LEEDS BECKETT UNIVERSITY

# Academic Promotions Policy and Procedure

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## Policy Statement

### Purpose and Scope

The effective recruitment and progression of staff is important for the University's achievement of its strategic objectives and KPIs, including the aim to develop a community of great people. The award of Professorships and Readerships is designed to recognise and reward outstanding contributions to research, learning and teaching, and innovation and enterprise.

This policy and procedure provides a framework for the award of Professorships and Readerships to employees of the University. It also supports the development of colleagues, providing feedback on performance and relevant career development advice.

### Responsibility

Human Resources has responsibility for ensuring that this policy and procedure are communicated and applied throughout the University and for co-ordinating an annual promotion process.

All staff involved in the selection process are responsible for adhering to this policy and procedure.

### Review

This policy and procedure do not form part of any employee's contract of employment and may be amended at any time. The policy and procedure will be monitored on an annual basis and reviewed every three years or sooner in light of legislative changes and organisational requirements as appropriate.

## Procedure

### 1. Criteria for Conferment

1.1. Decisions regarding promotion to Professor and Reader are based on merit, and considered against the criteria in Appendix 1. Candidates are required to fulfil criteria within **at least one** of the following routes:

- Research
- Learning and Teaching
- Innovation and Enterprise

1.2. Unsuccessful candidates cannot normally reapply within a 2-year period (i.e. until the second subsequent promotion round) to allow sufficient time to act upon feedback from the Promotions Board.

### 2. Process for the award of Professorships and Readerships

2.1. Conferment of Title on Appointment

2.1.1. A title may be awarded on appointment provided the Promotions Board is satisfied that the successful candidate fully meets the relevant criteria.

2.2. Annual Promotion Round

2.2.1. A promotion round will normally be held each year.

2.2.2. Colleagues will be invited to submit an application providing evidence of their experience and achievements, which demonstrate the individual's ability to meet the appointment criteria (Appendix 1). Guidance on what to include in the application is provided at Appendix 2. Applicants are strongly advised to discuss their intention to apply with their line manager (and if different, also their Dean) before they apply and to seek feedback on their proposed referees (see further Appendix 3).

2.2.3. References play an important part in verifying the academic standing of applicants in relation to the criteria for promotion. Applicants will be required to propose **three** external referees for Professor applications (including at least one international referee i.e. a referee from an institution outside the UK who can comment on the international standing of the applicant) and **three** external referees for Reader applications (including at least one international referee i.e. a referee from an institution outside the UK who can comment on the international standing of the applicant) . Guidance on external references is provided at Appendix 3. If an applicant fails to follow the guidance on references, or otherwise fails to follow any aspect of the process, the Promotions Board reserves the right to decline to consider the application.

2.2.4. Deans will be asked by the Promotions Board to provide an internal reference for candidates from their School which makes clear whether the candidate's application is, or is not, supported by the Dean (and why). The reference will reflect input from appropriate members of staff e.g. Director of Research, Head of Subject etc, and contain advice on appropriate external referees. In addition, the Promotions Board will ask Deans to consult with the relevant Director of Research (and any relevant member of the Professoriate) with a view to those colleagues agreeing and providing to the Promotions Panel the names of **three** external referees in respect of candidates from their School. Those nominated referees need to meet the requirements of the guidance set out in appendix 3.

2.2.5. Where applicants are not located within a School or are at a more senior level, the Promotions Board will request an internal reference from an appropriate person (e.g. in the case of Deans of School applying for Professorial status) which makes clear whether the candidate's application is, or is not, supported by the appropriate person in question (and why). The Promotions Board will ask that appropriate person to consult with the relevant Director of Research (and any relevant member of the Professoriate) with a view to those colleagues agreeing and providing to the Promotions Panel the names of **three** external referees in respect of the candidate in question. Those nominated referees need to meet the requirements of the guidance set out in Appendix 3.

2.2.6. The Promotions Board will determine, in its entire discretion, which three referees (of the six provided) to take up. External references will be sought and provided in confidence, and the identity of the referees and the content of those references, once provided, will not be shared with the colleague making the application.

2.2.7. The Promotions Board will comprise the Vice-Chancellor, the Deputy VC (Research and Enterprise), Deputy Vice Chancellor (Academic), five Professors (to be appointed by the Chair of the Promotions Board) and the Director of Human Resources.

2.2.8. The Board will meet twice. At its first meeting it will determine if the applications it receives are of sufficient merit to be considered by external referees. It will do this by assessing the application and any internal reference against the published criteria for the role. It will also determine which three external referees it will consult, taking into account the nominations of the candidate and the Dean and / or Director of Research (or other relevant internal parties), the requirements set out in paragraph 2.2.3 above and the guidance set out in Appendix 3.

2.2.9. At its second meeting, it will consider the references sought and received from external referees and make a judgement about the case for promotion.

2.2.10. Following the first and second meetings of the University Promotion Board, all unsuccessful applicants will receive feedback explaining why their application has not been successful. In addition, unsuccessful applicants will be given the opportunity for ongoing support during the subsequent two-year period before they can apply again for promotion under this procedure.

2.2.11. All applicants will be notified of the outcome by the Chair of the University Promotion Board. Appointments made under this policy will be effective from 1 September following the promotion round.

## 3. Support for Applicants

3.1 Prior to the closing date for applications, sessions will be held to assist members of staff who are interested in making an application for either a Professorship or Readership.

## 4. Special Circumstances

4.1 The University recognises that not all careers follow a standard, uninterrupted route. For part-time members of staff (or those who have had a period of absence such as maternity leave or a career break), whilst there will be no difference in the level of achievement required, special consideration will be given to the volume/range of evidence and any gaps in output. Applicants should indicate any special circumstances, which they wish to be considered as part of their application.

## 5. On Appointment

5.1 On appointment, the specific role and responsibilities of each Professor and Reader will be determined in agreement with the relevant line manager, including development of a research plan and, for Professors, an inaugural lecture.

## 6. Withdrawal/Revocation of Title

6.1 In exceptional circumstances, the Vice Chancellor may revoke from an employee of the University the title of Professor or Reader. This may include revocation of title where the individual has brought the University into disrepute or where the required outputs are not achieved or sustained.

6.2 The salary of the individual will be adjusted to a level which would have been appropriate had the title not been awarded.

6.3 Professors will be required to submit evidence of their performance and contribution on an annual basis.

*Reviewed November 2018*

# Criteria for the Award of Professorships and Readerships

**All candidates for Professorships and Readerships must fulfil the following three criteria:**

- Be qualified to doctoral level or be qualified at Masters level and possess appropriate professional qualifications;
- Be eligible for submission to the next REF;
- Undertake teaching on university degree awarding programmes.

In addition, candidates are required to fulfil criteria within **at least one** of the following routes.

## Research Route

Successful candidates for a **Professor** through this route will demonstrate:

- Significant and sustained track record of high quality research outputs which meet international standards of excellence, including recent publication in peer-reviewed journals and have a credible plan for future research activity;
- Lead supervision of a significant number of successful, completed research awards;
- Evidence of securing significant external research grant income;
- Regular presentation at major national/international conferences or exhibiting work at other appropriate events.

Successful candidates for a **Reader** through this route will demonstrate:

- Sustained track record of high quality research outputs which meet international standards of excellence, including recent publication in peer-reviewed journals and have a credible plan for future research activity;
- Successful supervision of candidates for research degree awards.
- Evidence of securing external research grant income;
- Evidence of presenting at conferences or exhibiting work at other appropriate events.

The Promotions Board will expect to see the following evidence to demonstrate achievement of the stated criteria:

- Outstanding original contribution to the field of work;
- Sustained record of high quality publications and conference papers, where appropriate, validated by number of citations or by other indices;
- International / national standing of the applicant's work validated by, e.g. membership of research councils and bodies, invitations to give keynote papers, editorial roles, organisation of international conferences, acceptance of work by international-rated journals which undertake rigorous peer review; external examination of PhD candidates;
- International networks and collaborations;
- Contribution to their academic community, public policy, industry, the professions, commerce, the public sector or voluntary organisations;
- Research income from, e.g. research grants, commercial exploitation of research;
- Research degree supervision leading to successful completion;
- Ways in which research has linked to and informed teaching;
- Research team development and leadership within the School;
- Commitment to the future development of personal research.

## Learning & Teaching Route

Successful candidates for a **Professor** through this route will demonstrate:

- Significant and sustained track record of excellent learning and teaching outputs;
- Leadership of significant pedagogic developments within the discipline, shaping and influencing academic strategy;
- International peer esteem for achievements in learning and teaching;
- A track record of generating external income for pedagogic development, commensurate with discipline norms;
- Regular presentation at major national / international conferences or exhibiting work at other appropriate events;
- Successful track record of academic leadership of teaching and learning.

Successful candidates for a **Reader** through this route will demonstrate:

- A sustained track record of successful learning and teaching outputs;
- Contribution to significant pedagogic developments within the discipline;
- National or potential international peer esteem for achievements in learning and teaching;
- Some evidence of generating external income for pedagogic development, commensurate with discipline norms;
- Evidence of presenting at conferences or exhibiting work at other appropriate events;
- Successful track record of academic leadership.

The Promotions Board will expect to see the following evidence to demonstrate achievement of the stated criteria:

- Excellent outcomes for students;
- Awards, fellowships, and prizes within a disciplinary or institutional context;
- Pedagogical research and publication;
- Significant prestigious conference or keynote engagement;
- Leadership of major pedagogical developments within the University;
- Significant contribution to the wider discipline community e.g. significant projects, enhancement of practice through policy development, major contributions to subject, portfolio or course development, staff development activity at national level, policy development;
- Peer esteem within the field of teaching and learning e.g. national awards – NTF, PFHEA – discipline-based honours and fellowships, leadership of regional/national/discipline-wide projects on learning and teaching;
- Textbook publication;
- Evidence of academic leadership including cross-institutional engagement or external / professional body engagement;
- Fellowship of the HEA.

## Innovation & Enterprise Route

Successful candidates for a **Professor** through this route will demonstrate:

- Significant and sustained high quality contribution to knowledge transfer, consultancy and / or entrepreneurial activities which have enhanced the profile and reputation of the University;
- Significant and sustained active engagement in enterprise activity, working with employers and others to deliver CPD, consultancy or other industrial/commercial collaborations of value to the University;
- Significant contribution to public understanding or policy development linked to the subject specialism at a national and international level;
- Evidence of securing significant external funding for research and/or enterprise activities;
- Successful supervision of candidates for research degree awards.

Successful candidates for a **Reader** through this route will demonstrate:

- Sustained high quality contribution to knowledge transfer, consultancy and entrepreneurial activities which have enhanced the profile and reputation of the University;
- Sustained and active engagement in enterprise activity, working with employers and others to deliver CPD, consultancy or other industrial/commercial collaborations;
- Contribution to public understanding or policy development linked to the subject specialism at a national level;
- Evidence of securing external funding for research and/or enterprise activities;
- Successful supervision of candidates for research degree awards.

The Promotions Board will expect to see the following evidence to demonstrate achievement of the stated criteria:

- Evidence of major innovation in linking research, scholarly activities and knowledge transfer through e.g. consultancies, CPD, enterprise activities;
- Evidence of outstanding and sustained success in developing networks and partnerships with internal and external stakeholders;
- Evidence of significant sustained industrial/commercial collaboration(s);
- Sustained success in securing major funding;
- External recognition, e.g. through membership of enterprise bodies, advisory/consulting roles for national/international agencies or bodies;
- External experience of evaluating enterprise projects or programmes;
- International contribution to developing the link between the discipline and its stakeholders through e.g. membership of international committees; publications, contribution to international conferences.

**Appendix 2**

## Supporting Statement and Documents

Please ensure that you provide the following documents.

A written statement of no more than six sides of A4, providing evidence supporting achievement against the relevant criteria.

Academic Curriculum Vitae (CV) including usual biographical, education and career details in a standard sequence. Work which is cited for promotion, must be in the public domain and only items which meet the criteria should be included in your CV. You may report items 'accepted for publication' or 'press' separately in your covering statement.

Applicants should also indicate any special circumstances that they wish to be considered as part of their application, including dates where relevant. For example, maternity leave or career break. You CV should include as appropriate;

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| Current Post | Title, School /Other, Date of Appointment |
| Career History | A full account of all previous employment in chronological order (most recent first), including employer, post title and dates. |
| Qualifications | Dates, awarding institution or body, title of qualification and subject, class/distinction or other record of standard achieved (most recent first).<br><br>Level of HEA Membership. |
| Teaching and Learning | Summary information on teaching undertaken and evidence of teaching quality. Evidence of wider involvement in teaching and learning, including leadership and / or professional recognition. Evidence of dissemination of good practice, including conference presentations, scholarly / pedagogic achievements including a link to pedagogic outputs, external profile including external appointments. Any publications used in evidence should have a Digital Object Identifier (DOI) reference or a reference to the university repository (Symplectic) where the article may be found. All references in the CV must use the University's standard Harvard referencing style. Guidance on this can be found on the Libraries and Learning Innovation website. |
| Research | List of research outcomes including publications, grants etc.<br><br>Information on externally funded research grants should be accompanied by the grant reference (where appropriate); the funder (EUFW, Research Council, Company, Government body, Charity or other) and the amount of the grant awarded to this institution, not including any payments to collaborating institutions. For research outputs, you must include information sufficient to enable the Promotions Board and Referees to know precisely what is being listed, whether it is of sole or multiple authorship and a link to where it may be found. A Digital Object Identifier (DOI) should be used if at all possible or a link to the University Repository (Symplectic) where the article may be found. Authors must be shown in the order in which they are credited in the work. Applicants should identify clearly the top six publications upon which they |

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| | base their case for promotion. All references in the CV must use the University's standard Harvard referencing style. Guidance on this can be found on the Libraries and Learning Innovation website. |
| Innovation and Enterprise | Evidence of enterprise and knowledge transfer activity, details of partnerships (internal and external), consultancy, other entrepreneurial activities, CPD delivery, and other commercial activities.<br>Evidence of securing external funding, explaining your role, whether sole income generation or in partnership etc. Grant references, with dates and durations, where appropriate, should be included and the amount of the grant awarded to this university, not including any payments to collaborators. |
| Research Degree Supervision | Number of supervised PhD / Masters Students indicating clearly the number of successfully completed students and the dates, indicating whether you were first or second supervisor. |

**Appendix 3**

# Guidance on External Referees

## Identifying Appropriate Referees

The input of appropriate referees is an integral part of the consideration of applications for promotion to Professor and Reader. Referees should be independent (see below) and have an excellent and demonstrable national and international reputation in their professional area.

Applicants are required to propose **three** external referees for Professor applications (including at least one international referee i.e. a referee from an institution outside the UK who can comment on the international standing of the applicant) and **three** external referees for Reader applications, (including at least one international referee i.e. a referee from an institution outside the UK who can comment on the international standing of the applicant).

Colleagues applying for promotion should discuss their proposed referees with their manager, the Director of Research and the Dean to ensure that they are of the standard and reputation required.

Colleagues should ensure as far as is practical that referees that are nominated do not have a conflict of interest that may influence or be perceived to influence the independence of their reference.

The Promotions Board reserves the right to determine which referees to take up.

## Additional considerations when nominating referees

- Referees from academic institutions should hold full Professorial status, not associate or assistant professorships. In some cases, for example, where the referee is from industry or an academic research institute where professorial titles are not generally awarded, an appropriate level of seniority is expected to be evident.
- The nomination of more than one referee from the same department within the same institution will not normally be permitted.
- Referees should not have co-authored or published with the applicant in the last 5 years.
- Referees should not include people who have acted as a PhD supervisor or examiner to the applicant.
- Referees should not normally have been employed by Leeds Beckett University in the last three years.

## Requirement of Referees

External references will be sought and provided in confidence, and will not be shared with the colleague making the application.

Referees may be provided with colleagues' research and other pedagogical outputs, where appropriate, and the criteria for promotion, and may be asked to comment specifically upon each of the publications selected by the candidate as evidencing their case for promotion, and on their overall research trajectory.

Referees may be asked to comment on specific aspects of the candidate's work if they have expertise in the area.