

UNIVERSITY OF DUNDEE

PROCEDURE FOR APPLICATION FOR PROMOTION TO:

LECTURER (TEACHING & SCHOLARSHIP) GRADE 8;

LECTURER (TEACHING & RESEARCH) GRADE 8;

RESEARCHER GRADE 8;

SENIOR LECTURER (TEACHING & SCHOLARSHIP) GRADE 9;

SENIOR LECTURER (TEACHING & RESEARCH) GRADE 9;

RESEARCHER GRADE 9;

READER;

CHAIR

The University's core values of 'excellence' and 'valuing people' combine in its aspiration to achieve timely recognition and reward of academic and research staff who are making first-rate contributions to the University's excellence agenda at the point in their career trajectory where they are ready to move to the role of Lecturer Grade 8 (Teaching & Scholarship, Teaching & Research, or equivalent level Researcher), Senior Lecturer (Teaching & Scholarship, Teaching & Research, or equivalent level Researcher); Reader; or Chair. This procedure applies also to all staff on clinical grades.

Through this process the University seeks to encourage staff to continue to improve their performance and develop their careers further in line with nationally and internationally recognised standards of excellence.

This Procedure for Application for Academic and Research Promotion outlines the principles and process to be used to assess individual applications.

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1. Scope

- 1.1 The Procedure for Application for Academic and Research Promotion will apply to all academic staff, irrespective of whether their contracts of employment are permanent, fixed-term, full- or part-time.
- 1.2 The Procedure will apply irrespective of the individual's Spinal Point position on their present grade.

2. Principles

- 2.1 The procedure is intended to be fair, thorough, transparent and compliant with current employment legislation and good employment practice.
- 2.2 The timetable for Annual Review is published on the [HR website](#) and key dates are highlighted. **Applications for academic and research promotion should be submitted by the published deadline date.**
- 2.3 There is no eligibility period for making an application. Likewise, Applicants are not restricted to applying from their present grade to the next higher grade although the normal expectation relating to promotion is: Lecturer to Senior Lecturer; Senior Lecturer to Reader; and Reader to Personal Chair.
- 2.4 Applicants are encouraged to seek advice from their Deans and/or line managers as appropriate regarding the most appropriate point to make an application in order to optimise their possibility of success; however, permission from the Dean and/or line manager as appropriate is not a prerequisite for submitting an application.
- 2.5 Applicants are recommended to engage early with their Dean and/or another senior member of staff when considering preparing their application for promotion to obtain advice and assistance in order to submit the strongest possible application based on which academic profile they are trying to build. The University will also organise briefing sessions each year to provide advice and guidance to those considering applying for promotion.
- 2.6 Applicants may submit, separate from their application, details of any mitigating circumstances – e.g. long-term ill-health; periods of sickness; pregnancy or maternity leave or caring responsibilities – that they feel may have impacted on the volume of their activity (Appendix 3). The details will not be disclosed to the Annual Review Committee or the Readership & Personal Chair Committee. Rather, the mitigating circumstances form along with the application for promotion will be considered by a small group convened by the Director of HR and OD (or Deputy), which will provide a recommendation to the Chair of the Annual Review Committee or the Principal as Chair of the Readership & Personal Chair Committee detailing the extent to which the mitigating circumstances are likely to have had an impact on the ability of the applicant to achieve the expected volume of activity.
- 2.7 At its discretion, the Annual Review Committee and/or the Readership & Personal Chair Committee may request further information from the Applicant, or from other persons, to ensure a fair decision is reached. In the event that other persons are approached, the Applicant will be notified to this effect and of the persons' identities.
- 2.8 Any other material information that becomes available during the promotion process (e.g. a teaching award or the award of a substantial grant) may be submitted by the Applicant during the process and before the date of the relevant Committee meeting (by email to the School HR Officer).

- 2.9 Applications for promotion will be considered by the Annual Review Committees, which typically meet initially in April/May each year and again in September to consider external assessor's reports and make decisions on promotion applications.
- 2.10 The responsibility is on the Applicant, by presenting evidence in their application, to convince the Annual Review Committee and/or the Readership & Personal Chair Committee that promotion is merited. Lack of success in doing so does not of itself indicate any shortcomings in performance within the current grade.
- 2.11 The Dean will submit an objective assessment of the Applicant's application for promotion to the Annual Review Committee on the relevant form (Appendix 5). The Dean will share this assessment with the applicant in advance of the relevant Committee meeting and a copy of the report will be provided.
- 2.12 The Dean is a member of the Annual Review Committee but, in relation to cases from their own School, their role is to introduce cases and to provide clarification. Deans take no part in the decision-making process relating to cases from their own School.
- 2.13 An Equality Impact Assessment will be conducted following the application stage, after the Annual Review Committee and Readership & Personal Chair Committee decisions, and after appeals. These, together with the Universitywide outcomes, will be reported to the first meeting of the People and Organisational Committee following the second meeting of the Annual Review Committee. The Annual Review Committee will also be provided with statistics on staff at each grade across the University to ensure maximum awareness of the Equality, Diversity and Inclusion position. All members of the Annual Review Committee will have completed the University's mandatory online Equality, Diversity and Inclusion training.
- 2.14 Unless invited by the Annual Review Committee or the Readership & Personal Chair Committee, an Applicant will not have the opportunity to make a further application in the year after an unsuccessful application. As highlighted in Section 2.4, it is therefore important that Applicants do consider the most appropriate point to make an application to optimise their possibility of success.
- 2.15 The Appeal Process is outlined in Section 7 of this document.

3. The Dean's Role

- 3.1 The Dean's role is critical in the application process and their responsibilities are to:
- Review all staff in the School on an annual basis with a view to systematically identifying meritorious potential Applicants and encouraging their application for promotion, having particular regard to the University's Equality, Diversity and Inclusion agenda. The OSaR procedure envisages a role for OSaR in helping to identify candidates for promotion and Deans are charged with ensuring that the OSaR process serves this purpose in their School.
 - Discuss with potential Applicants the type of profile they are trying to build and the profile that the School is looking for.
 - Provide advice on the timeliness of the Applicant's application.
 - Provide advice to applicants on making the best possible case for promotion.

- Advise Applicants to submit applications to them by the required date to allow the Dean's report to be prepared.
- Having consulted with senior colleagues in the School, provide an independent report on the Applicant's application assessed against the relevant Criteria (Appendix 5). Where an Applicant works across more than one School, the Dean must consult with the other Dean/s who may recommend consultation with other staff, as appropriate.
- Sharing this assessment with the Applicant in advance of the promotion committee.
- Identify independent external assessors from whom an opinion may be sought should the Annual Review Committee consider that there is a *prima facie* case for promotion (Appendix 5a).
- Providing to HR, the Application forms with Dean's report and the list of external assessors to be contacted.
- Review external assessor's reports in advance of the second stage of the process (i.e. 2nd Annual Review Committee) and Readership & Personal Chair Committee to ensure that external assessors are sufficiently independent and, in conjunction with the Chair, to make a decision as to whether additional external reports are required.
- The Dean as a member of the Annual Review Committee will have an active role in considering and determining outcomes in relation to academic and research promotion, with the exception of cases relating to their own School. For these cases, the Dean's role is to present the information, highlight views from the external assessors (if at the second stage of the process) and to provide clarity to the Committee where required.
- Have responsibility for providing ongoing support and advice to unsuccessful Applicants.

4. Application Process

- 4.1 Completed applications should be submitted to the relevant Dean by the date published in the annual timetable published by HR. Incomplete applications will not be progressed.
- 4.2 Applications must comprise:
- A Standard Template incorporating the Applicant's case for promotion (Appendix 2).
 - Details of any mitigating circumstances if applicable (Appendix 3).
 - One Applicant-nominated reference (see Appendix 4).
- 4.3 Applicants should nominate one referee of their own choosing and, using the Guidance for Applicant-Nominated Referees (Appendix 4), request a reference. Although the Applicant should ask that the reference is sent/emailed to the HR Office, **it is the Applicant's responsibility** to ensure that the HR Office has received the reference by the relevant date. References should be emailed to the relevant HR email address as follows:

School	Email Address
School of Art and Design	HR-Art-Design@dundee.ac.uk
School of Business	HR-Business@dundee.ac.uk
School of Dentistry	HR-Dentistry@dundee.ac.uk
School of Education & Social Work	HR-ESW@dundee.ac.uk
School of Humanities	HR-Humanities@dundee.ac.uk
School of Life Sciences	HR-Life-Sci@dundee.ac.uk

School of Medicine	HR-Medicine@dundee.ac.uk
School of Nursing and Health Sciences	HR-NHS@dundee.ac.uk
School of Science and Engineering	HR-Science-Eng@dundee.ac.uk
School of Social Sciences	HR-Social-Sci@dundee.ac.uk

Applicants should provide the referee with a copy of:

- The Standard Template incorporating the Applicant's case for promotion (Appendix 2).
- The Promotions Criteria and Indicators of Excellence (Appendix 1).
- The Guidance for Applicant-nominated Referee (Appendix 4).
- **Only if the Applicant wishes the Referee to have sight of it:** their own completed Mitigating Circumstances Form (Appendix 3) (if relevant).

4.4 Applicants are required to have completed their mandatory training (EDI and Information Security Awareness) before making an application for promotion.

4.5 The Annual Review Committees for promotion will normally meet initially in April and again in September. The Deans' Group will decide the mix of Schools on each occasion.

The members will normally comprise:

- A Vice-Principal (Chair). Normally this will be the Senior Vice-Principal
- The Deans of the agreed mix of Schools
- A senior academic from each School to facilitate diversity
- A Professor external to the Annual Review Committee's School mix

HR Business Partner/Officer/s will support the Committee and provide procedural advice

4.6 The Annual Review Committee will aim to have as diverse a representation as possible.

4.7 The Annual Review Committee will consider all cases for academic and research promotion. In relation to applications for promotion to Lecturer or Researcher Grade 8 and Senior Lecturer or Researcher Grade 9, it has authority to make all decisions in line with the procedure set out below.

5 The Two-Stage Process

5.1 The first stage of deliberating upon potential promotions will take place at the relevant Annual Review Committee based on the evidence presented by the Applicant (see 4.2) and an independent report provided by the Dean which assesses the application (Appendix 5). The Dean's Report will be prepared using a standard template and must draw on input from relevant senior staff in the School.

The Annual Review Committee

5.2 The Annual Review Committee will make a decision on the merits of each case.

The Committee will decide whether to:

- promote the Applicant
- reject the promotion

- award a Contribution Point or advancement within the Applicant's existing grade if promotion is declined but the Committee feels that alternative recognition is merited
 - exceptionally invite an unsuccessful Applicant to re-apply the following year
- 5.3 There is no requirement for the cases for promotion from Grade 7 to 8 to be considered at a second meeting as no external assessor's reports are required. A decision will therefore be based on the evidence presented at this first stage by the Applicant, the Dean's independent report and the one Applicant-nominated reference provided.
- 5.4 Applications for promotion from Grades 8 to 9 are submitted to the Annual Review Committee with the self-nominated reference. If it is considered appropriate to progress the application, two external assessor's reports will be sought so that the case for promotion can be considered at the next Annual Review Committee meeting.
- 5.5 For applications for promotion to Readership & Personal Chair, it is the decision of the Annual Review Committee as to whether to take up external assessor's reports or not prior to forwarding the application to the Readership & Personal Chair Committee.
- 5.6 Where necessary, the Annual Review Committee will consider and approve the list of external assessors proposed by the Dean of School (Appendix 5a). The external assessors should be at a higher level than the promotion being considered (with the exception of Chair). In compiling the list of external assessors, the Applicant **must not** be consulted. The Senior Vice-Principal, advised by the Annual Review Committee, has ultimate responsibility for ensuring that the external assessors are suitably independent, eminent in their field, and able to express an authoritative opinion on the merits of the application.
- 5.7 The letters requesting an external assessment will be issued by HR on behalf of the Senior Vice-Principal.
- 5.8 Applicants for promotion to Grade 8 will be notified of the outcome of their application after the first Annual Review Committee. Applicants for promotion to Grade 9, Reader or Personal Chair will be updated on the status of their application, after the first Committee, and whether the recommendation is that their application is to be considered further and the views of external assessors sought.
- 5.9 All applicants for promotion will be notified, in writing, of the outcome of their application by the HR Business Partner/Officer on behalf of the Committee. No verbal feedback should be given in advance of the formal letter being issued.
- 5.10 Any promotions approved by the Annual Review Committee will normally be effective from 1 October following the September meeting of the Annual Review Committees.

The Readership and Personal Chair Committee

- 5.11 Following discussion of the merits of the application/s for Reader or Chair at the Annual Review Committee meeting (see 5.5), and a decision as to whether or not references are to be sought, the Senior Vice-Principal will submit all applications for promotion (whether or not supported by the Annual Review Committee) for consideration at the next meeting of the University

Readership & Personal Chair Committee. The submissions will include External Assessor reports obtained (where relevant) and a recommendation as to whether the application is supported or not, together with the relevant extracts of the minutes of the Annual Review Committee pertaining to the candidates being submitted.

- 5.12 The School HR Business Partner/Officer will include the External Assessor reports, in the case for promotion at the next appropriate Readership & Personal Chair Committee.
- 5.13 If the Annual Review Committee is not supportive of the case, the University Readership & Personal Chair Committee will ultimately determine whether to accept the recommendation of the Annual Review Committee, or nevertheless to seek external assessor reports.
- 5.14 The Committee will normally comprise:
- The Principal (Chair)
 - The Vice-Principals
 - Four Professors from a pool* of nominated Professors (having regard to gender balance and ethnicity)

HR Business Partners will support the Committee and provide procedural advice.

*The Dean will nominate two Professors from their School who will be part of the pool of senior academics to be available to sit on the Readership and Personal Chair Committee. The University Readership & Personal Chair Committee will aim to have as diverse a representation as possible and, as such, the University would be looking for a mix of members from various equality groups to be part of this 'pool'.

- 5.15 The relevant Dean will be invited to attend the Readership & Personal Chair Committee meeting specifically to present the cases for their School.

The Dean will introduce the cases from their School, highlight views from the external assessors and provide clarity to the Committee where required. The Dean will not have a role in the decision-making process and will remain independent throughout. The Dean will only be present for the discussions relating to their own School.

- 5.16 The University Readership & Personal Chair Committee will meet four times per year. Dates will be fixed and detailed in the Academic calendar. It is anticipated that the majority of cases will be considered at the meetings in October/November and December.
- 5.17 For applications supported by the Annual Review Committee and for which External Assessor reports have been received, the Committee will consider the case as a whole and decide whether to:
- promote the Applicant
 - reject the promotion
 - award a Contribution Point or advancement within the Applicant's existing grade if promotion is declined but the Committee feels that alternative recognition is merited
 - exceptionally invite an unsuccessful Applicant to re-apply the following year

For applications **not** supported by the Annual Review Committee, it will consider the case as a whole and decide whether to:

- request External Assessor reports for the application for consideration at a subsequent meeting for this purpose
- reject the application
- award a Contribution Point or advancement within the Applicant's existing grade if promotion is declined but the Committee feels that alternative recognition is merited
- exceptionally invite an unsuccessful Applicant to re-apply the following year

- 5.18 Applicants for promotion to Chair or Reader will be notified, in writing, of the outcome of their application by the Director of Human Resources and Organisational Development (or Deputy) on behalf of the Committee. No verbal feedback should be given in advance of the outcome letter.
- 5.19 Any promotions approved for Chairs or Readers will be effective from a date agreed by the Principal and the Senior Vice-Principal. This normally is the date of the Committee meeting at which the decision to promote is made.

Conflicts of Interest

- 5.20 In any case where there is a conflict of interest (e.g. where the applicant for promotion is a Dean of School, or where there is a personal relationship between a member of the Annual Review Committee or the University Readership & Personal Chair Committee and an applicant), appropriate arrangements will be made to deal with this. Any potential conflict of interest should be notified as early as possible to the relevant School HR Officer in the first instance, who will liaise with the Senior Vice-Principal and Director of Human Resources and Organisational Development to decide the arrangements to be made.

6. Feedback

- 6.1 Following consideration of their cases for promotion, all Applicants will be invited to an individual meeting with the Dean to receive feedback and/or to discuss their future role and plans. All successful applicants for promotion to Chair will also meet with the Principal or the Senior Vice-Principal.
- 6.2 At that meeting the Dean will provide the applicant with a copy of the relevant extract of the minute (in the form of the assessment record) from the Readership & Personal Chair Committee or the Annual Review Committee as relevant. This is particularly important in the case of applications which have been unsuccessful. In such cases, the Dean or Senior Vice-Principal will discuss with the Applicant where the University Readership & Personal Chair Committee or the Annual Review Committee judged the application fell short, and the activities and opportunities on which the Applicant should focus in order have a greater chance of promotion when next making an application. The Dean's assessment will also be discussed with the individual. The Dean will ensure that any other staff with a line management or mentoring responsibility for the Applicant are fully apprised of the feedback given, and to confirm that the Dean will have responsibility for providing, or organising, ongoing support and advice to the Applicant.

- 6.3 Where the Readership & Personal Chair Committee or the Annual Review Committee considered that the Applicant was very close to being promoted it may exercise discretion in giving specific advice and inviting the applicant to apply the following year; this will appear in the extract of the minute or the assessment grid and also in the letter confirming the decision of the promotion committee. Where the shortfall is greater than this, the Applicant will not have the opportunity to make an application the following year as stated in 2.14.

7. Appeals

- 7.1 The Appeal process is not intended to query the judgement reached on the application for promotion. Therefore, appeals will only be taken forward on the grounds of alleged procedural irregularities.

- 7.2 Any Appeal will be made **in writing only**.

- 7.3 The Appeal should be submitted to the University Secretary within 10 days of receipt of the outcome letter.

- 7.4 Notification of Appeal must include a clear outline of the alleged procedural irregularity and the way in which this has affected the outcome.

- 7.5 The **Academic Promotion – Appeal Form** (Appendix 6) should be submitted detailing this information.

- 7.6 The Appeal Committee will comprise three senior academic members of staff.

- The Appeal Committee will be constituted in such a way as to ensure its independence, including at least one member from outside School, and will aim to have as diverse representation as possible. The Chair will be a Vice-Principal of the University other than the Senior Vice Principal.
- For Appeals relating to applications for promotion to Readership or Personal Chair, the Appeal will be considered by one lay representative of Court and two Senate nominated representatives of professorial standing.

- 7.7 The Appeal Committee will not re-assess the Applicant's entire case, for example the underlying facts or circumstances, nor appraise the professional judgement of the relevant committee but it will consider whether the procedure has been properly applied.

- 7.8 The Chair of the Committee will assess in the first instance whether a procedural error occurred and, if so, the Appeal Committee will only consider the appeal if the irregularity (including administrative error) gives rise to reasonable doubt as to whether the relevant committee would have reached the same decision had the irregularity not occurred.

- 7.9 If the Committee does agree that there has been a procedural irregularity as per point 7.8 above, it will recommend that steps are taken to address this anomaly before the case is referred back to the relevant promotion committee for further consideration.

- 7.10 All documents from the Annual Review Committee (or Readership & Personal Chair Committee) will also be available to the Appeal Committee. No new information will be considered with the exception of any additional information

that became available during the promotion process (e.g. a teaching award, the award of a substantial grant) as detailed in section 2.8 of the procedure.

7.11 The Appeal Committee can:

- a) Uphold the Appeal and refer the matter back to the relevant Promotions Committee for reconsideration of the substantive case following the correct procedure and/or process, **or**
- b) Reject the Appeal.

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