7 A, B, or C, as relevant. They should also provide an opportunity for feedback in person if this is requested by an applicant.

8.5 Feedback should be available to all applicants and should be provided as soon as possible after it is requested. The deadline for providing feedback is [date].

*Disclosure of Documents and Appeal (See Section 9)*

8.6 The following documents must be disclosed on request:

- (i) Annex to Document 4 (before the first meeting of the Faculty Promotions Committee)
- (ii) Document 7 A, B, or C (after the second meeting of the Faculty Promotions Committee and after the General Board's Main Committee stage)
- (iii) Document 8 (after the General Board's Main Committee Stage)

8.7 An unsuccessful applicant may wish to appeal. Reasonable time is required for the feedback process to enable individuals to consider the information provided and if he or she so chooses to submit an appeal in writing (see Section 9).

## 9. APPEAL

### Lodging an appeal

9.1 Applicants have the right to lodge an appeal against the decision of the General Board's Senior Academic Promotions Committee not to promote. Appeals must be made in writing to the Secretary of the Appeals Committee by [date ] and give clearly the reasons on which the appeal is grounded. The procedure to be followed is explained below.

### Membership of the Appeals Committee

9.2 The General Board will appoint an Appeals Committee to hear appeals after the General Board's Senior Academic Promotions Committee have made its recommendations to the General Board and these have been communicated to the applicants. The Committee will consist of a Chair and four other members. Each member should, if possible, be present at the meeting(s) of the Committee. If there are circumstances where this is not reasonably practicable, the quorum necessary to reach a substantive decision will be a simple majority of the members, i.e. three.

- (i) Members must not be eligible to apply for promotion under the scheme.
- (ii) A member may not take part in the consideration of a particular applicant's appeal if he or she was a member of a Committee which considered an appellant's application in the same promotions exercise.
- (iii) If the Chair of the Committee withdraws from the whole or part of a meeting, the Committee shall appoint a Chair to act in his or her absence.

### The Role of the Appeals Committee

9.3 The role of the Appeals Committee will be to consider appeals lodged with the Secretary in writing by [date] and to decide whether or not to refer an application for promotion back to the General Board's senior academic promotions Committee for reconsideration.

9.4 The Appeals Committee will consider only appeals made on the ground of an alleged material defect in the application of the procedure or in the documentation which was not prepared by the applicant or was used by Committees which have considered the appellant's application, for example where it is alleged that the documentation placed before a Committee or Committees was incomplete or where it is alleged that a Committee or Committees must have overlooked or misapprehended a significant fact. The role of the Appeals Committee is limited to considering whether or not procedural fairness has prevailed in the consideration of an application for promotion. Accordingly, an appeal will **not** be a re-hearing or a general review of the application. The consideration of the Appeals Committee will be confined to the issues raised in the grounds of the appeal.

9.5 The Appeals Committee will not consider fresh evidence in support of the appellant's application for promotion unless it relates to a fault in the application of the procedure of a Committee or in the documentation.

### Procedure of the Appeals Committee

9.6 The procedure for hearing appeals must follow the principles of Natural Justice (see General Principles).

9.7 The Appeals Committee will receive the following documentation in respect of each appeal lodged:

- (i) A copy of this booklet.  
*And for each appellant (where applicable):*
- (ii) A statement of appeal (with any supplementary papers) submitted by the applicant.
- (iii) The minutes of the meeting(s) of the relevant Committees.
- (iv) The complete set of the documentation received by the relevant Committees when they considered the case for promotion.

9.8 Except in so far as is laid down in this Section, the Appeals Committee may determine at its absolute discretion their own procedure and how they will consider each appeal.

9.9 In preparing for a meeting at which appeals will be considered, individual members of the Appeals Committee may wish to form their own preliminary view as to whether, on the ground(s) of appeal, there is reason to question the correctness of the outcome of the consideration of the application in relation to a fault in the application of the procedure or in the documentation (see paragraphs 9.4 and 9.5).

9.10 The Appeals Committee shall meet to discuss each appeal. The Committee should aim to confine its consideration of appeals to the documentation. It is expected that applicants will not be asked to attend a hearing but the Appeals Committee may exercise discretion to invite an appellant to attend, if that is considered necessary. (The right to be heard does not mean literally that the 'hearing' must be oral; it may be entirely on the basis of documentation. If questions arise, an appellant may be asked for a clarification in writing.)

9.11 The Appeals Committee will, before proceeding to a final consideration of the appeal, give the Chair(s) of the relevant Committee or Committees the opportunity to submit a written statement on behalf of his or her Committee responding to the grounds on which the appeal was lodged. The Chair of the relevant Committee may consult members of the Committee, as he or she deems appropriate, or, if necessary, reconvene the Committee to consider the terms of the response.

9.12 Decisions on appeals should be made collectively at the meeting. The Secretary of the Appeals Committee will be responsible for recording the decision in each case. If there is an equal division of opinion, the Chair shall exercise a casting vote.

#### **Determination of Appeals**

9.13 The Appeals Committee will determine an appeal by doing one of the following:

1. Allow the appeal by upholding one or more of the grounds of appeal and stating that, in their view, the grounds on which the appeal has been upheld might have made a difference to the decision of the General Board's Senior Academic Promotions Committee, referring the appellant's application for promotion back to that Committee for reconsideration.
2. Uphold one or more grounds of appeal but stating that, in their view, the grounds on which the appeal has been upheld would have made no material difference to the decision of the General Board's Senior Academic Promotions Committee, nevertheless referring the appellant's application for promotion back to that Committee for reconsideration.
3. Reject the appeal on all grounds, including grounds adjudged as admissible under paragraph 9.4.
4. Strike out an appeal on the grounds that it is frivolous, vexatious, or otherwise an abuse of process.

9.14 If it is appropriate in a particular case, the Appeals Committee, in referring the application back to the General Board's Committee, may recommend that that Committee refers it back to the earlier Committee stage at which the fault (see paragraphs 9.4 and 9.5 above) occurred.

9.15 There is no right of appeal against the Appeals Committee's determination of an appeal.

#### **Minutes and subsequent action**

9.16 The Secretary shall record the outcome of the Appeals Committee's consideration of each appeal in a separate minute. The minute shall state:

- (i) the ground(s) of the appeal;
- (ii) the determination of the appeal by reference to 1, 2, 3, or 4 specified in paragraph 9.13.

9.17 The outcome of the consideration of the appeal will be conveyed to the appellant by the Secretary of the Appeals Committee after consultation with the Chair of the Appeals Committee and the Personnel Division.

9.18 In the case of appeals determined under 1 or 2 in paragraph 9.13, the Secretary of the Appeals Committee will refer the appellant's application back to the General Board's Senior Academic Promotions Committee for reconsideration in the light of the outcome of the Appeals Committee's consideration as recorded in the relevant minute of the meeting of the Appeals Committee.

9.19 The Secretary of the Appeals Committee will, without referral to the General Board's Senior Academic Promotions Committee, inform appellants whose appeals have been determined under 3 or 4 in paragraph 9.13, incorporating in the letter the substance of the relevant minute of the Appeals Committee. Copies of these letters should be sent for information to members of the General Board's Committee and to the members of the relevant Subcommittee and Faculty Promotions Committee.

9.20 The General Board's Senior Academic Promotions Committee will meet to receive and consider the written report(s) on the appeal(s) considered by the Appeals Committee and determined under 1 and 2 of paragraph 9.13, bearing in mind any recommendation by the Appeals Committee that the application be referred back to an earlier Committee stage, with a view to deciding whether the applicant should or should not be promoted to the office/post for which he or she has applied.

9.21 The Secretary of the General Board's Committee (or other Committee) will inform each appellant of the General Board's Committee's reconsideration of his/her application.

9.22 There is no right of appeal against the outcome of the reconsideration of an application by the General Board's Senior Academic Promotions Committee.

## **10. REPORT OF THE GENERAL BOARD**

The General Board will publish a Report listing the names of all successful applicants and, in the case of personal Readerships and Professorships, the full titles of these offices agreed with the applicants and their institutions.





**ANNEX**

**DOCUMENT 1 (COVERSHEET)**

Application for promotion from 1<sup>st</sup> October [200 ] to the office of: - (*please tick one*)

**Professorship**       **Readership**       **University Senior Lectureship**

*Please see Guidance, Section 5, Document 1*

### Curriculum Vitae

Applicant: \_\_\_\_\_ Faculty/Department: \_\_\_\_\_

Title of office/post currently held: \_\_\_\_\_

Start date of current appointment: \_\_\_\_\_

End date of current appointment: \_\_\_\_\_

Please attach a brief *curriculum vitae* of not more than two sides of A4. The CV should provide the following information and be presented in the order indicated below:

1. **Personal details:** name, Faculty/Department, present appointment (specifying whether it is an office or an unestablished appointment), and start and end dates of appointment.
2. **Education/Qualifications:** details of degrees, diplomas, and other qualifications and where and when obtained.
3. **Professional History:** a complete account of all previous professional appointments held, with dates and in chronological order.
4. **Other Appointments and Affiliations:** a list of membership of professional bodies, learned societies, advisory bodies, peer review activities (grants, journals, books, etc.), editorships, etc., with start, and where relevant, end dates.
5. **Prizes, Awards and other Honours:** a list of prizes and awards received and elections to prestigious professional/scientific bodies including the full name of the awarding/electing body and date (year) of award/election.

Details of research/scholarship, teaching (including, if applicable College supervision and clinical postgraduate teaching and training), and general contribution (including, if applicable, clinical duties) should be provided in the Annex as attachments in accordance with the guidance below.

## RESEARCH/ SCHOLARSHIP

Please provide an up-to-date list of publications, ordered in accordance with the conventions of the relevant academic discipline. This should include only work which has already been published, is in the public domain, and is available for consideration. A work will be regarded as published if it is traceable in ordinary catalogues and if copies are obtainable at the time of application, or at some previous time, by members of the general public through normal trade channels. Proofs of papers not yet published are not submissible. Work published electronically may be submissible if it can be regarded as being published in the same formal sense as in a journal or book. Placing a paper on a University web page does not count as publication but electronic publication of an invited talk which will be published as part of the proceedings of a Higher Education Institution may be regarded as submissible provided that hard copies are available in published form.

Work in progress or work completed but not yet published should be excluded from the list.

Copies of publications should not be included in the documentation submitted by the applicant.

Committees may take account of evidence relating to the external contribution of an applicant in disciplines or interdisciplinary subjects where the communication of research results is not, or is only partly, in the form of conventional scholarly publication. Applicants should draw attention to this, if it is appropriate in their case, in this Annex and in their personal statement (Document 2).

Information may also be provided on:

- (i) **Grants:** details of major external grants and contracts awarded (including values and dates), together with the names of co-investigators where applicable. The information presented should enable the reader to determine at a glance which grants/contracts are current.
- (ii) **Invited talks:** a list of major lectures/seminars, or other research presentations.
- (iii) **Postdoctoral** and other research co-workers, including visiting academics, with whom the applicant is or has been directly associated in the recent past.

**Annex B****TEACHING**

*Please indicate in this Annex if your duties do not include teaching or if you have been dispensed from discharging teaching duties for a period of at least three years prior to the closing date for the submission of applications.*

Please provide a record of all courses taught over such a period as may be necessary to show evidence of fulfilment of the teaching criteria, which will normally be not less than three years prior to the closing date for submission of applications. The record should specify the annual number of hours of teaching undertaken as part of the applicant's Faculty/Departmental teaching duties (stint) and should include details of administrative work which the Faculty/Department has agreed to be equivalent to part of the applicant's annual stint. If applicable, mention should be made of any regular and substantial contribution to the teaching programmes of other Faculties/Departments.

The record should also include: an up-to-date list of postgraduate students formally supervised with their results, over the period of employment; details of course development and pedagogical innovation.

Applicants who hold an Honorary NHS consultant contract should provide information which describes contribution to postgraduate medical education and training.

The record may include samples of course descriptions, hand-outs, and bibliographies up to a maximum of ten sides of A4.

The record may also include details of teaching undertaken for a College or Colleges, as College teaching may be included as part of the evidence on which assessment for promotion is based. It may also include details of work undertaken as a Director of Studies at a College or Colleges.

Details of any Faculty/Departmental duties concerning the co-ordination of College teaching should also be included in this Annex.

Applicants who do not undertake College teaching should note that they will not be placed at a disadvantage in the consideration of their application.

Details of examining over the same period should also be included.

## **GENERAL CONTRIBUTION**

Please provide a list of administrative contributions undertaken in the Faculty/Department and work undertaken in non-Faculty/Departmental administration, e.g., service on central University bodies, working parties, reviews and contribution to the subject undertaken outside the University, editorial work, and, where appropriate, details of research management and the creation and management of multi-institutional, national/international research facilities.

Applicants should cross refer in this Annex to indicate any administrative work that the Faculty/Department has agreed shall be regarded as part of the annual stint (see Annex B).

Applicants who hold Honorary NHS consultant contracts should include in this Annex details of their participation in regional and national committees (e.g. Royal Colleges, General Medical Council etc) and bodies concerned with undergraduate and postgraduate medical education, and also details of their clinical duties.

**DOCUMENT 2 (COVERSHEET)**

Application for promotion from 1<sup>st</sup> October [200 ] to the office of: - *(please tick one)*

**Professorship**

**Readership**

**University Senior Lectureship**

**Personal Statement by the Applicant**

Applicant: \_\_\_\_\_ Faculty/Department: \_\_\_\_\_

*Please see Guidance, Section 5, Document 2*

The statement to be attached to this form should not exceed 1,000 words, should cover the officer's full range of duties, and be presented in the light of the criteria for promotion, which are set out in Section 3.

**Interdisciplinarity**

If you believe your application to be interdisciplinary, please refer to Section 4, tick the box and ensure that your personal statement explains the interdisciplinary nature of your work and indicates those institutions which your work mostly concerns.

**Disability and/or periods of absence**

If you have a disability and wish account to be taken of it in relation to your performance and achievements, or believe that consideration should be given to special circumstances which may have resulted in a lack of opportunity to perform to your full potential, please refer to relevant paragraphs in the section on General Principles, tick the box below and ensure that your personal statement refers clearly to your disability.

**Teaching** (if applicable)

With regard to those whose duties include teaching, the statement should include a self-assessment of the impact of the applicant's Faculty/Departmental and College teaching (if applicable) on students. Student feedback is an important factor in assessing the effectiveness of teaching. At present individual Faculties/Departments employ their own methods for assessing such effectiveness. In order to provide as fair an opportunity as possible for each applicant to demonstrate his or her effectiveness, applicants are requested to provide a self-assessment which takes into account student feedback on the courses they teach and have taught. This self-assessment will be commented on by the Head of the institution (see Document 4 below).

If College teaching is applicable (see Section 5, Document 4) please indicate below who the statement required on Document 5 should be sought from:

Name of Senior Tutor: \_\_\_\_\_ College: \_\_\_\_\_

Please indicate in your statement if you hold an NHS Consultant contract as the statement in Document 6 will need to be sought from the appropriate NHS hospital.

Signed: \_\_\_\_\_ Date: \_\_\_\_\_

**DOCUMENT 3 Referees nominated**

Application for promotion from 1<sup>st</sup> October [200 ] to the office of: - (*please tick one*)

**Professorship**       **Readership**       **University Senior Lectureship**

*Please see Guidance, Section 5, Document 3*

**Referees Nominated**

Applicants, and Chairs and Secretaries of Faculty Promotions Committees, are advised to read Section 5 (Document 3) carefully.

**(i) First-time applications**

The standard letter, Document 3A, should be used to request references.

**(a) Referees nominated by the applicant**

- (i) For a Professorship, or Readership, two referees and one reserve must be nominated by the applicant. Referees should normally be external to the University but there may be circumstances where it is appropriate to nominate referees from cognate areas of the University.
- (ii) For a University Senior Lectureship, one referee and one reserve must be nominated by the applicant. Referees need not be external to the University.
- (iii)

1. Title:  
Name:  
Address:

Tel. No:  
Fax No:  
e-mail:

---

2. Title:  
Name:  
Address:

Tel. No:  
Fax No:  
e-mail:

---



**Reserve Referee:**

- 3. Title:
- Name:
- Address:

Tel. No:  
Fax No:  
e-mail:



Signed: \_\_\_\_\_ Date: \_\_\_\_\_  
(Applicant)

(b) **Referees nominated by the Faculty Promotions Committee**

- For a Professorship or Readership application, three referees and one reserve must be nominated by the Committee. Referees should normally be external to the University but there may be circumstances where it is appropriate to nominate referees from cognate areas of the University.
- For a University Senior Lectureship application, one referee and one reserve must be nominated by the Committee. Referees need not be external to the University.

1. Title:  
Name:  
Address:

Tel. No:  
Fax No:  
e-mail:

---

2. Title:  
Name:  
Address:

Tel. No:  
Fax No:  
e-mail:

---

3. Title:  
Name:  
Address:

Tel. No:  
Fax No:  
e-mail:

**Reserve Referee:**

4. Title:  
Name:  
Address:

Tel. No:  
Fax No:  
e-mail:

---

Signed: \_\_\_\_\_ Date: \_\_\_\_\_  
(Chair of the Faculty Promotions Committee)

**(ii) Re-applications**

(FOR THE FIRST YEAR OF THE SCHEME THESE REQUIREMENTS WILL NOT APPLY)

A referee cited in a previous application should be chosen only if there have been significant changes in the applicant's publication record or other circumstances relating to the case for promotion since the referee was last approached. If an updated reference is to be sought the standard letter should be used (see Document 3B).

**(a) Referees nominated by the applicant**

- (i) For a Professorship, or Readership, one referee and one reserve must be nominated by the applicant. Referees should normally be external to the University but there may be circumstances where it is appropriate to nominate referees from cognate areas of the University.
- (ii) For a University Senior Lectureship, one referee and one reserve must be nominated by the applicant. Referees need not be external to the University.

1. Title:  
Name:  
Address:

Tel. No:  
Fax No:  
e-mail:

---

**Reserve referee:**

2. Title:  
Name:  
Address:

Tel. No:  
Fax No:  
e-mail:

---

Signed: \_\_\_\_\_ Date: \_\_\_\_\_  
(Applicant)

**(b.) Referees nominated by Faculty Promotions Committee**

- (i) For a Professorship or Readership application, two referees and one reserve must be nominated by the Committee. Referees should normally be external to the University but there may be circumstances where it is appropriate to nominate referees from cognate areas of the University.
- (ii) For a University Senior Lectureship application, one referee and one reserve must be nominated by the Committee. Referees need not be external to the University.

1. Title:  
Name:  
Address:

Tel. No:  
Fax No:  
e-mail:

---

2. Title:  
Name:  
Address:

Tel. No:  
Fax No:  
e-mail:

---

**Reserve Referee**

3. Title:  
Name:  
Address:

Tel. No:  
Fax No:  
e-mail:

---

Signed: \_\_\_\_\_ Date: \_\_\_\_\_  
(Chair of the Faculty Promotions Committee)

**(iii) List of References to be carried forward  
(NOT FOR THE FIRST YEAR OF THE SCHEME)**

The list should be provided by the Secretary of the Faculty Promotions Committee.  
Only those references should be carried forward which were provided within the previous three years in connection with an application for the office currently being applied for.

	<b>Referee</b>	<b>Year</b>
<b>1</b>		
<b>2</b>		
<b>3</b>		
<b>4</b>		
<b>5</b>		
<b>6</b>		
<b>7</b>		
<b>8</b>		
<b>9</b>		
<b>10</b>		
<b>11</b>		
<b>12</b>		
<b>13</b>		
<b>14</b>		
<b>15</b>		

Signed: \_\_\_\_\_ Date: \_\_\_\_\_  
(Secretary of the Faculty Promotions Committee)

## DOCUMENT 3A

## STANDARD LETTER TO BE USED TO REQUEST REFERENCES

**Private and confidential**

Dear

[Name] in the Faculty/Department of .....

has applied for promotion under the University's annual senior academic promotions scheme to the office of Professor/Reader/University Senior Lecturer. I am accordingly writing to ask if you would be willing to provide a confidential report giving a frank appraisal of his/her suitability for promotion.

The case for promotion is assessed in relation to the criteria for the office on the basis of the evidence contained in all the relevant documentation. Attached to this letter is the guidance on criteria and evaluative standards used in the assessment of applications for promotion to Professorship/Readership/University Senior Lectureship. It would be useful if you could address the promotion criteria specifically in adducing evidence of suitability for promotion to a Professorship/Readership/University Senior Lectureship. If [ ]'s application meets the criteria for promotion to the office, would you please indicate this in your statement. If you have personal knowledge of [Name] and of [his/her] work it would be very helpful if you would specify the nature of this knowledge, and if you would declare whether you have had significant collaboration in research.

The Board expect that a substantial majority (of the order of 80%) of University Lecturers will achieve promotion to a senior academic office in the course of their University career.

Enclosed for your information is a copy of the documents which constitute [.....]'s application, i.e. the curriculum vitae plus Annexes on research, teaching and general contribution and [.....]'s personal statement.

*[It may be necessary to refer to a declaration of disability or a wish for account to be taken of special circumstances which may have resulted in a lack of opportunity to perform to full potential (see Section on General Principles and Section 5 and notes on Document 2). Advice on how this should be handled in relation to the request for a reference should be sought from the relevant Personnel Consultant in the Personnel Division.]*

I realise that this request may be an imposition on you, as I am sure you face increasing demands on your time, but we would greatly value your comments on [.....]'s application.

With regard to the confidentiality of your comments and to the Data Protection Act, 1998, please see the attached slip.

It would be particularly helpful if you were able to reply by .....  
If you have any queries please contact me at the address above.

Yours sincerely

Chair of the Promotions Committee for the Faculty of \_\_\_\_\_

**Enclosures:**

- (i) Data Protection disclosure slip (attached to pro-forma letter)
- (ii) Criteria and Evaluative Standards (attached to pro-forma letter)
- (iii) *Curriculum vitae* and Annexes (Document 1): to be attached:
- (iv) Personal Statement (Document 2): to be attached:

## DOCUMENT 3B

## STANDARD LETTER TO BE USED TO REQUEST AN UPDATED REFERENCE

**Private and confidential**

Dear

In [year } you kindly provided a written report on [ ]'s suitability for senior academic promotion to the office of Professor/Reader/University Senior Lecturer.

[ ] has reapplied for promotion to a Professorship/Readership/University Senior Lectureship. I am therefore writing to ask if there are any comments you might wish to add to those contained in your previous reference, a copy of which is enclosed for your convenience.

The case for promotion is assessed in relation to the criteria on the basis of the evidence contained in all the relevant documentation.

Attached to this letter is a copy of the guidance on criteria for the office to which promotion is sought and evaluative standards used in the assessment of applications for promotion to Professorships/Readerships/University Senior Lectureships. It would be useful if you could relate any additional comments you may wish to make to these criteria. If you have personal knowledge of [Name], and of [his/her] work it would be very helpful if you would specify the nature of this knowledge and if you would declare whether you have had significant collaboration in research.

The Board expect that a substantial majority (of the order of 80%) of University Lecturers will achieve promotion to a senior academic office in the course of their University career.

Enclosed for your information is a copy of the documents which constitute [.....]'s application, i.e. the curriculum vitae plus Annexes on research, teaching and general contribution and [ ]'s personal statement.

*[It may be necessary to refer to a declaration of disability or a wish for account to be taken of special circumstances which may have resulted in a lack of opportunity to perform to full potential (see Section on General Principles and Section 5 and notes on Document 2). Advice on how this should be handled in relation to the request for a reference should be sought from the relevant Personnel Consultant in the Personnel Division.]*

I realise that this request may be an imposition on you, as I am sure you face increasing demands on your time, but we would greatly value your comments on [.....]'s application.

With regard to the confidentiality of your comments and to the Data Protection Act, 1998, please see the attached slip.

It would be particularly helpful if you were able to reply by .....  
If you have any queries please contact me at the address above.

Yours sincerely

Chair of the Promotions Committee for the Faculty of \_\_\_\_\_

**Enclosures:**

- (i) Copy of previous reference(s)
- (ii) Data Protection disclosure slip (attached to pro-forma letter)
- (iii) Criteria and Evaluative Standards (attached to pro-forma letter)
- (iv) Curriculum vitae and Annexes (Document 1): to be attached:
- (v) Personal Statement (Document 2): to be attached:



(Data Protection Act, 1998)

**Slip referred to in letters to referees**

**[Candidate's Name]**

You are asked to indicate by ticking the appropriate box whether you agree or do not agree to this reference being released to the person in respect of whom the reference is being written. If you **do not** complete this declaration, it will be assumed that you **would not agree** to release your reference should the person concerned seek disclosure. There may be circumstances under which the University would be required to make a disclosure irrespective of your wishes but the University would treat your reference in strict confidence insofar as the law permits.

- I agree to the release of this reference if the person concerned seeks disclosure.
- I **do not** agree to the release of this reference if the person concerned seeks disclosure.

Signed..... [Referee's Name].

Date \_\_\_\_\_

## CRITERIA AND EVALUATIVE STANDARDS

### *Promotion to a Professorship*

Promotion is determined in terms of the criteria on the basis of the evidence contained in all the relevant documentation.

#### A. Criteria

Research/Scholarship Account may be taken of evidence in relation to research/scholarship regardless of where it has been undertaken.

Teaching\* Account may be taken of evidence from previous academic employment in the University and/or College(s) in relation to teaching, but **not** from institutions external to the University.

General Contribution Evidence of contribution to the applicant's subject other than in teaching and research may include contributions made outside the University.

#### *Research/Scholarship*

There must be evidence of established international leadership in the relevant subject with reference to:

- (i) originality
- (ii) contribution to the advancement of knowledge
- (iii) reputation

#### *Teaching \**

There must be evidence of an effective contribution to undergraduate and/or postgraduate teaching.

#### *General Contribution*

There must be evidence of an effective contribution to the subject other than in teaching and research. This may include administration and, where appropriate, management of research groups and the creation and management of multi- institutional/national/international research facilities. It may also include contributions, other than teaching and research, to the subject outside the University, and also editorial work, and clinical work (if applicable).

#### B. Evaluative Standards

The standards relating to evidence explained below indicate the minimum threshold to be attained if promotion to a Professorship is to be achieved. Although the Board expect that decisions on all applications will continue to be made primarily by reference to the criteria, the number of promotions that it will be possible to approve in a particular year may be influenced by the University's general financial situation.

Clear evidence	(C)
Satisfactory evidence	(S)
Doubt	(D)

'C', 'S' and 'D' are to be regarded as a convenient notation for summarising description of achievement in relation to the criteria.

#### *Minimum threshold*

'C's in each of the research/scholarship criteria.

A 'C' in relation to one of the criteria relating to teaching and general contribution and an 'S' in the other.<sup>†</sup>

\* The criterion does not apply to those whose duties do not include teaching or who have been dispensed from discharging teaching duties for a period of at least three years prior to the closing date for the submission of applications.

† A 'C' in general contribution for those whose duties do not involve teaching or who have been dispensed from discharging duties for a period of at least three years prior to the closing date for the submission of applications.

## CRITERIA AND EVALUATIVE STANDARDS

### *Promotion to a Readership*

Promotion is determined in terms of the criteria on the basis of the evidence contained in all the relevant documentation.

#### A. Criteria

Research/Scholarship Account may be taken of evidence in relation to research/scholarship regardless of where it has been undertaken.

Teaching\* Account may be taken of evidence from previous academic employment in the University and/or College(s) in relation to teaching, but **not** from institutions external to the University.

General Contribution Evidence of contribution to the applicant's subject other than in teaching and research may include contributions made outside the University.

#### *Research/Scholarship*

There must be evidence of international recognition in the relevant subject with reference to:

- (i) originality
- (ii) contribution to the advancement of knowledge
- (iii) reputation

#### *Teaching \**

There must be evidence of an effective contribution to undergraduate and/or postgraduate teaching.

#### *General Contribution*

There must be evidence of an effective contribution to the subject other than in teaching and research. This may include administration and, where appropriate, management of research groups and the creation and management of multi- institutional/national/international research facilities. It may also include contributions, other than teaching and research, to the subject outside the University, and also editorial work, and clinical work (if applicable).

#### B. Evaluative Standards

The standards relating to evidence explained below indicate the minimum threshold to be attained if promotion to a Readership is to be achieved. Although the Board expect that decisions on all applications will continue to be made primarily by reference to the criteria, the number of promotions that it will be possible to approve in a particular year may be influenced by the University's general financial situation.

Clear evidence	(C)
Satisfactory evidence	(S)
Doubt	(D)

'C', 'S' and 'D' are to be regarded as a convenient notation for summarising description of achievement in relation to the criteria.

#### *Minimum threshold*

'C's in each of the research/scholarship criteria.

A 'C' in relation to one of the criteria relating to teaching and general contribution and an 'S' in the other.†

\* The criterion does not apply to those whose duties do not include teaching or who have been dispensed from discharging teaching duties for a period of at least three years prior to the closing date for the submission of applications.

† A 'C' in general contribution for those whose duties do not involve teaching or who have been dispensed from discharging duties for a period of at least three years prior to the closing date for the submission of applications.

## CRITERIA AND EVALUATIVE STANDARDS

### *Promotion to a University Senior Lectureship*

Promotion is determined in terms of the criteria on the basis of the evidence contained in all the relevant documentation.

#### A. Criteria

Research/Scholarship Account may be taken of evidence in relation to research/scholarship regardless of where it has been undertaken.

Teaching Account may be taken of evidence from previous academic employment in the University and/or College(s) in relation to teaching, but **not** from institutions external to the University.

General Contribution Evidence of contribution to the applicant's subject other than in teaching and research may include contributions made outside the University.

#### *Research/Scholarship*

There must be evidence of achievement in research/scholarship at least at a level that would allow the relevant Faculty and Department to count the applicant as research-active for the purposes of the most recent or next national R.A.E.

#### *Teaching*

There must be evidence of sustained excellence in teaching with reference to: course development and innovation; and the delivery of teaching including, as appropriate, lecturing, conducting seminars, supervising undergraduate and graduate students, and directing studies (if applicable).

#### *General Contribution*

There must be evidence of an effective contribution to the subject other than in teaching and research. This may include administration and, where appropriate, management of research groups and the creation and management of multi- institutional/national/international research facilities. It may also include contributions, other than teaching and research, to the subject outside the University, and also editorial work, and clinical work (if applicable).

#### B. Evaluative Standards

The standards relating to evidence explained below indicate the minimum threshold to be attained if promotion to a University Senior Lectureship is to be achieved. Although the Board expect that decisions on all applications will continue to be made primarily by reference to the criteria, the number of promotions that it will be possible to approve in a particular year may be influenced by the University's general financial situation.

Clear evidence	(C)
Satisfactory evidence	(S)
Doubt	(D)

'C', 'S' and 'D' are to be regarded as a convenient notation for summarising description of achievement in relation to the criteria.

#### *Minimum threshold*

Two 'C's and one 'S'.

**DOCUMENT 4 (COVERSHEET)**

Application for promotion from 1<sup>st</sup> October [200 ]

*See Guidance, Section 5, Document 4.*

### **The Faculty/Departmental Case for Promotion**

Applicant: \_\_\_\_\_ Faculty/Department: \_\_\_\_\_

The statement by the Head of the institution or other senior academic officer nominated by the Faculty Promotions Committee should present the case for promotion and provide in a separate Annex any relevant factual comment on the information contained in the application and the applicant's personal statement (see Document 2).

The statement provided in Document 4 should be a statement which represents the internal view of the Faculty/Department of the case for promotion; it should **not** be based on other evidence generated by the promotion procedure. It should comment on the strength of the case for promotion to the office specified by the applicant in terms of the criteria for that office; the comment should be based on knowledge of the applicant's contribution and achievement in relation to research, teaching (if applicable) and general contribution.

The case for promotion will **not** be disclosable on request to the applicant but the Annex will (see Section on General Principles and Section 8). Please note that the applicant should be given opportunity to comment on the Annex before the documentation is submitted to the second meeting of the Faculty Promotions Committee.

If an applicant regards his or her case for promotion as interdisciplinary or holds a 'joint' University Lectureship (see Statute D, XVII, 4), or his or her duties involve a regular and substantial contribution to the teaching programme of other Faculty/Departments, it may be necessary for the Head of the institution or person responsible for preparing the case for promotion to consult with the Head(s) of other relevant institutions before drafting the statement. The factual statement in the Annex should be signed by the Head of the institution as a correct record of the applicant's contribution.

In the case of an applicant who has declared a disability in his or her application or has indicated that consideration should be given to special circumstances which may have resulted in a lack of opportunity to perform to their full potential, attention is drawn to the relevant paragraphs of the section on General Principles. The Head of the institution or other person responsible for preparing the statement should seek advice from the appropriate Personnel Consultant in the Personnel Division before drafting the statement.

In the case of applicants who hold offices or unestablished posts which are not centrally funded, the statement must include details of the funding, including the source from which the cost of the promotion is to be met.

Signed: \_\_\_\_\_ Date: \_\_\_\_\_

Head of Institution / Other senior academic officer

*(Please specify title of the office held)*

**DOCUMENT 4 (ANNEX)**

**Factual Statement/Comment**

**THIS STATEMENT IS DISCLOSABLE TO THE APPLICANT UNDER THE FEEDBACK  
ARRANGEMENTS**

Signed: \_\_\_\_\_ Date: \_\_\_\_\_  
Head of Institution / Other senior academic officer  
*(Please specify title of the office held)*

**DOCUMENT USL 5**

Application for promotion from 1<sup>st</sup> October [200 ].

*See Guidance, Section 5, Document 5.*

**Statement of Senior Tutor**

Applicant: \_\_\_\_\_ Faculty/Department: \_\_\_\_\_

If applicable, this statement should be provided by the Senior Tutor of the College for which the applicant has regularly undertaken the greater part of his/her College teaching/work as Director of Studies. It should comment on the effectiveness of the applicant's contribution to College teaching, direction of studies, including a factual description of the scope and amount of such teaching/work as Director of Studies.

If it should be necessary to refer in the statement to any declaration of disability or wish for account to be taken of special circumstances which may have resulted in a lack of opportunity to perform to full potential (see Section on General Principles and notes on Documents 2 and 4), advice should be sought from the relevant Personnel Consultant in the Personnel Division.

College: \_\_\_\_\_

COMMENT:

Signed: \_\_\_\_\_ Date: \_\_\_\_\_

Senior Tutor/Head of House/Other senior academic member of College

*(delete as appropriate)*

**DOCUMENT 6**

Application for promotion from 1<sup>st</sup> October [200 ].

*See Guidance, Section 5, Document 6.*

**Statement by NHS Representative**

Applicant: \_\_\_\_\_ Department: \_\_\_\_\_

Honorary NHS Contract – Clinical Work and Postgraduate Medical Teaching and Training

Please provide a commentary on the candidate's role and the effectiveness of his or her contribution to clinical work including postgraduate medical teaching and training.

If it should be necessary to refer to any declaration of disability or wish for account to be taken of special circumstances which may have resulted in a lack of opportunity to perform to full potential (see Section on General Principles and notes on Document 2 and 4), advice should be sought from the relevant Personnel Consultant in the Personnel Division.

COMMENT:

Name (in capitals) \_\_\_\_\_

Signed: \_\_\_\_\_ Date: \_\_\_\_\_



**DOCUMENT 7A (Professorship)****Evaluation Sheet**

Application for promotion from 1<sup>st</sup> October [200 ] to a Professorship

**Criteria and Evaluation**

**THIS DOCUMENT IS DISCLOSABLE UNDER THE FEEDBACK ARRANGEMENTS.**

(See Document 4 (Annex).)

Applicant: \_\_\_\_\_ Faculty/Department: \_\_\_\_\_

***Terms of Evaluation***

Applications should be evaluated in the following terms and in relation to the criteria for each of the senior academic offices for which the applicant is eligible for consideration (see Section 2).

- D. Doubt** about the degree to which the application currently meets the criterion.
- S. Satisfactory** evidence in respect of the relevant criterion, but the case is not yet overwhelming.
- S. Clear** evidence available in respect of the relevant criterion.

***Criteria***

The appropriate boxes should be ticked to record the relevant Committee's decisions and comments provided as appropriate.

1. **Faculty Promotions Committees** should provide comment in relation to each criterion for each office which the applicant is eligible (see Section 6).
2. **Sub-Committees of the General Board's Senior Academic Promotions Committee** should provide comment in relation to evaluations of the Faculty Promotions Committee with which they are not in full agreement (see Section 7).
3. **The General Board's Senior Academic Promotions Committee** should provide comment only where there is not full agreement over the three Committee stages (see Section 7).

**DOCUMENT 7A (Professorship)****Evaluation Sheet****Research/Scholarship Criteria**

There must be evidence of established international leadership in the relevant subject with reference to:

- (i) originality
- (ii) contribution to the advancement of knowledge
- (iii) reputation

**Tick Boxes**

	<b>Faculty Promotions Committee</b>			<b>General Board's Senior Academic Promotions Sub-Committee</b>			<b>General Board's Senior Academic Promotions Committee</b>		
<b>Originality</b>	<b>D</b>	<b>S</b>	<b>C</b>	<b>D</b>	<b>S</b>	<b>C</b>	<b>D</b>	<b>S</b>	<b>C</b>
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Faculty Promotions Committee comment:

General Board's Senior Academic Promotions Sub-Committee comment:

General Board's Senior Academic Promotions Committee comment:

## DOCUMENT 7A (Professorship)

## Evaluation Sheet

## Research/Scholarship Criteria

	Faculty Promotions Committee			General Board's Senior Academic Promotions Sub-Committee			General Board's Senior Academic Promotions Committee		
	D	S	C	D	S	C	D	S	C
<i>Contribution to advancement of knowledge</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Faculty Promotions Committee comment:

General Board's Senior Academic Promotions Sub-Committee comment:

General Board's Senior Academic Promotions Committee comment:

<b>DOCUMENT 7A (Professorship)</b>
------------------------------------

### Evaluation Sheet

#### Research/Scholarship Criteria

	<b>Faculty Promotions Committee</b>	<b>General Board's Senior Academic Promotions Sub-Committee</b>	<b>General Board's Senior Academic Promotions Committee</b>
<i>Reputation</i>	<b>D</b> <b>S</b> <b>C</b> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<b>D</b> <b>S</b> <b>C</b> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<b>D</b> <b>S</b> <b>C</b> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>

Faculty Promotions Committee comment:

General Board's Senior Academic Promotions Sub-Committee comment:

General Board's Senior Academic Promotions Committee comment:

**DOCUMENT 7A (Professorship)****Evaluation Sheet****Teaching Criterion\***

There must be evidence of an effective contribution to undergraduate and/or postgraduate teaching.

**Faculty Promotions  
Committee**

**D**   **S**   **C**  
     

**General Board's Senior  
Academic Promotions  
Sub-Committee**

**D**   **S**   **C**  
     

**General Board's Senior  
Academic Promotions  
Committee**

**D**   **S**   **C**  
     

Faculty Promotions Committee comment:

General Board's Senior Academic Promotions Sub-Committee comment:

General Board's Senior Academic Promotions Committee comment:

\* The criterion does not apply to those whose duties do not include teaching or who have been dispensed from discharging teaching duties for a period of at least three years prior to the closing date for the submission of applications.

**DOCUMENT 7A (Professorship)****Evaluation Sheet****General Contribution Criterion**

There must be evidence of an effective contribution to the subject other than in teaching and research. This may include administration and, where appropriate, management of research groups and the creation and management of multi- institutional/national/international research facilities. It may also include contributions to the subject made outside the University and also editorial work, and clinical work (if applicable).

**Faculty Promotions  
Committee**

<b>D</b>	<b>S</b>	<b>C</b>
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**General Board's Senior  
Academic Promotions  
Sub-Committee**

<b>D</b>	<b>S</b>	<b>C</b>
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**General Board's Senior  
Academic Promotions  
Committee**

<b>D</b>	<b>S</b>	<b>C</b>
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Faculty Promotions Committee comment:

General Board's Senior Academic Promotions Sub-Committee comment:

General Board's Senior Academic Promotions Committee comment:

**DOCUMENT 7A (Professorship)**

**Evaluation Sheet**

Signed: \_\_\_\_\_ Date: \_\_\_\_\_  
Chair of Faculty Promotions Committee

Signed: \_\_\_\_\_ Date: \_\_\_\_\_  
Chair of General Board's Senior Academic Promotions Sub-Committee

Signed: \_\_\_\_\_ Date: \_\_\_\_\_  
Chair of General Board's Senior Academic Promotions Committee

**DOCUMENT 7B (Readership)****Evaluation Sheet**

Application for promotion from 1<sup>st</sup> October [200 ] to a Readership

**Criteria and Evaluation**

**THIS DOCUMENT IS DISCLOSABLE UNDER THE FEEDBACK ARRANGEMENTS.**

(See Document 4 (Annex).)

Applicant: \_\_\_\_\_ Faculty/Department: \_\_\_\_\_

***Terms of Evaluation***

Applications should be evaluated in the following terms and in relation to the criteria for each of the senior academic offices for which the applicant is eligible for consideration (see Section 2).

- D. Doubt** about the degree to which the application currently meets the criterion.
- S. Satisfactory** evidence in respect of the relevant criterion, but the case is not yet overwhelming.
- S. Clear** evidence available in respect of the relevant criterion.

***Criteria***

The appropriate boxes should be ticked to record the relevant Committee's decisions and comments provided as appropriate.

1. **Faculty Promotions Committees** should provide comment in relation to each criterion for each office which the applicant is eligible (see Section 6).
2. **Sub-Committees of the General Board's Senior Academic Promotions Committee** should provide comment in relation to evaluations of the Faculty Promotions Committee with which they are not in full agreement (see Section 7).
3. **The General Board's Senior Academic Promotions Committee** should provide comment only where there is not full agreement over the three Committee stages (see Section 7).



**DOCUMENT 7B (Readership)****Evaluation Sheet****Research/Scholarship Criteria**

There must be evidence of international recognition in the relevant subject with reference to:

- (i) originality
- (ii) contribution to the advancement of knowledge
- (iii) reputation

**Tick Boxes**

	<b>Faculty Promotions Committee</b>			<b>General Board's Senior Academic Promotions Sub-Committee</b>			<b>General Board's Senior Academic Promotions Committee</b>		
<b>Originality</b>	<b>D</b>	<b>S</b>	<b>C</b>	<b>D</b>	<b>S</b>	<b>C</b>	<b>D</b>	<b>S</b>	<b>C</b>
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Faculty Promotions Committee comment:

General Board's Senior Academic Promotions Sub-Committee comment:

General Board's Senior Academic Promotions Committee comment:

## DOCUMENT 7B (Readership)

## Evaluation Sheet

## Research/Scholarship Criteria

	Faculty Promotions Committee			General Board's Senior Academic Promotions Sub-Committee			General Board's Senior Academic Promotions Committee		
	D	S	C	D	S	C	D	S	C
<i>Contribution to advancement of knowledge</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Faculty Promotions Committee comment:

General Board's Senior Academic Promotions Sub-Committee comment:

General Board's Senior Academic Promotions Committee comment:

<b>DOCUMENT 7B (Readership)</b>
---------------------------------

### Evaluation Sheet

#### Research/Scholarship Criteria

	<b>Faculty Promotions Committee</b>	<b>General Board's Senior Academic Promotions Sub-Committee</b>	<b>General Board's Senior Academic Promotions Committee</b>
<i>Reputation</i>	<b>D</b> <b>S</b> <b>C</b> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<b>D</b> <b>S</b> <b>C</b> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<b>D</b> <b>S</b> <b>C</b> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>

Faculty Promotions Committee comment:

General Board's Senior Academic Promotions Sub-Committee comment:

General Board's Senior Academic Promotions Committee comment:

**DOCUMENT 7B (Readership)****Evaluation Sheet****Teaching Criterion\***

There must be evidence of an effective contribution to undergraduate and/or postgraduate teaching.

**Faculty Promotions  
Committee**

**D**   **S**   **C**  
     

**General Board's Senior  
Academic Promotions  
Sub-Committee**

**D**   **S**   **C**  
     

**General Board's Senior  
Academic Promotions  
Committee**

**D**   **S**   **C**  
     

Faculty Promotions Committee comment:

General Board's Senior Academic Promotions Sub-Committee comment:

General Board's Senior Academic Promotions Committee comment:

\* The criterion does not apply to those whose duties do not include teaching or who have been dispensed from discharging teaching duties for a period of at least three years prior to the closing date for the submission of applications.

**DOCUMENT 7B (Readership)****Evaluation Sheet****General Contribution Criterion**

There must be evidence of an effective contribution to the subject other than in teaching and research. This may include administration and, where appropriate, management of research groups and the creation and management of multi- institutional/national/international research facilities. It may also include contributions to the subject made outside the University and also editorial work, and clinical work (if applicable).

**Faculty Promotions  
Committee**

<b>D</b>	<b>S</b>	<b>C</b>
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**General Board's Senior  
Academic Promotions  
Sub-Committee**

<b>D</b>	<b>S</b>	<b>C</b>
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**General Board's Senior  
Academic Promotions  
Committee**

<b>D</b>	<b>S</b>	<b>C</b>
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Faculty Promotions Committee comment:

General Board's Senior Academic Promotions Sub-Committee comment:

General Board's Senior Academic Promotions Committee comment:

**DOCUMENT 7B (Readership)**

**Evaluation Sheet**

Signed: \_\_\_\_\_ Date: \_\_\_\_\_  
Chair of Faculty Promotions Committee

Signed: \_\_\_\_\_ Date: \_\_\_\_\_  
Chair of General Board's Senior Academic Promotions Sub-Committee

Signed: \_\_\_\_\_ Date: \_\_\_\_\_  
Chair of General Board's Senior Academic Promotions Committee

**DOCUMENT 7C (University Senior Lectureship)****Evaluation Sheet**

Application for promotion from 1<sup>st</sup> October [200 ] to a University Senior Lectureship

**Criteria and Evaluation**

**THIS DOCUMENT IS DISCLOSABLE UNDER THE FEEDBACK ARRANGEMENTS.**

(See Document 4 (Annex).)

Applicant: \_\_\_\_\_ Faculty/Department: \_\_\_\_\_

***Terms of Evaluation***

Applications should be evaluated in the following terms and in relation to the criteria for each of the senior academic offices for which the applicant is eligible for consideration (see Section 2).

- D. Doubt** about the degree to which the application currently meets the criterion.
- S. Satisfactory** evidence in respect of the relevant criterion, but the case is not yet overwhelming.
- S. Clear** evidence available in respect of the relevant criterion.

***Criteria***

The appropriate boxes should be ticked to record the relevant Committee's decisions and comments provided as appropriate.

1. **Faculty Promotions Committees** should provide comment in relation to each criterion for each office which the applicant is eligible (see Section 6).
2. **Sub-Committees of the General Board's Senior Academic Promotions Committee** should provide comment in relation to evaluations of the Faculty Promotions Committee with which they are not in full agreement (see Section 7).
3. **The General Board's Senior Academic Promotions Committee** should provide comment only where there is not full agreement over the three Committee stages (see Section 7).

## DOCUMENT 7C (University Senior Lectureship)

**Evaluation Sheet****Research/Scholarship Criteria**

There must be evidence of achievement in research/scholarship at least at a level that would allow the relevant Faculty and Department to count the applicant as research-active for the purposes of the most recent or next national R.A.E.

	<b>Faculty Promotions Committee</b>			<b>General Board's Senior Academic Promotions Sub-Committee</b>			<b>General Board's Senior Academic Promotions Committee</b>		
<i>Originality</i>	<b>D</b>	<b>S</b>	<b>C</b>	<b>D</b>	<b>S</b>	<b>C</b>	<b>D</b>	<b>S</b>	<b>C</b>
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Faculty Promotions Committee comment:

General Board's Senior Academic Promotions Sub-Committee comment:

General Board's Senior Academic Promotions Committee comment:



**DOCUMENT 7C (University Senior Lectureship)****Evaluation Sheet****Teaching Criterion\***

There must be evidence of sustained excellence in teaching with reference to: course development and innovation; and the delivery of teaching including, as appropriate, lecturing, conducting seminars, supervising undergraduate and graduate students, and directing studies, (if applicable).

**Faculty Promotions  
Committee**

<b>D</b>	<b>S</b>	<b>C</b>
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**General Board's Senior  
Academic Promotions  
Sub-Committee**

<b>D</b>	<b>S</b>	<b>C</b>
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**General Board's Senior  
Academic Promotions  
Committee**

<b>D</b>	<b>S</b>	<b>C</b>
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Faculty Promotions Committee comment:

General Board's Senior Academic Promotions Sub-Committee comment:

General Board's Senior Academic Promotions Committee comment:

## DOCUMENT 7C (University Senior Lectureship)

**Evaluation Sheet****General Contribution Criterion**

There must be evidence of an effective contribution to the subject other than in teaching and research. This may include administration and, where appropriate, management of research groups, and the creation and management of multi- institutional/national/international research facilities. It may also include contributions, other than teaching and research, to the subject outside the University, and also editorial work, and clinical work (if applicable).

**Faculty Promotions  
Committee**

<b>D</b>	<b>S</b>	<b>C</b>
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**General Board's Senior  
Academic Promotions  
Sub-Committee**

<b>D</b>	<b>S</b>	<b>C</b>
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**General Board's Senior  
Academic Promotions  
Committee**

<b>D</b>	<b>S</b>	<b>C</b>
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Faculty Promotions Committee comment:

General Board's Senior Academic Promotions Sub-Committee comment:

General Board's Senior Academic Promotions Committee comment:

**DOCUMENT 7C (University Senior Lectureship)**

**Evaluation Sheet**

Signed: \_\_\_\_\_ Date: \_\_\_\_\_  
Chair of Faculty Promotions Committee

Signed: \_\_\_\_\_ Date: \_\_\_\_\_  
Chair of General Board's Senior Academic Promotions Sub-Committee

Signed: \_\_\_\_\_ Date: \_\_\_\_\_  
Chair of General Board's Senior Academic Promotions Committee

**DOCUMENT 8 Documentation checklist for each applicant at each Committee Stage**

Applicant: \_\_\_\_\_ Faculty/Department: \_\_\_\_\_

Office applied for: Professorship       Readership       University Senior Lectureship   
*(please tick relevant one)*

**THIS DOCUMENT IS DISCLOSABLE UNDER THE FEEDBACK ARRANGEMENTS.**

**Faculty Promotions Committee (2<sup>nd</sup> meeting)**

		<b>Please tick</b>
Doc 1	CV	<input type="checkbox"/>
	Annex A (Research/Scholarship)	<input type="checkbox"/>
	Annex B (Teaching) (if applicable)	<input type="checkbox"/>
	Annex C (General Contribution)	<input type="checkbox"/>
Doc 2	Personal Statement	<input type="checkbox"/>
Doc 3	Referees (1 <sup>st</sup> time application)	
	(i) Nominated by applicant	<input type="checkbox"/>
	(ii) Nominated by Faculty Promotions Committee	<input type="checkbox"/>
	(iii) Additional (if applicable)	<input type="checkbox"/>

Briefly give reasons for additional references, e.g. interdisciplinary application, substantial absence, necessary to provide for comment across full range of duties, etc.

Referees (re-application):-

- |  |                          |
|--|--------------------------|
| (i) Previous years' references {        } *                  | <input type="checkbox"/> |
| (ii) Nominated by applicant [        ] †                     | <input type="checkbox"/> |
| (iii) Nominated by Faculty Promotions Committee [        ] † | <input type="checkbox"/> |

\* Insert number of updated references

† Insert number of updated references

Doc 4	The Faculty/Departmental Case for Promotion	<input type="checkbox"/>
	Annex	
Doc 5	College Statement on teaching (if applicable)	<input type="checkbox"/>
Doc 6	NHS Statement (if applicable)	<input type="checkbox"/>

**DOCUMENT 8 Documentation checklist for each applicant at each Committee Stage**

Comments (if any)

Signed: \_\_\_\_\_ Date: \_\_\_\_\_  
(Secretary of Committee)

**DOCUMENT 8 Documentation checklist for each applicant at each Committee Stage**

Applicant: \_\_\_\_\_ Faculty/Department: \_\_\_\_\_

**THIS DOCUMENT IS DISCLOSABLE UNDER THE FEEDBACK ARRANGEMENTS.**

**Sub-Committee of General Board's Senior Academic Promotions Committee**

		<b>Please tick</b>
Doc 1	CV	<input type="checkbox"/>
	Annex A (Research/Scholarship)	<input type="checkbox"/>
	Annex B (Teaching) (if applicable)	<input type="checkbox"/>
	Annex C (General Contribution)	<input type="checkbox"/>
Doc 2	Personal Statement	<input type="checkbox"/>
Doc 3	Referees (1 <sup>st</sup> time application)	
	(i) Nominated by applicant	<input type="checkbox"/>
	(ii) Nominated by Faculty Promotions Committee	<input type="checkbox"/>
	(iii) Additional (if applicable)	<input type="checkbox"/>
	Briefly give reasons for additional references, e.g. interdisciplinary application, substantial absence, necessary to provide for comment across full range of duties, etc.	
	Referees (re-application):-	
	(i) Previous years' references {        } *	<input type="checkbox"/>
	(ii) Nominated by applicant [        ] †	<input type="checkbox"/>
	(iii) Nominated by Faculty Promotions Committee [        ] †	<input type="checkbox"/>
	* Insert number of updated references † Insert number of updated references	
Doc 4	The Faculty/Departmental Case for Promotion	<input type="checkbox"/>
	Annex	
Doc 5	College Statement on teaching (if applicable)	<input type="checkbox"/>
Doc 6	NHS Statement (if applicable)	<input type="checkbox"/>

**DOCUMENT 8 Documentation checklist for each applicant at each Committee Stage**

Signed: \_\_\_\_\_ Date: \_\_\_\_\_  
(Secretary of Sub-committee)

**DOCUMENT 8 Documentation checklist for each applicant at each Committee Stage**

Applicant: \_\_\_\_\_ Faculty/Department: \_\_\_\_\_

**THIS DOCUMENT IS DISCLOSABLE UNDER THE FEEDBACK ARRANGEMENTS.**

**General Board's Senior Academic Promotions Committee**

		Please tick
Doc 1	CV	<input type="checkbox"/>
	Annex A (Research/Scholarship)	<input type="checkbox"/>
	Annex B (Teaching) (if applicable)	<input type="checkbox"/>
	Annex C (General Contribution)	<input type="checkbox"/>
Doc 2	Personal Statement	<input type="checkbox"/>
Doc 3	Referees (1 <sup>st</sup> time application)	
	(i) Nominated by applicant	<input type="checkbox"/>
	(ii) Nominated by Faculty Promotions Committee	<input type="checkbox"/>
	(iii) Additional (if applicable)	<input type="checkbox"/>
	Briefly give reasons for additional references, e.g. interdisciplinary application, substantial absence, necessary to provide for comment across full range of duties, etc.	
	Referees (re-application):-	
	(i) Previous years' references {        } *	<input type="checkbox"/>
	(ii) Nominated by applicant [        ] †	<input type="checkbox"/>
	(iii) Nominated by Faculty Promotions Committee [        ] †	<input type="checkbox"/>
	* Insert number of updated references	
	† Insert number of updated references	
Doc 4	The Faculty/Departmental Case for Promotion	<input type="checkbox"/>
	Annex	
Doc 5	College Statement on teaching (if applicable)	<input type="checkbox"/>
Doc 6	NHS Statement (if applicable)	<input type="checkbox"/>



**DOCUMENT 8 Documentation checklist for each applicant at each Committee Stage**

Comments (if any)

Signed: \_\_\_\_\_ Date: \_\_\_\_\_  
(Secretary of Committee)











The *Cambridge University Reporter* appears each Wednesday during Term. Special Numbers are also published from time to time.

*Editorial*

Notices for publication in the *Reporter* should be sent to Rachael Tuley, Editor, Cambridge University Reporter, Secretariat, The Old Schools, Cambridge, CB2 1TN (tel. 01223 332305; fax 01223 332332; e-mail: [rlt23@admin.cam.ac.uk](mailto:rlt23@admin.cam.ac.uk)). Copy should be sent as early as possible in the week before publication; short notices will be accepted up to **4 p.m. on Thursday** for publication the following Wednesday. Inclusion is subject to availability of space.

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