

FACULTY OF ENGINEERING AND PHYSICAL SCIENCES

ACADEMIC PROMOTIONS PROCEDURE 2009-10

General

1. This document sets out academic promotions procedures for the Faculty of Engineering and Physical Sciences. The procedures have been devised to ensure the consistent implementation of the University's policy on academic promotions, as approved by the Board of Governors.
2. Members of Promotions and Appointing Committees (School and Faculty) should have undertaken an approved training course in equality and diversity and should be chosen to reflect principles of gender and ethnic diversity. Where a School is unable to meet the requirements for diversity from within its own staff, it may co-opt appropriate additional members from other Schools.

PROMOTIONS

Introduction

3. The procedure for the Faculty of Engineering and Physical Sciences is based on the 'Academic Promotions Policy for the University of Manchester'. This should be read in conjunction with this procedure.
4. The categories for promotion and criteria relating to these categories are those set out by the University in the supporting document 'Guidance Notes: Criteria for Academic Promotions'. These and all other documentation relating to academic promotions including forms and timetable are available on the Faculty of Engineering and Physical Sciences intranet.

Initiating the Process

5. The Faculty, working through Schools, will announce that the annual promotions cycle has commenced, provide a timetable of key dates, and tell staff how they can obtain a copy of this procedure document. Schools will determine and communicate a local timetable for the submission of cases to SPC and will schedule meetings of SPC such that the deadlines set out in the timetable for submissions to FPC can be met.

6. Individuals wishing to be considered for promotion should seek the advice of an appropriate senior colleague¹ to both assess how well they meet the criteria and to obtain advice on preparing a case. The primary responsibility for identifying potential promotion cases rests with Heads of School (in consultation with other senior members of the School) so they should ensure that individuals they believe to be worthy of promotion are encouraged to put themselves forward within the timescales set out in the timetable, and again given advice by the appropriate senior colleague on how to prepare a case. Adequate procedures should also be in place to cover staff with joint appointments in two or more Schools, or who have teaching and research duties in two Schools or Research Institutes/Centres.
7. Individuals who wish to apply for promotion should submit to their Head of School by Key Date 1 in the annual timetable an up-to-date copy of their CV, and a brief case indicating how they believe they meet the criteria for promotion in terms of Research, Knowledge and Technology transfer, Teaching and Teaching-related activities, and Service and Leadership as appropriate for the category of promotion. **The case must be documented on form 1.** The CV should be laid out according to the Faculty guidelines in the document 'Guidance on the preparation of curriculum vitae for promotion'. As noted above, guidance on how to prepare these documents should be given by the individual's line manager or other appropriate person. The individual's senior colleague at the same time should write a statement saying how they believe the individual meets the criteria for promotion, and send this to the Head of School by Key Date 1 in the annual timetable. (Schools should determine and communicate key date 1 and ensure that this does not impact on the ability to meet key dates 2 and 3).
8. Names of referees should be provided as follows:-
 - Promotion to Senior Lecturer, Senior Research Fellow, Reader – the candidate should supply the name of 2 referees and the Head of School should provide a further 2 names. These 2 referees should be academic leaders who are independent of the candidate (i.e. not suggested by the candidate, and not connected to the candidate by collaboration, friendship, or as former colleagues at the same institution). At least 2 of the 3 names should normally be international referees (although it is acknowledged that for those applying for promotion to Senior Lecturer based primarily on teaching it may be more difficult to comply with this

¹ This will usually be the individual's line manager such as Head of School, head of division, Director of Research Centre, but in some cases it may be more appropriate to use a senior colleague (ideally a professor) with specialist knowledge of a specific area.

requirement and the School and Faculty Promotions Committees have the discretion to exercise their judgement in this respect). At least 2 of the 3 names should be external referees (again for those applying for promotion to Senior Lecturer based primarily on teaching the School and Faculty Promotions Committees have the discretion to exercise their judgement in this respect). It is expected that referees will be from leading research institutions. All 4 referees will be approached by the School and asked to submit a reference within the required timescales.

- Promotion to Chair – the candidate should supply the names of 2 referees and the Head of School should provide a further 4 names. These 4 referees should be academic leaders who are independent of the candidate (i.e. not suggested by the candidate, and not connected to the candidate by collaboration, friendship, or as former colleagues at the same institution). At least 3 of the 6 names should normally be international referees (although it is acknowledged that for those applying for promotion to Chair based primarily on teaching it may be more difficult to comply with this requirement and the School and Faculty Promotions Committees have the discretion to exercise their judgement in this respect). At least 4 of the 6 names should be external referees. It is expected that referees will be from leading research institutions. The Head of School will select 5 of the 6 referees to be approached. The referees will be asked to submit a reference within the required timescale.

The School Promotions Committee (SPC)

9. Each School shall establish one (or more) School Promotions Committee(s). Schools must ensure that the Committee consists of at least five members of the School.² As far as is possible the Committee should be constituted to provide a membership that reflects principles of ethnic and gender diversity. Members may be co-opted from other Schools for this purpose.
10. The SPC shall consider the written cases put forward for promotion, including references. If additional information is required this should be sought in writing. The role of the SPC is to determine whether a *prima facie* case for promotion has been established. The SPC should identify in each case whether they believe the case:
 - (a) clearly meets the criteria for promotion;
 - (b) marginally meets the criteria for promotion;
 - (c) marginally fails to meet the criteria for

² Schools are encouraged to have one or two members of their promotions committee elected by the School Board

promotion; or (d) clearly fails to meet the criteria for promotion. The SPC shall follow up references as outlined in paragraph 8 above.

11. All cases should be sent to the Head of Faculty HR by Key Date 2 in the annual timetable, and the Head of School should inform each candidate that their case has been sent to the Faculty Promotions Committee, though **not** which category the case is in (**except in the case of those at category d as referred to in point 12 below**). The submission to HR should include details of each case, which should consist of the documentation received by the SPC together with an indication of the category in which it falls, and a brief statement of the reasons why the SPC reached that judgement. The names of the referees originally identified should also be included. In the case of applications for promotion to Chair the Dean will have the discretion to take up the remaining reference if this is considered to be appropriate. The School should also ensure that the submission to the FPC contains quantitative evidence about teaching loads and quality (e.g. peer review of teaching, summaries of student questionnaires and scores) against School norms, to enable the FPC to make an adequate assessment of the effectiveness of the applicant's contribution to this area.
12. In cases that fall in Category (d) the Head of School shall meet the candidate to explain why the case clearly failed to meet the criteria, provide advice on how the case might be strengthened and provide advice on the procedure for making a personal case to the Faculty Promotions Committee. This should be confirmed in writing to the individual with a copy to the Faculty Head of Human Resources. This process should be completed by Key Date 3 in the annual timetable. The Head of Faculty Human Resources should include personal cases with submissions from Schools to the FPC.

Faculty Promotions Committee (FPC)

13. By Key Date 4 in the annual timetable the Vice-President and Dean shall convene a Faculty Promotions Committee (FPC) which consists of: (i) the Vice-President and Dean (chair); (ii) the Associate Dean for Research or Post-graduate Research (iii) one of the Associate Deans for Graduate Education or Teaching and Learning; (iv) an appropriate Associate Dean from another Faculty; (v) two other professors and a non-professorial member appointed by the Vice-President and Dean subject to approval by the Faculty Committee. When considering applications for promotion to the status of professor, membership will also include a member of the UPC.

14. The FPC shall consider the written cases put forward for promotion, including the references. If additional information is required it should be sought in writing. The role of the FPC is to determine which candidates from its Faculty are promotable, on the basis of written submissions from the School and the candidate.
15. Where the FPC determine that a candidate satisfies the criteria for promotion, but where this view is contrary to the findings of the relevant School, the FPC will refer the case back to the SPC for further consideration. The FPC may however, determine that a case recommended by the SPC should not be submitted to the UPC. Where there remains a substantial discrepancy between the School and Faculty in the assessment of a candidate and the matter cannot be resolved through investigation and reconsideration, the case should be reported to UPC for determination. Such circumstances would only rarely be expected to occur.
16. Where the FPC decides a case does not meet the criteria, the Dean (or other member of the FPC nominated by the Dean) shall meet the candidate accompanied by Head of School or appropriate senior colleague, to explain why the case failed to meet the criteria, provide advice on how the case might be strengthened, and provide advice on right of appeal (see point 26 below). This should be confirmed in writing with a copy to the Faculty Head of Human Resources.
17. By Key Date 5 in the annual timetable, the FPC shall submit to the University Promotions Committee, through the Director of Human Resources, who acts as Secretary to the UPC, a report of the recommendations reached by the FPC indicating (i) the candidates who applied for promotion; (ii) the recommendations made at each stage by the SPC and FPC; (iii) any marginal cases which it would like University Promotions Committee to determine. For marginal cases FPC will give the reasons why it has reached its decision in each case and provide a comprehensive narrative, Curriculum Vitae and references. The FPC recommendations must be submitted by category of promotion and within each category, in rank order of desirability to promote, i.e. 1 being highest, 2, 3 etc.
18. Where a case is representative of the special category application of Enterprise, comments on individuals should be submitted in a manner which will allow the maintenance of a systematised record of the contribution which warrants promotion.

19. Presentation of submissions by the FPC should be accompanied by a profile of constituent Schools and appropriate statistics, including metrics of ethnicity, gender and age; size of School; total number of applications for promotion for each category, and the proportion of the total cohort they represent; and the number of unsuccessful candidates at each stage.

University Promotions Committee

20. The President shall convene a meeting of the University Promotions Committee which will consist of: the President; the four policy Vice-Presidents; four professorial members of the Senate, elected by Senate.
21. For consideration of applications for promotion to the status of Reader, Senior Lecturer and Senior Research Fellow, the UPC will be supplemented by the addition of two non-professorial members, elected by the Senate.
22. The role of the UPC is to ensure equity and consistency of treatment across the University. The UPC will normally meet annually to oversee the conduct of the promotions procedure at Faculty level in order to confirm that good practice has been observed and timetables met. It will do this by (i) considering summary data on staffing in each School to assess whether there are any broad indicators that some Schools are applying inappropriate standards for promotion; (ii) resolving marginal cases referred to it.
23. Vice-Presidents/Deans will attend the UPC to speak to submissions, in order to differentiate between successful candidates at the margin and satisfy the UPC that equitable arrangements were in place throughout Faculties/Schools. All Vice-Presidents/Deans will be present together at the UPC to allow comparisons between Faculty practices to be discussed.
24. The Director of Human Resources will submit final determinations to the Board of Governors on behalf of the UPC. In the interests of consistency and quality assurance, whilst UPC will not interfere with the ranking submitted by the FPC, it might limit the cohort, without referring back to the FPC. Again, where for reasons of consistency and quality assurance the UPC makes a decision to promote a candidate who the FPC did not feel was promotable, or for which the UPC was requested to decide, it will not do so without referring back to the FPC. Such interventions by the UPC in the interest of consistency and quality assurance should be regarded as exceptional.
25. Where the UPC decides a (marginal) case does not meet the criteria, one of the Policy Vice-Presidents together with the relevant Vice-President and

Appeals

26. Candidates unsuccessful at the FPC may request a review of the decision not to promote them by writing to the Director of Human Resources, who will arrange an Appeals Panel which, having considered the merits of the case and determined an outcome, will report that outcome to the Board through the UPC. An appeal may only be made on the grounds of procedural irregularity. Where the case of the appellant is upheld and referred back to the FPC for re-consideration, the Chair of the relevant Appeals Panel will attend the meeting of the FPC. In the event that the FPC confirms the original decision not to approve promotion, the Chair of the FPC will attend the UPC in order to report on the matter.

Implementation

27. The Vice-President/Dean, in consultation with the Head of School and Head of Faculty HR, will establish a level of salary for all newly promoted candidates and for Chairs, the professorial title, and make arrangements for the appointments to be reported to Senate.

28. Successful candidates will be promoted with effect from 1 August following. Candidates who are promoted to Senior Lecturer/Senior Research Fellow will be put on the minimum point of the Senior Lecturer scale, or, where the salary is already greater than this amount, will receive the value of one increment on their new scale. Readers will receive the value of one additional increment. Candidates who are promoted to Professor will be put on the minimum point of professorial zone E, or, where the salary is already greater than this amount s/he will receive the value on one increment on their new scale.

Fast track application

29. Exceptionally, in cases of threatened loss of a key member of staff, where there is clear evidence that the member of staff has received or is likely to receive an offer from another University or organisation, and is considered to be qualified for promotion and therefore where there is an urgent need to consider promotion cases outside the normal cycle, a fast track application route is available.

30. Where a School wishes to put forward such a case, the Head of School should, in the first instance, discuss the circumstances with the Vice-

31. The relevant Vice-President/Dean, having consulted members of a properly constituted FPC, may bring a recommendation forward to the UPC for immediate consideration for promotion. It is anticipated that judicious and disciplined approach to performance and development review, appraisal and regular review will lead to candidates for promotion being submitted in a timely manner in the normal cycle and this route being rarely adopted.

Human Resources
October 2009