Academic Appointment & Promotion Policy

The University’s Academic Appointment & Promotion Policy can be found at:
http://www.gla.ac.uk/services/humanresources/staff/all/pay/promotion/acadpromo
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PURPOSE

The University of Glasgow is committed to enhancing its reputation as an international research led University and maintaining a level of academic discipline and achievement that is respected worldwide.

The University of Glasgow’s Academic Appointment and Promotion Policy sets out the principles that underpin a fair and transparent appointment and promotion process for all eligible academic staff. The promotion process is designed to recognise and reward excellent performance that supports the delivery of University objectives. These are measured by an individual’s ability to demonstrate excellence over a sustained period, and evidenced by the significance of their contribution and impact across the full range of academic activities.

The Performance, Development and Review (PDR) process affords an opportunity for career goals to be identified allowing strategies to be put in place to achieve the standard necessary for promotion. Partnered with the PDR process this policy offers a career pathway for academic staff to build their expertise and standing, within their chosen discipline, whilst at the University of Glasgow. There are five academic career tracks: Research & Teaching; Research; Research Scientists, Learning, Teaching and Scholarship; and Academic Clinicians.

EQUALITY OF OPPORTUNITY

The University is committed to promoting equality of opportunity for all staff and ensuring a working environment that is free from discrimination and unfair treatment. The principles of the Athena SWAN Charter are embedded in the application of this policy. Applicants can apply for promotion at any stage of their career insofar as the criteria for any role within the relevant career pathway is met.

The University’s Equality and Diversity Strategy Committee monitors gender data in relation to the outcome of applications for promotion. This continual review of career development trends and statistics ensures that the criteria against which decisions are taken, remain objectively justifiable and lawful in accordance with equality legislation.

ADDITIONAL CIRCUMSTANCES

All applicants are required to meet consistent quality standards at each grade for appointment and promotion. However, the promotion committees may take account of a reduced quantity of output/activity due to certain personal circumstances, though quality must be always be maintained. Evidence of a candidate's work trajectory is important. The evaluation of performance will give due consideration to the circumstances presented within the application and the evidence provided to support this.

Applications will be assessed solely against the criteria necessary for appointment or promotion to a particular post irrespective of employment or contractual status. Additional circumstances can be included for periods of absence from work (or where the effect has been equivalent to absence) for a range of equality-related circumstances, including family-related leave and career breaks. The Committee will take into account circumstances that are clearly outlined in an application and the impact of those particular factors against overall output.
PRINCIPLES

The University makes every effort to ensure that all applicants are treated fairly and that the criteria based on individual merit are applied consistently.

Each application will be considered and judged on its merits in accordance with the criteria applicable to the grade of application. The promotion committee will give due consideration to any circumstances that may have had an effect on productivity, while ensuring that the quality and impact of achievements is demonstrated to the required standard.

NEW APPOINTMENTS / RECRUITMENT

The quality of academic appointments substantially defines the quality of the University. New academic appointments are made in accordance with the University’s recruitment policy with each job description aligned with the promotion criteria for each grade and career track in terms of qualifications, skills and experience, detailed in this policy document. Together, these policies set out the procedures which are designed to recruit the best possible candidate for appointment to the University.

Newly appointed early career academic postholders will normally be placed on a salary point within grades 7 or 8 on appointment. The initial salary placement will be commensurate with previous experience and achievements and will be approved by the Vice Principal & Head of College, or their nominee, in consultation with the relevant Head of HR. All new academic appointees will be required to complete a minimum probationary period before their appointment can be confirmed.

EARLY CAREER DEVELOPMENT PROGRAMME

The University expects that all academics receive constructive advice on career development from senior academic colleagues and in this regard has an established Early Career Development Programme (ECDP). The Programme facilitates proactive support, mentoring and career guidance for staff throughout their academic careers bringing a holistic, managed approach to career development with the aim of developing high achieving, high performing academics who will deliver the objectives of the University.

Over a period of five to eight years, newly appointed and promoted grade 7 and 8 academics will be guided and supported through their career with the expectation that they will reach grade 9 within this timeframe.

PROMOTION – ELIGIBILITY & RE-APPLICATION

Irrespective of employment type or funding source, all staff will be eligible to apply for promotion in accordance with this policy.

Normally, employees will be eligible to apply for promotion after twelve months in post however, this requirement may be waived in exceptional circumstances by the Vice Principal and Head of College, particularly where there are live retention considerations.

It may take a number of years to develop a track record which demonstrates that the criteria have been met. Therefore, it is important to plan and diligently prepare the necessary documentation to ensure excellence can be evidenced against the criteria on which an application will be judged.

Applicants are strongly encouraged to seek advice/guidance from their Head of School / Director of Research Institute before submitting an application form.
The decision to apply is that of the applicant, whether supported or not by their line manager. Applicants should be mindful that an unsuccessful outcome will normally prevent a further application being made the following year without the support of their Vice Principal & Head of College.

An applicant may withdraw their application at any time prior to the meeting of the College Promotion Committee taking place.

Notification of withdrawal must be via email to hr-ppr@glasgow.ac.uk.

APPLICATION PROCESS

The Director of Human Resources is responsible for the annual academic promotion exercise and along with the Principal's Board of Review ensures that the process is appropriately applied.

There are five main stages to the process:

ASSESSMENT CRITERIA

Each application will be assessed against the promotion criteria applicable for the relevant career path and related grade. The career paths are: Research & Teaching; Research; Research Scientist; Learning, Teaching & Scholarship; and Academic Clinician. There is flexibility to take an alternative career path at all grades. Any such application will be considered in accordance with this procedure.

ACADEMIC CAREER TRACK

<table>
<thead>
<tr>
<th>Grade</th>
<th>Research &amp; Teaching</th>
<th>Research</th>
<th>Research Scientist</th>
<th>Learning, Teaching &amp; Scholarship</th>
<th>Academic Clinician</th>
</tr>
</thead>
<tbody>
<tr>
<td>10</td>
<td>Professor</td>
<td></td>
<td></td>
<td>Professor</td>
<td>Professorial Academic Clinician</td>
</tr>
<tr>
<td>9</td>
<td>Senior Lecturer</td>
<td>Reader</td>
<td>Senior Research Fellow</td>
<td>Senior Research Scientist</td>
<td>Senior Lecturer</td>
</tr>
<tr>
<td>8</td>
<td>Lecturer</td>
<td>Research Fellow</td>
<td>Research Scientist</td>
<td>Lecturer</td>
<td>Academic Clinician</td>
</tr>
</tbody>
</table>
When completing the promotion application form applicants must provide evidence that they are performing at the requisite level and demonstrate an upward trajectory in performance that would merit promotion.

To be successful, applicants must demonstrate sustained performance, evidenced against the criteria specified for their chosen career track and grade. Normally, it is not possible to demonstrate sustained performance within a year of appointment or promotion.

<table>
<thead>
<tr>
<th>Grade</th>
<th>Research &amp;Teaching</th>
<th>Research</th>
<th>Research Scientist</th>
<th>Learning, Teaching &amp; Scholarship</th>
<th>Academic Clinician</th>
</tr>
</thead>
<tbody>
<tr>
<td>10</td>
<td>Preponderance</td>
<td></td>
<td></td>
<td>3 columns. Remaining column should satisfy Grade 9 criteria.</td>
<td>Clinical service* + at least 3 other criteria</td>
</tr>
<tr>
<td>9</td>
<td>Preponderance</td>
<td>Preponderance</td>
<td>Preponderance</td>
<td>Column A + 2 others</td>
<td>Clinical service* + at least 3 other criteria</td>
</tr>
<tr>
<td>8</td>
<td>Preponderance</td>
<td>Preponderance</td>
<td>Preponderance</td>
<td>Column A + 1 other</td>
<td>Clinical service* + at least 3 other criteria</td>
</tr>
<tr>
<td>7</td>
<td>Preponderance</td>
<td>Preponderance</td>
<td>Preponderance</td>
<td>Alignment with UKPSF Descriptor 1 + evidence of progression towards Descriptor 2</td>
<td>Clinical service* + at least 3 other criteria</td>
</tr>
<tr>
<td>6</td>
<td>Preponderance</td>
<td></td>
<td></td>
<td></td>
<td></td>
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</table>

*Clinical service: for use in cases where clinical work is performed directly for the University (veterinary clinicians); for others the academic value and esteem arising from clinical work may be articulated with reference to the other criteria.
DOCUMENTATION

Irrespective of the promotion level sought, all applicants must complete/provide the following documents in support of their application.

**Application Form**

The application is essential in the promotion process and should be of the highest possible quality. When an application has been submitted, no additional information will then be accepted, and it is important therefore that the application is clearly evidenced at the outset addressing how the specific criteria for promotion have been met.

**Curriculum Vitae**

The curriculum vitae (CV) is an important part of the promotion application and provides the Committee with a factual summary of an applicant’s career profile. Applicants must provide an up-to-date CV in the prescribed format using the headings listed in Appendix 8. It is important that this format is used as poorly presented information may affect the outcome of an application for promotion. This is necessary to ensure that all applications are considered consistently and fairly.

**Publication List**

Each applicant is required to provide an up-to-date publication list using the University of Glasgow’s repository service, Enlighten. It is the applicant’s responsibility to ensure that their publication record is accurate and up-to-date. In cases where copyright agreements do not permit deposit in repositories, an addendum to the list will be permitted.

In addition to the above, applications for Readership and Professorship should also include:

- Grant Calculation
- PhD Calculation

**Statement Provided by the Head of School / Director of Research Institute**

Each application will include an evaluation of the applicant’s suitability for promotion, prepared by the relevant Head of School / Director of Research Institute. This will detail the extent to which the application meets the promotion criteria for the grade. The Head of School / Director of Research Institute will comment on the applicant’s achievements taking account of any personal circumstances and confirm the factual accuracy of the applicant's submission.

It is the responsibility of the applicant to ensure that their application is forwarded to the relevant Head of School / Director of Research Institute in good time to allow sufficient time for the supporting statement to be submitted prior to the closing date.

In the case of professorial promotion applications, the Head of School / Director of Research Institute is required to consult with, and have their commentary informed by, all Professors within the School / Research Institute, before the submission of the supporting statement. This statement should reflect the range of views expressed and should list the professors with whom there has been consultation.

Please note that UK visas and Immigration rules for Tier 2 sponsored workers limit the extent to which roles can be changed without requiring a new visa. Promotions within the same career track are generally permissible within the terms of an existing Tier 2 visa. Changing career track
(e.g. moving from Research only to Research and Teaching) may necessitate a change in visa and a new visa application will be required. Case specific advice should be sought at an early stage as appropriate from the relevant College or University Services HR team.

APPLICATIONS FOR GRADE 9, READER AND PROFESSOR

Readership

In addition to satisfying the Grade 9 criteria applicable to Senior Lecturer applicants applying for Readership must meet 3 of Professorial Zone 1 criteria from A1, A2, A3 and B.

References

Three external College nominated references will be sought for applications in respect of Grade 9 applications.

Five external references will be sought for all applicants being considered for Readership and Professorship; two of these being nominated by the applicant.

- All referees should be employed by a distinguished university.
- For each candidate, at least one referee should be employed by a top tier UK University and at least one should be employed by a distinguished overseas institution.
- Referees should be confined to those of full Professorial status. Heads of School / Directors of Research Institute should provide written justification in any case where a referee does not hold the title of Professor.
- The nomination of more than one referee from the same Department within the same institution will not normally be permitted.
- Wherever appropriate referees should be of international standing and active in research or scholarship publication in the appropriate field.
- Referees should not normally have been on the staff of the School / Research Institute in the four previous years, held an honorary or visiting appointment at the School / Research Institute in the four previous years or hold an honorary or visiting appointment currently.
- The naming of referees (external experts) should not, normally, include people who have co-authored with the candidate in the past four years. Heads of School / Research Institutes should seek the advice of the Vice Principal & Head of College for disciplines where joint authorship is the norm and where collaborators may be best placed to act as referees.
- The naming of referees should not include people who have acted as a PhD supervisor to the candidate.
- There may be different aspects of a candidate's work to be assessed and referees should be nominated with this in mind and with an indication where appropriate of which aspect(s) a referee is being asked to comment on.
- For candidates with inter- or multi-disciplinary research interests, Heads of School / Research Institutes are encouraged to nominate referees with an appropriate profile which could include referees from outside the School / Research Institute’s discipline.

External referees will be nominated by the Head of School / Director of Research Institute and endorsed by the Vice Principal & Head of College when an application is to be considered by the Principal's Board of Review. It will not be normal practice for an applicant to be consulted. This information will be requested from the College following the meeting of the College Promotion Committee.

Each referee will be invited to comment upon the extent to which an applicant meets the criteria for the promotion sought when comparing the full application with the University’s promotion
criteria and will be asked to indicate if the applicant would be promoted to the level sought within their own institution.

References will only be sought in prima facie cases where an application is to be considered at the final meeting of the Principal's Board of Review. For applications in respect of Grade 9 applications, decisions will be made on the basis of 2 supportive references whilst 3 supportive references will be required for Readership and Professorship, at least two of which must be from College nominated referees.

References are confidential and accessible only to the Principal's Board of Review and Human Resources staff involved in the application of this policy, for the purpose of processing and assessment of applications.

**COLLEGE PROMOTION COMMITTEE**

The College Promotion Committee membership comprises:

- **Vice Principal & Head of College (Convener)**
- **Vice Principal Academic & Educational Innovation (for LTS cases only)**
- **Director of Professional Services (where appropriate)**
- **All Heads of Schools / Directors of Research Institutes**
- **All College Deans**
- **Two Senate Assessors**
- **College Head of Human Resources**

Both the Director of Human Resources or nominee, and Functional Vice Principal for each College should be in attendance at each of these Committees for consistency.

The College Promotion Committee, convened by the Vice Principal & Head of College, will consider and assess all applications for their College. Promotion decisions will be determined on the evidence provided by each applicant and on the extent to which they satisfy a preponderance of the criteria across the range of academic activity applicable to the grade and track. The Committee will decide on balance the extent to which the criteria are satisfied, potentially meriting promotion, and make their recommendation to the Principal's Board of Review.

Where the College Committee considers that an application for promotion to Readership and Professorship meets the relevant criteria for promotion, the Board of Review will determine whether an applicant is to be promoted.

The Committee will include staff trained in job evaluation and Equality Act 2010, and Unconscious Bias, and every effort will be made to achieve a gender balance in its composition. All members of the committee have a role in assessing each case for promotion and must vote either for or against promotion for each applicant. If, for wholly exceptional reasons, a member of a Committee is unable to attend a meeting, they are required to submit their written assessment, in advance, to the relevant Head of HR and Convener. The Convener will inform the Committee of the submitted views on each case.

Heads of School / Directors of Research Institutes are not permitted to contribute to the formal discussion and assessment of applications from within their School or Research Institute. They may however answer any questions of a factual nature as requested by the Committee. Similarly, any Committee member who has had substantial input into the completion of the submitted application will not be allowed to comment upon such an application.

All outcomes, including the rationale for each decision, will be recorded for the purposes of
feedback to applicants and policy monitoring. The recommendations from the College Promotion Committee will be considered by the Principal’s Board of Review.

**BOARD OF REVIEW**

The Board of Review membership comprises:

- Principal (Convener)
- Chief Operating Officer
- All Vice Principals
- Director of Human Resources
- Head of Performance, Pay & Reward
- External Reviewer (final meeting only)
- Senior Senate Assessor (final meeting only)

The Board of Review is responsible for ensuring that the annual promotion process is appropriately applied.

An initial Board of Review meeting will take place for the purposes of assessing, reviewing and moderating the recommendations from the College Promotion Committees to ensure fairness and consistency across the University. A subsequent Board of Review meeting will take place to evaluate applications for Grade 9, Readership and Professorship and give due consideration to references duly received. To be successful, all of the references sought must be supportive. In cases of mixed support, a further reference for may be sought at the request of the Board.

**FAST-TRACK RETENTION / PROMOTION**

The University is committed to retaining high quality staff. To enable the University to respond rapidly to opportunities to retain high quality staff, a fast-track promotion procedure will be exceptionally applied in circumstances of retention, as deemed appropriate by the relevant Vice Principal & Head of College, in consultation with the Head of School / Director of Research Institute as appropriate. In order to facilitate the efficient and timely handling of applications for fast-track promotion and to ensure that delays do not occur, applications may be presented to the College Promotion Committee for consideration out-with the normal timetable. In such cases, the normal assessment process detailed in this policy, and relevant promotion criteria, will be followed. Consultation / deliberation may occur via email and telephone. The Vice Principal & Head of College will determine the urgency surrounding such cases.

**OUTCOME NOTIFICATION & FEEDBACK**

The Head of Performance, Pay and Reward is responsible for notifying each applicant of the decision taken following consideration of their application by the College Promotion Committee and Principal’s Board of Review.

**Successful Application**

Successful applicants will receive written notification of their promotion along with written confirmation of salary placement and, if appropriate, any market supplement. Promotion will normally be effective from 1st August.

A successful application for promotion to Grades 7, 8 or 9 will normally result in salary placement on the first point for the new grade unless the applicant is already being paid within the contribution zone of Grade 6, 7 or 8. In such circumstances, salary placement will be one incremental point above the level of salary prior to promotion.
In the case of promotions to Readership, salary placement will be at the top of the Grade 9 substantive pay scale.

A successful application for promotion to Professor will normally result in salary placement at the bottom of Zone 1 of the University’s Professorial zone based pay and reward structure. Placement within a zone will be determined in accordance with the policy for zone based pay and reward. Professorial designations are agreed in consultation with the relevant Vice Principal & Head of College.

Clinical academics working jointly with the NHS will receive confirmation of a change of status. Salaries are set by the NHS and depend on the level of the honorary contract. On promotion to Senior Academic Clinician, the University will establish a clinical slot at the appropriate level with the relevant NHS Medical Director, following which the recruitment team will set up a joint NHS committee to agree the award of honorary consultant status. Thereafter, on receipt of the honorary consultant contract from the NHS, a job plan will be jointly agreed with the NHS and a new contract of employment issued by the Recruitment Team accordingly.

**Unsuccessful Application**

Where an application is unsuccessful, feedback will be provided by the Head of School / Director of Research Institute with appropriate information from the College Promotion Committee / Board of Review, and the support of the College Human Resources team, as required. Feedback for professional development purposes will include guidance on the action necessary to meet the criteria for promotion in any future application. Unsuccessful applicants may not apply in the following year without the support of their Vice Principal & Head of College.

**PROCEDURAL IRREGULARITY**

The decision of the College Promotion Committee and the Principal's Board of Review is final. There is no right of appeal against a decision taken not to accede to an application for promotion unless there are circumstances that call into question the procedures that have been applied. In such circumstances, the applicant is required to discuss the feedback received with their Vice Principal & Head of College.

An unsuccessful applicant may appeal to the Director of Human Resources in circumstances where they can demonstrate that due process was not followed, and that this failure has affected the outcome. The appeal should be made in writing, stating the perceived breach of procedure and detailing the way in which this has influenced the outcome. Resubmission of the original application or the provision of new information will not be accepted. An applicant has fifteen working days from the date of the notification of the outcome to submit an appeal.

Should the Director of Human Resources determine that there are grounds for an appeal, the applicant will be informed in writing. Thereafter, in accordance with the agreed procedures, an Appeal Committee will be constituted, with membership comprising individuals not previously involved in the promotion process for the applicant in question.

The membership will comprise of:

- One Professor, having due regard to the provenance of the appellant
- One UCUG Representative
- One Senior Human Resources Professional
The Appeal Committee will meet as soon as is practicable following the Human Resources Director’s decision. The written appeal will be circulated to the Head of School / Director of Research Institute and the Convener of the relevant College Promotion Committee or Board of Review. The Appeal Committee, will interview the appellant (who may be accompanied by a colleague or trade union representative), and, where appropriate, may seek additional information from the Head of School / Director of Research Institute and the Convener of the relevant College Promotion Committee or Board of Review. The Committee will consider the original material available and will be permitted to call others to attend or to request the submission of written statements.

The Appeal Committee will be empowered to consider the facts of the case presented before determining:

(1) to uphold the appeal and refer the matter back to the relevant Promotions Committee or Board of Review for reconsideration of the substantive case following the correct procedure and/or process; or

(2) to reject the appeal.

The Appeal Committee does not have the delegated authority to vary the original outcome. The decision of the Appeal Committee will be final.

CONFIDENTIALITY

All materials and deliberations relating to applications will be treated in the strictest confidence by all participants in the process. Members of the College Committee / Board of Review will not normally discuss applications or recommendations outside the Committee meeting structure, unless for advice on a procedural matter.

For any references sought for grade 9 and above the contents are confidential to the members of the Board of Review and will not be passed to anyone else including the applicant. All references will be obtained by Human Resources and authorisation to contact external referees is obtained from each application at the point of application submission. In line with data protection legislation, the content of a reference and it’s use in the decision making process could be scrutinised by the applicant.

APPLICATION RETENTION

It is the University’s policy, in accordance with the provisions of the Data Protection Act 1998, to retain each application, and associated correspondence, in an individual’s personal file, including references sought for successful applicants. References sought for unsuccessful applicants will be held for twelve months and then securely destroyed.
**TIMETABLE**

<table>
<thead>
<tr>
<th>Stage</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Completed applications to be received by HR</td>
<td>18\textsuperscript{th} January 2019</td>
</tr>
<tr>
<td>Applications available to Committees on SharePoint</td>
<td>By 1\textsuperscript{st} February 2019</td>
</tr>
<tr>
<td>College Promotion Committees</td>
<td>By 28\textsuperscript{th} February 2019</td>
</tr>
<tr>
<td>Committees to notify HR of outcomes</td>
<td>By 1\textsuperscript{st} March 2019</td>
</tr>
<tr>
<td>Initial Principal’s Board of Review</td>
<td>By 19\textsuperscript{th} April 2019</td>
</tr>
<tr>
<td>Outcomes (final and prima facie) notified to all applicants</td>
<td>By 30\textsuperscript{th} April 2019</td>
</tr>
<tr>
<td>Final Principal’s Board of Review</td>
<td>By 21\textsuperscript{st} June 2019</td>
</tr>
<tr>
<td>Grade 9 and Professors notified of final outcomes</td>
<td>By 28\textsuperscript{th} June 2019*</td>
</tr>
<tr>
<td>Effective date of promotion</td>
<td>1\textsuperscript{st} August 2019</td>
</tr>
</tbody>
</table>

* Subject to receipt of references.