



Senior Promotions Procedures (Academic) Grade 8-9 or Grade 9-10

1. Introduction

This procedure describes the promotion process for all senior academic promotions, including to:

- Professor (Grade 10)
- Professorial Fellow (Grade 10)
- Associate Professor (Grade 9)
- Senior Research Fellow (Grade 9)

The criteria for such promotions are set out in *Appendix A - Academic and Research Promotions – Criteria for Assessment*. These are based on role descriptions derived from the nationally recognised Role Profiles recommended by JNCHEs.

2. The University Senior Promotions (Academic) Board

The Review Board will normally be made up as follows:

- Principal, Chair
- Vice Principal and Provost
- Deputy Principal (Research and Innovation)
- Deputy Principal (Learning and Teaching)
- Deans of the University
- Heads of Schools
- Provost (or Deputy) from Malaysia and Dubai

This membership can be varied at the discretion of the Principal, who may also nominate an alternate senior colleague as Chair.

All members of the Board should have an awareness of HERA job evaluation scheme.

3. Promotions Nomination Process

As part of the PDR process all academic staff should discuss their career path and progression with their Reviewer, including the opportunities for developing their career and promotion prospects. Heads of Schools shall, in consultation with the Management Team of the School, ensure that all academic staff, as far as possible, have access to development opportunities to allow them to achieve their career ambitions.

HR will write to Heads of Schools in January of each year informing them of the relevant dates for submission of promotion cases.

Schools should convene a School Promotions Panel (SPP) to consider all cases within the School and make recommendations to the University Senior Promotions Board. Terms of Reference for SPPs are in Appendix B

3.1 Nominations from Head of School to the University Senior Promotions Board

The cases for promotion must include:

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A. From the candidate

- The individual's case for promotion on no more than 2 sides of A4 which should be written with reference to the criteria for assessment and in particular how they match the relevant role profile.
- Full Curriculum Vitae in the University format and publications list where relevant
- Details of at least two external referees for Grade 9 promotion and four for Grade 10
- Special Circumstance Form (where relevant)

B. From the School

- Senior Promotions Board (SPB) form commenting on the case for promotion and including an assessment of the candidates' achievements and contribution against the criteria detailed in *Appendix A - Academic and Research Promotions – Criteria for Assessment*.
- The names of two independent assessors for Grade 9 promotion and three for Grade 10, who can provide comment on the candidate's standing in the discipline.

3.2 Self Nomination

Following the considerations of the School Promotions Panel, academic staff will be informed by their Head of School as to whether or not the SPP is supporting their case for promotion. If a case is not being supported, individuals will be advised of the reasons for that decision and will then have the option of making a personal case for promotion.

Personal cases for promotion must include the same information and documentation as listed at 3.1A above.

On receipt of a personal case, HR will pass a copy of the self-nomination papers to the Head of School with a request for a positive or negative recommendation, together with reasons for that recommendation. HR will then provide the member of staff with a copy of this recommendation and the member of staff will have the opportunity to provide a written response to that recommendation if they so wish.

3.3 Standard Documentation

In all submission cases, it is important, for consistency purposes that CVs are fully completed in the standard formats, as shown on the HR web pages. [University Academic CV template](#) Incomplete submissions may not be considered.

4. References

The Board will consult external referees for all cases submitted for promotion.

An individual's CV must include the names of at least two referees, who are external to Heriot-Watt University. At least one reference should be from a respected academic in the appropriate discipline; references from relevant industry or professional bodies are also appropriate.

In cases of promotion to Professor or Professorial Fellow, at least one internationally recognised referee at professorial level or equivalent should be included.

Referees' names, positions and affiliations, addresses, e-mail and phone contact points, should be included.

The School will be asked to identify 2 additional independent external assessors/specialists to provide written feedback on the promotion submission.

5. Initial Deliberations of the Senior Promotions Board

The Board will meet initially to review the submitted papers (all documents listed in section 3.1 A and B, above plus, for self nomination cases, the HoS recommendation and any employee response received) for each nominee in order to establish if there are prima facie cases. The main supporting document will be the “*Academic and Research Promotions – Criteria for Assessment*”.

For promotions to Grade 9, the Board may make one of three recommendations based on the cases submitted and the referees' comments:

Promote*
Invite to interview
Not promote

*In cases (other than Professorial promotions) where the prima facie case is compelling, no further assessment will be required.

In accordance with the Ordinances, all candidates who demonstrate a prima facie case for promotion to Professor or Professorial Fellow will be required to attend for interview.

6. Interviews

All candidates for Professorial promotion who meet the criteria and a prima facie case is made, will be interviewed by the Chair (or their representative), the relevant Dean, plus four professors of the University. [Ordinance 2](#)

For all other promotion cases, where it is considered that further information is required, an interview with representatives of the Board (usually the Chair or his or her representative, the relevant Dean, and the Head of School) will be arranged.

Each case will also be assessed in the context of the Criteria for Assessment (See Appendix A), taking into account both the extent to which these criteria are being satisfied and at what level.

The Chair of the interview panel will report the conclusions to the full Board. The final decision will be made on the basis of:

1. interview report
2. the original case papers
3. the available external references and independent assessors reports

7. Contribution Award

In exceptional cases, the Board may award a Bonus Payment or an Accelerated Increment / a Contribution Point within the current grade rather than promoting to a higher grade. This is only where eligibility for promotion cannot be fully justified but the Board consider it appropriate to recognise the individual's performance.

8. Ratification of Promotions

The Board shall send to Senate and Court, a brief summary of all promotion recommendations. Final appointment to senior academic positions requires the approval of Court on the recommendation of Senate.

Senate and Court should be invited to act quickly to allow the decisions to take effect from the appropriate date and to allow the member of staff to be informed in good time.

The effective date of promotion shall be 1 August.

9. Feedback to candidates

All unsuccessful candidates (whether nominated by their Head of School or self-nominated) shall be given reason(s) why they were not promoted. This will be in the form of a letter from the Chair of the Board and a discussion with the Head of School to explain what the individual would need to do to be successful in future. The responsibility for discussing the reasons for unsuccessful promotion with the candidate lies with the Head of School.

10. Appeals Process

Any candidate not promoted, or any Head of School whose nomination has been unsuccessful, may appeal only on the ground of a defect in procedure. Appeals against the nature of the promotion criteria will not be permitted.

11. Exceptional promotions

In exceptional circumstances, (such as retaining essential staff in key strategic areas) there may be the need to hold promotion interviews out with the normal cycle. In these circumstances the individual will be interviewed by an *ad hoc* Senior Promotions Board. This will be chaired by the Principal or nominee and will comprise membership corresponding to the panel as specified in Section 6, above.

Cases for consideration under an Exceptional Promotions procedure must be put forward by the relevant Head of School to the Principal in the normal format. The Principal will consider whether there is a *prima facie* case prior to the *ad hoc* panel being convened. The remaining process followed will be as detailed above.

12. Equality of Opportunity

We value and encourage each unique and positive contribution, acknowledging that our diversity enriches us. The University welcomes and supports applications for career progression from all members of the University Community.

To help us to ensure that our processes are fair, accessible and free from discrimination we will collect and use equality data for monitoring and evaluation purposes. This information will be held in accordance with Data Protection requirements.

13. Timetable (assuming an implementation date of 1st August).

	Date
Notification to HoS/AC Staff	Feb/March
SPP panels to meet	March
Closing date for applicants	end March
Reference collection	April
Initial Meeting of Board	End April
Interviews	May (agree two week period)
Ratification of promotions	June/July
Applicants notified of results	July
Effective date of promotion	1 st August

14. Procedure Review

This procedure is effective from March 2014 and will be reviewed every three years.

Appendix A

Academic Promotion – Criteria for Assessment

1. Introduction

This guidance summarises the main academic and research promotion pathways and also sets out the criteria against which promotion to each grade in the University's structure will be assessed.

This guidance should be read alongside the documents, "Academic Promotions Board (Senior Promotions)" and "Academic Probation and Promotion Board."

The purpose of having a clear academic promotion process is:

- To promote academic staff whose performance demonstrates contribution to the University, with merit in all of:
 - Research;
 - Teaching and Scholarship;
 - Administration, Management and Leadership in the University and external community;
- To provide a fair, transparent and equitable method of assessment;
- To enable flexibility in assessment in order that the over-riding consideration is contribution to the achievement of the University's strategy, recognising that the strategy will inevitably evolve, that minimum levels of achievement will be required in all activities, but that individuals will contribute with different emphasis in the different areas, and that rewards will be on the basis of consistently applied standards.

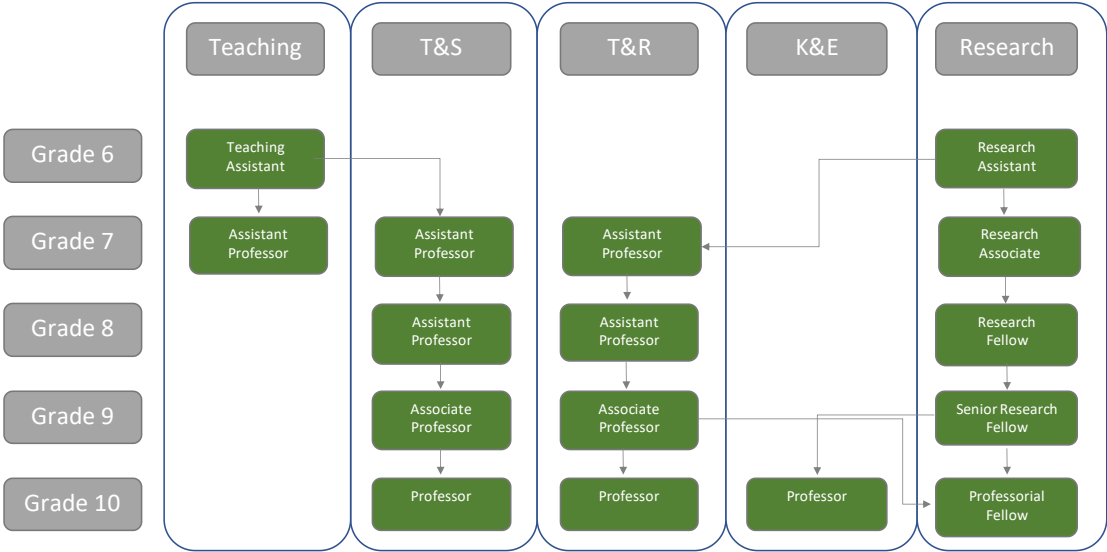
2. Academic Role Profiles

The balance of activities can vary between Academic roles. Most posts will involve balancing individual responsibilities with a wider contribution to the work of the team, discipline, School, University and to the External Community.

At all levels, appropriate discipline knowledge, combined with teaching and research ability and well developed communication skills are required, increasing through the levels. At the higher levels, there will be an increasing emphasis on academic leadership and strategic management and/or impact on the field in the UK and internationally.

It is expected that the requirements associated with each level will continue to apply to those individuals who progress to the next level and beyond. There is an expectation that individuals in academic roles will continue to contribute to some activities associated with lower levels. In addition, and in the interests of career development but subject to the needs of the School individuals will be expected to contribute to some of the activities associated with a higher level. Such contributions will be identified and recorded in the Performance and Development Reviews.

Academic Grade Structure



There are a number of academic career pathways available to staff. We understand that staff may wish to change career pathway during their academic career. There is a separate process for staff who wish to move between pathways. This is at <https://heriotwatt.sharepoint.com/sites/hr-yourcareeranddevelopment/SitePages/Academic-Career-Pathway-Change.aspx>

Teaching and Research

Grade 7: Assistant Professor

Roles at this level will generally represent the early stages of an academic career before progressing to Grade 8. There will be a clearly defined set of responsibilities within an established research/teaching programme. Support in the form of appropriate mentoring will normally be provided. Evidence will be required of the ability to innovate and plan, and to execute plans competently.

Grade 8: Assistant Professor

Roles at this level will be individuals experienced in teaching and research. In all cases there will normally be accountability for the design, delivery and quality of a whole modules and research projects, with measurable outcomes, as well as contributing to the wider development of programmes. There may be responsibility for representing the work of the University in the field locally and nationally in appropriate networks and/or in public activities and for contributing to the wider academic community beyond the University. There will be responsibility for some aspects of administration within the University.

Grade 9: Associate Professor/Senior Research Fellow

Roles at this level will have substantial professional/academic experience and achievement, and will include substantive contributions in research and teaching. Individuals will have a well established reputation in their field and be making a demonstrable impact on their field at national and international level.

Roles with a greater focus on teaching will require a record of leading development activity in relation to teaching and learning policy and practice. There will also be evidence of innovation, leading to significant contributions to implementation of the University's strategy. Such roles will also require a minimum level of achievement in research at a level higher than for Assistant Professor.

Roles with a greater focus on research will require a clear record of impact, shown in substantial and sustained high quality research leadership and outputs, measured by the norms of the peer-review community (e.g., in nature and scale of research supervision, funding, and publications). Such roles will also require a minimum level of achievement in teaching at a level higher than for Assistant Professor.

In all cases, there will be significant responsibility for administration and management within the University.

There will be responsibility for representing the work of the University in the field locally, nationally and internationally in appropriate networks and/or in public activities and for contributing to the wider academic community beyond the University. Role holders are likely to hold positions of responsibility in e.g. learned societies, professional institutions, editorial boards, organising committees of international conferences, research councils and government bodies, etc.

Grade 10: Professor / Professorial Fellow

Roles at this level will carry significant academic leadership responsibilities and role holders will have a substantial reputation in research and teaching.

Roles with a greater focus on research will require original research to be carried out, which is internationally leading – maintaining an appropriate level of research activity, inputs and outputs as measured by the norms of peer review in the subject, with an established reputation in the appropriate international research community. Such roles will also require a minimum level of achievement in teaching at a level higher than for Associate Professor.

Roles with a greater focus on teaching will require leading developments in teaching, learning and in assessment across a number of levels or modes of delivery. Role holders will have broadened and deepened their impact on curricula, teaching methods and teaching and learning assessments to an international standard. They will have devised and introduced new teaching programmes that have contributed substantially to the achievement of the University's strategy. Such roles will also require a minimum level of achievement in research at a level higher than for Associate Professor.

Role holders at this level will be responsible for all aspects of a significant area of work, including strategy, and for the management of staff, programmes and projects, finance and other resources and for overall quality assurance in the area of work.

There will be responsibility for representing the work of the University in the field locally, nationally and internationally in appropriate networks and/or in public activities and for contributing to the wider academic community beyond the University in a leading capacity. Role holders will hold leading positions of responsibility in e.g. learned societies, professional institutions, editorial boards, organising committees of international conferences, research councils and government bodies, etc.

School Senior Academic Promotions Review Panel

Terms of Reference & Membership

The School will convene a School Senior Academic Promotions Review Panel to consider all cases.

The Panel's specific responsibilities include:

1. To consider all cases for promotion across the school for senior academic promotions and to determine which cases will receive School support
2. To ensure quality and consistency across the school in all supported promotion applications being submitted to HWU Senior Promotions Committee
3. To assist with identification of suitable external assessors and support development of the school case for the application
4. To monitor the implementation of Equality and Diversity policies and Athena SWAN commitments in line with HWU Senior Promotions Policy
5. To coordinate feedback to all individuals. Where a case for promotion is considered premature, the panel will provide individuals and guidance for both applicant and their PDR reviewer regarding development opportunities
6. Any other business as appropriate

Individuals whose case is not supported by the School Senior Academic Promotions Review Panel may still submit a case to the HWU Senior Promotions Committee as outlined in the policy.

Membership

Head of School – Chair
Director of Research
Director of Learning and Teaching
Academic Heads of Discipline/Institute etc as appropriate.