

## Academic Staff Promotions 2022

### **GUIDANCE NOTES**

# Table of Contents

<b>A. Introduction .....</b>	<b>3</b>
<b>Important Employment Considerations .....</b>	<b>3</b>
1. Probation and Disciplinary Issues.....	3
2. Transferring to the Academic, or Research, or Learning & Teaching Job Families.....	3
3. Work Permit Requirements for Non-EEA Nationals.....	4
<b>Roles Not Eligible for the Academic Promotion Route .....</b>	<b>4</b>
1. Non-Clinical Lecturer and Clinical Senior Lecturer .....	4
2. Research Fellow .....	4
3. Learning & Teaching job family, Levels 3 to 6 .....	4
4. Professors of Practice.....	4
<b>B. Departmental Review Procedure for all Staff .....</b>	<b>5</b>
<b>Heads of Department Review.....</b>	<b>5</b>
<b>NHS Consultants and Community Physicians .....</b>	<b>5</b>
<b>Memorandum .....</b>	<b>6</b>
<b>Previous Applications.....</b>	<b>6</b>
<b>Departmental Review Panel Composition.....</b>	<b>6</b>
(a) Faculties of Engineering, Medicine, Natural Sciences and the Education Office .....	6
(b) The Business School .....	7
<b>C. Personal Applicants .....</b>	<b>7</b>
<b>D. Key Dates for Submission of Application Documents .....</b>	<b>8</b>
Business School, Faculty of Engineering, Faculty of Natural Sciences and the Education Office .....	8
Faculty of Medicine.....	9
<b>E. Details of Documents and Information Required .....</b>	<b>10</b>
1. References.....	10
2. Application Form .....	11
3. Imperial Expectations .....	11
4. Citations .....	11
5. Review Procedure .....	12
6. Interviews - When and Where .....	12
7. Attendance at Interviews by Heads of Departments .....	13
8. Interview Panels .....	13
9. Procedure for Promotion to Senior Lecturer .....	14
<b>F. Decisions on Promotion of Conferment of Title.....</b>	<b>15</b>
<b>Notification to Candidates .....</b>	<b>15</b>
<b>Monitoring .....</b>	<b>15</b>
<b>G. Academic Promotions and the Data Protection Regulations (GDPR) .....</b>	<b>15</b>
<b>H. College Appeals Procedure.....</b>	<b>16</b>

## A. Introduction

This procedure is for the conferment of titles of, or promotion to, the positions listed below. The General Role Descriptions can be found in Appendix 1.

Title	Job Family	Criteria for Promotion
Senior Lecturer (Non-Clinical)	Academic	Appendix 2
Reader (Non-Clinical)	Academic	Appendix 2
Reader (Clinical)	Clinical	Appendix 3
Reader in Education	Learning & Teaching	Appendix 5
Associate Professor (Business School)	Academic	Appendix 2
Associate Professor of Education	Learning & Teaching	Appendix 5
Professor	Academic	Appendix 2
Professor (Clinical)	Clinical	Appendix 3
Professor of Education	Learning & Teaching	Appendix 5
Professor of Practice	Honorary	Appendix 6

See the listed **Appendices** for the required criteria and more information on the above titles.

Title	Job Family	Criteria for Promotion
Senior Research Fellow	Research	Appendix 4
Principal Research Fellow	Research	Appendix 4

Senior Research Fellow applicants use the same procedure as Reader applicants. Principal Research Fellow applicants use the same procedure as Professorial applicants. See **Appendix 4** for the required criteria and more information on the above titles.

## Important Employment Considerations

### 1. Probation and Disciplinary Issues

Applications for promotion cannot be considered in isolation from matters connected with an employee's probation or general employment. If a member of staff, or employee from the Research Councils or the NHS, are at the informal oral, or any other stage of the appropriate organisation's disciplinary/capability procedure, the application will be put on hold until the matter has been resolved, or any warning issued is spent, to the satisfaction of the Deputy Director of HR. Every effort will then be made to deal with the application as quickly as is practicable. The above also applies to those whose probation has been extended, or where an individual's employment has not been confirmed for performance/disciplinary-related reasons.

Staff who are on probation may be considered for promotion, but only where there are no current disciplinary/capability issues. If applicants are successful, and the promotion will take effect during the last year of probation, (or, exceptionally, prior to the last year), their appointment will also be confirmed (**subject to the individual fulfilling any compulsory criteria that are in place e.g. attendance at compulsory development programmes, such as completing and passing teaching quality requirements**).

### 2. Transferring to the Academic, or Research, or Learning & Teaching Job Families

It is a condition of promotion that staff, who are still on the old job grading system at the time of their application for promotion, will be moved to the relevant level of either the Academic,

or the Research, or the Learning & Teaching job family, with associated terms and conditions when promoted.

### **3. Requirements for EEA and non-EEA nationals sponsored under the Skilled Worker Route (SWR) / Tier 2 and T5 Temporary Worker Route (TWR) / Tier 5 (Government Authorised Exchange)**

As part of the College's sponsorship duties, the Staff Compliance Team is required to report any significant changes to sponsored workers' employment, including any promotions, changes in job title or core duties, to UK Visas and Immigration (UKVI) within 10 working days.

Additionally, should the promotion mean that the worker would need to be sponsored in a different occupation code, for example, a researcher promoted into an academic role, a 'change of employment' application would need to be made. This would require:

- The Staff Compliance Team to issue a new Certificate of Sponsorship (CoS); and
- The worker to make a new application for permission to stay; and
- The Staff Compliance Team to complete a follow-up Right to Work check of the worker's new Biometric Residence Permit/digital status, once granted by UKVI,

before the effective start date of the promotion is confirmed and the worker starts work in their new role.

Where the worker would need to be sponsored in a different occupation code and they have an application already in process for a non-sponsored immigration category (e.g. Indefinite Leave to Remain, Global Talent Visa, etc), they would need to await the outcome of their application and the Staff Compliance Team would need to complete a follow-up Right to Work check before the effective start date of the promotion is confirmed and they start work in their new role.

The Academic Progression team will share the outcomes of the Academic Promotions exercise for sponsored workers with the Staff Compliance Team to ensure that the relevant reporting requirements are undertaken, or new permission obtained (where required), before promotions for sponsored workers take effect.

## **Roles Not Eligible for the Academic Promotion Route**

### **1. Non-Clinical Lecturer and Clinical Senior Lecturer**

The College and the Academic Promotions Procedure do not make provision for promotion to Non-Clinical Lecturer and Clinical Senior Lecturer; rather, appointments are made on the recommendation of a selection committee - see the relevant guidance notes for the appointment of Non-Clinical Lecturers, Clinical Lecturers and Clinical Senior Lecturers.

### **2. Research Fellow**

These are graded in the Research Job Family, and the promotion route will normally be to Senior Research Fellow, unless an appointment is made to an academic post, or it is an exceptional case based on recently acquired experience that meets the criteria for an academic staff grade.

### **3. Learning & Teaching job family, Levels 3 to 6**

Application for promotion to these grades is through the termly Learning & Teaching Promotions process with Consuls present for Level 6 promotions.

### **4. Professors of Practice**

The current situation is that existing members of the Academic job family cannot be promoted to Professor of Practice. Honorary Professors of Practice (e.g. NHS members) are not members of a particular job family and can accordingly be promoted (or appointed). The Assistant Provost (Academic Promotions) should be on the promotions committee for such Professors of Practice, although the Dean of the relevant Faculty may be better placed to chair.

*For clarity, Professors of Practice can be appointed into the Academic Job Family, but the employment contract must not include research in the job description. Confirmation of the quality of an appointment must be determined at the interview. The Senior Consul and the Assistant Provost (Academic Promotions) should be consulted prior to any appointment and Consul presence at the interview is required. At the moment, the appointment of Professors of Practice cannot be made into the Teaching and Learning job family.*

## B. Departmental Review Procedure for all Staff

### Heads of Department Review

- Heads of Departments should arrange an annual review of all academic staff below the level of Professor to determine whether any proposals should be made for promotion to Senior Lecturer (non-clinical) or for the conferment of the title of Reader, Reader or Associate Professor in Education, Professor or Professor of Education.
- The Head of Department should request all Heads of Sections or Groups in the Department to review academic staff below Professor in their Section/Group. Heads of Sections/Groups should prepare a report that highlights the achievements and promotion potential of each of their staff and the report should be presented to the Departmental Review Panel, together with any proposals for promotion or conferment of title.
- The Head of Department should publish, within the Department, the timetable for the review, indicating that self-applications may be made for promotion or conferment of title.
- Heads should also arrange a review of research staff at the Research Fellow level, and senior staff in the Learning & Teaching family, to determine whether any should be put forward for promotion.
- Heads of Department should also consider whether any staff not in the Learning & Teaching job family should be considered for transfer into the Learning & Teaching job family. Staff may be promoted to either the practitioner pathway or educational research pathway. This measure should be considered for staff who are making a significant contribution to teaching, educational leadership, educational research or educational transformation, beyond that normally expected within their current job family.
- Heads of Department are strongly encouraged to provide each member of staff below the level of Professor with the names of two professors who would be available to provide informal guidance and advice to candidates regarding promotion.
- Heads should be wary of putting forward candidates **prematurely** because of the potential negative effects on a member of staff if unsuccessful (but possibly more likely to succeed the following year). See advice on Previous Applications below.

**N.B. Deans of Faculties and College Consuls do not take part in the Departmental process** by which candidates are brought forward. Faculty-level panels are advisory only.

### NHS Consultants and Community Physicians

- Heads of Department may wish for Consultants, Community Physicians in the NHS, and Research Council employees, to be considered for the conferment of the title of Reader, Professor or Professor of Practice.
- Conferred titles are given for between one and five years, and are renewable, subject to the individual meeting the criteria and standards. The decision to renew will be taken by the Head of Department in conjunction with the Dean of the Faculty (See **Appendices** for full academic titles criteria).

## Memorandum

A suggested letter to staff appears in **Appendix 7. The Application Form and Standard Request for References, as well as the relevant Appendices** should accompany the letter to inform staff of the format of the documents required.

## Previous Applications

A promotions cycle is counted as starting at the beginning of each academic year. An unsuccessful application for promotion, or conferment of title, should not be submitted as part of the promotions cycle the following year.

Staff that have been promoted in the preceding promotions cycle will not be considered the following academic year unless measurable, clear and very significant progress can be shown. Permission to advance such applications should be sought from, and granted by, the Assistant Provost (Academic Promotions). Furthermore, such applications must be flagged when submitted to the Academic Promotions team. The same applies to staff that have been appointed to a post during an ongoing promotions cycle.

## Departmental Review Panel Composition

***The Panel should be as diverse as possible, with sufficient academic range for broad representation of the Department's education and research.***

### **(a) Faculties of Engineering, Medicine, Natural Sciences and the Education Office**

The Panels must have the following composition, according to the level of promotion being sought. ***Heads of Department must ensure that Panels have sufficient and comparable information to review all eligible staff.***

#### Senior Lecturer (non-clinical)

- Head of Department (Chair)
- At least **five** other members of the Department to include a professor, a reader, and a senior lecturer, one of whom shall be elected to represent the Department's academic staff.

#### Reader

- Head of Department (Chair)
- At least **five** other members of the Department, in addition to the HoD and Section Head (where applicable), to include a professor, a reader, and a senior lecturer, one of whom shall be elected to represent the Department's academic staff.
- For **Reader in Education**, a senior member of the Department with educational responsibilities (for example the Director of Undergraduate Studies, Director of Postgraduate Studies, Director of Education or other similarly titled member of staff) should substitute for one of the Departmental Panel members.

#### Professor / Professor of Education / Professor of Practice

- Head of Department (Chair)
- **Five professors**, in addition to the HoD and Section Head (where applicable). In units where there is only one professor, the Head of the unit **must** invite appropriate professors from elsewhere in the College to form a Review Panel of at least **five members**.

- For **Professor of Education**, a senior member of the Department with educational responsibilities (for example the Director of Undergraduate Studies, Director of Postgraduate Studies, Director of Education or other similarly titled member of staff) should substitute for one of the Departmental Panel members.

## **(b) The Business School**

### Associate Professor

- Associate Dean (Chair)
- At least **five** other members of the Department to include a professor, an associate professor or a senior lecturer, one of whom shall be elected to represent the Department's academic staff.
- For **Associate Professor of Education**, a senior member of the Department with educational responsibilities (for example the Director of Undergraduate Studies, Director of Postgraduate Studies, Director of Education or other similarly titled member of staff) should substitute for one of the Departmental Panel members.

### Professor, Professor of Education, Professor of Practice

- Associate Dean (Chair)
- **Five Professors**, in addition to the Associate Dean. ***The Panel should be as diverse as possible, with sufficient academic range for broad representation of the School's education and research.***
- For **Professor of Education**, a senior member of the Department with educational responsibilities (for example the Director of Undergraduate Studies, Director of Postgraduate studies, Director of Education or other similarly titled member of staff) should substitute for one of the Departmental Panel members.

## **C. Personal Applicants**

If an application is not supported by the Departmental Review Panel, the Head of Department **must** inform the candidate of the reasons so that the candidate has the opportunity to make a personal application.

If a personal, unsupported application is made, the Head of Department should provide a brief statement explaining the Departmental Review Panel's reasons. The statement should accompany the **References for Promotion** form when the application is submitted.

Personal applicants submit their application paperwork through the normal Departmental channels. Applications cannot be made in isolation from the Department. Regardless of whether a candidate is supported by the Department, the application is evaluated in exactly the same way at College level as all other applications.

***Applicants from the NHS or Research Councils who wish to apply for a conferred title, or for the Professor of Practice title, must have Departmental support and cannot make personal applications.***

## D. Key Dates for Submission of Application Documents

**Business School, Faculty of Engineering, Faculty of Natural Sciences  
and the Education Office**

**3 December 2021, by noon**

**Departments submit** for each candidate by e-mail to the Academic Progression Coordinator at the HR alias [ac.pro@imperial.ac.uk](mailto:ac.pro@imperial.ac.uk) the following:

- **Departmental Form**
- **The Departmental Panel's comments on unsupported applications.**
- **Citation from the Head of Department.** Where a candidate has a joint appointment in two Departments, the Heads of both Departments should each write a citation for the candidate. **Unsigned citations attached in an e-mail cannot be accepted.**
- A statement of financial support (if not from Departmental funds).

**Candidates submit** by e-mail to the HR alias [ac.pro@imperial.ac.uk](mailto:ac.pro@imperial.ac.uk):

- **The Application Form.**

**28 January 2022, by noon**

**Departments submit** for each candidate by e-mail to the Academic Progression Coordinator at the HR alias [ac.pro@imperial.ac.uk](mailto:ac.pro@imperial.ac.uk) the following:

- A report on teaching activity and impact by the **DUGS** (Director of Undergraduate Studies) or the **DPGS** (Director of Postgraduate Studies). This report should also provide information on teaching observation, and data on student supervision (MD, MSc, PhD).

**Candidates submit** to the HR e-mail alias: [ac.pro@imperial.ac.uk](mailto:ac.pro@imperial.ac.uk) the electronic:

- **SOLE** teaching evaluation reports, which include numerical data and free text comments from teaching evaluation questionnaires. These should relate to the last two years.
- **Four publications** – These will be recent publications which have had the greatest impact since the previous promotion or since appointment at the College, and that show what has been achieved in the interim. Publications prior to appointment at the College or used to support a previous application for successful promotion will not be considered.
- A **summary** of the importance and originality of the selected publications.

## Faculty of Medicine

**14 January 2022, by noon**

**Departments submit** for each candidate by e-mail to the Academic Progression Coordinator at the HR alias [ac.pro@imperial.ac.uk](mailto:ac.pro@imperial.ac.uk) the following:

- **Departmental Form**
- **The Departmental Panel's comments on unsupported applications,**
- **Citation from the Head of Department.** Where a candidate has a joint appointment in two Departments, the Heads of both Departments should each write a citation for the candidate. **Unsigned citations attached in an e-mail cannot be accepted.**
- For **clinical academics, or clinicians applying for an academic title:** a statement (signed and dated) of support from a senior NHS representative, who comments on the applicant's role and the effectiveness and impact of contributions to clinical work, medical education and training.
- **For Honorary candidates (NHS, MRC or similar employees), the Faculty of Medicine submits a citation** on candidates' contributions to the College.
- A statement of financial support (if not from Departmental funds).

**Candidates submit** by e-mail to the HR alias [ac.pro@imperial.ac.uk](mailto:ac.pro@imperial.ac.uk) :

- **The Application Form.**

**4 February 2022, by noon**

**Departments submit** for each candidate by e-mail to the Academic Progression Coordinator at the HR alias [ac.pro@imperial.ac.uk](mailto:ac.pro@imperial.ac.uk) the following:

- A report on teaching activity and impact by the Director of Education or similar role with educational responsibilities, if relevant. This report should also provide information on teaching observation, and data on student supervision (MD, MSc, PhD),

**Candidates submit** to the HR e-mail alias: [ac.pro@imperial.ac.uk](mailto:ac.pro@imperial.ac.uk) the electronic:

- **SOLE** teaching evaluation reports, which include numerical data and free text comments from teaching evaluation questionnaires. These should relate to the last two years.
- **Four publications** – These will be recent publications which have had the greatest impact since the previous promotion or since appointment at the College, and that show what has been achieved in the interim. Publications prior to appointment at the College or used to support a previous application for successful promotion will not be considered.
- A **summary** of the importance and originality of the selected publications.

## E. Details of Documents and Information Required

### 1. References

#### Candidates:

- Candidates cite one referee (two if the application is personal), who has agreed to provide a reference, on page 2 of the **Application Form**.
- Applicants should consult widely about suitable choices for referees (see criteria below).
- The Head of Department cannot act as a referee.

#### Departments:

- Departments recommend **five** referees on the **Departmental Form** (see criteria below).

#### Criteria for choice of referees

- Referees should be of appropriate seniority, relevant to the type of promotion sought, familiar with the criteria for professorships, readerships, and senior lectureships at research-based universities in the UK, leaders and experts in their field, and external to the College.
- In the case of Reader, Associate Professor, Professor and Professor of Practice applicants, at least 1 referee should be a FRS, FREng, FMedSci or equivalent where possible.
- For Reader in Education, Associate Professor of Education, or Professor of Education, at least one referee should be an internationally recognised authority in the field of education, where possible.
- All referees should be professorial academics (i.e. not from industry unless particularly relevant).
- Referees should not have worked at the College within the last 5 years.
- Referees must be independent, should not work closely with the candidate, nor have published work with the candidate within the last five years.
- Referees should be as knowledgeable as possible about the candidate's subject area, particularly if the research is on the border of various disciplines.
- At least 1 referee should be from the UK.
- At least 1 referee, (preferably more than 1), should be from overseas (except for Senior Lecturer applicants, whose referees may all be from the UK).

The Academic Promotions Committee meets in December and January to review and approve referees for candidates, and to choose alternative referees if warranted.

The taking up of references is handled centrally by the HR Academic Promotions administrators. Copies of the standard letters sent to referees are in **Appendix 10**.

References will be copied to Heads of Department only, one to two days prior to interviews; references must not be copied further to ensure compliance with data protection legislation. This applies in the case of both supported and personal candidates. **Referees' names and references are strictly confidential, and Heads of Department are responsible for ensuring confidentiality is maintained at all times.**

## 2. Application Form

Candidates should include a full list of publications within the body of the Application Form, and not as a separate document.

## 3. Imperial Expectations

A section on the form gives candidates the opportunity to highlight their achievements with regard to Imperial Expectations. The purpose of these is to guide the behaviour of all staff, demonstrating the ways in which staff respect and support each other in achieving personal goals and the College's strategic objectives.

Line Managers must confirm that during the annual PRDP process, Imperial Expectations are discussed with, and understood by the applicant, and that the Expectations are either being fully met or, where there are discrepancies, action is being taken to fully address them. More information can be found at:

<https://www.imperial.ac.uk/human-resources/imperial-expectations/>

Please note that from November 2021 Imperial Expectations will be replaced by College Values and Behaviours. Future applications (e.g. for 2022/23) will therefore seek evidence of behaviour which is in line with the Values and Behaviours framework. Further guidance on the transition from Imperial Expectations to the new framework will be provided during the 2021/22 academic year.

## 4. Citations

### a) Citation by the Head of Department

The citation (see **Appendix 8** for a model) outlines the principal grounds for promotion and focuses on:

- Key contributions: including educational achievement, "good citizenship" and leadership qualities.
- Teaching ability, contributions and achievements. It is important to provide an evaluation of teaching quality as this is a key criterion for promotion.
- Student support: contributions to providing pastoral care and a supportive and stimulating learning environment.
- Research ability: a statement to identify the most influential and significant contributions and details of current research plans.
- How Imperial Expectations are demonstrated and upheld. Provide an indication on the associated workload.
- Profession and Practice contributions.
- Include an assessment of the impact of COVID-19 on the work of the Candidate.

Where a candidate has a joint appointment in two Departments, the Heads of both Departments should each write a citation for the candidate.

**Unsigned citations will not be considered. Citations must be signed and dated (i.e. not on an unsigned, undated Word document e-mailed to HR).**

### b) Citation by the Director of Undergraduate Studies (DUGS), Director of Postgraduate Studies (DPGS) or Director of Education (Faculty of Medicine)

Citations from the DUGS, the DPGS or the DOE should highlight, and give detailed information on, contributions to teaching and on teaching ability.

- Evidence of achievement in undergraduate and postgraduate teaching, e.g.

student success and progression, qualitative student feedback, peer observation, external examiners (It is important to provide a detailed evaluation of teaching quality as this is a key criterion for promotion.)

- Types of teaching experience, number of contact hours and size of classes
- Management, development and delivery of education, e.g. design of new modules, roles within Department, innovation in teaching assessment and feedback
- Activities promoting collaboration and sharing best practice
- Student support: contributions to providing pastoral care and a supportive and stimulating learning environment.
- Teaching Awards and Learning & Teaching Qualifications
- Educational scholarship
- Membership of national/international educational/accreditation committees.
- External examining.
- Contribution to industry or the NHS through teaching/training.
- Number of PhD students currently supervised, as well as those who have completed their studies under the guidance of the candidate. Please include information on the quality of supervision provided.
- Information on Master degree students who are being supervised, and the quality of the guidance being offered.

**Unsigned citations will not be considered. Citations must be signed and dated (not on an unsigned, undated attachment e-mailed to HR).**

- c) **For clinical academics, or clinicians applying for a full academic title** – a statement of support from a senior NHS representative, who comments on the applicant's role, and the effectiveness and impact of the candidates' contribution to clinical work, including medical education and training.

## 5. Review Procedure

The Academic Promotions Committee will consider all applications. It may seek additional advice on applications as appropriate.

## 6. Interviews - When and Where

The Academic Promotions Committee will invite candidates for interviews. These take place between March and May at the South Kensington Campus. The HR Division will make the arrangements and inform Departments of dates, usually before the end of February. The Departments inform candidates of interview dates, times and venues.

- **Faculty of Engineering and Business School** candidates will be interviewed in **March**, although there may be exceptions.
- **Faculty of Natural Sciences** and **Education Office** candidates will be interviewed in **April**, although there may be exceptions.
- **Faculty of Medicine** candidates will be interviewed in **May**.

Candidates are strongly advised to inform HR, in the relevant section of the **Application Form**, of dates when they will **not** be available for interview due to important prior commitments (such as pre-booked annual leave, pre-booked overseas conferences). Teaching commitments cannot be accommodated. If advised in advance, HR will try to accommodate candidates but cannot guarantee this will be possible.

If requesting an accommodation, please state purpose, reason and date in the relevant section of the **Application Form**.

**Important note:** Interview dates and times are based on the availability of the Academic Promotions Committee members. Candidates from the same Department are grouped together where possible, as are those seeking the same level of promotion. Due to the large number of interviews scheduled, the Committee expects candidates to attend interviews on the dates and times requested.

Departments should inform Daljeet Birdy ([d.birdy@imperial.ac.uk](mailto:d.birdy@imperial.ac.uk)) of anticipated difficulties.

## 7. Attendance at Interviews by Heads of Departments

### Supported candidates

The Head of Department is expected to attend the interview as observer or to send an appropriate representative. At the end of the interview, the Head of Department is asked whether the candidate's interview was an accurate reflection of the candidates capabilities. In the case of an unsupported candidate, the Head of Department may only be present with the candidate's permission.

### Unsupported, Personal Candidates

Personal candidates may choose an alternative representative to the Head of Department if they wish. Personal candidates should inform their Head of Department and the Promotions Coordinator in Human Resources, who their representative will be (if anyone), as soon as possible after they receive an invitation to interview. The representative must be a College employee.

## **8. Interview Panels**

The Assistant Provost (Promotions) normally acts as the Chair of the Promotions Committee.

- Panel members are drawn from different Departments, and normally different from that of the candidate. Every effort is made to have a diverse panel membership.
- To enhance the interview process, the Academic Promotions Committee may decide that other senior members of the College should join, or act as substitutes on panels. As agreed by the Dean, Heads of Departments from a different Department to that of the candidate may also participate on panels and may substitute for Vice-Provosts as and when necessary.
- At the time invitations to interview are sent to the Departments, panel composition is included and candidates are normally informed as a courtesy.
- The panel composition is not prescriptive, may be changed as needed, at the Committee's discretion, without further notification to the candidate if this is not practicable.
- Additional members may be drafted onto interview panels when specific expertise is required.
- Notes of the interview are taken.

### **Reader and Associate Professor Interviews**

The panel includes at least three members from the Committee:

- The Dean of the candidate's Faculty, as Chair.
- A Consul from the candidate's Faculty.
- A Vice-Provost or a further Consul, or other member of the Committee.

### **Professor and Professor of Practice Interviews**

The panel includes at least four members from the Committee:

- The Chair of the Academic Promotions Committee, or the Dean of the candidate's Faculty as Chair.
- The Dean or Vice Dean of the candidate's Faculty (when not acting as Chair).
- A Consul from the candidate's Faculty.
- A Vice Provost or a further Consul.
- Another member of the Committee will make up the fourth member when necessary.

### **Reader in Education, Associate Professor of Education**

The panel includes at least three members from the Committee

- The Dean or Vice-Dean (Education) of the candidate's Faculty
- A Consul from the candidate's Faculty
- The Vice-Provost (Education)
- Assistant Provost (Learning & Teaching)
- Director of Educational Development

## **Professor of Education**

The panel includes at least four members from the Committee

- The Chair of the Academic Promotions Committee, or the Dean of the candidate's Faculty as Chair.
- The Dean or Vice Dean of the candidate's Faculty (when not acting as Chair).
- A Consul from the candidate's Faculty
- The Vice-Provost (Education)
- Assistant Provost (Learning & Teaching)
- Director of Educational Development

## **9. Procedure for Promotion to Senior Lecturer**

**Please see Section D above for deadlines and details of documentation needed.**

- The timetable for receipt of documentation for promotion to Senior Lecturer is the same as for promotion to all other grades. Cases for promotion to Senior Lecturer can be dealt with outside of this timetable in special circumstances.
- The process for promotion to Senior Lecturer is administered centrally, but promotion decisions are a Faculty-level responsibility and will be undertaken by the Faculty Dean and Faculty Consuls. Interviews will be held only at the applicant's request or if the Faculty Dean and the Faculty Consuls decide that an interview would be helpful.

Review Procedure for Senior Lecturer Candidates

- The Faculty Dean and the Faculty Consuls will meet to consider applications and may seek additional advice on any application as appropriate.
- They will make the decision on promotion. The meeting will be minuted by a representative from HR.
- The Faculty Dean and the Faculty Consuls will interview candidates who have requested an interview and candidates whom they have decided to interview. The Head of Department, or a nominated representative, will be present as an observer and the interview will be minuted by a representative from HR.
- Interviews of personal applicants will be carried out by a Vice-Provost or Dean of another Faculty, and the Faculty Consuls. The Head of Department, or a nominated representative, may be present at the interview only with the candidate's permission.
- Personal applicants may choose an alternative representative. The Head of Department and the Promotions Coordinator in Human Resources should be informed.
- The candidate's representative must be internal and a College employee.

## **F. Decisions on Promotion of Conferment of Title**

### **Notification to Candidates**

1. In consultation with the Faculty Deans and Heads of Department, applicants will be informed as soon as possible after a final decision has been made.
2. The Academic Promotions Committee will meet in June to make decisions on any outstanding cases.

3. Letters will be as informative as possible, and may be subject to review, so that Heads of Department can provide feedback to candidates, initially face-to-face and, subsequently, in writing. Candidates who have been unsuccessful will, of course, need to be dealt with sensitively and Heads of Department should ensure that they provide the candidate with the reasons for the decision.
4. Personal applicants not supported by the Department will be written to directly to inform them of the decision on their application. The Department will also be informed of the decision.
5. Unsuccessful candidates are encouraged to approach their Faculty Dean for further information on the reasons for the decision.
6. Candidates have the right to appeal. Please see the Appeals Procedure below.
7. Once Heads of Department have been consulted on salaries, formal notification of promotion or conferment of title will be sent to successful candidates as soon as is practicable via the Heads of Departments' offices. Promotions take effect on 1 September of the year of the promotions cycle.

## Monitoring

HR will compile a record of all applications and the decisions that were agreed. Applications will be monitored in relation to gender, ethnic origin, age, disability and level of pay awarded. The results will be analysed and monitored by HR and anonymised data will be provided to the Assistant Provost (Promotions) and the relevant College committees.

## G. Academic Promotions and the Data Protection Regulations (GDPR)

1. The General Data Protection Regulations (GDPR), which came into effect in 2018, sets out a number of principles with which organisations have to comply. Full details are available under the [College's Data Protection Policy](#) and [Staff Privacy Notice](#). Your information will be retained in line with the [College's Retention Schedule](#)
2. With respect to Academic Promotions, the College sends information containing personal information about candidates to referees, some of whom may be located in overseas countries, not all of which will have adequate levels of data protection. The information is sent to assist referees in their assessments of candidates and includes the application form. The information will be sent to referees by e-mail, fax or post.
3. At present, the following EEA countries can be regarded as having appropriate levels of data protection:

Austria, Belgium, Bulgaria, Croatia, Cyprus, Czech Republic, Denmark, Estonia, Finland, France, Germany, Greece, Hungary, Iceland, Ireland, Italy, Latvia, Liechtenstein, Lithuania, Luxembourg, Malta, the Netherlands, Norway, Poland, Portugal, Romania, Slovakia, Slovenia, Spain, Sweden, the United Kingdom.

Countries outside the EEA which have been approved as offering adequate data protection are:

Andorra, Argentina, Australia, Canada (commercial organisations), Switzerland, Faeroe Islands, Guernsey, Israel, Isle of Man, Jersey, and in the US, signatories to the US Department of Commerce's Safe Harbour Privacy Principles.

Other countries may be added at a later date.

4. References are received via mail, fax and e-mail from various overseas countries.
5. Candidates are asked to give consent for the transfer of their data to referees on the understanding that some referees may be located in countries which do not meet the

criteria defined as adequate by the GDPR. The information received is used as part of the assessment for academic promotion and is held on file in the HR Division.

## **H. College Appeals Procedure**

1. Unsuccessful candidates are entitled to appeal, but only on the grounds of a defect in the Departmental and/or College procedure.
2. In the event of an appeal, the candidate should, within 30 days of receipt of the written decision, inform the relevant Head of Department of the grounds of the complaint, and the Head of Department should forward this information to the Deputy Director of Human Resources.
3. In the case of a candidate whose application was not supported by the Department, the candidate may write directly to the Deputy Director of Human Resources.
4. The Deputy Director of Human Resources, or a nominee, shall conduct an investigation of the complaint and will report to relevant members of the Academic Promotions Committee within 30 days of receipt of the appeal on whether there has been a defect in procedure which would materially affect its decision. The Academic Promotions Committee will then arrange for the appellant to be informed whether it has agreed to reconsider the appellant's case on the grounds of a defect in procedure. If the appeal is upheld, the Academic Promotions Committee will reconsider the case and may seek further information as appropriate and/or require the candidate to attend a meeting/interview.
5. If the appellant is dissatisfied because the Academic Promotions Committee has decided not to reconsider the case, or remains dissatisfied following the review of the case, the candidate should inform the Promotions Coordinator, Human Resources Division, within 14 days of receipt of the Academic Promotions Committee's decision, stating in writing the grounds for the complaint. The time limit may be extended for good cause e.g. illness. The Promotions Coordinator will arrange for the Provost to appoint an Investigation Committee which will consist of three members of the College, one of whom will be appointed as Chair by the Provost and none of whom will previously have been involved in the case at Departmental/Divisional or College level. A member of the Human Resources Division will normally be Secretary to the Investigation Committee.
6. Within 14 days of the date of the hearing, the Chair of the Investigation Committee, on behalf of the Committee, will submit a report to the Provost, with the Committee's judgement on whether a defect in procedure has occurred which would materially affect the decision of the Academic Promotions Committee.
7. The Provost will consider the Committee's report and decide on whether or not the case for promotion should be reconsidered. The decision will be conveyed to the appellant in writing within 28 days after the date of the hearing.
8. Every effort will be made to adhere to the timetables given above, with the proviso that more time may be necessary on occasion because cases are considered by senior staff and over the summer period.