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DAVID DUNCAN
Registrar and Secretary
1 PRINCIPLES

The following principles apply to all applications, regardless of which category they are submitted for.

1.1. The promotions process at York is based on principles of equity, fairness and the recognition of an individual’s contribution as a member of academic staff. Applications will be reviewed against three criteria sets:

- Research
- Teaching, Scholarship and Professional Practice
- Academic Citizenship.

1.2. Academic excellence lies at the heart of the process and is assessed in terms of both research and teaching, except where contracts are Research only or Teaching & Scholarship (T&S) only. Key elements of academic endeavour include (as appropriate):

- excellence in one's own discipline
- inter-disciplinarity
- professional and clinical practice
- artistic performance.

1.3. These guidelines are intended as a framework to assist in qualitative assessments of contribution. There is flexibility to allow for roles with differing degrees of emphasis on research, teaching, scholarship & professional practice, and academic citizenship. The following features are highlighted:

1.3.1. The use of levels in each criteria set. Performance at the levels indicated for each grade represents a continuing and effective performance at that level. Promotion requires the demonstration of successful performance at a higher level (a more significant contribution) as specified below. Once a higher level has been achieved, there is an expectation that performance will continue to encompass, where appropriate, the criteria of the lower levels – the steps are incremental, not mutually exclusive.

1.3.2. The focus on ‘Academic Citizenship’, which encompasses the multiple demands made on academics to ensure that

   a) departments run smoothly, and
   b) attention is paid to ensuring good external relations with prospective students, prospective employers of our graduates, funding bodies, knowledge exchange partners and the local community.

   Detailed criteria are listed in Section 2.3 but it should be noted at the outset that those seeking promotion from Grade 7 to Grade 8 should not be required to have taken major leadership and management roles (such as Chair of Board of Studies), whereas those seeking promotion to a Readership or Chair should be able to evidence successful leadership and management outcomes.
1.4. **The grade of Reader**: members of staff may apply for promotion to Reader or Professor, or for both at the same time. The title of Reader will be offered where the applicant is judged to be working at a level beyond that expected of a Senior Lecturer or Senior Research Fellow and to meet most of the requirements for a Chair. It may signal a career-end level of achievement above that of Senior Lecturer, or it may be a staging post towards a professorial promotion. The Reader grade applies to ART, Research only and T&S contracts. Applicants will be asked to indicate whether they will be applying for Reader or for Professor, or both. It will remain at the discretion of the Committee to determine at which level the promotion is made.

1.5. The Committee is interested in the whole career contribution and achievement of applicants, regardless of which institution employed the applicant at the time. However, special regard will be given to contributions and achievements made over the last three years.

1.6. The Committee will take due account of the number of hours part-time staff are contracted to work. Part-time staff are expected to produce work of the same quality as their full-time colleagues, but less in quantity. The Committee recognises that part-time staff may be limited in terms of the academic citizenship they can undertake.

1.7. Applicants are invited to disclose any disabilities, health conditions or other seriously adverse personal circumstances which may be relevant and wish the Committee to take into account – whether previously disclosed to the University or not – and to explain the impact of these. The Committee will take due account of the impact in assessing applications. It may be necessary for the University to seek further information including general medical advice in relation to the disability described.

1.8. The Committee will take due account of instances where funding arrangements for individual members of staff prevent them from fulfilling some of the criteria (for instance where they have held grants or fellowships restricting their engagement with teaching and/or academic citizenship). In such instances, the overriding principle will be that members of staff applying for promotion should not be placed at a disadvantage by their success in securing external funding.

1.9. For ease of reading, the terms ‘Department’ and ‘Departmental’ stand as proxy for formal and informal inter-disciplinary groupings, whether Inter-Disciplinary Centres (IDCs), Collaborative Doctoral Training Programmes (CDTs), Doctoral Training Programmes (DTPs) or other large-scale collaborative endeavours outwith the Department.
1.10. The criteria are organised in three categories:

- **Research**
- **Teaching, Scholarship and Professional Practice**
- **Academic Citizenship**

The specific requirements are:

<table>
<thead>
<tr>
<th>For applicants on <em>Academic, Research and Teaching</em> (ART) contracts</th>
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</thead>
<tbody>
<tr>
<td><strong>Lecturer (Grade 7)</strong></td>
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<tr>
<td><strong>Senior Lecturer (Grade 8)</strong></td>
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<tr>
<td><strong>Reader/Professor</strong></td>
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</table>

<table>
<thead>
<tr>
<th>For applicants on <em>Research</em> (R) contracts</th>
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</thead>
<tbody>
<tr>
<td><strong>Research Fellow (Grade 7)</strong></td>
</tr>
<tr>
<td><strong>Senior Research Fellow (Grade 8)</strong></td>
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<tr>
<td><strong>Reader/Professor</strong></td>
</tr>
</tbody>
</table>

Applicants on Research contracts will be expected to show a greater quantity of high-quality outputs and/or success in winning more research grant income, in keeping with the proportion of time they have to pursue research activities, and will be expected to have fulfilled the additional requirements as set out in the criteria.

<table>
<thead>
<tr>
<th>For applicants on <em>Teaching &amp; Scholarship</em> (T&amp;S) contracts</th>
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</thead>
<tbody>
<tr>
<td><strong>Lecturer (Grade 7)</strong></td>
</tr>
<tr>
<td><strong>Senior Lecturer Grade 8)</strong></td>
</tr>
<tr>
<td><strong>Reader/Professor</strong></td>
</tr>
</tbody>
</table>

Applicants on T&S contracts may be expected to have made a larger contribution in this area than their colleagues on ART contracts. In addition, applicants on T&S contracts will be expected to have fulfilled the additional requirements as set out in the criteria.

* Level 1 represents a set of baseline expectations which will be interrogated at Performance Review each year. There may be some variations dependent on specialized contracts, but these should be made clear to individuals by their line managers so that they understand the expectations placed upon them by the University and can see a clear trajectory, through Level 2 and 3 requirements, towards promotion.
2 CRITERIA AND EVIDENCE

2.1 RESEARCH

The University recognises that research outputs can take a variety of forms, in accordance with the subject area. Research outputs include:

- publications such as books (monographs and edited volumes), articles, research reports and (in some disciplines) refereed conference proceedings, including publications where an electronic final version is publicly available, or where there is other external evidence that a work has been accepted in its final form but awaits printing;
- musical composition, works of art, screenplays, stage plays, other creative writing outputs;
- musical performances, stage productions, film, television, radio and related media productions;
- other forms of appropriate practice as research;
- developmental work in methodologies for technical and scientific disciplines;
- knowledge transfer activities, such as involvement in licensing of intellectual property or spin-outs.

Reliable and auditable evidence must be provided for all outputs. Staff publication data should be supported by measures of quality and esteem, such as field weighted citations in the sciences.

Applicants on Research contracts will be expected to show a greater quantity of high-quality outputs and/or success in winning more research grant income, in keeping with the proportion of time they have to pursue research activities.

The University regards impact (in the widest sense) as an important aspect of research and will give it due credit in academic promotions.

The Committee will take account of the fact that available funding for research varies markedly across different disciplines.

While taking a lead in winning research income is critical, due credit will be given where applicants demonstrate collaborative involvement in bids for funding.
## RESEARCH: LEVEL 1

Performance at Level 1 will indicate that significant steps have been taken to escalate research effort beyond the expectations of a PhD/post-doc. Contributions to Inter-Disciplinary Research Groups (IRGs) will be recognised. A sustained performance over a minimum period of 2-3 years will be expected.

The early career researcher should demonstrate:

- a proven ability to conduct high quality research
- a profile of outputs appropriate to the discipline(s), or to an inter-disciplinary or technical approach;
- representation of the Department/IRG’s activities with groups outside the Department/IRG and the University (for example, at conferences and symposia);
- where appropriate, PhD supervision;
- applications for external funding;
- evidence of contribution to the dissemination of research and of visibility in the research community beyond the University;
- evidence of engagement with knowledge exchange activities or outreach or contributions to the discipline’s impact agenda.
- where relevant, an effective contribution to the organisation of conferences or symposia.

In addition, those on Research-only contracts should demonstrate:

- additional research outputs
- additional applications for external funding
- additional contributions to dissemination of research, knowledge exchange and other activities commensurate with the additional time allocated to research when compared to an ART contract at Lecturer grade 7.
RESEARCH: LEVEL 2

Performance at Level 2 will reflect a research profile that establishes the applicant as an independent researcher. Wide recognition will have been achieved by this stage.

In addition to Level 1, applicants should demonstrate most of the following:
- a research reputation of national standing and recognition as an authority within their research specialism evidenced by high-quality outputs and their reception (assessed through referees’ reports, reviews of the outputs and metrics such as field-weighted citations, as appropriate to the discipline);
- engagement with the development and/or delivery of research strategy at Department/IRG or sub-departmental level;
- speaker at events of national and international status;
- good record of gaining research funding, as appropriate to the discipline(s);
- where appropriate, PhD supervision to a successful conclusion;
- strong contribution to activities designed to ensure that appropriate impact of the research (outside academia) is achieved.

Other supporting indicators include:
- invitations to act as external examiner for PhDs;
- invitations to referee for peer-reviewed outputs;
- activities that enhance the University’s external profile, such as serving on the editorial board of a journal;
- significant contribution to cross-departmental and inter-University research projects;
- an established reputation with external bodies/clients;
- entrepreneurial activities including action- or client-focused research, technology transfer, aspects of consultancy, income generation for research, and working with external agencies (including public bodies) in research-user networks;
- success in bids/opportunities/collaboration with other institutions and bodies producing demonstrable benefits to the University;
- receipt of significant national prizes or awards;
- evidence of sustained contribution to the dissemination of research to non-specialist audiences (e.g. at national festivals and events or through television and radio appearances);
- taking a leading role in the organisation of conferences or symposia.

In addition, those on Research-only contracts should demonstrate:
- additional research outputs
- additional applications and success in gaining external funding
- additional contributions in other areas commensurate with the additional time allocated to research when compared to an ART contract at Senior Lecturer grade 8.
### RESEARCH: LEVEL 3

Professors at York have a national and international reputation in their field and produce work that is internationally excellent in terms of originality, significance and rigour. They are research leaders within the University and have a significant profile outside the institution which enhances York’s reputation as a leading research-intensive university and may be reflected in external roles.

In addition to Levels 1 and 2, applicants should demonstrate:
- a reputation for excellent research of international standing, built on outstanding quality of research outputs (assessed through internal University processes and by independent referees);
- sustained record of excellent income generation as defined within the discipline;
- leadership of a strong research group (sciences), or of a distinctive research field;
- invited/keynote speaker at national and international conferences and events;
- sustained record of supervising a substantial number of research students and/or research staff, who have progressed to successful careers in research or professional practice;
- well above average academic impact as measured where appropriate by field weighted citations or, where such metrics are less used, by other measures of quality and esteem.

Other supporting indicators include:
- leading collaboration with other institutions and bodies;
- leadership of entrepreneurial activities including action- or client-focused research, technology transfer, aspects of consultancy, income generation for research, and working with external agencies (including public bodies) in research-user networks;
- evidence of being consulted by national/international research bodies (e.g. Government, Research Councils) on strategy or participation in policy-making committees;
- a leading contribution to the external impact of research;
- leadership of cross-university research initiatives;
- establishing and developing sustainable academic networks with other institutions which bring benefit to the University, e.g. European networks;
- leadership of activities designed to ensure that appropriate benefits of research (outside academia) are achieved;
- receipt of significant international awards;
- leadership of enterprise, innovation and other activities contributing to knowledge transfer outside academia, and/or to significant income generation;
- chairing the editorial board of a journal;
- fellowship of a learned society;
- chairing a conference or symposium.

In addition, those on Research-only contracts should demonstrate:
- additional research outputs
- additional applications for and success in gaining external funding
- additional contributions in other areas of activity commensurate with the additional time allocated to research when compared to an ART contract at professorial grade.
2.2 **TEACHING, SCHOLARSHIP and PROFESSIONAL PRACTICE**

In all cases, the term ‘teaching’ here covers teaching across the range of degree programmes offered by the University, including the delivery of professional training in vocational degrees and the development of innovative training techniques. While specific types of evidence may vary from discipline to discipline, the elements defined below remain the same.

<table>
<thead>
<tr>
<th><strong>TEACHING, SCHOLARSHIP and PROFESSIONAL PRACTICE: LEVEL 1</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>Performance at this level (commensurate with one’s teaching duties) requires good standards in the following key aspects of teaching/scholarship/professional practice (a sustained performance over a minimum period of 2-3 years will be expected):</td>
</tr>
<tr>
<td>- effective learning design – modules and programmes designed in an effective way appropriate for the subject matter and the level and types of students concerned, and with explicit aims and appropriate learning outcomes;</td>
</tr>
<tr>
<td>- effective teaching practice – teaching delivery which is of a good standard (as indicated by student feedback and/or enhancement of learning) and is stimulating, well organised and makes appropriate use of learning technologies; contribution to setting up new initiatives, e.g. collaborative teaching, use of e-learning;</td>
</tr>
<tr>
<td>- support for students’ learning inside and outside the classroom; responding positively to the diverse needs of students, including those with learning disabilities;</td>
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<tr>
<td>- effective academic supervision – for example, good support for students’ independent projects as evidenced from feedback;</td>
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<tr>
<td>- effective fulfilment of duties as a supervisor;</td>
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<tr>
<td>- the creation of effective teaching materials – teaching materials which are of a good standard and incorporate appropriate recent research material;</td>
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<tr>
<td>- effective assessment practice – assessment of students’ work which fits with the teaching aims and the material;</td>
</tr>
<tr>
<td>- effective feedback practice – the provision of timely and effective feedback to students, and sets good academic standards;</td>
</tr>
<tr>
<td>- a reflective approach, identifying good practice and seeking to enhance teaching practice where appropriate;</td>
</tr>
<tr>
<td>- positive engagement with and clear evidence that the applicant has completed or is working towards completion of the Postgraduate Certificate in Academic Practice (PGCAP) or, where appropriate, another recognised course for teaching in higher education, achievement of relevant professional qualifications; achievement of relevant continued professional development.</td>
</tr>
</tbody>
</table>

*Staff responsible for the delivery of professional education and training should demonstrate:*  
  - effective updating of programme material to meet the requirements of regulatory bodies with respect to content, standards, knowledge, clinical competences, etc;  
  - contributions to the strategic networking and relationship building with the range of partners who are essential to developing contemporary programmes;  
  - engagement with the negotiation and maintenance of such partnership arrangements;  
  - maintenance of current knowledge in professional practice;  
  - for those in clinical subjects, maintenance of clinical credibility by constantly researching and updating themselves on new clinical developments and ‘best practice’.*
TEACHING, SCHOLARSHIP and PROFESSIONAL PRACTICE: LEVEL 2

Performance at Level 2 will be marked by continuing achievement of Level 1 criteria and a sustained teaching performance (i.e. over a period of 3-5 years with demonstrable departmental impact) evidenced by positive responses from students and colleagues. Leadership in teaching will be demonstrated by developments in teaching and learning which are recognised as innovative and effective and by a significant contribution to developing the teaching of others.

Essential requirements at this level are:

- consistency in very good teaching practices attested by, for example, peer observation, student feedback, University or national prize for teaching, invitations to teach at other universities or to professional bodies (e.g. the delivery of continuing professional development (CPD));
- significant contributions to programme review and development of modules and programmes;
- successful innovation in, or application of, teaching methods and/or assessment;
- a strong role in departmental/interdisciplinary initiatives that improve teaching;
- a strong role in steering the teaching/professional training strategy of the department/interdisciplinary grouping.

In addition, those on teaching and scholarship contracts should demonstrate:

- evidence of the dissemination of excellent teaching practices in the University or more widely through significant participation in discipline or interdisciplinary groups, across the White Rose Consortium or through learned society groups for improving teaching;
- evidence of a leading role within the department in programme development and delivery
- contributions to the development of teaching strategy at an institutional level or across the White Rose Consortium;
- evidence of external esteem for example through attainment of externally validated fellowships;
- authorship or co-authorship of externally published teaching materials;
- demonstrable leadership of the departmental/inter-disciplinary teaching endeavour, both in terms of quality assurance and quality enhancement.

continued …
Staff responsible for the delivery of professional education and training should demonstrate:

- a major role in strategic networking and relationship building with the range of partners who are essential to developing contemporary programmes;
- a major role in the negotiation and maintenance of such partnership arrangements;
- continuing engagement in professional practice (e.g. supporting professionals and organisations in improving practice in health care, education, social work etc; development of practice-informed educational materials for pre- and post-registration students, maintenance of the integrity of practice-based assessments);
- dissemination of excellent teaching practice through professional bodies and other stakeholder groups;
- evidence that teaching has been informed by developments in professional practice or professional settings.

Other supporting indicators (for all applicants) include:

- contributions to university teaching events or to internal publications about teaching such as Forum or internal departmental/inter-disciplinary newsletters;
- the development of external networks of contacts to develop teaching programmes;
- teaching of CPD courses and other forms of professional training to practitioner groups;
- income generation in support of teaching programmes, including funding for learning technologies and other teaching-related equipment;
- contribution to successful cross-departmental projects;
- an established reputation with external agencies/clients and portfolio of activities that lead to financial, reputational or other significant benefits to the University;
- innovative development and leadership within the department/inter-disciplinary grouping and the institution more widely in the use of teaching, learning and assessment methods, e.g. problem-based learning, virtual learning environment (VLE), e-assessment and the creative exploitation of electronic resources;
- development and successful promotion of curricula or methods of teaching designed to attract prospective students;
- frequent service as external examiner for taught courses at other universities.
This Level is marked by achievements in teaching in terms of continued exceptionally positive impact on students and colleagues, leadership, or impact and dissemination which are of national and international eminence and have been sustained over a significant period. The applicant’s referees can attest to the high regard in which the applicant’s work is held, and that the applicant’s teaching activities have changed ways of thinking about teaching in particular disciplines or have changed a significant element of how the subject is taught or learned.

Essential requirements:
- evidence of sustained positive impact on students, colleagues and mentees (either internal and external) and continued excellent feedback.
- leadership in departmental/interdisciplinary initiatives that improve teaching;
- leadership in steering the teaching/professional training strategy of the department/interdisciplinary grouping;
- external recognition of excellence and innovation in teaching and scholarship as assessed by independent referees.

In addition, those on T&S contracts should demonstrate:
- authorship of teaching materials which are widely acknowledged as central to the discipline and widely used in teaching in the UK and further afield;
- invitations to undertake external activities such as programme reviews;
- scholarly publications which are critical, reflective and evaluative of teaching, and which advance ideas on how a subject should be taught.
Staff responsible for the delivery of professional education and training should demonstrate:

- leadership in strategic networking and relationship building with the range of partners who are essential to developing contemporary programmes;
- leadership in the negotiation and maintenance of such partnership arrangements;
- leadership in continuing engagement in professional practice (e.g. supporting professionals and organisations in improving practice in health care, education, social work etc; developing practice-informed educational materials for pre- and post-registration students, maintaining the integrity of practice based assessments);
- development of educational provision to upskill professional staff in areas of priority need (e.g. evidence of working effectively with regional education commissioner, and major employers);
- leadership of the development of new programmes that meet the requirements of both regulatory bodies and the University (e.g. evidence of leading successful programme approval and re-approval exercises);
- maintenance of high standards across time of programme led by the individual as indicated by re-validations;
- support of work-based education and training for students (e.g. by ensuring placements meet quality thresholds and placement managers are appropriately trained and accredited);
- improvement in the performance of professional staff who have completed University of York programmes (i.e. Return on Investment);
- support for the scholarship of other T&S staff.

Other supporting indicators include:

- the supporting indicators at Level 2;
- establishing and developing sustainable teaching-related networks with other institutions which bring benefit to the University;
- where such resources are available, a sustained record of income generation in the field of teaching activities, pedagogic research, curriculum development, learning technologies and other teaching-related equipment;
- leadership in the development and delivery of CPD and other forms of professional training, and/or having an impact on national (international developments) in this field;
- research into teaching and learning, and dissemination of best practice both within and outside the institution;
- successful leadership of bids for, and development of, course provision funded by external bodies;
- invitations to teach in other universities, including those outside the UK;
- authorship of teaching materials which are widely acknowledged as central to the discipline and widely used in teaching in the UK and further afield.
2.3 ACADEMIC CITIZENSHIP

Academic citizenship covers activities additional to ‘normal’ teaching and research. It encompasses a broad range of externally and internally focused contributions and is defined as engagement with those elements of university life that enable the smooth and collegial operation of the institution. While due account will be taken of the different requirements of specialist contracts, all members of staff are expected to demonstrate good citizenship, the norm for which will include such areas as:

- attendance at and informed contribution to committees and staff meetings;
- attention to deadlines (whether for marking or for research applications or for consultations);
- where included in role, assiduous performance of duties as personal supervisor to students and mentor to junior staff;
- involvement in positive promotion of the University through public engagement activities and/or open days;
- effective representation of colleagues, for example as trade union representative;
- willingness to volunteer for one-off duties.

Internally, this includes:

- taking responsibility for significant managerial and administrative roles and performing these successfully;
- support of the University’s commitment to equality and diversity;

and where appropriate to the role:

- an excellent record in pastoral and co-curricular work with students;
- support for student recruitment activities;

It also includes building a profile of external engagement activities of which the following provides an indicative list:

- industrial or professional liaison;
- policy formation at national and international levels;
- knowledge exchange;
- engagement with non-specialist public and community audiences through public lectures and activities;
- contribution to the management and leadership of regional, national and international organisations, such as learned societies and professional associations;
- relevant public service activity and/or work with voluntary organisations to the benefit of the University (e.g. through serving on the board of a school or college, or a charity which has links with the University);
- regional reputation enhancement (e.g. with partners or small & medium-sized enterprises)
- building international partnerships, promoting inter-cultural understanding and advancing the University’s internationalisation strategy.

These activities must show demonstrable benefit to the University. Claims must be supported by reliable evidence at every level which demonstrates effectiveness, scale, quality, impact and importance of achievements. Appropriate quantitative indicators will be valuable.
Where an applicant cites leadership roles, they are currently undertaking, they are expected to demonstrate the contributions and successes they have already achieved and not merely to highlight roles they are about to or have very recently assumed.

<table>
<thead>
<tr>
<th>ACADEMIC CITIZENSHIP: LEVEL 1</th>
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<tbody>
<tr>
<td>The applicant should indicate the process involved in initiating, managing and bringing to a successful conclusion the indicator involved. Sustained performance over a minimum period of 2-3 years will be expected. Performance at this level means competence in key aspects of academic citizenship as indicated by:</td>
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<tr>
<td>- effective discharge of departmental/inter-disciplinary responsibilities, e.g. engaged and effective participation in departmental/inter-disciplinary administrative activities and committees;</td>
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<tr>
<td>- active involvement in formal departmental general activities, e.g. open days, student support, student employability, staff meetings, relevant committees;</td>
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<tr>
<td>- representation of the department’s/inter-disciplinary grouping’s activities with other audiences;</td>
</tr>
<tr>
<td>- involvement in departmental/interdisciplinary policy initiatives or course re-structuring proposals;</td>
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<tr>
<td>- the beginnings of an external engagement profile;</td>
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<tr>
<td>- effective pastoral and co-curricular work with students (where appropriate to the role).</td>
</tr>
</tbody>
</table>
ACADEMIC CITIZENSHIP: LEVEL 2

Applicants for promotion claiming performance at Level 2 should be fulfilling the criteria for Level 1 and, in addition, should demonstrate:

- effective discharge of significant responsibility in a department/inter-disciplinary centre* or in the wider University;
- evidence of an effective contribution to the department and University by balancing their academic citizenship activities (both internal and external) with their academic work;
- an established external engagement profile.

Other supporting indicators that would strengthen the case include:

- effective contribution to University level committees or projects;
- effective contribution to committee(s) above departmental/inter-disciplinary programme level;
- evidence of a leading role in engaging with non-specialist audiences (e.g. through contributions to cultural enrichment or science outreach events beyond the University’s own initiatives);
- evidence of setting up, developing and sustaining new relationships with client organisations or other Universities and/or an established reputation and acknowledged expertise with senior managers in client organisations and/or professional associations;
- serving as an officer of a national or international learned society;
- active and effective contribution to departmental/interdisciplinary programme management, policy formation and strategic development;
- successful initiatives or innovations in administrative processes, or departmental/inter-disciplinary responsibilities;
- evidence of active engagement with our international partners;
- active and effective contribution to mentoring students, for example through the college system;
- active and effective contribution to promoting the equality and diversity agenda, internally or externally.

*NB: Once they are performing at Level 2 in Academic Citizenship, applicants for promotion to Professor would need to have the confidence of the University that they could take on a major managerial / leadership role. Whilst performing at Level 2, therefore, they might successfully discharge a role with significant responsibilities, such as Chair of the Board of Studies.
Although Level 3 is not explicitly required for promotion to any of the academic grades, it is included here as an indicator of what would normally be expected of a Professor.

Performance at Level 3 (Academic Citizenship) will be expected of applicants for promotion to professorial bands 2 and 3 and would include most of the following:

- active and effective contribution to departmental, interdisciplinary, faculty and University management, policy formation and strategic development;
- successful performance in a major departmental/inter-disciplinary programme administrative role (e.g. Head of Department, Chair of Board of Studies, Chair of Teaching Committee / Director of Teaching & Learning, Chair of Research Committee / Director of Research);
- evidence of outstanding management and leadership qualities;
- effective management of colleagues and facilitation of their academic and personal development;
- leadership in securing productive partnerships with business, public sector bodies, research funders, policy makers or other users of our research and teaching expertise;
- a record of sustained success in business generation, for instance securing new or repeat business;
- leadership of sustainable academic networks with other higher education and/or further education institutions which bring benefit to the University;
- evidence of a leadership role in initiating, developing and/or sustaining public and community engagement to the benefit of the University;
- leadership of an aspect of the equality and diversity agenda, either within the University or externally;
- service as a member of a national or international funding body.
3 SUBMITTING AN APPLICATION FOR PROMOTION

The procedures and criteria for promotion, guidance notes on preparation of a CV for promotion purposes, and an equal opportunities monitoring form are available at http://www.york.ac.uk/about/departments/support-and-admin/registrars-secretary/academic-promotions/

3.1 Submission of application
Applications should be received by the Registrar and Secretary no later than 2.00pm on MONDAY, 10 OCTOBER 2016 and should comprise:

One hard copy - to the Registrar & Secretary’s Office, H/116, Heslington Hall (tel ext 2131)
- CV, including supporting statement at section E if provided (see section 3.3)
- supplementary evidence as appropriate (see section 3.4)
- covering letter (see section 3.5)
- completed Equal Opportunities monitoring form (see section 3.6)
- If applying for a Readership or Chair, the names of two referees (see section 5.4.3) - not to be included in the CV or covering letter.

Papers should be submitted in a form that can be easily photocopied, double-sided and without staples and binders.

In electronic form - e-mailed to the Registrar & Secretary’s Office (sara.bailey@york.ac.uk)
- CV, including supporting statement at Section E (for use in communication with referees)
- covering letter

A second hard copy of your application should be sent to your Head of Department by the same deadline.

3.2 On receipt of your application your Head of Department will be asked to provide reports, one factual (to be agreed and signed by you) and one confidential (see section 5.2). These reports will be forwarded with the application to the Academic Promotions Committee and to the relevant Advisory Panel (see section 5.3).

3.3 Curriculum Vitae
It is very important that your CV is set out in accordance with the published guidelines available at http://www.york.ac.uk/about/departments/support-and-admin/registrars-secretary/academic-promotions/. These relate specifically to the production of a CV for promotion purposes. Please follow the prescribed format, indicating clearly any deviation from the conventions which are relevant to your discipline. Your CV should aim to give a full but succinct and factual account of achievements, avoiding lengthy appendices.

When evidencing teaching outcomes, applicants should provide details of metrics of class size, number of contact hours and mode/number of assessments. Where workloads are shared with other staff members or postgraduates who teach, this should be made clear.

Any work cited in support of an application for promotion must be in its final form. The CV may include work that has not been published but has been accepted in its final form, demonstrated either through the issue of a DOI or an editor’s letter to confirm that the material has been fully accepted but awaits printing. Material that is still undergoing review and funding applications that are pending must NOT be included in the CV. Brief
details of a funding application whose outcome is awaited may be reported separately in a covering letter (see section 3.5).

**Supporting statement at section E:** Applicants may draw attention to the features of their application that they feel are most important at section E of their CV; **there is no need to repeat these in a covering letter.**

3.4 **Supplementary Evidence**

Relevant supplementary information will not be accepted after the closing date unless the applicant can demonstrate that it was omitted unintentionally.

**Book reviews:** Applicants may submit reviews of books, subject to a limit of two per book. Please ensure that these are in a form which can be photocopied.

**Teaching portfolio:** Applicants on a T&S contract for promotion to Reader/Professor are asked to submit a teaching portfolio to supplement their CV. This is optional for other applicants. The Committee needs to be well-informed about an applicant’s teaching merits so that it can give proper weight to teaching performance in reaching decisions. Portfolios should only be used to provide evidence to substantiate statements made in the application, should not replace the CV or contain any information not referred to within the CV; applicants are encouraged to submit the best examples of their work. **Portfolios should not be more than 30 pages in length and should be in a form that can be easily photocopied.**

3.5 **Covering letter**

The following may be included in a covering letter, but **should not be included in a CV:**

- A clear statement of the level of promotion applied for, citing levels of contribution against the three criteria categories.
- Where applicants are applying for Reader or Professor, they are asked to indicate whether they wish to be considered for both. It will remain at the discretion of the Committee to determine which level the appointment is made.
- Where a two-grade promotion has been applied for, an indication of whether a one-grade promotion would be accepted.
- Work that has been submitted and is not yet in its final form for publication, accompanied by verifiable evidence of its status.
- A funding application whose outcome is awaited may be reported briefly.
- An indication of any restrictions on duties imposed by external funders.
- Factors such as part-time working, maternity/paternity leave, career breaks and relevant personal circumstances.

3.6 **Equal Opportunities monitoring form**

This form is available at [http://www.york.ac.uk/about/departments/support-and-admin/registrars-secretary/academic-promotions/](http://www.york.ac.uk/about/departments/support-and-admin/registrars-secretary/academic-promotions/). The completed form will be separated from applications and used for monitoring purposes only.

If you have any questions about submitting an application, please contact Sara Bailey, Registrar and Secretary’s office, ext 2131, e-mail sara.bailey@york.ac.uk.
4 INFORMATION FOR APPLICANTS

4.1 All applications for promotion from academic, research and teaching staff will be considered by the Academic Promotions Committee for subsequent recommendation to Senate and Council.

4.2 Promotions timetable: Prior to the start of the academic year, members of staff are invited to apply for promotion. As decisions on applications include consideration of recommendations from external referees, the timetable for promotions is tight and must be strictly adhered to. Heads of Department are responsible for consulting appropriate senior colleagues on applications. All applications and the reports of Heads of Department must be submitted in the prescribed format.

<table>
<thead>
<tr>
<th>Early August 2016</th>
<th>Information available on YorkWeb and YorkExtra</th>
</tr>
</thead>
<tbody>
<tr>
<td>Mon, 10 October 2016</td>
<td>2pm Deadline for receipt of applications (see section 3)</td>
</tr>
<tr>
<td>Mon 7 November 2016</td>
<td>2pm Deadline for receipt of HoDs’ factual and confidential reports (see section 5.2)</td>
</tr>
<tr>
<td>End of Spring Term 2017</td>
<td>Applicants notified of first stage outcome</td>
</tr>
<tr>
<td>End of Summer Term 2017</td>
<td>Applicants notified of final outcome</td>
</tr>
</tbody>
</table>

4.3 Members of staff seeking promotion have sole responsibility for submitting their names for consideration by the Academic Promotions Committee. No applications will be considered that have not been made by members of staff in their own right.

4.4 Staff may make only one application per promotions round.

4.5 Applicants may not be considered for promotion and for an advertised post within the University of York at the same time; if an individual applies for an advertised post while they are being considered for promotion, their application will be withdrawn from the promotions round. An appointments panel may recommend that an internal applicant should apply for promotion in the next annual promotions round.

4.6 Applicants should ensure that their CV is set out in accordance with the guidelines available via the link at [http://www.york.ac.uk/about/departments/support-and-admin/registrar-secretary/academic-promotions/](http://www.york.ac.uk/about/departments/support-and-admin/registrar-secretary/academic-promotions/). It is the responsibility of applicants to demonstrate that they meet the criteria. Evidence should be open to scrutiny and in the case of research and scholarship, the demonstration must be based on publicly verifiable and peer-reviewed achievements.

4.7 Applicants do not need to be at the top of their current grade before applying for promotion. Staff who successfully gain promotion move normally to the minimum point of the relevant pay scale or continue progression where grades/scales overlap.

4.8 In exceptional circumstances, a member of staff may apply for a two-grade promotion. In these instances, the Academic Promotions Committee may decide to offer a one-grade promotion. Such applicants should indicate in their covering letter whether they would be willing to accept a one-grade promotion.
4.9 The criteria and procedures detailed in this document apply to staff on an open or fixed-term contract.

4.10 Promotion is usually effective from the beginning of the following academic year (1 October).

4.11 The two-year rule: Applicants for promotion who fail to meet the criteria will not normally be eligible to submit an application in the following round. This is designed to allow sufficient time for applicants to address any weaknesses in their profile and for further evidence to be amassed before a further application is made. The Committee may exercise discretion and waive the two-year rule in exceptional circumstances. Any requests to waive the rule should be forwarded to the Registrar and Secretary, for consideration by the Chair of the Academic Promotions Committee.

4.12 The University will strive to ensure that the criteria and procedures for promotion conform to the equality and diversity strands and policies detailed at http://www.york.ac.uk/admin/eo/.

4.13 The Committee will have due regard to career breaks and relevant personal circumstances such as part-time working, maternity/paternity leave, disability, long-term illness. While career breaks might explain delayed career development, they are not viewed as a weakness in a career profile. Applicants are invited to draw attention to such factors in a covering letter (see section 3.5).

4.14 By exception, staff may transfer between the Academic, Research and Teaching grade structures. Where a member of staff feels this would be beneficial, they are asked to discuss this with their Head of Department.

4.15 The number of promotions is never cash limited: the University will disregard potential funding issues in considering applications for the promotion of academic, teaching and research staff.

4.16 It is emphasised that submission to the REF is not considered a criterion for promotion.

4.17 If an applicant wishes to draw to the Committee’s attention a significant development after submission of their application, they should do so by writing to the Registrar & Secretary.

4.18 Where an applicant is unhappy with the outcome of their application, or would like further feedback, they are invited to contact the Registrar & Secretary in the first instance. Once further feedback has been provided, if the applicant remains dissatisfied, the Registrar & Secretary will ask the Committee to review its decision.

4.19 The Registrar & Secretary will also address any concerns about procedural irregularities, either in discussion with the Chair or with the whole Committee.

4.20 If, after these steps have been completed, an applicant remains dissatisfied, they may utilise the University Grievance Procedure (http://www.york.ac.uk/admin/hr/resources/policy/grievance/#tab1).
5 ACADEMIC PROMOTIONS: PROCEDURES

5.1 Decisions on promotions are made within the following governance structure:

   COUNCIL

   SENATE

   ACADEMIC PROMOTIONS COMMITTEE

       Arts and Humanities Advisory Panel

       Sciences Advisory Panel

       Social Sciences Advisory Panel

5.2 **Factual and confidential reports**

Anyone applying for promotion is required to give a copy of their application to their Head of Department. The Head of Department is then responsible for preparing a factual and a confidential report and returning these to the Registrar and Secretary by a specified date (see 4.2 above). Report forms for completion are available on the web at [http://www.york.ac.uk/about/departments/support-and-admin/registrars-secretary/academic-promotions/forms/](http://www.york.ac.uk/about/departments/support-and-admin/registrars-secretary/academic-promotions/forms/).

Factual reports only should be signed by the applicant before submission.

Heads of Department should consult with professorial and other appropriate colleagues on applicants for promotion and are asked to confirm in the confidential reports that such consultation has taken place. They are also asked to consult, as appropriate, with colleagues in any other department with which an applicant has (or has had) a significant connection. A list of colleagues consulted should be circulated to academic staff within the department and made available, on request, to the Academic Promotions Committee.

Heads of Department are asked to state explicitly how the criteria are addressed by providing supporting evidence and also to identify any weaknesses. If an applicant is working in a research field where it is more difficult to attract PhD students, this should be noted and due consideration will be given to it. In giving appropriate weight to teaching performance the Committee expects HoDs’ reports to be based on observation, student feedback and other forms of objective evidence. Anecdotal evidence is not sufficient to enable the Committee to reach sound conclusions.

If there are any special circumstances surrounding an application which a Head of Department wishes to bring to the attention of the Committee – for example, disability, illness
or other personal circumstances which may have had an impact on an applicant’s CV – it is important that specific details are provided, including details of any adjustments to the individual’s work that may have been made at the time. The Committee cannot infer the extent of special circumstances or their impact, nor can it be asked to make post hoc allowances in judging an application against the criteria.

All relevant information should be contained in the factual and confidential reports; the Committee does not accept separate reports from other colleagues on particular aspects of an applicant’s work.

5.3 **Advisory Panels**

The Academic Promotions Committee seeks advice on all applications it receives from discipline/subject advisory panels constituted to cover all departments in the three discipline groups: Arts and Humanities, Sciences and Social Sciences. This part of the process is designed to ensure that the Committee has the benefit of the full breadth of subject discipline coverage to inform its deliberations.

The final decision on whether or not to consult referees remains with the Committee itself and panel members should not express an opinion on this matter either to the Committee or to an applicant.

Where possible panels are chaired by a current member of the Committee and consist of one representative (usually of professorial status) of each academic department in the respective group, nominated annually by the Head or Director of the Department, to serve for a minimum of three years if possible. The panels are constituted as follows:

<table>
<thead>
<tr>
<th>Arts and Humanities</th>
<th>Sciences</th>
<th>Social Sciences</th>
</tr>
</thead>
<tbody>
<tr>
<td>One nominee from each dept:</td>
<td>One nominee from each dept:</td>
<td>One nominee from each dept:</td>
</tr>
<tr>
<td>Archaeology</td>
<td>Biology</td>
<td>Centre for Health Economics</td>
</tr>
<tr>
<td>English &amp; Related Literature</td>
<td>Chemistry</td>
<td>Centre for Reviews &amp; Dissemination</td>
</tr>
<tr>
<td>History</td>
<td>Computer Science</td>
<td>Economics &amp; Related Studies</td>
</tr>
<tr>
<td>History of Art</td>
<td>Electronics</td>
<td>Education</td>
</tr>
<tr>
<td>Language &amp; Linguistic Science</td>
<td>Environment</td>
<td>Politics</td>
</tr>
<tr>
<td>Music</td>
<td>Health Sciences</td>
<td>Social Policy &amp; Social Work</td>
</tr>
<tr>
<td>Philosophy</td>
<td>Hull York Medical School</td>
<td>Sociology</td>
</tr>
<tr>
<td>Theatre, Film &amp; Television</td>
<td>Mathematics</td>
<td>The York Law School</td>
</tr>
<tr>
<td></td>
<td>Physics</td>
<td>The York Management School</td>
</tr>
<tr>
<td></td>
<td>Psychology</td>
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</tbody>
</table>

Current membership of the advisory panels can be viewed via the link at [http://www.york.ac.uk/about/departments/support-and-admin/registrars-secretary/academic-promotions/](http://www.york.ac.uk/about/departments/support-and-admin/registrars-secretary/academic-promotions/)

Applications are considered by the panel which includes an applicant’s home department. Where there are substantial interdisciplinary elements in a CV the panel Chair may refer the case for further consideration by another panel, whether or not this is suggested by the applicant or their Head of Department.
Copies of the relevant applications are provided for the advisory panels by the Registrar and Secretary’s Office but otherwise panel members share the administrative load and provide their own support, using a proforma for each applicant in order to convey comments to the Academic Promotions Committee.

The Academic Promotions Committee considers each application and the associated papers in relation to the approved criteria in its totality. On the basis of the documentation received from the applicant, the Head of Department and advice from the relevant advisory panel, the Committee decides whether there is a *prima facie* case for promotion. If the Committee agrees there is a *prima facie* case, it consults referees as detailed below.

5.4 **The role of referees**

The University attaches considerable importance to the role and independence of referees. Referees can provide useful insights into all aspects of an applicant’s work, but are especially important in assessing the applicant’s contribution and standing in scholarship and research. Referees’ reports are subject to the strictest confidentiality and are requested with explicit reference to the relevant promotions criteria. All references are assessed with great care in relation to the criteria.

Promotion would not be granted in the event that more than one reference was equivocal. If one reference was equivocal or if one reference was unequivocally negative, the Committee would exercise its own judgement in determining the case. In such circumstances the Committee may seek reports from one or more additional referees.

If, exceptionally, an applicant has reason to believe that the choice of a particular referee may be unsound in any respect, he or she may bring their concern to the notice of the Registrar and Secretary in writing. The Registrar and Secretary will ensure that the Committee is informed.

5.4.1 **Promotion to Grade 7**

The Head of Department is asked to nominate three referees (without consulting the applicant). An applicant’s PhD and post-doctoral supervisors are not allowed to act as referees and at least one referee should not have worked closely/collaborated with the applicant.

a) **Promotion to Lecturer (ART contract)**

   One internal and two external references are required

b) **Promotion to Research Fellow (Research contract)**

   One internal and two external references are required

c) **Promotion to Lecturer (T&S contract)**

   One external and two internal references are required
5.4.2 Promotion to Grade 8

The Head of Department is asked to nominate three referees (without consulting the applicant). An applicant’s PhD and post-doctoral supervisors are not allowed to act as referees and at least one referee should not have worked closely/collaborated with the applicant.

a) Promotion to Senior Lecturer (ART contract)
   The combinations of referees for different combinations of the elements claimed at Level 2:
   - Research and Teaching, Scholarship & Professional Practice: two external and one internal
   - Research and Academic Citizenship: two external and one internal
   - Teaching, Scholarship & Professional Practice and Academic Citizenship: one external and two internal

b) Promotion to Senior Research Fellow (Research contract)
   One internal and two external references are required

c) Promotion to Senior Lecturer (T&S contract)
   One external and two internal references are required

5.4.3 Promotion to Reader/Professor

At least one referee should be at a UK university and at least one referee should be at an overseas university. An applicant’s PhD and post-doctoral supervisors are not allowed to act as referees.

a) Promotion to Reader/Professor (ART and Research contracts)
   - Applicants are asked to nominate two external referees, one of whom has not collaborated with the applicant.
   - The relevant Head of Department is asked to nominate two eminent external referees to act as Lead Referees on the basis of their knowledge of the field (in consultation with senior colleagues, but not with the applicant).
   - The Registrar and Secretary writes to each of the Lead Referees to ask for an opinion on the applicant and for the name of one other suitable external referee. At least one referee should not have collaborated with the applicant.

b) Promotion to Reader/Professor (T&S contract)
   - Applicants are asked to nominate two referees (one external, one internal), one of whom has not worked closely with the applicant.
   - The relevant Head of Department is asked to nominate four referees (one internal, three external) in consultation with senior colleagues, but not in consultation with the applicant. At least one referee should not have worked closely with the applicant.

In the light of referees’ reports, the Committee takes a final decision on whether the criteria for promotion are satisfied and makes a formal recommendation to Senate and to Council.
5.5 **Notification to applicants**
Applicants are informed when the decision is taken as to whether or not to consult referees. In the latter case applicants will receive feedback giving the Academic Promotions Committee’s reasons for not consulting referees. A copy of the letter will be sent to the Head of Department and unsuccessful applicants are encouraged to discuss the feedback with their Head of Department. Notification will normally be no later than the end of the Spring term.

When the Committee has completed its work, its recommendations are submitted to Senate and Council. In those cases where referees have been consulted, and subject to the timing of meetings, every effort will be made to ensure that the provisional outcome is communicated to each applicant by letter (copied to the Head of Department) by the end of the Summer term, in advance of the Committee’s recommendations appearing in Senate and Council papers. Heads of Department and applicants are reminded that promotion outcomes are confidential until they have been approved by Senate.

Promotion is usually effective from the beginning of the following academic year (1 October).
6 GUIDANCE FOR HEADS OF DEPARTMENTS

6.1 As promotion procedures are reviewed annually, Heads of Department should ensure that they are familiar with the current arrangements so that colleagues who may wish to apply for promotion are advised appropriately, and ensure that all staff in the relevant categories are aware of the details. Heads of Department are responsible for consulting appropriate senior colleagues on applications.

6.2 Members of staff have sole responsibility for submitting their application for promotion; applications will not be considered unless they have been made by staff in their own right. Heads of Department should, however, encourage appropriately qualified staff to apply, bearing in mind that some people underestimate their own achievements. There is some evidence of this being the case for women. Whilst all applications will be treated strictly on the basis of merit and without regard to gender, ethnicity or other protected characteristics, Heads of Department should take account of the University’s aims to improve gender balance in senior posts.

6.3 Because all promotions beyond Grade 7 require elements of performance at Level 2, annual objectives should be set from the start of post-probation employment. Heads of academic departments and academic mentors should advise staff members and help them identify which area might be developed to Levels 2 and 3.

6.4 Heads of Department should encourage applicants to consider the full range of criteria when compiling an application.

6.5 Bearing in mind the two-year rule (section 4.11), Heads of Department are asked to take particular care in advising applicants on the timing of their application. For example, the timing of publications which may not be cited before they are in the public domain. Heads are reminded also of the potential importance in career terms of assigning appropriate administrative duties to colleagues who may be seeking promotion in the future.

6.6 By exception, staff may transfer between the Academic, Research and Teaching grade structures. Where a member of staff feels this would be beneficial, they are asked to discuss this with their Head of Department.

6.7 For guidance on the completion of factual and confidential reports, see section 5.2. For guidance on the nomination of referees, see section 5.4.

6.8 The Academic Promotions Committee alone is responsible for determining whether or not to consult referees; Heads of Department and members of advisory panels should not express an opinion on this matter to the applicant.

6.9 Recommendations by the Committee are confidential until approved by Senate.

6.10 The costs associated with promotion are met by the University normally for the remainder of the financial year in which a promotion is effective; thereafter costs are absorbed into departments’ planned budgets. This also applies to promotions approved for retention.

6.11 The Registrar & Secretary and the Deputy Vice-Chancellor are available to advise on general matters and individual cases as required.