

Career Progression in the Education and Research Job Family

Principles, framework and processes

September 2023

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1 Introduction

This document sets out the pathways, processes and expectations of standards in the academic career in the University of Bath, applying to those members of the Education and Research Job Family employed at Grade 7 and above. The criteria contained in the framework describe the levels of performance and contribution expected for each grade and specialisation in this staff group.

1.1 Academic career structure

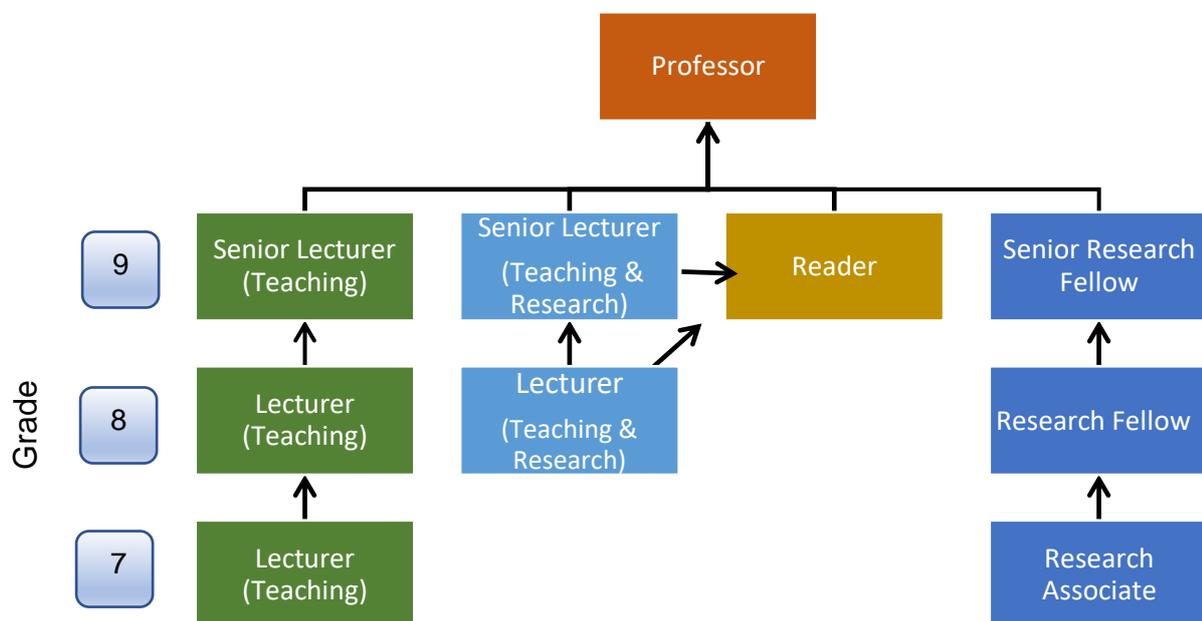


Figure 1: Academic career structure and pathways

This diagram does not seek to indicate all possible promotion or transition routes. Any transition is to be considered possible if an individual can fulfil the criteria for a particular role and grade, but there may be constraints on what is possible (for example different lengths of probation on different pathways). Some moves may also require a management decision about whether a particular role is required and can be funded, even if an individual can meet the criteria (for example moving from a Teaching and Research lectureship to a Teaching specialist lectureship, or from Research Fellow to Senior Research Fellow).

1.2 Principles

Staff at the same grade are deemed to be broadly equivalent in terms of esteem and contribution within the University.

The contribution of staff employed on part-time contracts is expected to be the same in terms of quality, whilst reduced proportionately in terms of quantity.

Consideration of diversity and inclusion is critical to the effective operation of the University's probation and promotion procedures, which are designed to ensure consistency and fairness in decision-making, and as much transparency as is compatible with protecting confidentiality.

Where staff have had a career break, long term absence or other extenuating circumstances which impact on their output/performance, they are encouraged to provide this information including what impact such breaks/absences have had on them undertaking their role.

Where an equality issue is brought to the Committee's attention, each case will be considered on its own merit and without precedent as any single equality issue could impact individuals in a variety of ways depending on their individual circumstances.

Making an equality-related adjustment does not allow the Committee to lower the bar when assessing quality. Instead it requires that the Committee recognise where an individual has faced additional barriers in achieving specific probation or promotion criteria, and adjust accordingly.

Staff who have embarked on a promotion process, but die before completion of that process, may have the title awarded posthumously at the discretion of the Academic Staff Committee.

1.3 Terminology

The University employs Lecturers, Senior Lecturers, and Professors on contracts that require both teaching and research, and on contracts that require only teaching (both types require contributions to management, leadership and administration). These contract types carry different expectations in terms of probation and promotion, so for the purposes of this document the following terminology is applied:

Lecturer / Senior Lecturer / Professor (T & R): Contract requires both teaching and research.

Lecturer / Senior Lecturer / Professor (T): Contract requires teaching but not research.

Note that contractual job *titles* remain the same, and all staff with these job titles have academic status under the Statutes.

Reader: Contract requires research and teaching, of equivalent level and esteem to Senior Lecturer, but with recognition of focus on, and outstanding contribution in, research.

HoD: Head of Department in academic faculties, or Head of Division in the School of Management.

2 Probation

2.1 What is probation?

Probation is a period at the start of someone's employment during which they are supported to become effective in their role, and demonstrate that they are capable of fulfilling the requirements of the job. They can then decide together with their employer whether or not the role is right for them, before they are confirmed in post.

Academic probation is longer than would be typical in most jobs, because the University judges that the academic career takes time to develop and lecturers need time to demonstrate that they can perform their role in a sustained way.

2.2 Who should be on probation?

All first appointments to posts of Lecturer are probationary except in the case of newly-appointed Lecturers who have yet to complete an element of their formal education that is considered necessary to meet the requirements of the post (for example, a doctorate). In such cases, appointments will be for a *pre-probationary* period of normally up to one year to allow completion.

Pre-probationary conditions, where applied, must be successfully completed for progression to probation. Subsequent successful completion of probation will lead to confirmation of the appointment.

2.3 Probation overview – added to summarise text

	Lecturer (T&R)	Lecturer (T)
Probation Period	3 years	1 year
Review Dates	3 annual reviews (12, 22, 34 months)	2 reviews (6, 12 months)
Assessed on	Research, Teaching, Administration	Teaching, Administration
Assessed by	Academic Staff Committee	Academic Staff Committee
Objectives Setting	Within first month, then sent to HR after being signed by individual, HoD and Dean	
Mentoring	HoD assigns mentor (<i>Guidance on mentoring can be found in section 2.6</i>)	
Completed Reports include	Probationary report form Online unit evaluations Teaching Observation Pure Research Activity Report Senior Independent Assessment (<i>final review only</i>)	Probationary report form Online unit evaluations Teaching observation (<i>must be by a senior observer for final review</i>)
Extension period if required	Up to 1 year with an interim review at 6 months and final review at 12 months	

2.4 Duties while on probation

During the probationary and pre-probationary period, newly-appointed Lecturers will be required to engage in teaching and, where their contract requires it, research, under the supervision of the Head of Department/Division with the support of the mentor(s) to whom he/she has been assigned.

The teaching load for a probationary Lecturer is expected to be lighter than for those who have completed probation, when compared to the average load in the Department/School. Guideline reductions are indicated below.

In the first year of probation, it will be inappropriate to assign any major administrative role, such as that of Admissions Tutor, to the Lecturer. In later years the probationer may be asked to undertake some administrative or minor management duties but will not normally be given any major additional responsibility, such as that of Director of Studies.

All probationary Lecturers are required to undertake the Bath Probationary Pathway to HEA Fellowship (PHEAF), delivered by the Centre for Learning and Teaching. The teaching and administrative load is expected to be reduced to accommodate the time typically taken to successfully complete the programme as follows:

Type of contract	Guideline teaching workload reduction		
	Year 1	Year 2	Year 3
Teaching and Research	0.25-0.5tapering....	→ 0
Teaching	Year 1 0.2	n/a	n/a
PHEAF pathway elements			
Teaching and Research	Year 1	Year 2	Year 3
	All elements to achieve FHEA, 80 hours in total		
Teaching	Year 1 64 hours, teaching and teaching-related elements to achieve AFHEA	n/a	n/a

For those granted AP(E)L (see below) from the teaching focussed elements, this reduction will be lower. Where an appointment of Lecturer is divided between two or more Departments a workload agreement will be drawn up by the relevant Heads of Department/Division and submitted for approval by the Chair of Academic Staff Committee at the start of the appointment.

2.5 Support and review process

The general processes of support and review are summarised in figure 2.

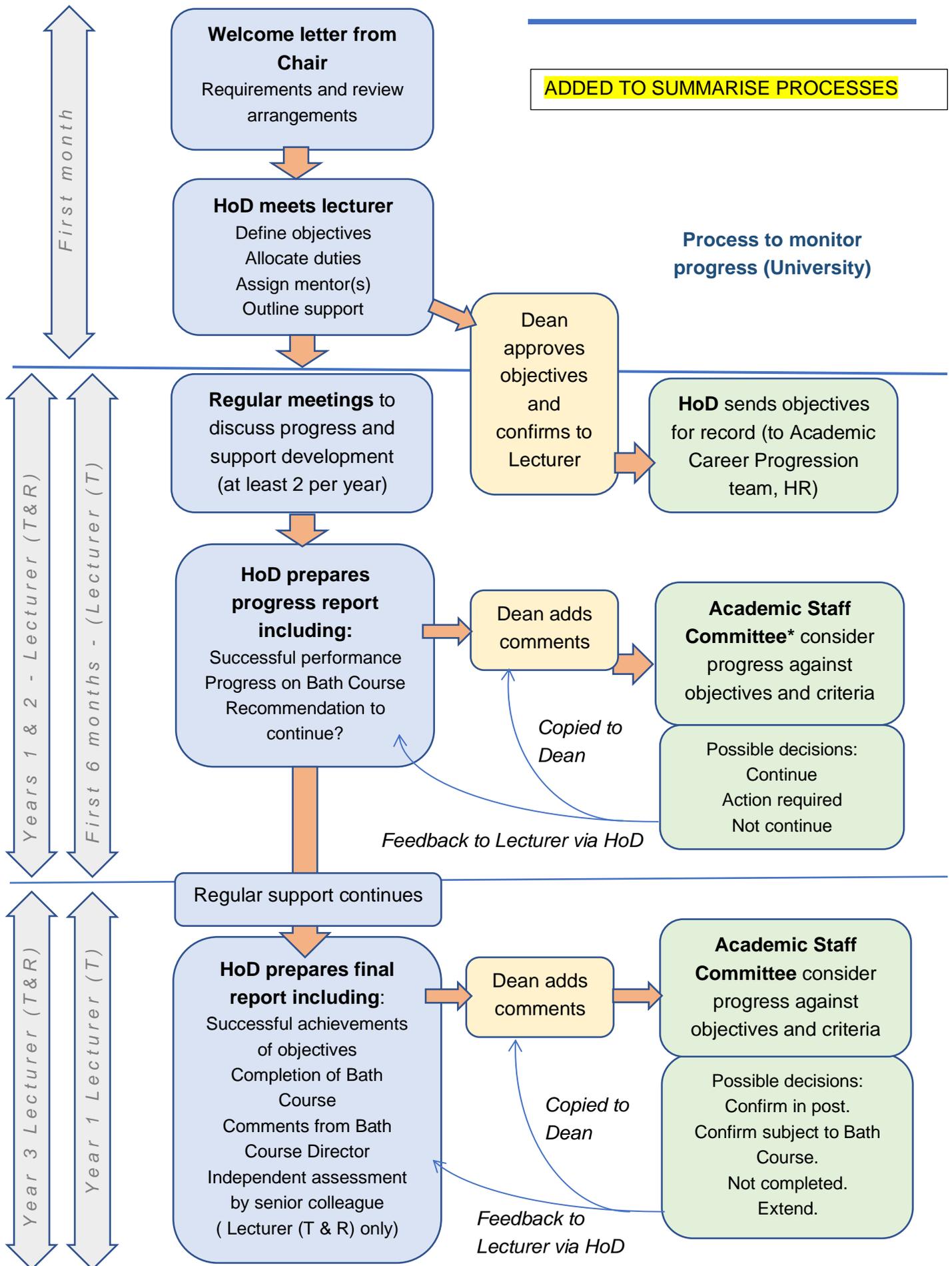
The Head of Department/Division is responsible for ensuring that expectations and responsibilities are made clear to the newly-appointed Lecturer and for meeting the probationer within the first month of the appointment to define appropriate objectives which will form the basis of future probation review reports. These will be signed off by the relevant Dean and confirmed to the new member of staff in writing within the first three months of the appointment.

Each newly-appointed probationary Lecturer will be assigned to one or more experienced member(s) of staff who will provide mentoring support and guidance about meeting objectives. A Head of Department/Division or other senior member of staff who will be making judgements about a probationer's progression must not act as a mentor for that probationer. Heads of Department (or their nominated Deputy) will normally meet the probationer to discuss progress at a minimum of two meetings during each year of probation. Mentors may attend these meetings in support of the probationer.

Supporting the Lecturer to perform in role (department)

Figure 2: General process of Probation

ADDED TO SUMMARISE PROCESSES



2.6 Mentors - edited to update and simplify Appendix 9

2.6.1 Definition

A mentor in this context is a colleague with more experience, who uses their knowledge and connections to help someone navigate their way into a new role and organisation as they seek to establish their career and fulfil the University's requirements for probation.

2.6.2 Role of mentors in academic probation

The mentor acts as a regular, readily-accessible source of guidance, advice and support to enable to probationer to:

- Plan and develop their academic practice, whether that is establishing or accelerating their research, delivering taught programmes, tutoring and supervising students, or any other relevant and necessary part of the academic role
- Learn how to access and use the University's systems and resources for supporting academic work, complementing the induction processes and departmental support systems that are available to all staff.
- Play a role in the life of the University
- Understand and work towards the formal requirements of probation, including the specific objectives agreed by the Head of Department / Division

2.6.3 Appointing mentors

Heads of Department / Division must appoint a mentor for probationary lecturers as soon as possible after their arrival. Mentors should:

- Be more experienced academics who have a broad knowledge of how the Department and University operate, and the challenges faced by newly appointed lecturers
- Have the specific skills and expertise that are relevant to the development needs of the probationer (for example, in research or teaching, or in adapting to the UK system), or know how to access it.
- Be committed to supporting their less experienced colleagues, and focused on the needs of their mentees
- Not be anyone who manages or assesses the performance of the probationer (e.g. Head of Department / Division)

In some cases it may be helpful to have more than one mentor, perhaps one for teaching and one for research. One of these should be nominated as 'lead' mentor.

In the situation that a mentoring relationship does not work for any reason, the Head of Department should move quickly to allocate a new mentor in discussion with the probationer.

2.7 Decisions by Academic Staff Committee

2.7.1 Progression and completion of probation

The Academic Staff Committee will scrutinise each annual report and provide feedback to the Head of Department/Division and the probationary Lecturer via the Director of Human Resources. The feedback will focus on the criteria for passing probation and will be copied to the Dean.

Having considered a final annual report which will include the recommendations of the Head of Department/Division, an independent assessment by a senior member of the Department as well as correspondence from the Director of Academic Probation Development concerning successful completion or otherwise of PHEAF, the Academic Staff Committee will resolve upon one of the following:

- That the probation has been successfully completed, and the Lecturer will now be confirmed in her/his post.
- That all the requirements of probation have been achieved with the exception of the achieving FHEA / AFHEA status. The Lecturer will be confirmed in post if and when they successfully achieve the relevant level of HEA Fellowship, which must be done within a reasonable timescale, as specified by Academic Staff Committee.
- That the Lecturer be required to serve an additional period of probation, normally up to one further year, with the progress required being stated in writing.
- That the probation has not been successfully completed.

2.7.2 Concerns on progress reports

If the annual report raises concerns about the probationary Lecturer's progress and/or the Academic Staff Committee finds progress is not satisfactory, the Academic Staff Committee will identify the gaps and specify the improvement required. These will be communicated to the Head of Department/Division and the probationary Lecturer via the Director of Human Resources and will be copied to the Dean. The Head of Department will set objectives (agreed with the Dean and the Chair of Academic Staff Committee) for the coming year, including some for the mid-point of the year and an interim report will be required to be made to Academic Staff Committee.

Having considered the interim report and the recommendations of the Head of Department/Division, the Academic Staff Committee will resolve upon one of the following:

- That the Lecturer continues her/his probation

- That the Lecturer may not continue in his/her probation

In the circumstances when the Lecturer may not continue in his/her probation, the Lecturer's case will be referred to the appropriate Human Resources Manager for that Faculty/School to explore in conjunction with the Head of the Department/Division the implications of the decision of the Committee.

2.7.3 Extension of probation

Extensions to probation will normally be for up to one year.

If an extension of the probationary period is agreed, detailed objectives must be set by the Head of Department/Division in conjunction with the Dean and approved by the Chair of Academic Staff Committee and monitored by the Head of Department/Division to form the basis of the interim review at the mid-point of the year and the final report at the end of the period.

In the circumstances when the probation has not been successfully completed, the Lecturer's case will be referred to the appropriate Human Resources Manager for that Faculty/School to explore in conjunction with the Head of the Department/Division the implications of the decision of the Committee and the Lecturer will be notified of their right of appeal against this decision of the Committee. Any appeal will be heard by the Academic Staff Appeal Committee.

2.8 Criteria for successful completion of probation

On appointment and for each year of probation, the Lecturer will be set specific objectives for each area of their work by their Head of Department/Group, in line with these overall criteria and norms within their Department/School/Faculty and these will be approved by the Dean.

Requirements for successful completion of probation

2.8.1 Teaching:

Receipt of confirmation (normally a formal letter signed by the PVC (Learning and Teaching) that the Lecturer has successfully completed the PHEAF.

Receipt of satisfactory reports on the Lecturer's teaching effectiveness from senior colleagues (e.g. Director(s) of Studies, and who are not the probationer's mentor(s)) who have examined the Lecturer's course documentation, observed her/his teaching methods on several occasions and in a range of teaching situations, and moderated her/his assessment practice and standards.

Receipt of satisfactory student feedback on teaching as evidenced by the results from the standard University unit feedback process.

Receipt of satisfactory 'Observation of Teaching' reports in the format specified for probation - at least one for each year of probation (undertaken in addition to any peer observations within the PHEAF).

Evidence of on-going evaluation of teaching and student support, and of reflection and action on feedback.

2.8.2 Administration/ Management

The Lecturer has discharged effectively any administrative or management duties or roles assigned to her/him.

The Lecturer has participated effectively in the work of the Department/School (e.g. contributed to committees/working parties), as required.

2.8.3 Research (Lecturer (T & R) only)

The Lecturer has established a specific area of research appropriate to the work of the Department/School.

The Lecturer has published work of a volume and standard appropriate for the discipline.

The Lecturer has applied for external funding (research grants, travel/study grants) to appropriate funding bodies, or has secured funding from business for research, e.g. KTP's, as is consistent with the expectations of the Department/School and discipline, either individually or as part of a team.

Where appropriate, the Lecturer has brought funding into the Department by consultancy, exploitation of intellectual property rights, or other knowledge exchange or technology-transfer activities.

The Lecturer is developing plans for delivering the non-academic impact of research, including public engagement with their research.

The Lecturer has normally participated in the supervision of one or more doctoral students

2.9 Exemptions and Special Circumstances

2.9.1 Exemption from probation

Claims for exemption from the requirement to undertake probationary service will be considered by an ad hoc sub-group of the Academic Staff Committee. The sub-group will consist of the Chair of the Academic Staff Committee and two members of the Academic

Staff Committee (one of whom must be from the same Faculty/School as the claimant for exemption) and the Director of Academic Probation Development or their nominated deputy. While each claim is considered, the member of staff will initially be placed on probation (which includes participation in the PHEAF). If the claim is approved, exemption from the requirement to undertake probationary service will then be granted. Grants of exemption will be reported to the Academic Staff Committee.

2.9.2 Accreditation of Prior Experiential Learning (APEL)

Accreditation of prior (experiential) learning (AP(E)L) from certain sections of the PHEAF may be granted on application to the Director of Academic Probation Development and relevant Associate Dean (Learning & Teaching) or equivalent.

AP(E)L is wholly discretionary and will not normally be granted unless the newly-appointed Lecturer can demonstrate an appropriate level and range of successful teaching in higher education at a comparable institution and completion of a comparable programme leading to achievement of an appropriate Fellowship of the Higher Education Academy. As a guide, the criteria for successfully passing probation (section 2.6) should be consulted.

Until any decision on exemption is reached, the Lecturer will follow the relevant sections of the Pathway.

Decisions for granting AP(E)L from teaching focussed elements of PHEAF will be the responsibility of the relevant Associate Dean (Learning & Teaching) or equivalent and the Director of Academic Probation Development. Attendance at the research management elements is mandatory for Lecturers (T & R).

2.9.3 Pre-probation

The arrangements for pre-probationary lecturers are the same as for probationary lecturers, except that they should have monthly meetings with their HoD to review progress, which are formally recorded, and will have an additional expectation that they complete the formal educational requirement within year 1. Extension of pre-probation will normally be up to a maximum of six months. On successful completion of pre-probation, lecturers will be moved onto probation. On completion of the formal education requirement, and providing evidence of the award, the Lecturer may be moved onto Probation through Chair's Action by the Chair of Academic Staff Committee.

2.9.4 Fixed-term contracts

Lecturers appointed to fixed-term positions shorter than the relevant normal period of probation *will* be placed on probation (which includes participation in the PHEAF), in order to assist them in their future career and in order that, if such a fixed-term appointment were

subsequently extended, probationary evaluation might continue. If such a fixed-term appointment subsequently becomes permanent, the member of staff will be required to complete a probationary period determined by Academic Staff Committee, taking account of performance and achievement during the fixed-term appointment.

2.9.5 Periods of absence and other exceptional circumstances

If a pre-probationary or probationary Lecturer takes maternity/paternity leave or is absent due to long-term sickness, the probation period is normally suspended during the period of absence. The Head of Department should meet the probationer to review the probationer's objectives and the support necessary after a long period of absence. The Academic Staff Committee will make reasonable adjustments when assessing progress taking into account the period of leave or any other exceptional circumstances.

2.10 Reporting

The Academic Staff Committee will report to Senate the names of staff confirmed in their posts, and will provide a numeric summary to Senate of those who are required to serve an additional period of probation or who have not successfully completed probation.

3 Promotion

3.1 Promotion principles

3.1.1 Nature of promotion criteria

These guidelines illustrate the *kinds of evidence* required by the Academic Staff Committee in support of recommendations for promotion. They cover promotion to the posts of:

Lecturer (Grade 8), Research Fellow, Senior Lecturer, Senior Research Fellow, Reader, Professor

The indicative criteria for evaluating cases for promotion are grouped into three categories, covering Management & Leadership, Research & Scholarship, and Teaching. Each of these three categories includes detailed indications of *potential activities* and the *combinations* the Academic Staff Committee will expect to see in recommendations for promotion. Candidates for promotion may not enter the same piece of supporting information in more than one category.

For promotion to posts of Lecturer (Grade 8), Research Fellow, Senior Lecturer, Senior Research Fellow, Professor and candidates for Reader, their Head of Department/Division, Deans and the Academic Staff Committee will use the indicative lists of attributes/achievements provided as a benchmark to evaluate the candidate's attributes/achievements. This will permit a degree of comparability and will help the process of feedback to candidates. It is accepted that not all cases will map on to the indicative lists easily. All cases will be judged on their merit and in relation to the accepted norms in the discipline.

In all cases, the Academic Staff Committee will require evidence of *sustained* performance of the claimed activity.

3.1.2 Promotion criteria

The University uses three main categories of criteria when considering candidates for promotion: Management & Leadership, Research & Scholarship, and Teaching. Different combinations of successful performance can be put forward for different posts as follows:

Candidates for promotion to a post of **Senior Lecturer (T&R)** are expected:

- To have made major contributions in two of the three categories; and
- To have made an effective contribution in the third.

Candidates for promotion to a post of **Senior Research Fellow** are expected:

- To show successful performance in Research & Scholarship that would be characteristic of a research-focused Senior Lecturer;
- To demonstrate significant contributions to the management and leadership of research; and
- To demonstrate a volume of contribution in Research & Scholarship significantly higher than that for a Senior Lecturer to ensure an overall equivalent contribution

Full details of any contributions to Teaching and/or Departmental/University Management & Leadership should be provided as context for the case.

Candidates for promotion to a post of **Senior Lecturer (T)** are expected:

- To have met three or more of the indicative attributes/achievements in Teaching at an outstanding level; and
- To have met two or more of the indicative attributes/achievements in Management & Leadership; and
- To demonstrate a volume of contribution in Teaching and Management & Leadership significantly higher than that for a Senior Lecturer (T & R) to ensure an overall equivalent contribution.

Contributions to Scholarship may strengthen a case.

Candidates for promotion to a post of **Reader** are expected to have met a significant number of the indicative attributes/achievements in Research & Scholarship at an outstanding level.

Contributions to Teaching and/or Management and Leadership will not be assessed as part of the case for promotion to Reader but full details of the candidate's activities in these key areas of academic work must be provided as context for the case.

In exceptional cases, the Academic Staff Committee will consider candidates whose claim rests almost wholly on research attributes/achievements, for example where external funding has been secured for research (e.g. from the Royal Society) such that they will have no other duties than research. In such a case the candidate will be expected to demonstrate that they meet a significant number of the indicative attributes/achievements provided in Section 3.2.9.

Most candidates for promotion to a post of **Professor** are expected:

- To have made a major contribution in Research & Scholarship, *or* Management & Leadership, *or* Teaching at an outstanding level; and
- To have made an effective contribution against the indicative attributes/achievements in one other category in relation to Research & Scholarship, Management & Leadership, *or* Teaching.

Some candidates for promotion to a post of Professor will have secured external funding for their research at a professorial level (e.g. from the Royal Society), such that they will have no duties other than research. They are expected to have made major contributions in a significant number of the professorial indicative attributes/achievements for Research & Scholarship at an outstanding level.

3.1.3 Scope of promotion criteria

The category of **Management & Leadership** covers a broad range of internally- and externally-focused activities.

For the purposes of promotion, the following can be considered:

- Internal posts of responsibility
- Serving on Departmental, Faculty/School, University, local, regional, national, international committees
- Public service activity
- Work with voluntary organisations
- Work with partner organisations nationally and/or internationally (e.g. other universities, companies, charities and other third sector organisations, government departments, professional bodies)
- Fostering and developing internal or external networks of benefit to the University.

Claims must be supported by reliable and auditable evidence at every level and may include testimonials from appropriate internal and/or external experts who can attest to the candidate's effectiveness and to the scale, quality, impact, and importance of her/his achievements. Applicants should be able to demonstrate their individual contribution and the impact of this within any claim, as well as what has changed as a result of their involvement. Appropriate quantitative indicators will be valuable.

The category of **Research & Scholarship** will vary in form according to the academic discipline. Research outputs include traditional publications such as books, articles, monographs, reports and academic reviews, as well as patents and licences.

The Research & Scholarship category also includes:

- Income generation for research including from research councils, charities and industry
- Leading research teams (including supervision of research students and research staff)
- International collaboration
- Entrepreneurial activities involved in knowledge exchange or technology transfer
- Implementation of plans to maximise the impact of research in terms of public engagement and knowledge exchange

- Action research and client-focused research
- Working with external agencies (including those overseas) in research-user networks
- Consultancy

Claims must be supported by reliable and auditable evidence at every level and must include:

- A full list of grants and contracts applied for and awarded
- All licences and patents
- All prizes and awards
- A full list of publications in the specified format (major reviews of the candidate's published work and/or confidential reports for external clients may be included)
- Full details of consultancy activity or other knowledge exchange or technology transfer activities
- A list of public engagement and knowledge exchange activities
- Full details of conference invitations
- Full details of research students and research staff supervised

The category of **Teaching** is defined in a broad way for the purposes of promotion.

The category of **Teaching** embraces:

All aspects of curriculum development/innovation, instruction, training, guidance, teaching and assessment, including supervision of postgraduate students (taught and research) and all activities which assist and support students in their learning, including e-learning and all forms of distance education.

Candidates should describe succinctly the full range of their teaching, in terms of the types of courses, students, and teaching methods

Claims must be supported by reliable and auditable evidence at every level and must include:

- Student feedback on teaching using the standard University unit feedback format showing performance over time; and
- Teaching observations in the standard format
- The material may include any of the following:
 - Comments from external examiners;
 - Data on completion rates and students' progression and attainment
 - Evidence of successful continuous professional development
 - Evidence of recognition of teaching, for example, a fellowship from the Higher Education Academy.

A number of the teaching criteria for promotion may be evidenced by the candidate having Fellow, Senior Fellow or Principal Fellow status of the Higher Education Academy (where this professional recognition was awarded normally no more than five years previously). The

University of Bath's Pathways to HEA Fellowship, which provide a process by which staff may apply for Fellow or Senior Fellow status, has been designed in accordance with this document to ensure a close alignment to the teaching promotion criteria.

3.2 Promotion Processes and Criteria

3.2.1 Promotions from Lecturer (T) Grade 7 to Grade 8 (formerly Teaching Fellow)

Cases for promotion can be submitted at any time to the Learning and Organisational Development Advisor, Secretary to the Academic Staff Committee, who will arrange for them to be considered at the next available meeting of the Committee.

Academic Staff Committee will consider each case against the criteria and will decide as to whether the promotion should be made. Promotions and a summary of any cases which do not result in promotion will be made to Senate via the minutes of Academic Staff Committee.

Promotions made will take effect from the 1st of the month following the month in which the Committee meets. Feedback from the Committee will be provided in writing for candidates who are unsuccessful via the Director of Human Resources. The Head of Department/Division will arrange for Personal Action Plans to be developed for all academics who apply unsuccessfully for promotion both where the case is not supported by the department and where not agreed by Academic Staff Committee.

3.2.2 Promotion criteria: Lecturer (T) from Grade 7 to Grade 8

Candidatures/recommendations for promotion from Lecturer (T) (grade 7) to Lecturer (T) (grade 8) should be compiled with reference to the indicative lists of attributes/achievements provided here, indicating which criteria are being addressed (a, b etc), and ensuring that there is supporting evidence for each contribution which has been claimed.

Heads of Department should make their own assessment of the case compiled in respect of each candidate, having regard for the evidence presented by the candidate, and for the range of indicative lists of attributes/achievements provided here.

Promotion from Lecturer (T) from Grade 7 to Grade 8 requires the following *Teaching Criteria*:

The candidate has an auditable and recent record of a substantial portfolio of high quality and effective teaching and/or supporting learning attested by evidence and evaluation of peer review and student feedback

and

The candidate demonstrates an understanding of general issues and current expectations in the teaching of, and/or supporting learning in, her/his subject and discipline. Additionally the

candidate is up to date in terms of content and methods of teaching and/or supporting learning, including the value and use of learning technologies. This is reinforced by a record of participation in appropriate continuing professional development,

and that the candidate can present auditable and recent evidence of **at least two** of the following *Teaching / Management & Leadership Criteria*:

- a. The candidate has led and significantly developed undergraduate or taught postgraduate units
- b. The candidate has participated in a major way in University, regional or national teaching initiatives, or has had success in obtaining grants or funds (including from the University Teaching Development Fund) for teaching initiatives
- c. The candidate has successfully innovated in the development, or application of, teaching and/or assessment and feedback methods, or led departmental initiatives that improve learning environments and approaches to student support, using learning technologies where appropriate and has evidence of the dissemination of these practices in the Faculty/School
- d. The candidate has made contributions which advance our ideas on how a subject can be taught either by scholarly publications or by conference presentations
- e. The candidate has successfully discharged over several years either one significant management/administrative responsibility, or a range of responsibilities at the level of the Department or Faculty/School
- f. The candidate has contributed to and/or generated funding for external networks of contacts within their discipline to the benefit of the Department/School (e.g. to develop the teaching interests of the department).
- g. The candidate has made major contributions to initiatives in leading successful recruitment, outreach, public engagement with research and/or widening participation activities within the Department, Faculty/School or University e.g. support for activities such as summer schools, subject taster days, master classes and *On Track to Bath*
- h. The candidate has promoted and/or led change processes related to teaching and learning through Department/School and/or Faculty committees
- i. The candidate has evidence of successful initiatives or innovations in administrative processes or departmental responsibilities

3.2.3 Promotions from Research Associate Grade 7 to Research Fellow Grade 8

A case for promotion can be considered if the budget holder (PI in the case of an externally-funded post) confirms that provision for promotion exists.

Cases for promotion can be submitted to the Head of Department/Division/Director of Institute at any time during the academic year.

The Head of Department/Division is responsible for initiating a consultation process with the line manager and an internal referee. The Head of Department/Division will submit the case, including a statement of their own view and references from the line manager and the independent referee to the Dean for consideration.

The Dean and Associate Dean (Research) will consider the case for promotion and make a recommendation to Academic Staff Committee.

Where the candidate is line managed through a University Institute, the Director of the Institute is responsible for gaining views in the form of written references from at least two University referees. The Director will submit the case, including a statement of their own view and the reports from the two referees to an appropriate Dean who will make a recommendation to Academic Staff Committee.

Submitted cases will be considered at the next meeting of Academic Staff Committee provided that they are submitted in advance of the publicised deadline.

The Head of Department/Dean/Institute Director will be notified of the outcome immediately following the Academic Staff Committee meeting and communicate the decision.

Promotions made will take effect from the 1st of the month following the month in which the Committee meets. Feedback from ASC will be provided in writing for candidates who are unsuccessful via the Head of Department/Division. The Head of Department/Division will arrange for Personal Action Plans to be developed for all candidates who apply unsuccessfully for promotion.

3.2.4 Promotion criteria: Research Associate Grade 7 to Research Fellow Grade 8

Candidatures/recommendations for promotion should be compiled with reference to the indicative lists of attributes/achievements, indicating which criteria are being addressed (a, b etc), ensuring that there is supporting evidence for each contribution which has been claimed.

Heads of Department/Division/Director of Institutes and Deans should make their own assessment of the case compiled in the case of each candidate, having regard of the evidence presented by the candidate, and for the range of indicative lists of attributes/achievements provided.

Promotion from Research Associate Grade 7 to Research Fellow Grade 8 requires the following:

- Candidates are expected to show that they have established their own area of independent expertise in research as appropriate to the work of the Department/School, ensuring a commitment to the highest standards of ethics and integrity in research; **and**
- Candidates are expected to have a sustained and auditable research record of outputs appropriate to their level in a discipline and a portfolio of articles published in high quality peer-reviewed journals and/or conference proceedings (or other outputs appropriate to the discipline, e.g. books/book chapters/portfolio of commercially sensitive reports) based on their work.

and that the candidate can present auditable and recent evidence **of two or more** of the following:

- a. The candidate has managed and conducted significant collaborative or individual research projects, typically within the framework of a larger research project.
- b. The candidate has met high standards of delivery by scoping projects and managing their delivery (timeline, budget, quality) to fulfil research grant contracts.
- c. The candidate has brought funding into the department/division through grant funding, consultancy, philanthropic income, exploitation of Intellectual Property or Knowledge Exchange activities
- d. The candidate has a record of successfully supporting research students carrying out activities for research projects
- e. The candidate has provided input into wider departmental research planning
- f. The candidate has developed and sustained national research links through activities such as conference organisation, refereeing activities, conference presentations, overseas research visits
- g. The candidate has engaged in sustained activity for Public Engagement with their research increasing the non-academic impact of their research
- h. The candidate has successfully line managed research-related staff at lower grades

3.2.5 Promotion to Senior Lecturer & Senior Research Fellow

Promotions to Senior Lecturer and Senior Research Fellow are considered at least annually.

Heads of Department (or in the case of the School of Management the Dean or his/her nominee) are invited to propose candidates for promotion to Senior Lecturer and Senior Research Fellow.

The Head of Department (or in the case of the School of Management the Dean or his/her nominee) will begin this process by writing to every eligible member of staff explaining the

procedure and inviting submissions from all who consider they have met the appropriate criteria.

The Head of Department (or in the case of the School of Management the Dean or his/her nominee) is responsible for initiating a consultation process with relevant senior staff in the Education & Research job family. This group should be broadly based and could be constituted by the Department/School's executive committee or a committee of senior professors. The role of this group is to advise the Head of Department/Division on candidates who might be supported having regard to the criteria for promotion. The Academic Staff Committee will expect to receive a statement of the Head of Department/Division's opinion of the case and a statement on the level of support for the candidate in the Department.

For each candidate for promotion there should be a submission from the Head of Department (or in the case of the School of Management the Dean or his/her nominee), including the candidate's *curriculum vitae* in the specified 'promotions' format and a supporting statement from another Professor or Head of Division from within the Department/School.

For each candidate proposed, the Head of Department (or in the case of the School of Management the Dean or his/her nominee) will submit the names and details of at least three independent, external referees to the Director of Human Resources. It is essential that the Head of Department/Division takes full responsibility for determining the selection of independent external referees and for ensuring that all the information requested is supplied.

These referees should not be from the University of Bath, and should normally be full professors, or of professorial standing, familiar with the general standards of promotion within UK universities. In exceptional circumstances these referees may be chosen from organisations other than universities. Heads of Department are asked to provide a rationale for their choices

The Director of Human Resources will contact the referees to ask for their opinion on the candidate's performance in Management & Leadership, Research & Scholarship, and Teaching, as appropriate.

The completed proposal, including the referees' comments, will then be passed to the Dean who will consider the evidence presented by the candidate and standards across the Faculty/ School. Finally, the Dean should comment on the application and indicate her/his level of support for the candidate.

The Academic Staff Committee will receive the following:

- The candidate's submission in the appropriate format
- The written support from the Head of Department and one other Professor, e.g. the Head of Division
- The written comments of the Dean

- The comments of the independent external referees

The Head of Department/Division (or their nominated deputy) may be invited by the Academic Staff Committee to attend the relevant part of the promotions meeting to provide a brief update on the candidate's case and respond to questions. The Academic Staff Committee will consider the proposals and will then resolve upon one of the following:

- That the promotion be confirmed without interview
- That the promotion be declined without interview
- That the candidate be interviewed before reaching a decision.

It is expected that the majority of candidates will not be interviewed.

Promotions made will take effect from the 1st of the month following the month in which the Committee meets. The Academic Staff Committee will report to Senate the names of staff promoted, and will provide a numeric summary to Senate of those whose promotions have either been declined without interview or who are to be interviewed before reaching a decision.

Feedback will be provided for candidates who are unsuccessful either without being interviewed or following an interview which does not lead to promotion. The Academic Staff Committee will provide such feedback in writing via the Director of Human Resources. The Head of Department/Division will arrange for Personal Action Plans to be developed for all academics who apply unsuccessfully for promotion both where the case is not supported by the department and where not agreed by Academic Staff Committee.

3.2.6 Promotion criteria: to Senior Lecturer (T & R)

Candidatures/recommendations for promotion to Senior Lecturer should be compiled with reference to the indicative lists of attributes/achievements provided here, indicating which criteria are being addressed (a, b etc), and ensuring that there is supporting evidence for each contribution which has been claimed.

Heads of Department/Group and Deans should make their own assessment of the case compiled in respect of each candidate, having regard for the evidence presented by the candidate, and for the range of indicative lists of attributes/achievements provided here.

Senior Lecturer (T &R) – Management & Leadership (major contribution)

Requires:

The candidate has recently and successfully discharged over several years either one significant responsibility, e.g. Director of Studies, or a range of responsibilities at the level of the Department, Faculty/School, or University, **and**

The candidate has recent evidence of successful initiatives or innovations at departmental, faculty/school or university level **and**

Significant ,sustained and auditable achievements in at least one of the following drawing attention to public engagement activities if and where appropriate:

- a. The candidate has promoted and/or led change processes through Department/School and/or Faculty committees
- b. The candidate has evidence of ability to initiate, develop and manage new and enduring relationships with client organisations (including overseas partners)
- c. The candidate has built external networks of contacts (including overseas), around the interests of the Department/School
- d. The candidate has managed colleagues effectively and/or facilitated their academic and personal development
- e. Other (please specify) e.g. the candidate has managed international partnerships

Senior Lecturer (T & R) – Management & Leadership (effective contribution)

Requires:

The candidate has a sustained and auditable record of effective participation in departmental work groups, committees, and examination boards;

and auditable evidence of one or more of the following:

- a. The candidate has discharged departmental duties effectively, e.g. placement tutor, library representative
- b. The candidate has been involved in departmental policy initiatives or course restructuring proposals, e.g. through membership of departmental committees
- c. The candidate has engaged with local, regional, national or international bodies to the benefit of the University

Senior Lecturer (T & R) – Research & Scholarship (major contribution)

Requires:

The candidate will be expected to have a sustained and auditable research record of national standing with some evidence of a developing international reputation; this will be linked to a substantial portfolio of articles published primarily in major journals and/or conference proceedings (or other outputs appropriate to the discipline, e.g. books/book-chapters);

and auditable evidence of two or more of the following:

- a. The candidate has engaged in research grants/contracts as Principal or Co-Investigator at a funding level appropriate to the discipline, possibly in collaboration with other Universities or organisations
- b. The candidate has a track record of giving presentations – including invited presentations - at national and increasingly at international conferences
- c. The candidate has a track record of successful supervision of postdoctoral research staff and/or postgraduate students at a level appropriate to the discipline
- d. The candidate has made significant contributions to the development of research strategies in the Department/School (or leadership in steering research strategy at Group level)
- e. The candidate has a track record of successful negotiation and management of major action research activity, and/or applied research contracts, and/or consultancies, including some with international partners
- f. The candidate has achieved demonstrable impact through their research.
- g. The candidate has engaged in sustained innovation/enterprise, or knowledge exchange or technology-transfer activities involving a range of partnerships with non-academic external organisations, including international organisations either for commercial purposes or to increase the non-academic impact of research
- h. The candidate has engaged in sustained activity and/or partnerships for public engagement with their research, realising benefits to themselves, their research and the public involved, increasing the non-academic impact of research
- i. The candidate has undertaken significant editorial duties in respect of a leading learned journal
- j. The candidate has a record of doctoral-level examining at other institutions
- k. The candidate has engaged in conference organisation with international participation
- l. The candidate has received an academic or impact-related prize or prizes
- m. The candidate has experience of leading research collaborations, which may include with international partners
- n. The candidate has advised select committees, or been a member of working groups, committees and advisory boards or contributed to professional technical committees on best practice
- o. Other (please specify).

Senior Lecturer (T & R) – Research & Scholarship (effective contribution)

Requires:

The candidate will have a sustained and auditable track record of appropriate publishing (articles, chapters, books, conference proceedings);

and auditable evidence of **one or more** of the following:

- a. The candidate has engaged as Co-Investigator on research grants and/or contracts attracting funding at a level appropriate to the discipline
- b. The candidate has a track record of successful supervision of postgraduate research students and/or research staff at a level appropriate to the discipline.
- c. The candidate has been involved in the formation of research bids and proposals
- d. The candidate has a track record of developing and managing significant consultancy activity and/or action research contracts and/or applied research contacts
- e. The candidate has engaged in international research partnership activity
- f. The candidate has engaged in innovation/enterprise, or knowledge- exchange or technology exchange activities attracting funding at a level appropriate to the discipline
- g. The candidate has engaged in sustained activity and/or partnerships for public engagement with their research, realising benefits to themselves, their research and the public involved, increasing the non-academic impact of research
- h. The candidate has a record of doctoral-level examining at other institutions
- i. Other, please specify.

Senior Lecturer (T & R) – Teaching (major contribution)

Requires:

- The candidate has a sustained and auditable record of high quality and effective teaching and/or supporting learning attested by: evidence from a teaching profile, evaluation of student feedback and peer review of teaching; or a prize for teaching. This is reinforced by significant professional development; **and**
- The candidate demonstrates a broad understanding of general issues and current expectations including effective and inclusive approaches to the teaching of, and supporting learning in, her/his subject and discipline and is informed by an appropriate evidence base, and is up to date in terms of content and methods of teaching and supporting learning including the value and use of learning technologies. This is reinforced by significant professional development.

and auditable evidence of **two or more** of the following:

- a. The candidate has successfully innovated in the development of, or application of, effective teaching and assessment and feedback methods, or led departmental initiatives that improve learning environments and approaches to student support and guidance including the use of learning technologies where appropriate
- b. The candidate has designed, planned and implemented a wide range of effective and inclusive teaching and supporting learning activities
- c. The candidate has built, and/or generated funding for, external networks of contacts (including international contacts) to develop and/or consolidate one or more teaching interests of the Department/School

- d. The candidate has participated in a major way in regional, national or international teaching initiatives, or had success in obtaining grants for teaching initiatives
- e. The candidate has an established reputation with external agencies/clients (including international) and a portfolio of activities that lead to financial, reputational or other significant benefits to the University's teaching and/or student support
- f. The candidate has made contributions which advance our ideas on how a subject can be taught either by scholarly publications which are critical, reflective and evaluative of teaching and/or student support; and/or by invitations to major conferences, and/or by advising other educational providers
- g. The candidate has been significantly involved in course development, particularly the development of new programmes of study which takes an inclusive approach to delivery and where appropriate, considered the use and value of appropriate learning technologies
- h. The candidate has made a significant contribution to the professional development of others at the University in relation to teaching. For example, through tutoring or facilitating sessions on the Bath Course, supporting colleagues and sharing practice through mentoring, projects and events.
- i. The candidate has made a significant contribution to outreach and/or Widening Participation public engagement with research activity within the Department, Faculty/School or University e.g. support for activities such as summer schools, subject taster days, master classes and *On Track to Bath*
- j. Other (please specify) e.g. the candidate has contributed to the development of the student experience (including for international students); the candidate has engaged with international mobility opportunities; the candidate has contributed to standard setting forums; the candidate has supported professional doctorates (EngD, DTC).

Senior Lecturer (T & R) – Teaching (effective contribution)

Requires:

The candidate has auditable and sustained evidence that he/she is an effective teacher; **and**

The candidate has an awareness of general issues and current expectations in the teaching of, and/or supporting learning in, her/his subject, and is up to date in terms of content and methods of teaching and/or supporting learning including the value and use of learning technologies;

and auditable evidence of **one or more** of the following:

- a. The candidate has successfully innovated in the development of, or application of, effective teaching and assessment and feedback methods, or led departmental initiatives that improve learning environments and approaches to student support and guidance using learning technologies where appropriate (student support for international students)

- b. The candidate has designed, planned and implemented a wide range of effective and inclusive teaching and supporting learning activities
- c. The candidate has built, and/or generated funding for, external networks of contacts (including international partners) to develop and/or consolidate one or more teaching interests of the Department/School
- d. The candidate has participated in a major way in regional, national or international teaching initiatives, or had success in obtaining grants for teaching initiatives
- e. The candidate has an established reputation with external agencies/clients (which may be international) and a portfolio of activities that lead to financial, reputational or other significant benefits to the University's teaching and/or student support
- f. The candidate has made contributions which advance our ideas on how a subject can be taught either by scholarly publications which are critical, reflective and evaluative of teaching and/or student support; and/or by invitations to major conferences, and/or by advising other educational providers
- g. The candidate has been significantly involved in course development, particularly the development of new programmes of study which takes an inclusive approach to delivery and where appropriate, considered the use and value of appropriate learning technologies
- h. The candidate has made an effective contribution to the professional development of others at the University in relation to teaching. For example, through tutoring or facilitating sessions on the Bath Course, supporting colleagues and sharing practice through mentoring, projects and events.
- i. The candidate has made an effective contribution to outreach and/or Widening Participation public engagement with research activity within the Department, Faculty/School or University, e.g. support for activities such as summer schools, subject taster days, masterclasses and *On Track to Bath*
- j. Other (please specify) e.g. the candidate has contributed to the development of the student experience (including for international students); the candidate has engaged with international mobility opportunities; the candidate has contributed to standard setting forums; the candidate has supported professional doctorates (EngD, DTC).

3.2.7 Promotion to Senior Lecturer (T)

Candidatures/recommendations for promotion to Senior Lecturer (T) should be compiled with reference to the indicative lists of attributes/achievements provided, indicating which criteria are being addressed (a, b etc), ensuring that there is supporting evidence for each contribution which has been claimed.

Heads of Department and Deans should make their own assessment of the case compiled in respect of each candidate, having regard for the evidence presented by the candidate, and for the range of indicative lists of attributes/achievements provided here.

3.2.8 Promotion criteria: Senior Lecturer (T) – Teaching

Requires:

- The candidate has a sustained and auditable record of high quality and effective teaching and supporting learning attested by: evidence from a teaching profile, evaluation of student feedback and peer review of teaching; or a prize for teaching. This is reinforced by significant professional development; **and**
- The candidate demonstrates a broad understanding of general issues and current expectations including effective and inclusive approaches in the teaching of, and supporting learning in, her/his subject and discipline and is informed by an appropriate evidence base, and is up to date in terms of content and methods of teaching and supporting learning including the value and use of learning technologies.;

and auditable evidence of **three or more** of the following:

- a. The candidate has built, and/or generated funding for, external networks of contacts to develop and/or consolidated one or more teaching interests of the Department/School
- b. The candidate has participated in a major way in regional, national or international teaching and learning initiatives, or has had success in obtaining grants for teaching initiatives
- c. The candidate has an established reputation with external agencies/clients and a portfolio of activities that lead to financial, reputational or other significant benefits to the University's teaching and/or student support
- d. The candidate has successfully innovated in the development, and application of, teaching and/or assessment and feedback methods, or led departmental initiatives that improve learning environments and approaches to student support, and has evidence of the dissemination of these practices in the University or more widely through significant participation in discipline groups or learned-society groups for improving teaching
- e. The candidate has successfully engaged in developing international placements and/or student exchange
- f. The candidate has made contributions which advance our ideas on how a subject can be taught either by scholarly publications which are critical, reflective and evaluative of teaching and/or student support; and/or by invitations to major conferences
- g. The candidate has made a significant contribution to the professional development of others at the University in relation to teaching. For example, through tutoring or facilitating sessions on the Bath Course, supporting colleagues and sharing practice through mentoring, projects and events
- h. The candidate has made an effective contribution to outreach and/or Widening Participation public engagement with research activity within the Department,

Faculty/School or University e.g. support for activities such as summer schools, subject taster days, masterclasses and *On Track to Bath*

- i. Other (please specify) e.g. the candidate has contributed to the development of the student experience (including for international students); the candidate has engaged with international mobility opportunities; the candidate has contributed to standard setting forums.

Senior Lecturer (T) – Management & Leadership

Requires auditable and sustained evidence of fulfilment of two or more of the following:

- a. The candidate has successfully discharged over several years either one significant leadership responsibility, e.g. Director of Studies, or a range of responsibilities at the level of the Department, Faculty/School or University
- b. The candidate has evidence of her/his ability to set up and develop new relationships with client organisations
- c. The candidate has built external networks of contacts round the interests of the Department
- d. The candidate has promoted and/or led change processes through Department/School and/or Faculty committees
- e. The candidate has evidence of successful initiatives or innovations in administrative processes or departmental responsibilities
- f. The candidate has managed colleagues effectively and/or facilitated their academic and personal development.

Note:

Since candidates are not expected to have a profile in Research & Scholarship, a significantly *higher volume of activity* as compared to a case for Senior Lectureship (T & R), in Teaching and Management & Leadership is expected in order to ensure an equitable overall contribution.

3.2.9 Promotion criteria: to Senior Research Fellow

Candidatures/recommendations for promotion to Senior Research Fellow should be compiled with reference to the indicative lists of attributes/achievements, indicating which criteria are being addressed (a, b etc), and ensuring that there is supporting evidence for each contribution which has been claimed.

Heads of Department and Deans should make their own assessment of the case compiled in respect of each candidate, having regard for the evidence presented by the candidate, and for the range of indicative lists of attributes/achievements provided

Candidates for promotion to a post of **Senior Research Fellow** are expected:

- To show successful performance in Research & Scholarship that would be characteristic of a research-focused Senior Lecturer; and
- To demonstrate significant contributions to the management and leadership of research; and
- To demonstrate a volume of contribution in Research & Scholarship significantly higher than that for a Senior Lecturer to ensure an overall equivalent contribution

and

- The candidate will be expected to have a sustained and auditable research record of national standing with some evidence of a developing international reputation; this will be linked to a substantial portfolio of articles published primarily in major journals and/or conference proceedings (or other outputs appropriate to the discipline, e.g. books/book-chapters);

and requires auditable evidence of **two or more** of the following:

- a. The candidate has engaged in research grants/contracts as Principal or Co-Investigator at a funding level appropriate to the discipline, possibly in collaboration with other Universities or organisations
- b. The candidate has a track record of giving presentations – including invited presentations - at national and increasingly at international conferences
- c. The candidate has a track record of successful supervision of postdoctoral research staff and/or postgraduate students at a level appropriate to the discipline
- d. The candidate has made significant contributions to the development of research strategies in the Department/School (or leadership in steering research strategy at Group level)
- e. The candidate has a track record of successful negotiation and management of major action research activity and/or applied research contracts, and/or consultancies, including some with international partners
- f. The candidate has engaged in sustained innovation/enterprise, or knowledge exchange or technology-transfer, activities involving a range of partnerships with non-academic external organisations, including international organisations either for commercial purposes or to increase the non-academic impact of research
- g. The candidate has engaged in sustained activity and/or partnerships for public engagement with their research, realising benefits to themselves, their research and the public involved, increasing the non-academic impact of research
- h. The candidate is the editor or a member of an editorial board of a learned journal
- i. The candidate has a record of doctoral-level examining at other institutions
- j. The candidate has engaged in conference organisation with international participation
- k. The candidate has received an academic or impact-related prize or prizes
- l. The candidate has been invited to deliver talks or lectures to external bodies, which may include international bodies

- m. The candidate has experience of leading research collaborations, which may include with international partners
- n. The candidate has advised select committees, or been a member of working groups, committees and advisory boards or contributed to professional technical committees on best practice
- o. Other (please specify).

Notes:

The case should identify research attributes broadly similar to those of research-focused Senior Lecturers who will normally be applying for and winning significant research funding to sustain both their own posts and that of their research group, where relevant. There should also be evidence to demonstrate a sustained contribution in Research & Scholarship of substantial intellectual distinction, with research that is likely to be focused in one or a small number of related areas in which the candidate is held in high regard, nationally and internationally. Since candidates are not normally expected to make the same contribution to the Department/University as Senior Lecturers in terms of Teaching and more general Management & Leadership, a significantly *higher volume of output* in Research & Scholarship is expected to ensure an equitable overall contribution.

Details of significant contributions to the management and leadership of research should also be included. Since candidates are not normally expected to make the same contribution to the Department/University as Senior Lecturers in terms of Teaching and more general Management & Leadership, a significantly *higher volume of activity* in the Management & Leadership of research is expected to ensure an equitable overall contribution.

3.2.10 Promotion to Reader

Promotion to Reader can be sought in one of two ways:

- Promotions from Lecturer/Research Fellow to Reader are considered at least annually, as with the cycle for promotion to Senior Lecturer or Senior Research Fellow, having regard to individual merit and contribution.
- Translation from Senior Lecturer/Senior Research Fellow to Reader will follow the same *process*, but may happen *at any point in the year*.

In putting forward a Lecturer/Research Fellow for promotion/translation to Reader, Heads of Department/School should provide a justification of why this route has been chosen rather than that of Senior Lecturer/Senior Research Fellow.

For a proposal for promotion/translation to Reader, there should be a submission from the Head of Department/Division in the agreed format, including a comprehensive account of the candidate's research activities and publications, together with the names and addresses of at least four independent, external referees from whom opinion will be sought. These referees should normally be full professors, or of professorial standing. The proposal should contain a supporting statement from a Professor or other senior member of the Department. The Director of Human Resources will contact the referees to ask for their opinion on the candidate's performance in Research & Scholarship, and in Management & Leadership and Teaching, if appropriate.

The completed proposal, including the referees' comments, will then be passed to the Dean. The Dean will consider the evidence presented by the candidate and standards across the Faculty. Finally, the Dean should comment on the application and indicate her/his level of support for the candidate.

The Academic Staff Committee will receive the following:

- The candidate's submission in the appropriate format
- The written support from the Head of Department and one other Professor or other senior member of the Department
- The written comments of the Dean
- The comments of the external referees

The Head of Department/Group (or their nominated deputy) will be invited by the Academic Staff Committee to attend the relevant part of the meeting to provide an update on the candidate's case and respond to questions. The Academic Staff Committee will consider the proposal and will then resolve upon one of the following:

- That the promotion be confirmed without interview
- That the promotion be declined without interview
- That the candidate be interviewed before reaching a decision

It is expected that the majority of candidates will not be interviewed.

Promotions made will take effect from the 1st of the month following the month in which the Committee meets. The Academic Staff Committee will report to Senate the names of staff promoted, and will provide a numeric summary to Senate of those whose promotions have either been declined without interview or who are to be interviewed before reaching a decision.

Feedback will be provided for candidates who are unsuccessful either without being interviewed or following an interview which does not lead to promotion. The Academic Staff Committee will provide such feedback in writing via the Director of Human Resources. The Head of Department/Division will arrange for Personal Action Plans to be developed for all academics who apply unsuccessfully for promotion both where the case is not supported by the department and where not agreed by Academic Staff Committee.

3.2.11 Promotion criteria: to Reader

Candidatures/recommendations for promotion to Reader should be compiled with reference to the indicative lists of attributes/achievements provided here, ensuring that there is supporting evidence for each contribution which has been claimed.

Heads of Department/Group and Deans should make their own assessment of the case compiled in respect of each candidate, having regard for the evidence presented by the candidate, and for the range of indicative lists of attributes/achievements provided here.

Requires:

- The candidate will be expected to have a sustained and auditable research record normally of international standing: this will be linked to a substantial portfolio of articles published primarily in major journals and/or conference proceedings (or other outputs appropriate to the discipline, e.g. books/book-chapters); **and**
- The candidate will be expected to have attracted research grants/ contracts as Principal or Co-Investigator at a funding level appropriate to the discipline, possibly in collaboration with other Universities or organisations,
 - a. **and** significant auditable evidence of **three or more** of the following:
 - b. The candidate has a track record of giving presentations – including invited presentations - at national and increasingly at international conferences
 - c. The candidate has a sustained record of attracting major research grants and contracts, as appropriate to the discipline
 - d. The candidate has a track record of successful supervision of postdoctoral research staff and/or postgraduate students at a level appropriate to the discipline
 - e. The candidate has made significant contributions to the development of research strategies in the Department/School (or leadership in steering research strategy at Group level)

- f. The candidate has a track record of successful negotiation and management of major action research activity, and/or applied research contracts, and/or consultancies, including some with international partners
- g. The candidate has engaged and led in sustained innovation/enterprise, or knowledge- exchange or technology-transfer, or public engagement activities involving a range of partnerships with non-academic external organisations, including international organisations either for commercial purposes or to increase the impact of research
- h. The candidate has engaged in sustained activity and/or partnerships for public engagement with their research, realising benefits to themselves, their research and the public involved, increasing the non-academic impact of research
- i. The candidate has undertaken significant editorial duties in respect of a leading learned journal
- j. The candidate has participated in and led conference organisation with international participation
- k. The candidate has received significant academic or impact-related prize or prizes
- l. The candidate has experience of leading research collaborations, which may include with international partners
- m. The candidate has advised select committees, or been a member of working groups, committees and advisory boards or contributed to professional technical committees.

3.2.12 Promotion to Professor

Each academic Department/School will be required at least once a year to consider whether there are any suitable candidates for promotion to Professor (though applications may be made at any time). All eligible members of the Department/School must be informed in writing of this process and may put forward proposals. The Head of Department/Division will be required to confirm to the Dean on an annual basis that they had considered and consulted on whether there are any suitable candidates for promotion to Professor from all eligible members of staff.

The Head of Department/Division will consult with relevant members of the Department/School (for example, the professoriate) to consider any case. It is the decision of the Head of Department (or the Dean in the case of the School of Management), having regard for the published criteria, whether to put forward a case to Academic Staff Committee. The case should include details of the consultation process. Personal applications may also be made (see Personal Applications for Promotions).

The proposal should relate to the published criteria (see 3.2.13), and should be accompanied by the candidate's *curriculum vitae* (in the agreed 'promotions' format). Also provided should be the names of two external, independent, senior academic referees of international standing who should normally be full professors or of professorial standing who might be contacted to suggest the names of normally a total of a further two such independent, external referees.

The case will be considered by a Faculty Committee made up of senior academic staff including representation from each Department/Division and chaired by the Dean which will decide whether a *prima facie* case exists.

If the Faculty Committee is unable to support the proposal then this must be communicated to the relevant Head of Department who will in turn inform the candidate. The case may be withdrawn at this stage at the request of the candidate.

If a *prima facie* case has been established by the Faculty Committee, the case will be passed to HR who will contact the two external, senior academics whose names have been suggested inviting them to put forward the names of further independent external referees of international standing.

The Director of Human Resources will write to the external referees and once a total of at least four responses are received the case will be considered by Academic Staff Committee.

The Head of Department/Division (or their nominated deputy) and Dean will be invited by the Academic Staff Committee to attend the relevant part of the meeting to provide an update on the candidate's case and respond to questions. The Academic Staff Committee will consider the proposal and will then resolve upon one of the following:

- That the promotion be confirmed without interview
- That the promotion be declined without interview
- That the candidate be interviewed before reaching a decision.

It is expected that the majority of candidates will not be interviewed.

The Academic Staff Committee will report to Senate the names of staff promoted, and will provide a numeric summary to Senate of those whose promotions have either been declined without interview or who are to be interviewed before reaching a decision.

Promotions made will take effect from the 1st of the month following the month in which the Committee meets. Feedback will be provided for candidates who are unsuccessful either without being interviewed or following an interview which does not lead to promotion. The Academic Staff Committee will provide such feedback via the Director of Human Resources. The Head of Department/Division will arrange for Personal Action Plans to be developed for all academics who apply unsuccessfully for promotion both where the case is not supported by the department and where not agreed by Academic Staff Committee.

3.2.13 Promotion criteria: to Professor

Candidatures/recommendations for promotion to Professor should be compiled with reference to the indicative lists of attributes/achievements provided here, indicating which criteria are being addressed (a, b etc), and ensuring that there is supporting evidence for each contribution which has been claimed.

Heads of Department and Deans should make their own assessment of the case compiled in respect of each candidate, having regard for the evidence presented by the candidate, and for the range of indicative lists of attributes/achievements provided here.

Professor – Management & Leadership (major contribution)

Requires significant and auditable achievements in **two or more** of the following:

- a. The candidate has a sustained, established international reputation and acknowledged expertise with senior managers in client organisations, professional associations, nationally and internationally
- b. The candidate has frequently been consulted on technical and/or policy matters at national level
- c. The candidate has established and developed sustainable academic networks with other HE and/or FE institutions nationally or internationally which bring benefit to the University over a sustained period
- d. The candidate has shown successful strategic leadership and management of significant change at Department or Faculty/School level over a sustained period
- e. The candidate has shown effective management and leadership qualities at University level over a sustained period
- f. The candidate has contributed to setting up new initiatives especially international activities over a sustained period
- g. The candidate has represented the Department's/School's activities with groups beyond the University, especially internationally, bringing benefit to the University over a sustained period
- h. The candidate has a sustained record of substantial income generation for the benefit of the Department/School/University (research grants are covered in the Research & Scholarship category)
- i. The candidate has a sustained record of work undertaken with professional bodies
- j. The candidate has been significantly involved in the organisation of several major conferences with high-profile international collaborators
- k. Other (please specify).

Professor – Management & Leadership (effective contribution)

Requires significant and auditable achievements in **two or more** of the following:

- a. The candidate has an established reputation and acknowledged expertise with senior managers in client organisations, professional associations nationally and/or internationally
- b. The candidate has been consulted on policy matters at national level
- c. The candidate has established and developed sustainable academic networks with other HE and/or FE institutions nationally and/or internationally which bring benefit to the University

- d. The candidate has shown successful strategic leadership and management of significant change at Department or Faculty/School level
- e. The candidate has shown management and leadership qualities at University level
- f. The candidate has contributed to setting up new initiatives
- g. The candidate has represented the Department's/School's activities with groups outside the Department and the University, bringing benefit to the University, especially in the international environment
- h. The candidate has a sustained record of income generation for the benefit of the Department/School/University (research grants are covered in the Research & Scholarship category)
- i. The candidate has undertaken work with professional bodies
- j. The candidate has been significantly involved in the organisation of a major conference including high profile international participants

Professor – Research & Scholarship (major contribution)

Requires:

- The candidate has an outstanding, auditable and sustained record of publication in leading peer-reviewed journals or other forms of output appropriate for the discipline at a national and normally international level; **and**
- The candidate will be expected to have attracted research grants/ contracts as Principal or Co-Investigator at a funding level appropriate to the discipline, possibly in collaboration with other Universities or organisations,

and significant and auditable achievements in **two or more** of the following:

- a. The candidate has led a University Research Institute or Research Centre or a research group.
- b. The candidate has a sustained record of attracting major research grants and contracts, as appropriate for the discipline
- c. The candidate has led major collaborative activity with other institutions and/or bodies, bringing significant benefit to the University's national and international standing
- d. The candidate has a track record of invited presentations at international conferences.
- e. The candidate has won prizes and awards, has been appointed to national or international bodies, or has other forms of external recognition
- f. The candidate has shown leadership and has an extensive track record of substantial innovation/enterprise, or knowledge - exchange, technology-transfer or public engagement with research activities
- g. The candidate has led a major/specialist consultancy service operating at a national and international level

- h. The candidate has a sustained record as the editor, or a member of an editorial board, of a learned journal with internationally leading citation impacts
- i. Other (please specify).

Professor – Research & Scholarship (effective contribution)

Requires significant and auditable achievements in **two or more** of the following:

- a. The candidate has a record of publication in peer-reviewed journals or other forms of output appropriate for the discipline
- b. The candidate has had a significant leadership role in a Research Group or Research Centre with international collaborators
- c. The candidate has a sustained record of attracting research grants and contracts, as appropriate for the discipline
- d. The candidate has led major collaborative activity with other institutions and/or bodies, bringing significant benefit to the University's standing
- e. The candidate has a track record of invited presentations at major national or international conferences
- f. The candidate has won prizes and awards, appointments to national or international bodies, other forms of external recognition
- g. The candidate has shown leadership and has a track record of substantial innovation/enterprise, or knowledge exchange, technology-transfer or public engagement with research activities
- h. The candidate has led a major/specialist consultancy service operating at a national and international level

Professor – Teaching (major contribution)

Requires:

The candidate has auditable and sustained evidence of effective achievements in teaching and/or supporting learning in terms of personal performance, strategic leadership, innovation impact and dissemination, which are at least of national eminence and which have been sustained over a significant period (external recognition is an essential hallmark at this level and the appropriate evidence must be provided). This is reinforced by a sustained commitment to and engagement in, continuing professional development related to academic, institutional and/or other professional practises.

and significant and auditable achievements in **two or more** of the following:

- a. The candidate has contributed in a major way to successful cross-departmental teaching, learning and assessment projects and policies
- b. As a key contribution to high quality student learning, the candidate has taken a lead in steering the teaching and learning strategy of the Department/School

- c. The candidate has an established reputation with external agencies/clients and portfolio of activities that lead to financial, reputational or other significant benefits to the University's teaching and/or student support, including international students and student mobility
- d. The candidate has shown innovative development and leadership within the Department/School and the University more widely. This may include the appropriate use of learning technologies and techniques, such as e-assessment or the creative exploitation of electronic resources to support learning
- e. The candidate is the author of teaching materials in her/his subject/ discipline area which are widely acknowledged as effective and valuable, e.g. major textbook, web resource
- f. The candidate has major publications which are critical, reflective and evaluative of teaching, and which advance our ideas on how a subject should be taught
- g. The candidate has developed and successfully marketed curricula or methods of teaching designed to attract new client groups, especially in national and international markets
- h. Other (please specify).

Professor – Teaching (effective contribution)

Requires significant and auditable achievements in **two or more** of the following:

- a. The candidate has a personal profile of excellent effective teaching and supporting learning in the University
- b. The candidate has contributed to successful departmental/cross-departmental teaching, learning and assessment projects and policies
- c. The candidate has an established reputation with external agencies/clients and a portfolio of activities that lead to financial, reputational or other significant benefits to the University's teaching and/or student support
- d. The candidate has shown innovative development and leadership within the Department/School/University. This may include the appropriate use of learning technologies and techniques, such as e-assessment or the creative exploitation of electronic resources to support learning
- e. The candidate is the author of teaching materials in her/his subject/discipline area which are widely acknowledged as effective and valuable, e.g. major textbook, web resource
- f. The candidate has major publications which are critical, reflective and evaluative of teaching, and which advance our ideas on how a subject should be taught
- g. The candidate has developed and successfully marketed curricula or methods of teaching designed to attract new client groups

3.3 Personal Applications for Promotion

It will always be open for an individual to submit a personal application for promotion if he/she considers that her/his case has been overlooked or is not supported by line management. All applications will be examined first by an ad-hoc sub group of the Academic Staff Committee. The sub group will consist of a Pro-Vice-Chancellor (chair) and two members of the Academic Staff Committee (one of whom must be from the same Faculty/School as the candidate for personal promotion). This sub-group will determine whether there is a *prima facie* case. If a *prima facie* case is established, the procedures applying to each category of promotion (for seeking the views of the professoriate or all senior staff in the Department/School, the Dean, and external referees) will be initiated by the Director of Human Resources. The Dean will be asked to nominate referees. The case will be considered by Academic Staff Committee. The candidate can request if it is the Head of Department or another senior academic member of the Department who should attend the Committee meeting. If the Head of Department is not to attend the Committee meeting they will be given the opportunity to provide to the Committee a written submission and comment on the case made by the ad-hoc sub group for the individual candidate for promotion.

3.4 Exceptional Promotions

The University recognises that, very occasionally, there is a need to expedite the consideration of a case for promotion. The global market for exceptional academic talent can mean that a member of staff will be offered promoted positions in competitor institutions, either in the UK or overseas, in a manner that does not fit the normal academic cycle of the promotions process.

In such circumstances the Chair of the Academic Staff Committee is authorised to call a special meeting of the Academic Staff Committee to consider a case for promotion to Senior Lecturer, Reader, Senior Research Fellow or Professor or, in exceptional circumstances when a meeting cannot be convened to seek written opinion from members of the Committee on which Chair's action can be taken.

In such circumstances the Academic Staff Committee will make a judgement based on the normal criteria and full supporting evidence for the case, including the written views of independent external referees.

3.5 Appeals Procedures

Members of staff have the right of appeal against decisions in relation to their appointment or progression made by the Academic Staff Committee. Appeals must be sent to the Director of Human Resources within ten working days of notification of the decision of the Committee and must clearly state the grounds on which the appeal is being made. Such appeals are the responsibility of an Academic Staff Appeal Committee.

The Director of Human Resources or their nominee routinely attends meetings of the Academic Staff Appeal Committee.

The Appellant has the right to be accompanied by a friend, work colleague or trade union representative.

An Academic Staff Appeal Committee will hear and consider the evidence, and may decide:

- That the Committee had followed its procedures correctly, and exercised its discretion properly, and that the appeal be rejected;
- That the decision of the Committee fell outside the band of reasonable decisions open to the Committee and that the case be referred back to the relevant Committee for further consideration against the detailed commentary of the Academic Staff Appeal Committee. The relevant Committee's decision at its second consideration of the case will be final.

The decision will be conveyed orally to the Appellant and the Chair of the relevant Committee as soon as possible. The decision will be confirmed in writing within five working days of the Hearing. The Academic Staff Appeal Committee will report its decision to Senate.

4 Committee structure and governance

4.1 Academic Staff Committee (Committee of Senate)

The membership of the Academic Staff Committee will be as follows:

Vice-President (Community & Inclusion) (Chair)

Pro-Vice-Chancellor (Learning & Teaching)

Pro-Vice-Chancellor (Research)

Pro-Vice-Chancellor (Internationalisation)

Two members of the Faculty of Science

Two members of the Faculty of Humanities & Social Sciences

Two members of the Faculty of Engineering & Design

Two members of the School of Management

Two members of Education & Research job family staff nominated by the Vice-Chancellor.

In attendance: Director of Human Resources or her/his nominee.

The members of each Faculty/School are elected by Senate and must hold Education & Research job family posts at the level of Professor or Reader/Senior Lecturer/Senior Research Fellow. Their term of office is for three years and they are eligible for re-election. The two members of each Faculty must be from different Departments.

The members of Education & Research job family staff nominated by the Vice-Chancellor must hold Education & Research job family posts at the level of Professor or Reader/Senior Lecturer/Senior Research Fellow. Their term of office is for one year (renewable).

Deans of Faculty/ School are not eligible for membership of the Committee.

The quorum for meetings of the Committee is one-third of the membership (i.e. five members).

The terms of reference of the Academic Staff Committee are as follows:

1. To consider and determine matters relating to the appointment and progression of staff in the Education & Research job family in accordance with the principles and framework agreed for that purpose by Senate.

The main responsibilities of the Committee in relation to pre-probation, probation and promotion are as follows:

Pre-Probation and Probation

- On the recommendation of the Head of Department/Group, to consider and determine whether a pre-probationary Lecturer progresses to probation. If so, the Committee will set a framework for the forthcoming probationary period.
- To determine, by means of an *ad hoc* sub-group of the Academic Staff Committee, Lecturer claims for exemption from the requirement to undertake probationary service. Such a group will consist of the Chair of the Academic Staff Committee and two members of the Academic Staff Committee (one of whom must be from the same Faculty/School as the claimant for exemption) and the Head of Academic Staff Development. Grants of exemption will be reported to the Academic Staff Committee.
- On the recommendation of the Head of Department/Group, to consider a report on the progress of a Lecturer at the end of each year of the probationary period and determine whether a probationary Lecturer progresses to the next year of probation.
- On the recommendation of the Head of Department/Group, to consider and determine whether the appointment of a Lecturer be confirmed following completion of the normal period of probation of three years. If it is considered necessary, the Head of Department/Group may recommend an extension of probation for a period normally up to one further year. The Committee will, in such cases, set detailed objectives to be monitored and form the basis of the new final report at the end of the extension period.

Promotion

- On the recommendation of the Head of Department (or the Dean in the case of the School of Management), to consider and determine candidatures for promotion to Senior Lecturer, Senior Research Fellow, Reader and Professor.
 - To consider personal applications for promotion to Senior Lecturer, Senior Research Fellow, Reader and Professor. If the Committee determines that a *prima facie* case for promotion exists, the Director of Human Resources will initiate the normal procedure for each category of promotion.
2. To advise Senate on matters relating to the appointment and progression of staff in the Education & Research job family in general.
 3. To approve amendment of Professorial Titles as delegated by Senate.

Reporting Arrangements

The Committee will routinely report to Senate:

- the names of staff whose appointment as Lecturer has been confirmed;
- the number of staff required to serve an additional period of probation or who have not successfully completed probation;
- the names of staff who have been promoted and the nature of their promotion;
- the number of staff declined promotion either with interview or without interview.

4.2 Academic Staff Appeal Committee (Committee of Council & Senate)

The membership of an Academic Staff Appeal Committee is as follows:

A Lay Member of Council (Chair)

A Dean of Faculty/School (or a former Dean of Faculty/School) other than that of the appellant

A member of Senate

The Chair of Academic Assembly or a former Chair of Academic Assembly if the current Chair has a conflict of interest.

In attendance: Director of Human Resources or their nominee.

An Academic Staff Appeal Committee is convened as required.

The members of an Academic Staff Appeal Committee must have had no prior involvement with the case of the appellant.

The terms of reference of an Academic Staff Appeal Committee are as follows:

1. To consider and determine appeals from individual members of staff against decisions in relation to their appointment or progression made by the Academic Staff Committee, The decisions of an Academic Staff Appeal Committee will be reported to Senate.

4.3 Document Version History

- C07/08-56B of February 2008;
- April 2012 update incorporating agreed changes to Teaching Fellow probation (increase from six months to twelve months) and changes to the academic staff development requirements for new Lecturers and Teaching Fellows consequent on the phasing out of the ITDP (subsequently PGCAPP) and introduction of The Bath Course.
- July 2013 update to include additional guidance in terms of Notes on the Role of Mentors (previously in QA Statements); Promotion Criteria for Teaching Fellows from Grade 7-8; Incorporation of Professional Standards Framework into Promotion Criteria; to clarify existing guidance on Reader criteria and procedures; probation extensions; exceptional promotions and to remove unused provisions such as for Research Fellow Sub Group as well as to make a number of small changes reflecting the way that practice has developed since the original document was written.
- January 2014: update with feedback from initial consultation process and views of VCG (13.1.14).
- March 2014: incorporating comments of Executive Committee (mtg January 2014), HoDs and UCU.
- April 2014 : version agreed by Senate (9.4.14)
- May 2014 : version agreed by Council (22.5.14)
- December 2015 : version incorporating feedback from ASC (November 2015)
- December 2015 : post-VCG revision incorporating feedback from VCG – v2.1 (14.12.15)
- December 2015 : post-VCG revision incorporating feedback from VCG and the DVC – v2.2 (15.12.15)
- December 2015 : post-VCG revision incorporating feedback from VCG and the DVC – v2.3 (16.12.15)
- December 2015 : post-VCG revision incorporating feedback from VCG and the DVC – v2.4 (23.12.15)
- December 2015 : post-VCG revision incorporating feedback from VCG and the DVC – v2.5 (24.12.15)
- March 2016: post-VCG revision incorporating feedback from VCG, the DVC and feedback from UCU – v2.6 (24.03.16)
- April 2016: version presented to Senate
- May 2016: version presented to Council
- April 2019 : version presented to Senate
- September 2020: this version, amended to reflect the discontinuation of the Teaching Fellow role and the introduction of academic status for Lecturer (Teaching); amended to reflect the discontinuation of the Bath Course and its replacement with the APDAS

programme/ Pathway to HEA Fellowship. Editorial changes to improve structure and readability. Approved by Senate, October 2020.

- February 2023: this version, amended to enable a posthumous award of an academic title for those who have embarked on a promotion process. Approved by Senate, February 2023.
- September 2023: this version, amended to reflect the new chairing arrangements of ASC. Approved by Senate, September 2023.

