SENIOR ACADEMIC PROMOTION GUIDANCE

Contents

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GUIDANCE

1 PURPOSE AND SCOPE OF GUIDANCE

This guidance should be read alongside the [Promotion Procedure for Senior Academic Professional Staff](#). It is intended to be used as guidance to support:

- Staff making an application for promotion under the Procedure;
- Heads of Department, who are asked to support an Applicant's promotion case; and
- Faculties, who are asked to support an Applicant's promotion case.

2 GUIDANCE FOR APPLICANTS MAKING A PROMOTION APPLICATION

2.1 General

2.1.1 Application Form: All applications for promotion must be made using the Senior Academic Professional Promotion Form for the relevant staff category (Academic, Research, Teaching or Knowledge Exchange) ([FORM APAP2(a) Academic](#); [FORM APAP2(b) Research](#); [FORM APAP2(c) Teaching](#); or [FORM APAP2(d) Knowledge Exchange](#)). Applicants should complete Section 1 of the Form.

2.1.2 **Page limit:** Applications should concisely summarise how the promotion criteria are met as there is a 5 page limit on the Form. Applicants are reminded when drafting the Form that their application will be considered by panel members who will not necessarily have detailed knowledge of their specialist area. The form can refer to the supporting documentation, the Accountability & Development Review (ADR) form, CV using the [APAP Template CV](#) and the PURE Report and duplication should be avoided where possible. Additional documentation should not be attached to the Form.

2.1.3 Inclusion of all relevant information: Applicants must fill in all sections of Part 1 of the Form. It will not be possible to consider incomplete forms within the APAP Procedure. Decisions will be made on the information contained in the Form and the relevant attachments.

2.1.4 Two year resubmission rule: If the main APAP panel rejects an application for promotion, the Applicant cannot normally resubmit a case until at least two years have passed. As a result, Applicants are encouraged to submit complete submissions.

2.2 Prior to completion of the form

2.2.1 Optional self-assessment process: Applicants are encouraged – but are not obliged – to use the relevant Self-Assessment Form ([FORM APAP1(a) Academic](#); [FORM APAP1(b) Research](#); [FORM APAP1(c) Teaching](#); or [FORM APAP1(d) Knowledge Exchange)](#) to assess their readiness for promotion. The Self-Assessment Form has been developed from and should be read alongside the [Indicators of Requirements for Internal Promotions to Senior Lecturer, Reader and Professor](#) or the [Indicators of Requirements for Internal Promotions for Research, Teaching and Knowledge Exchange Staff Categories](#) whichever is relevant. If the Applicant is unsure about how their contribution matches the criteria in any area, they should discuss this with their Head of Department / School in the first instance. Applicants may find that completion of the Self-Assessment Form is helpful preparation for filling out the Promotion Form. The Self-Assessment Form is for personal use only and should not be attached to any promotion application.

2.2.2 Discussion with Head of Department / School and Executive Dean: Applicants should normally discuss their intention to make a promotion application with their Head of Department, at least a month in advance of the deadline for submission of the Form. Applicants, or their Head of Department / School, should then discuss the application with the relevant Executive Dean. The purpose of the discussion is to give early notice of the promotion application and to provide assistance to the Applicant about the possible key areas of focus in the application, where required.

2.2.3 Up-to-date Accountability & Development Review: Applicants must ensure that their ADR Form is up-to-date as at the date of submission of the Promotion Form, as this is provided to the Faculty APAP panel. For applications in the spring round, an interim ADR update should be provided. Applicants should ensure that (i) the ADR sets out appropriate objectives, some of which are appropriate to the promoted grade; (ii) the majority of objectives have been met; and (iii) where objectives have not been met, there are valid reasons for this.

2.3 Completing the Form – Section 1.1 (Personal Details and Background)

Applicants should ensure that they provide details of any additional circumstances that they wish to be taken into account that may have impacted upon their work performance since their last promotion. This might include, for example, periods of family leave (maternity, paternity, adoption and/or shared parental leave), part-time working, disability, responsibility as a carer or other relevant circumstances. Details of how these circumstances have impacted upon their contribution should be outlined (e.g. reduced research output during relevant periods, etc.). If the additional circumstances which have affected work are deemed confidential, then Applicants are asked to raise this confidentially with the HR Manager for their area, who will provide support in drawing the matter to the Panels attention in an appropriate way.

Panels will ensure that these specific circumstances are considered and taken into account where appropriate. Where adjustments are made with respect to the quantity of outputs expected over the period the same quality of outputs will still require to be demonstrated.

Applicants should clearly detail the promotion sought e.g. from Reader to Professor within Section 1.1.

2.4 Completing the Form – Section 1.2 (Future vision)

Applicants should summarise their vision for the three years following any successful promotion. This should include, as appropriate, a summary of future research, knowledge exchange and/or teaching plans and should highlight, where possible, the distinctive features of their expected contribution. It may be appropriate to link this future vision to the Applicant's recent successes and their importance to the University and their discipline.

Within Research focused applications, where future publications are referred to, Applicants must clearly note whether the publication is either:

- 'in press';
- Accepted for publication but not yet published; or
- Planned/completed/submitted but not yet accepted.

2.5 Completing the Form – Section 1.3 (Applicant's assessment against promotion criteria)

2.5.1 Focus on contribution since last promotion

Applicants should focus their assessment on their contribution since their last promotion. Applicants are not encouraged to include information about their contribution prior to their last promotion.

2.5.2 Additional area of strength (Academic posts) / Primary and Contributory Indicators (promotion to Professor of Learning & Teaching only)

For Academic promotions (i.e. to Senior Lecturer, Reader or Professor), Applicants are expected to demonstrate contribution across the criteria for Research, Teaching, Knowledge Exchange and Citizenship and to evidence excellence at the promoted level in research plus one other from Teaching, Knowledge Exchange or Citizenship.

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For Research, Teaching and Knowledge Exchange staff, to be considered for promotion candidates must normally show activity in all areas described within the, 'Indicators of Requirements for Internal Promotions for Research, Teaching and Knowledge Exchange Staff Categories'. However, individuals are not required to meet every promotion indicator in all the areas listed; they will only be explicitly required to match the indicators for the promoted level which are explicitly relevant to their role. For example, a member of Research staff seeking promotion to Grade 9 and who is not able to undertake teaching, would not be denied promotion because they are unable to meet the teaching indicator at the promoted level.

Specifically for promotions to Professor of Learning & Teaching, applications will require evidence of focus in the outlined primary areas (marked 'P' on the relevant forms), together with at least one contributory area of the Applicant's choice (marked 'C' on the relevant forms).

Applicants are asked to clearly mark which additional / contributory area(s) they are relying upon in support of their application. The University recognises that this additional area(s) will differ depending upon the Applicant's background and future vision; therefore there is flexibility to set out a promotion case appropriate to the Applicant's circumstances. Applicants should also note that, in line with 3.1 and 4.2 of this Guidance, the Head of Department / School and/or Faculty Panel will confirm whether they agree with their assessment of the additional / contributory area(s) of excellence and provide any other comments which may assist the panels to form their view (e.g. if the Head of Department and/or Faculty Panel considers that the Applicant is excellent in other areas not highlighted by them, this will be recorded in the form).

2.5.3   Using the Promotion Indicators to complete the Form
Applicants and panels should refer to the Indicators of Requirements for Internal Promotions to Senior Lecturer, Reader and Professor or the Indicators of Requirements for Internal Promotions for Research, Teaching and Knowledge Exchange Staff Categories, whichever is relevant, when completing or reviewing this section of the form. The following points are of importance:

- Applicants should complete the Form, referring to the indicators appropriate to the promoted position for which they are applying.
- Applicants will normally be required to demonstrate contribution across each area (e.g. for Academic staff: activity in Research, Teaching, Knowledge Exchange and Citizenship).
- For Academic promotions, within the area of Research plus the additional area of excellence, the Applicant must provide evidence that their activities match the promotion indicators. The Research section of the Form separates out each indicator heading for Research, to encourage Applicants to clearly detail how their activity closely matches the indicators. The same approach would be expected for the additional area of excellence.
- For promotions within the Teaching, Research or Knowledge Exchange staff categories (up to the level of Professor of Learning & Teaching), staff will normally demonstrate activity within all areas indicated. However they will only be explicitly required to match the indicators for the promoted level which are explicitly relevant to their role.
- For promotions to Professor of Learning & Teaching, Applicants require to provide evidence of focus in the outlined primary areas (marked 'P' on the relevant forms), together with at least one contributory area of the Applicant's choice (marked 'C' on the relevant forms).
- The Framework will be applied by panels in a manner which is appropriate to the particular discipline and staff category.

2.5.4   PURE report to complement the Form
A full PURE report should be obtained from Human Resources to submit with your application. Please contact operationalsupporthr@strath.ac.uk in the first instance.

2.5.5   Using other available metrics to complete the Form
Applicants are asked to include other available metrics where appropriate (e.g. H-Index; other field-weighted citation indices) in the Form. The University recognises that this will vary depending on the Applicant's discipline.

2.5.6   Presentation of information - general

It is the Applicant's responsibility to present their case in a clear and understandable manner which allows for easy evaluation by the panel. To assist with the presentation of cases, where Applicants need to refer to publications, research grants, etc. in their free text to amplify and explain the PURE data, the following points should be observed:

- Information should be presented in chronological order where possible.   The most recent achievements should be listed first.
- Any lists (e.g. publications, PhD students, etc.) should be numbered.
- Publications referred to must be in the public domain. Publications not yet in the public domain could be referred to in Section 1.2 (Future Vision) of the Form using the guidance above.
- Where there is more than one author, Applicants are asked to:
  - indicate the degree of their contribution in percentage terms or by using a short description; and
  - clearly state the number of additional authors after their name.
- Where referring to a book, please indicate in brackets the overall length.
- Where referring to an article, paper or review, please indicate the overall length and the first and last page numbers of the work.
- Where referring to work which is related (e.g. a conference paper and a full report), this link should be clearly stated.
- Where referring to research grants, Applicants must highlight
  - their contribution to the grant award;
  - their share of the grant award; and
  - where possible, the amount of their grant share remaining to be spent.
- Applicants should make it easy for panel members to look at their publications and research work, if required. It is helpful to include hyperlinks where available and the digital object identifier (DOI) for publications and to check that research grant references have been accurately recorded.

2.6   Completing the Form – Section 1.4 (External Assessors)

Applicants applying for promotion to Professorial/Professor of Practice/Professor of Learning & Teaching must include full details of three external assessors. These will be individuals who are able to comment, for example on the breadth and depth of the Applicant's contribution and the national/international impact of their work and should not be personal referees.

Heads of Department / School will provide full details for an additional four external assessors to the Faculty Panel.

It is important to ensure that external assessor details are accompanied by a clear statement of the reason for their recommendation. This assists the APAP sub-Panel to make a decision about which of the external assessors will be contacted and the order for doing so. Care should be taken to confirm:

- The external assessor's background and expertise. It is expected that the external assessors submitted are senior members of the discipline with an appropriate balance of expertise and international esteem and location;
- Why the external assessor is the appropriate person to comment on the Applicant's case for promotion and their work;
- Any personal or professional links between the Applicant / Head of Department and the external assessor.

2.7   Completing the Form – Section 1.5 (Signature)

Applicants must confirm that the information contained within the form is true and accurate to the best of their knowledge and belief.

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3 GUIDANCE ON HEAD OF DEPARTMENT /SCHOOL RECOMMENDATION

Following submission of the Form by the Applicant, if the Head of Department / School intends to support the Applicant's promotion case, they must ensure that Section 1 of the Applicant's Form is fully completed and then prepare a statement confirming their support in Section 2 of the Applicant's Form. Once completed, the Form is then passed to the Faculty Panel for consideration.

3.1 Completing the Form - Section 2.1 (Head of Department's assessment of Applicant against promotion criteria)

The Head of Department / School should clearly state on the Form how the Applicant meets the criteria for the promotion position, referring to the appropriate set of indicators (either the Indicators of Requirements for Internal Promotions to Senior Lecturer, Reader and Professor or the Indicators of Requirements for Internal Promotions for Research, Teaching and Knowledge Exchange Staff Categories, whichever is relevant.

The recommendation should include a summary of activity in all areas covered by the relevant indicators, together with confirmation of the areas in which the Applicant closely matches the indicators at the promoted level.

Where appropriate, please make reference to relevant metrics (e.g. publications record, funding portfolio, PhD supervision / size of research or teaching teams under the Applicant's supervision etc.).

For Academic promotions, the Applicant must display a close match to the indicators in the area of Research plus one other area (Teaching, Knowledge Exchange and Citizenship).

For promotions to Professor of Learning & Teaching, the Applicant must display a close match to the indicators in the outlined primary areas (marked 'P' on the relevant forms) and those indicators in at least one contributory area of the Applicant's choice (marked 'C' on the relevant forms).

The Head of Department / School should confirm whether they agree with the Applicant's assessment of their additional area of excellence / contributory area(s) and provide any other comments which may assist the panels to form their view (e.g. if the Head of Department considers that the Applicant is excellent in other areas not highlighted by the Applicant, this should be recorded in the form).

Please ensure that the recommendation is clear, concise and allows the Faculty and APAP panels to easily identify the rationale for the Head of Department recommendation in each case.

Use of Accountability and Development Review (ADR) form

The Head of Department / School should note that, during the promotion application process, the Faculty Panel will review the Applicant's ADR form, to ensure it is consistent with the promotion application being considered. It is not expected that there would be inconsistency between the Applicants' last ADR and their application for promotion. However if there are any matters from the last ADR which require further explanation in the context of the promotion application, the Head of Department / School should ensure that this is captured in the Head of Department / School Recommendation Form.

3.2 Completing the Form – Section 2.2 Head of Department's External Assessor recommendations: *Professor/Professor of Practice/Professor of Learning & Teaching only*

Heads of Department / School should include full details of four external assessors for applications to Professorial/Professor of Practice/Professor of Learning & Teaching promotions. These four assessors must be different to the recommendations made by the Applicant in their Form and must include individuals from overseas as well as individuals from UK institutions.

It is important to ensure that external assessor details are accompanied by a clear statement of the reason for their recommendation. This assists the APAP sub-Panel to make a decision about which of the external assessors will be contacted. Care should be taken to confirm:

- The external assessor's background and expertise. It is expected that the external assessors submitted are senior members of the discipline with an appropriate balance of expertise and international esteem and location;
- Why the external assessor is the appropriate person to comment on the Applicant's case for promotion and their work;
- Any personal or professional links between the Applicant / Head of Department and the external assessor.

3.3 Completing the Form – Section 2.3 (Head of Department and Applicant's signatures)

Heads of Department and Applicants should sign the Form at Section 2.3, before it is passed for consideration by the Faculty Panel.

4   GUIDANCE ON FACULTY PANEL RECOMMENDATIONS

The Faculty Panel will be constituted to review the promotion applications made within their Faculty. Following the review, the Faculty Panel should prepare a statement confirming their decision at Section 3 of the Form. Once completed, the Applicant's fully completed Form will be forwarded to HR, together with the ADR and PURE Report. This will then be considered by APAP. Please ensure that the recommendation is clear, concise and allows APAP panels to easily identify the rationale for the Faculty Panel's recommendation in each case.

4.1 Completing the Form – Section 3.1 (Details of Faculty Panel)

Please ensure that the Faculty name, date of meeting and attendees are included at Section 3.1. This will assist the preparation for the APAP Panel.

4.2 Completing the Form – Section 3.2 (Dean/Vice Dean Review)

The Faculty Panel should clearly state on the Form how the Applicant meets the criteria for the promotion position, referring to the appropriate set of indicators (either the Indicators of Requirements for Internal Promotions to Senior Lecturer, Reader and Professor or the Indicators of Requirements for Internal Promotions for Research, Teaching and Knowledge Exchange Staff Categories, whichever is relevant.

The recommendation should include a summary of activity in all areas covered by the relevant indicators, together with confirmation of the areas in which the Applicant closely matches the indicators at the promoted level.

Where appropriate, please make reference to relevant metrics (e.g. publications record, funding portfolio, PhD supervision / size of research or teaching teams under the Applicant's supervision etc.).

For Academic promotions, the Applicant must display a close match to the indicators in the area of Research plus one other area (Teaching, Knowledge Exchange and Citizenship).

For promotions to Professor of Learning & Teaching, the Applicant must display a close match to the indicators in the outlined primary areas (marked 'P' on the relevant forms) and those indicators in at least one contributory area of the Applicant's choice (marked 'C' on the relevant forms).

The Faculty Panel should confirm whether they agree with the Applicant's assessment of their additional area of excellence/ contributory area(s) and provide any other comments which may assist the panels to form their view (e.g. if the Faculty Panel considers that the Applicant is excellent in other areas not highlighted by the Applicant, this should be recorded in the form).

The Faculty Panel should confirm whether they agree with the Applicant and Head of Department's assessment of the additional area of strength/ contributory area(s) and provide any other comments which may assist APAP to form its view.

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4.3   Completing the Form – Section 3.3 (Faculty Panel Recommendation)

The Faculty Panel should indicate whether the promotion application will be passed to APAP for consideration and that the ADR is consistent with the promotion application and that the objectives set are appropriate. If the application is not supported, feedback must be offered to the Applicant and confirmation of this should be indicated on the Form.

The Executive Dean or Vice Dean should sign the Form.

5   GENERAL GUIDANCE ON SENIOR ACADEMIC PROMOTION

For general queries regarding Senior Academic Promotion, please speak to your usual contact in the Human Resources team or email the Human Resources Team on humanresources@strath.ac.uk.