ACADEMIC PROMOTIONS 2019 PROCESS & GUIDANCE NOTES

1  Introduction
1.1 These Guidance Notes set out the processes, current promotions criteria and timelines for the Academic Promotions process for 2019 in a single document. Guidance is also provided on how to complete an application for promotion.
1.2 The Academic Promotions Board (APB) and Academic Promotions, Advancements and Titles Committee (APATC) processes have been aligned to run as a single integrated process working to the same timelines.

2  Scope
2.1 This document covers the promotion arrangements for the University’s two career pathways for Academic staff:
   2.1.1 The Education and Research Career Pathway: covering Lecturer A to Lecturer B; Senior Lecturer; Reader and Professor
   2.1.2 The Research Fellow Career Pathway: Research Fellow A to Research Fellow B; Senior Research Fellow; Research Professor

3  Academic Career Pathway
3.1 The University is adopting a single Academic Career Pathway that will apply to all academic staff irrespective of their involvement in teaching or research activity.
3.2 Until now the University has operated three parallel pathways: one for academics who carry out teaching and research, another for Teaching Fellows and a third for Research Fellows.
3.3 Under the new single Academic Career Pathway for those on teaching and research or teaching only contracts, academic staff will carry the title of Lecturer, Senior Lecturer, Reader or Professor and will be employed on an academic contract that recognises the importance of educational excellence and leadership as well as research. The concept of achieving parity of esteem within the academic community also supports the Sussex 2025 strategy.
3.4 The Academic Career Pathway is designed to ensure that academic strengths - whether in research, education, the wider student experience, leadership or innovation and engagement are all appropriately recognised, developed, valued, and rewarded. In addition, it will support diversity, facilitate career progression rather than constraining it, and link individual strengths to School and institutional priorities.
3.5 Full details of the Academic Career Pathway will be published shortly. This will include a process for transferring to the new Pathway and academic contracts (for those currently on other terms and conditions) or for a refocus of emphasis and contractual variance (for those on full academic contracts).
4. **Process Overview**

4.1 The Academic Promotions Board process and the prima facie stage of the Academic Promotions, Advancements and Titles Committee process will be conducted entirely by a School Promotions Committee (SPC).

4.2 APATC will meet once, following the meetings of the School Promotions Committees, to consider and decide upon which cases will be promoted to Reader, Professor or Research Professor.

5 **Defining Principles**

5.1 All Schools will establish a School Promotions Committee. Smaller Schools may combine their Committee with that of a cognate School, where this supports the academic interests and strategic goals of both Schools.

5.2 The Head of School (HOS) may or may not be the Chair as determined by the School Leadership Team.

5.3 Applying the highest standards of academic rigour by ensuring the Committee will:

5.3.1 Reflect externality and diversity in its membership

5.3.2 Include one PVC

5.3.3 Comprise one Professor from another School (or two if considered appropriate)

5.3.4 Ensure education and disciplinary expertise by including:

   5.3.4.1 The Director of Research and the Director of Teaching & Learning from the School as members of the Committee

   5.3.4.2 Academic staff from the School at a Senior Lecturer level and higher, which reflects the academic diversity of the School

   5.3.4.3 The teaching fellow career path has been amalgamated with Teaching and Research career pathway as outlined in Section 3.

5.3.5 Ensure objectivity and consistency founded on an evidence-based process:

   5.3.5.1 The purpose of the School Promotions Committee will be to consider the quality of all cases for promotion against both the criteria and the role description.

   5.3.5.2 Introducing greater consistency in the documentation submitted by applicants (details to be covered later) should promote objectivity and fairness as it should make it easier to compare the quality of cases at both the prima facie and final decision-making stages of the process (i.e. at the 1st and 2nd meetings of the SPC or APATC meeting as relevant).

6 **Timelines**

6.1 The process will open on 5th February 2019.

6.2 The deadline for all applications will be 19th March 2019.

6.3 The first School Promotions Committee Meeting will be held in April 2019.
6.4 The second and final School Promotions Committee Meeting will be held in June 2019.

6.5 The one and only Academic Promotions, Advancements and Titles Committee will be held in July 2019, once all the School Promotions Committees have taken place.

6.6 The effective date for all promotions will be 1st May 2019.

7 The Process

7.1 At its first meeting, the School Promotions Committee will establish whether there is a prima facie case for promotion and, if so, independent academic assessments will then be taken up accordingly. It is recommended that an HR representative is present at this decision making process.

7.2 The School Promotions Committee will reconvene for its second meeting to consider the applications and the independent academic assessments (consistent with the current APATC process). Again, HR presence at these meetings would be advisable.

7.3 The School Promotions Committee will have full authority to consider and confirm all promotions up to and including Senior Lecturers and Research Fellows, and will recommend cases to Academic Promotions, Advancements and Titles Committee (APATC) considered to be strong enough for consideration for promotion to Reader, Professor or Research Professor.

7.4 APATC will meet in July following the second meeting of the School Promotions Committees. APATC will meet once to consider and decide upon which cases will be promoted to Reader, Professor or Research Professor.

7.5 All applications must be sent to the HoS and copied to Academic Promotions (AP) in HR at academic.promotions@sussex.ac.uk The HoS will complete the School assessment and the checklist and forward this to AP. Academic Promotions will submit all paperwork to the boards/HOS electronically after the closing date of the process. The HOS and Academic Promotions will work together to identify and contact the external experts for their reports. AP will submit the relevant documentation to the relevant boards in time for consideration at their meetings.

7.6 All relevant paperwork shall be prepared by AP in consultation with the HOS/board.

7.7 Applicants should contact the HR Business Partner for their area if they have any queries. A list of HR Business Partners and their allocated areas can be found at http://www.sussex.ac.uk/humanresources/personnel/hrcontactsbyareaoftheuniversity.

8 Unsuccessful Applications

8.1 Each application is considered on academic evidence provided following a careful and transparent process. Decisions on the academic merits are final. However, if applicants feel that the process has not been properly followed then a process review may be requested by contacting the Deputy Director of HR (Transformation and Business Services) setting out the basis for this review, with a clear summary of the evidence for this with specific references to the published procedure. This must not exceed one side of A4 paper
using font size 11. The Deputy Director of HR (Transformation and Business Services) will review the evidence to assess if it presents a prima facie case for formal review. If a prima facie case has been submitted the Deputy Director of HR will report the matter to the Provost who will appoint a senior academic to review the process, should it be deemed appropriate. The outcome of this process review will be final and no further consideration or use of other University procedures will be accepted. Submission of a request for a process review does not prevent an individual from reapplying in the next academic year.

8.2 HOS will be responsible for notifying unsuccessful applicants and providing feedback, where requested.

9 Documentation

9.1 These Guidance Notes have been drawn up to assist applicants in presenting their case for promotion and to ensure consistency in and clarity of the type of evidence produced for the consideration by the relevant Promotion Committees.

9.2 Documentation for all academic promotions will consist of:

9.2.1 At the first meeting in April 2019:

9.2.1.1 A summary CV template to be used by all applicants, this to ensure equity and consistency; plus

9.2.2 At the second SPC meeting and APATC meeting in June 2019:

9.2.2.1 A one-page evaluative summary by the Head of School, incorporating the views of the School Promotions Committee.

9.3 Reports from Independent Academic Assessors, evaluating the strength of the candidacy of the candidate assessed against the relevant promotion criteria for the level of promotion under consideration.

10 Summary Curriculum Vitae - Template

10.1 The Summary CV template includes a section for each of the following areas listed below. You do not have to complete all sections, but you are encouraged to provide evidence of all your relevant experience and achievements to give as complete an account as possible of the strength of your candidacy.

10.2 You should complete the template by reference to the promotions criteria set out in the appendices to this document, which are relevant to your chosen career path, that is, Teaching and Research or Research Fellow.

10.3 Education/Qualifications: Details of degrees, diplomas and other qualifications, including where and when attained.

10.4 Career History: List all professional appointments held during your career, with dates and in chronological order.

10.5 Publications: Publications should be listed, with publication dates, as follows:

10.5.1 Books: Authored, edited and chapters (state clearly if co-authored, with the estimated percentage contribution).
10.5.2 **Refereed Articles:** Articles in refereed journals and refereed conference papers (state clearly if co-authored, with the estimated percentage contribution).

10.5.3 **Other Publications:** Other published work including conference proceedings and commissioned reports.

10.5.4. For all publications from the later of (i) date of appointment to the University and (ii) date of last promotion, state whether Lead, Major or Minor contributor. For Professorships the supporting statement under Section 3.12 should highlight the most significant publications and contribution to the field.

10.5.5 For all publications, first and last page numbers must be given, or total page numbers for a book.

10.5.6. Only published work is to be listed on the Summary CV. Unpublished work, whether in preparation or in press, will not be considered; if an application includes and is seen to rely on such work, its consideration will be deferred until the next SPC meeting after the material has been published.

10.6. **Grants:** Detail any grants to include the name of the awarding body, the names of grant-holders, the value of the award (stating the value at Sussex if different), and its start and end dates. Clearly denote if Principal Investigator or, if not, the contribution to the grant either in percentage time spent or work undertaken.

10.7. **PhD Supervision:** Detail the number of research students supervised including those completed and current students, denoting clearly the fractional share of supervision and whether the students completed on time. For Readership and Professorship: include whether they were the principal supervisor or second supervisor for each student supervised, and the source of funding.

10.8. **Education:** you should provide evidence of successful teaching and supervision as applicable. Examples are presented below.

10.9. **Education and student support:**

10.9.1 demonstrated excellence in education recognised by students and peers and evidenced in student feedback

10.9.2 substantial contribution to ‘step-change’ development in education

10.9.3 development and delivery of innovative education programmes or initiatives

10.10 **Leadership in Education:**

10.10.1 major contribution to policy development for University Education, e.g. as a member or Chair of a major External Committee

10.10.2 leadership within University at School or University level

10.10.3 leadership and/or implementation of new practice in student support

10.11 **Dissemination of excellence in student education:**

10.11.1 publications on subject specific or general pedagogy or authorship of text books

10.11.2 major invitations to speak at international conferences on pedagogy
10.11.3 successful creation and enhancement of online materials for education
10.11.4 excellence in knowledge transfer, e.g. sustained excellence or leadership in developing and delivering external Continuous Professional Development

10.12 **External Esteem and Recognition:**
10.12.1 appointment as External Examiner
10.12.2 contribution to reviewing education at another leading University
10.12.3 contribution to development of Quality Assurance at another leading University
10.12.4 sustained contribution to excellence in International education
10.12.5 Higher Education Academy recognition as a Senior or Principal Fellow
10.12.6 commendation from External Examiners
10.12.7 external Award for Teaching

10.13 **Prizes, Awards or Honours:** List prizes, awards or other honours received as well as elections to prestigious external bodies, giving names of the awarding/electing bodies and dates of such awards/elections.

10.14 **Academic and Professional Memberships and Networks:** List memberships of and contributions to national and international academic and professional organisations and networks. For Readership and Professorship evidence of outcomes and the benefit to the University should be included.

10.15 **Conference Papers where invited as the keynote speaker:** List major invitations to be a keynote speaker at International conferences and/or internationally leading institutions.

10.16 **Citizenship:** Include any information about your citizenship, relevant to the promotion criteria you are applying for, such as:

10.16.1 **External Academic Engagement** - evidence and examples of contributions to peer review bodies, committees, Research Councils, appointment panels outside the institution, external institutional reviews, government committees, professional organisations or learned societies and the like

10.16.2 **Contribution to University leadership** - evidence of well-developed management skills and evidence of significant contributions to the leadership of a Department, School or University level Board or Committee, or holding academic leadership posts, leading subject and organisational reviews, leading on curriculum reviews, record and impact of management skills training and formal development

10.16.3 **Contribution to development of others** - evidence and examples of developing the capabilities of others through mentoring and formal development initiatives

10.17 **For Readership and Professorship:** Include evidence of outcomes and the benefit to the University.

10.17.1 **International, Business, Community and Public Engagement:** List achievements in securing international and strategic partnerships and collaborations with other leading universities, government and civic society organisations, the commercial
sector, which are built on excellence and driven by shared academic interest. For Readership and Professorship: include evidence of outcomes and the benefit to the University.

11 Personal Statement

11.1 You are invited to add a personal statement of up to 300 words (in Calibri font size 11) setting out clearly your case for promotion and specifically how you fit the promotion criteria.

12 Special circumstances statement – please submit on a separate document

12.1 You are invited to submit a statement in which you declare any personal circumstances, whether already known to the University or not, that may have affected the progress of your career, for example, career interruptions due to family responsibilities, ill-health or disability. Applicants should indicate how the circumstances cited have restricted their opportunity to perform against the promotion criteria in terms of productivity/output. It should be noted that all applicants will be required to meet the quality thresholds stated in the promotion criteria. The special circumstances statement will be taken into account when reviewing the level of productivity/output of the applicant.

12.2 Promotion Committee Chairs are responsible for ensuring that any such declared circumstances are taken into account when assessing an individual’s application for promotion, and that the rationale for decisions taken in relation to such declared circumstances is clearly recorded.

12.3 Information submitted by applicants in relation to special circumstances will be confidential to the Head of School and will be collected by the Secretary at the end of the meeting.

12.4 Special circumstances statements should be submitted as an appendix to the evidence in your Summary C.V. and supporting statement, with your name clearly stated at the top of the statement. The special circumstances statement will be detached from the application and tabled at the Promotion Committee meeting by the Secretary. Details of which will not be discussed with the panel.

13 Equality & Diversity

13.1 Consideration of equality and diversity issues in accordance with the University’s Equality and Diversity Policy is critical to the effective operation of this procedure. The University recognises that equality of opportunity does not mean treating everyone the same. Some applicants for promotion will need to be assessed differently in order for them to achieve equality of opportunity. For example, where individuals have had career interruptions due to family responsibilities, ill-health or disability, the period of absence may need to be taken into account when considering research output. It should be noted that the quality thresholds for the relevant level of promotion will remain unchanged, but that a case may be made for a reduction in the required level of productivity/outputs where an individual’s circumstances have significantly constrained their ability to work productively.

13.2 You are invited to submit information about any special personal circumstances you believe may have restricted your opportunity to perform against the specified Promotions Criteria (see Section 12). The Chair of the Promotion Committee is responsible for ensuring that
any such declared circumstances are taken into account when assessing an individual's application for promotion.
Appendix A

Criteria for Promotion: Education and Research Career Pathway (Covering Lecturer A to Lecturer B; Senior Lecturer; Reader and Professor)

1. Lecturer A to Lecturer B

1.1. For Lecturers who reach the top point for Lecturer A, progression to Lecturer B will be the normal expectation. Other Lecturers can progress to Lecturer B if they have demonstrated progress and achievement against the following criteria:

1.1.1 A first degree and normally a PhD, or equivalent scholarly or relevant professional activity

1.1.2 Active engagement in education and student learning, including course design and assessment, with an understanding of appropriate pedagogy in the subject area demonstrated by the inclusion in the submission of an education portfolio

1.1.3 Demonstrated progress in research and scholarly activity typically evidenced by publications

1.3.4 Demonstrated progress in making applications for funding; in initiating or developing contacts with partners outside of the university; in wider involvement in the subject area and contribution to societal benefit or impact from research

1.3.5 Contribution to duties in the department or unit.

2. Lecturer to Senior Lecturer

2.3 Senior Lecturer is the Career grade for faculty. In considering promotion to this grade, each candidate’s performance will be considered in relation to all of the criteria below, but the Committees may, at their discretion, recommend promotion for exceptional achievement in only one or two of the criteria. The criteria are:

2.3.4 Significant contribution to education and student learning, including in areas of delivery and assessment; typically evidenced by positive peer and student evaluation and by production of a reflective education portfolio

2.3.5 Evidence of successful curriculum design or re-design

2.3.6 A national and/or international reputation in the field of study, typically evidenced by high quality outputs in the form of: (i) a monograph, (ii) book chapters, (iii) text books and/or (iv) publications in refereed journals; by successful application for research funding; and by the supervision of research students

2.3.7 Pro-active contribution to the unit, Department or School

2.3.8 Demonstrated contribution to raising the university’s profile through external networks in the subject or professional area and/or through the creation and development of commercial/industrial partnerships and other societal benefit or impact contribution from research.
3 **For Clinical Academics:**

3.1.1 Will have their CCST, or be within three months of achieving it OR

3.1.2 Will have evidence of comparable achievement acceptable to the GMC OR

3.1.3 JCPTGP certification or certificate of equivalent experience

4 **Criteria for the Conferment of the Title of Reader**

4.1 The title of Reader may be awarded to members of faculty on any scale, but it is most usually used at Senior Lecturer level. The title is awarded as a mark of personal distinction for an important contribution to the advancement of the subject. Candidates for the title will be expected to have achieved an exceptional level in research with demonstrated education leadership, or an exceptional contribution to education and student learning. Candidates for the title will be expected to have achieved an exceptional level in research, demonstrated education leadership or an exceptional contribution to education and student learning. The criteria are:

4.1.1 Research: Candidates will have a record of substantial publications; and a sustained and independent research reputation, acknowledged nationally and internationally (if necessary demonstrating an individual role in collaborative research). Important contributory evidence may come from such areas as the ability to attract research grants, contracts and/or consultancies and successfully to supervise doctoral students and demonstration of societal benefit or impact from research.

4.1.2 Education: The Committee will look for evidence (from the self-evaluation of education and student learning provided by the candidate and from statements consequent upon internal consultation) of excellence in education and Learning; of thoughtful and effective innovation in the development of new courses and/or programmes; and of leadership in the promotion of education and learning in the subject.

5 **Criteria for Promotions to Professors**

5.1 Candidates for promotion to a Professorship will be expected to have made a broad, sustained contribution to their field and discipline nationally and internationally, and normally to have achieved exceptional performance in research. Demonstrated leadership in the development of education in their subject and field may play a dominant part in a case. Service to their subject, to the University and to higher education in administrative or research capacities may contribute to the case. The criteria are:

5.1.1 Research: Candidates for a Professorship will be expected to have distinguished themselves by the volume and quality of completed research and to have demonstrated strong leadership, national and international standing and recognition, together with the ability to inspire colleagues to develop their own research potential; to supervise doctoral students successfully; and to realign work in their field. Proven ability to attract research grants, contracts and/or consultancies and demonstration of societal benefit or impact from research will be important factors in the judgement of the Committee.
5.1.2 Education: The Committee will look for evidence (from the self-evaluation of education provided by the candidate and from statements consequent upon internal consultation) of excellence in education; of thoughtful and effective innovation in the development of new courses and/or programmes; and of leadership in the promotion of teaching in the subject. Where education criteria are expected to play a dominant role in a particular case for a Professorship, evidence of innovative thinking and practice which has changed the nature of education in the candidate’s field will be looked for. Candidates may present effectiveness and evidence of publications on research contributions to the development of the pedagogy of the discipline or field and/or of contributions to national policy making and educational debate.

5.1.3 Leadership and Citizenship: The Committee will wish to see evidence of serious commitment to the University through significant contributions to the work of the Subject and School and to the needs of the Institution as a whole. Undertaking major leadership tasks within the University and/or fostering the cause of the subject and of the University by accepting tasks such as service on relevant national, regional or local bodies will also be taken into consideration.
Appendix B

Research Fellow Career Pathway (Covering Research Fellow A to Research Fellow B; Senior Research Fellow; and Research Professor)

1. Research Fellow A to Research Fellow B

1.1. A post of Research Fellow B is broadly equivalent to Lecturer B. Research Fellows appointed at or promoted to this level will normally carry a level of responsibility and a range of duties appropriate to a person with substantial research experience. The criteria are:

1.1.1. Evidence of significant independent contributions to the design and execution of research

1.1.2. Creditable record of sustained research output evidenced by publications, reports prepared for sponsoring bodies, participation in seminars, conferences, etc.

1.1.3. Evidence of independent research reputation and professional recognition evidenced, for example, by serving on peer review committees, acting as a referee for journal articles or research grant applications

1.1.4. Ability to lead and manage a small research group or programme or assist in the running of a larger group or programme

1.1.5. Ability to co-ordinate and supervise successfully the work of more junior research and support staff

1.1.6. Evidence of successful relationships with partners outside the university, in support of their research, for example members of the general public, policy makers or NGOs and contribution to societal benefit or impact from research

1.1.7. Ability to supervise PhD/DPhil students

1.1.8. Ability to play a constructive role in obtaining research funding

1.1.9. Evidence of successful engagement in teaching or supervision.

2. Research Fellow to Senior Research Fellow

2.1. Senior Research Fellows are equivalent to Senior Lecturers and Readers. The research profile of those appointed on or promoted to Senior Research Fellow will be at least commensurate with those appointed as or promoted to Senior Lecturer, and perhaps closer to that expected for promotion to Reader.

2.2. Appointment at or promotion to Senior Research Fellow will only be made where the candidate can demonstrate individual research achievement. Managing and planning research may be a part of that achievement but will not be the principal justification for appointment or promotion. The criteria are:

2.2.1. Substantial achievements over a continuing period in terms of completed independent research and related publications, including articles in refereed academic journals and/or books
2.2.2. Evidence of an established national reputation and a known or developing international reputation evidenced, for example, through citations, academic distinctions (including editorship of, or refereeing for, journals, grant reviewer for awarding bodies, services for learned societies), industrial collaboration and societal benefit or impact from research, external PhD examining, invitations to speak at national and international meetings

2.2.3. Evidence of successful supervision of doctoral students

2.2.4. Ability to lead and manage a major research group, including mentoring and supervising others

2.2.5. Ability to attract significant external research funding, including helping to raise funds for other researchers possibly within the specific school

2.2.6. Substantial evidence of positive relationships with partners outside the university, in support of their research, for example members of the general public, policy makers; NGOs etc.

2.2.7. Capacity to contribute to departmental policy formation

2.2.8. Commitment to the broader work of the University for example by taking responsibility for some administrative roles and tasks or serving on relevant committee.

2.2.9. Evidence of successful engagement in teaching or supervision

3. Research Professors

3.1. The research profile of a candidate for appointment at or promotion to Research Professor will be commensurate with those seeking appointment to a Chair or promotion to a personal Chair. The criteria are:

3.1.1. Evidence of outstanding, distinguished contribution to the discipline through publications, creative work and other appropriate forms of scholarship

3.1.2. Evidence of academic distinction and international reputation for outstanding research achievements

3.1.3. Proven ability to devise and direct large research projects, including leading large multi-disciplinary teams and/or collaborating with groups in other higher education institutions and/or the public and private sector

3.1.4. Proven ability to inspire colleagues to develop their own research potential

3.1.5. Proven ability to attract significant external research grants, contracts and/or consultancies

3.1.6. Substantial evidence of successful relationships with partners outside the university, in support of their research, for example members of the general public, policy makers; NGOs and demonstration of societal benefit or impact from research

3.1.7. Evidence of successful supervision of doctoral students
3.1.8. Commitment to the broader work of the University and Higher Education generally reflected, for example, through taking on major administrative tasks or serving on committees and working parties.

3.1.9. Evidence of successful engagement in teaching or supervision.