

# SENIOR ACADEMIC PROMOTION PROCEDURE

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## 1 Application of the Promotion Procedure for Senior Academic Professional Staff

To ensure consistency of approach in Academic promotions, the arrangements for consideration of the following cases have been brought together and rationalised under this procedure:

- Promotion to:
  - Academic: Senior Lecturer (Grade 9), Reader (Grade 10), Professor;
  - Teaching: Teaching Fellow (Grade 8), Senior Teaching Fellow (Grade 9); Principal Teaching Fellow (Grade 10); Professor of Learning & Teaching;
  - Research: Research Fellow (Grade 8), Senior Research Fellow (Grade 9); Principal Research Fellow (Grade 10);
  - Knowledge Exchange: Knowledge Exchange Fellow (Grade 8), Senior Knowledge Exchange Fellow (Grade 9); Principal Knowledge Exchange Fellow (Grade 10); Professor of Practice
- Transfers to the Academic staff category at Senior Lecturer level (Grade 9) and above for staff whose posts are currently assigned to a staff category other than Academic; and
- Conferment of Emeritus Professor status.

Where the application is for transfer to a different staff category, as well as promotion within the new staff category, the request to recategorise the post must be made via the relevant HR team before a promotion submission can be considered by APAP.

These procedures do not apply in the case of:

- promotion/advancement from Lecturer A to Lecturer B grade, which is dealt with at Faculty Review Panels (Early Career Academic Staff) as set out in the [Academic Career Development Framework Guidelines](#);
- transfers to the Academic staff category at Lecturer level (Grades 7 & 8), which is dealt with at Faculty Review Panels (Early Career Academic Staff) as set out in the [Academic Career Development Framework Guidelines](#);
- cases for regrading up to and including Grade 7 of the Research, Teaching and Knowledge Exchange staff categories, which are dealt with through [Promotion \(Regrading\) Policy](#);
- appointment/re-appointment of Visiting Professors, which are dealt with by the Vice Principal and Director of Human Resources, as set out in the [Visiting Professor Appointment Process](#); or
- internal candidates being considered for an advertised vacancy, which is dealt with by the appropriate University recruitment process.

## 2 Constitution of Academic Professional Appointments Panel

The Academic Professional Appointments Panel (APAP) is constituted as follows:

### 2.1 Members

- a) The Principal (Chair)
- b) The Vice Principal
- c) A Lay member of Court

### 2.2 In Attendance

- a) The Executive Deans
- b) The Director of Human Resources
- c) Up to two additional attendees co-opted by the Principal
- d) Minute Taker

## 3 Timescales

### 3.1 General

Further information on the dates for submission of applications and associated timescales can be found on the University [website](#).

Applicants are expected to evidence their contribution whilst based at the University of Strathclyde therefore applications for promotion will not normally be considered until individuals have been in post for a full academic year.

### 3.2 Panel meetings

APAP will meet twice a year, normally in March and October, to consider cases made under this procedure. The relevant dates shall be communicated to staff in advance of the promotions process commencing.

### 3.3 Promotion date

Successful cases for promotion shall be backdated to and effective from the beginning of the month following the main APAP meeting.

## 4 Key stages in Procedure

### 4.1 Promotions to Senior Academic Professional Staff categories and conferment of Emeritus Professor Status

The procedure for internal promotion under this Procedure involves the following key stages if a promotion is to occur:

- I. Applicant submission: The submission of a written case for promotion by the Applicant to their Head of Department/School, in line with the [Guidance](#). The written case must be submitted on the relevant template form (Part I of [FORM APAP2\(a\) Academic](#); [FORM APAP2\(b\) Research](#); [FORM APAP2\(c\) Teaching](#); or [FORM APAP2\(d\) Knowledge Exchange](#)) and include all required information, as set out in the [Guidance](#). Applicants are asked only to attach their CV using the [APAP Template CV](#), ADR documentation and PURE report to the form and not

to forward additional documents (e.g. self-assessment form, etc.). Applicants should ensure that all relevant information is contained within their submission at the relevant section. Applicants are also encouraged – but are not obliged – to use the appropriate Self-Assessment Form ([FORM APAPI\(a\) Academic](#); [FORM APAPI\(b\) Research](#); [FORM APAPI\(c\) Teaching](#); or [FORM APAPI\(d\) Knowledge Exchange](#)) to assess their readiness for promotion in advance of their submission (please see [Guidance](#) for further information).

2. Head of Department recommendation: The submission of a recommendation statement and list of suggested external assessors (where appropriate) from the Applicant's Head of Department/School to the Executive Dean, in advance of the Faculty Panel Meeting, in line with the [Guidance](#). The recommendation statement and list of suggested external assessors, where relevant must be submitted to the Executive Dean on Part 2 of [FORM APAP2\(a\) Academic](#); [FORM APAP2\(b\) Research](#); [FORM APAP2\(c\) Teaching](#); or [FORM APAP2\(d\) Knowledge Exchange](#) (Part 1 of which has been completed by the Applicant), as set out in the [Guidance](#). The Head of Department shall provide feedback to the Applicant if their application is not supported.
3. Faculty Panel support: Consideration of the written case by the Faculty Panel (Executive Dean and two Vice Deans) to determine whether it should be referred to APAP, in line with the [Guidance](#). Where a case is supported, the statement of support and full details of chosen external assessors, where relevant (to ensure an overall balance of expertise and an appropriate spread of international esteem and location) must be made in writing to APAP on Part 3 of [FORM APAP2\(a\) Academic](#); [FORM APAP2\(b\) Research](#); [FORM APAP2\(c\) Teaching](#); or [FORM APAP2\(d\) Knowledge Exchange](#) (Part 1 of which has been completed by the Applicant; Part 2 by the Head of Department/School), as set out in the [Guidance](#). The Executive Dean shall provide feedback to the Applicant if their application is not supported and remind the Applicant that they can make a personal submission.
4. APAP assessment:
  - a. Pre-Panel assessment – Promotions to Grade 8 and 9 and Emeritus Professors status only: In the case of:
    - Promotion to Teaching Fellow, Research Fellow, Knowledge Exchange Fellow (all Grade 8);
    - Promotion to Senior Lecturer, Senior Teaching Fellow, Senior Research Fellow, Senior Knowledge Exchange Fellow (all Grade 9); and noting recommendations for Conferment of Emeritus Professor status,

The pre-panel, consisting of a sub group of the APAP main panel (Executive Deans, HR and chaired by the Vice Principal, with up to two additional members co-opted by the Vice-Principal or Principal as required), shall consider each promotion case. The pre-panel shall make recommendations on these cases for homologation by the main panel.
  - b. Main panel assessment– All promotion cases: Consideration of the written case by APAP, resulting in:
    - Grade 8 & 9 promotions and Emeritus Professor Appointments: Homologation of the pre-panel recommendation to (a) approve or (b) not approve promotions to Grade 8 and 9 and (c) the recommended conferment of Emeritus Professor status;
    - Grade 10: A decision to a) approve the recommendation for promotion or b) seek the views of the External Assessors' prior to reaching a decision or c) not progress the case further/approve the case.

- Professorial promotions: A decision that External Assessors' views should be sought in respect of promotions to professor/professor of practice/professor of learning and teaching, or that the case should not progress.

The Executive Dean shall provide verbal feedback to the Applicant if their promotion application is not supported. HR shall confirm the decision in writing.

5. External assessor evaluation- Promotions to Grade 10 and Professors/Professors of Practice/Professor of Learning & Teaching only: In the case of promotion to Reader, Principal Research Fellow, Principal Teaching Fellow, Principal Knowledge Exchange Fellow (all Grade 10) -will only be sought by exception. When the APAP Panel is clear that the criteria for promotion are met, a final decision will be taken by the APAP Panel. Where the Panel have questions about the case which they believe may be answered by external input, or when the Panel consider the case to be marginal, then four satisfactory external reports will be sought. In this instance, HR will contact applicants and Heads of Department in order to request appropriate external assessor details.

The Director of HR will convene a meeting with the Principal as soon as possible after the APAP meeting to (i) select a set of external assessors to be approached from the list of assessors nominated and (ii) confirm that in the event that additional assessors need to be contacted (in the event of no reply from the preferred assessor(s)), any of assessors on the list can be contacted, where necessary. The Executive Deans of Faculty will then write to the assessors seeking their response within one month. The views of External Assessors will be considered by the APAP External Assessor sub-panel (Principal, HR Director) once available, in order that a final decision on promotion can be made.

6. Outcome letter: Outcome letter issued to the Applicant by Human Resources.

## 4.2 Transfer to the Academic Staff Category at Senior Lecturer (Grade 9) and above

In addition to the key stages set out above at 4.1, in cases of re-categorisation, APAP may, at its discretion:

- require that the suitability of the Applicant is further considered through interview in order to verify the Applicant's ability to satisfy the criteria for the relevant grade; and/or
- apply a probationary period as per the normal procedures for a new Academic staff appointment.

## 4.3 Emeritus Professor Appointments

The Executive Deans should discuss with their Heads of Department/School whether retiring Professors should be considered for Emeritus Professorship. The title of 'Emeritus Professor' will only be granted where the individual has an excellent record of contribution during their period as a Professor and where there are clear strategic benefits to the University of a continuing relationship with the individual.

The Executive Deans will be invited to make recommendations with respect to the possible conferment of the title 'Emeritus Professor'. Recommendations must be made on the relevant form.

Such recommendations for conferment of the title "Emeritus Professor" shall be forwarded in writing to Human Resources for consideration by APAP. APAP will then consider Emeritus Professor cases as set out above in 4.1.

In cases where the title 'Emeritus Professor' has been conferred, Human Resources may also write separately to the individual confirming any other arrangements that have been made with respect to their continuing relationship with the University.

Whilst the honorary title of Emeritus Professor is normally awarded to a retiring Professor for life, the University reserves the right to withdraw an individual's right to use this title. The withdrawal of the title will be considered when the conduct of the Emeritus Professor is deemed to damage the University's reputation or to have the potential to do so. This may include conviction of an offence and/or immoral, damaging or disgraceful conduct. A decision to remove an individual's entitlement to use the honorary title will be taken by the Principal as Chair of the APAP following consultation with the Deputy Convener of Court (Staffing). Human Resources will write to the individual to confirm that they may no longer use the title. There will be no appeal against the University's decision to remove the Emeritus Professor title.

#### **4.4 External assessors – *Professor/Professor of Practice/Professor of Learning & Teaching only***

In the case of promotion to Professor/Professor of Practice/Professor of Learning & Teaching, the details of seven External Assessors are required. The names, contact details and a brief explanation of the external assessor's ability to comment on the Applicant must be submitted for consideration at Faculty Panel stage onwards

This list should include three external assessors nominated by the Applicant in their written case for promotion. The list must include individuals from overseas as well as individuals from UK institutions.

#### **4.5 Personal submissions**

Exceptionally, where the Applicant's application for promotion is not supported by:

- Their Head of Department/School - the Applicant may submit a case under this Procedure directly to the Executive Dean of their Faculty for consideration at Faculty Panel;
- The Faculty Panel - the Applicant may submit a case under this Procedure directly to the APAP. Personal submissions for promotion to Grade 8 and Grade 9 will be considered by the pre assessment panel in line with Section 4.1.4 of this procedure. The composition of the relevant APAP panel will not include the Applicant's Executive Dean when deciding upon a personal submission.

#### **4.6 Two-year resubmission rule**

If APAP rejects an application for promotion, the Applicant cannot normally resubmit a case until at least two years have elapsed.

#### **4.7 Appeals**

The decision of APAP is final and there is no right of appeal except for a rejection of a case for promotion to Grade 8 or 9. The appeal mechanism for such applications is set out at Appendix A.

## **5 Responsibilities**

### **5.1 Applicant**

To provide:

- A full written case for promotion, in line with the [Guidance](#). The written case must be submitted on the relevant template form (Part 1 of [FORM APAP2\(a\) Academic](#); [FORM APAP2\(b\) Research](#); [FORM APAP2\(c\) Teaching](#); or [FORM APAP2\(d\) Knowledge Exchange](#)) and include all required information, as set out in the [Guidance](#). Applicants are asked only to attach their CV using the [APAP Template CV](#), ADR documentation and PURE report to the form and not to forward additional documents (e.g. self-assessment form). Applicants should ensure that all relevant information is contained within their submission at the relevant section;
- *Professorial promotion cases only*: Names and full contact details of three External Assessors and a brief explanation of the external assessor's ability to comment on the Applicant

## 5.2 Head of Department/School

- To highlight the process to staff in the department;
- Where cases are identified to provide a statement of recommendation and list of suggested external assessors, in line with the [Guidance](#). The recommendation statement and list of suggested external assessors must be submitted to the Executive Dean on Part 2 of [FORM APAP2\(a\) Academic](#); [FORM APAP2\(b\) Research](#); [FORM APAP2\(c\) Teaching](#); or [FORM APAP2\(d\) Knowledge Exchange](#) (Part 1 of which has been completed by the Applicant), as set out in the [Guidance](#).
- To provide feedback to the Applicant if the Head of Department does not support their application.
- *Professorial promotion cases only*: In addition to those provided by the Applicant, names and full contact details of four additional External Assessors and a brief explanation of the external assessor's ability to comment on the Applicant.

## 5.3 Executive Dean

- To meet with two Vice Deans at a Faculty Panel to decide if promotion cases should be recommended to APAP.
- To inform Applicant(s) in writing of the decision at Faculty Panel stage.
- To attend the pre-panel APAP meeting and make necessary recommendations for homologation by the main APAP panel.
- Where a case is supported, the statement of support and full details of chosen external assessors (to ensure an overall balance of expertise and an appropriate spread of international esteem) must be made in writing to APAP on Part 3 of [FORM APAP2\(a\) Academic](#); [FORM APAP2\(b\) Research](#); [FORM APAP2\(c\) Teaching](#); or [FORM APAP2\(d\) Knowledge Exchange](#) (Part 1 of which has been completed by the Applicant,; Part 2 by the Head of Department/School), as set out in the [Guidance](#).
- *Professorial promotion cases only*: To provide APAP with the list of External Assessors, clearly indicating those identified by the Applicant. Seven external assessors should be identified, with a brief note indicating the background of the assessors and the reason for the selection in terms of balance of expertise and spread of international esteem and location.
- To provide verbal feedback to the Applicant if their application is not supported at APAP stage.
- *Grade 10 and Professorial promotion cases only*: To write to External Assessors chosen by the Principal and to forward responses to HR when the required number (four assessments for Grade 10 promotion cases and four for Professorship cases) have been received for grade 10 promotion cases

the assessments will only be sought by exception, when agreed by the APAP Panel (as set out in section 4.1.15)

- *Grade 10 and Professorial promotion cases only:* To update APAP on progress in Grade 10 (where appropriate) and Professor promotion cases at subsequent APAP meetings.

#### **5.4 Human Resources**

- To inform Executive Deans and Heads of Department/School of details of impending APAP meetings.
- To convene APAP meetings normally in March and October each year together with appropriate papers.
- To write to all Applicants considered by APAP following its meeting.
- To circulate the views of external assessors to APAP External Assessor sub-panel once received. For promotions, to both Grade 10 and Professorship, the required number of satisfactory external assessments is four. The reports must include three nominated by the Head of Department and international assessors.
- To inform Applicants, in writing, of the outcome of the process.

#### **5.5 Vice Principal**

- To chair the pre-panel APAP meeting and attend the main APAP panel.

#### **5.6 Principal**

- To chair the APAP meeting.
- To decide exceptionally whether a case for promotion should be dealt with outside the above procedure.
- To choose External Assessors to be consulted from list provided and exceptionally to request additional Assessors if, in the view of the Principal, or of APAP itself, there are areas of expertise not adequately covered.
- If required by an unsuccessful Applicant for a Professorship, to nominate APAP members/attendees to provide oral feedback from APAP on the reasons for the lack of success.
- To consider, along with the HR Director, the views of External Assessors once available, in order that a final decision on promotion can be made

## **Appendix A**

### **Appeals Against a Decision not to Grant Promotion to Grade 8 and 9**

1. An Applicant may appeal against the decision of the Academic Professional Appointments Panel not to promote a member of staff to one of the following positions:
  - a. Teaching Fellow, Research Fellow, Knowledge Exchange Fellow (all Grade 8); or
  - b. Senior Lecturer, Senior Teaching Fellow, Senior Research Fellow, Senior Knowledge Exchange Fellow (all Grade 9).
2. Any appeal will be considered on the basis that it is not a re-examination of the same written case and therefore consideration will be given on the grounds that there has been a defect in the agreed procedure (at Departmental/School or Faculty level or in the administrative process of HR) which may have had a material effect on the outcome.
3. Appeals must be lodged in writing with HR within 28 days of receipt of the notification and must detail the grounds on which the appeal is made.
4. Appeals will be considered by an Appeals Committee appointed by Staff Committee. The Appeals Committee shall comprise three persons one of whom shall be nominated by Staff Committee to chair the discussions and one of whom shall be nominated by Strathclyde UCU. The Appeals Committee shall be accountable to Staff Committee for the conduct of its business, including the procedures adopted.
5. The Committee's decision shall be final and reported to the individual concerned, the Head of Department/School and to Staff Committee.
6. Staff Committee shall review the membership of the Committee every two years or more frequently if required.