University of East Anglia

ACADEMIC PROGRESSIONS HANDBOOK



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People and Culture Division

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SECTION 1:
INTRODUCTION



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1.0 PURPOSE AND FUNCTION OF THIS HANDBOOK

1.1 Reward for staff, and recognition of their achievements, is an essential element of the People Strategy which will serve as a framework to guide people-related activities across the institution in support of Strategy 2030.

1.2 The Academic Progressions Handbook provides an assessment framework for promotion that brings together the typical activities of today's academics. It seeks to describe, acknowledge and reward the types of activity that may feature within an academic career, at an individual grade, and across grades over time.

1.3 The criteria within the framework may be used as reference points for staff planning careers, to support Performance and Development Review (PDR) and mentor discussions, and by those preparing a case for promotion.

1.4 This Handbook is designed for:

- academic probationers whose confirmation of appointment is scheduled for review,
- academic staff who wish to make an application for promotion.

It should be accompanied and supported by locally arranged briefings and sharing of discipline specific case studies. These briefings may be organised by School EDI leads as part of our overarching commitment to Equality, Diversity and Inclusion.

The Handbook is accompanied by an application form.

1.5 We will continue to review the guidance and the framework and will make adjustments and updates as necessary to ensure relevance and compliance.

2.0 ANNUAL TIMETABLE AND NOTIFICATION

2.1 The process operates within the University's promotions round which takes place twice a year and comprises three committee meetings which take place at School, Faculty and University level. The School Promotions Committee makes recommendations, the Faculty Promotions Committee considers recommendations (including any personal submissions) and makes the initial decision and the University Promotions Committee considers and ratifies those decisions.

2.2 The dates of each Faculty and University committee meeting are published in the University Almanac and each School shall advise its members of faculty of the deadline for submissions to the School Promotions Committee.

2.3 HR Services will send reminders to Heads of School and to each member of academic staff (i.e. ATR and ATS) in advance of each round to advise on the items for consideration and the deadline for submission of cases to the Faculty Promotions Committee.

2.4 **Autumn meeting**

The three promotions committees will meet sequentially between October and December. Items to be considered in this round will be:

- any case scheduled for consideration of confirmation of appointment of probationary lecturers;
- any case for consideration of promotion to Lecturer A or Lecturer B;
- any cases nominated within the school for honorary association including Emeritus Professor appointments (for further information please refer to the Honorary Academic and Emeritus Professor Appointments Process and Guidelines; and
- while not covered by the procedures for Academic staff, schools are also asked to consider at the School and Faculty committee meetings any case for promotion of Research & Analogous (RA) staff.

2.5 **Summer meeting**

The three promotions committees will meet sequentially between March and May. Items to be considered in this round will be:

- any case scheduled for consideration of confirmation of appointment of probationary lecturers;
- any cases for consideration of promotion to Associate Professor or Professor;
- any cases nominated within the school for honorary association, including Emeritus Professor appointments.

3.0 COMPOSITION OF PROMOTIONS COMMITTEES

3.1 Promotions Committee membership should comprise a mix of genders and expertise from the ATR and ATS community.

3.2 Where there may be a potential conflict of interest, e.g. a member of Promotions Committee is PhD supervisor or mentor to, or has another close relationship with, a candidate whose submission is being considered, this relationship should be disclosed to the Committee.

3.3 Members of Promotions Committees shall absent themselves during a discussion where their own case, or where the case of an individual with whom they have a direct conflict of interest, is being considered.

3.4 Members of the Promotions Committees should be up-to-date with the University's mandatory training requirements in relation to Equality, Diversity and Inclusion.

3.5 School Promotions Committee

- The Head of School will act as Chair of the Committee and the membership should reflect a range of seniority. As Chair, the Head of School should review the membership in advance of each committee meeting to ensure appropriate representation.
- A School Promotions Committee should include in its membership the School's Chair(s) of the School's Teaching, Research, Employability and Innovation Committees or equivalent, the EDI lead. A member of the HR Business Partnering team will be available for consultation if required.
- To ensure gender balance and representation of ATR and ATS staff, a School may invite members from another school by co-option.
- Schools consisting of ten or fewer faculty members should be encouraged to form joint committees.

3.6 Faculty Promotions Committee

A Faculty Promotions Committee meeting should consist of the Pro-Vice Chancellor of Faculty as Chair, Head of each School in that Faculty, and the HR Business Partner. Associate Deans may be co-opted and should be in attendance if there is insufficient representation for ATS or ATR colleagues.

3.7 University Promotions Committee

The University Promotions Committee consists of the Deputy Vice-Chancellor as Chair, the PVC-RI (Research and Innovation), the PVC-SEE (Student Education and Experience) and the Faculty PVCs. The Head of Reward and Career Enablement, the Career Enablement Partner and the HR Business Partners will be in attendance.

4.0 OUTLINE OF PROCESS

4.1 Schools should review annually the grading of all staff below the grade of Professor and where appropriate, invite cases to be submitted by individuals to the relevant School Promotions Committee.

4.2 In addition, individuals may choose to submit a case for consideration by the School Promotions Committee.

4.3 Feedback is provided by or on behalf of the Head of School to those individuals whose cases for promotion have not been supported by the School Promotions Committee, to enable a potential Personal Submission to be made to the Faculty Promotions Committee.

4.4 The School Promotions Committee will consider applications whereby an individual is seeking a promotion of more than one academic grade e.g. Lecturer A to Associate Professor. If the School Promotions Committee is not supportive of promotion to the higher level, but is supportive of promotion to the next grade the individual will be notified. If the individual still wishes to seek promotion to the higher level, a personal submission will be accepted. If the individual is content to proceed in line with the School Promotions Committee recommendation, a promotion case to the next academic grade that is supported by the School will be taken to the Faculty Promotions Committee.

4.5 Confirmation of Appointment cases go forward to the Faculty Promotions Committee whether or not they are supported by the School, so no Personal Submission is necessary.

4.6 The Faculty Promotions Committee considers all Confirmation of Appointment cases, any promotion case supported by the School Promotions Committee and any personal submissions.

4.7 The University Promotions Committee considers Confirmation of Appointment and Promotion cases that are not supported by the Faculty Promotions Committee.

4.8 Confirmation of Appointment and Promotion cases supported by the Faculty Promotions Committee will be reported to the University Promotions Committee but not scheduled for discussion, although the Committee reserves the right to open up any Faculty supported case for further discussion.

4.9 The individual is notified of the University Promotions Committee decision by letter from HR Services, with feedback available from the Head of School or Pro-Vice-Chancellor where applicable, whether successful or not, so as to support the further advancement of their career.

5.0 TABLE OF GRADE COMPARISONS

GRADE ON SINGLE PAY SPINE	ACADEMIC GRADE	RESEARCH ASSOCIATE GRADES, COMPARISON FOR INFORMATION ONLY
Academic 1/Grade 6	Tutor	Research Associate
Academic 2/Grade 7	Lecturer A	Senior Research Associate
Academic 3/Grade 8	Lecturer B	Research Fellow
Academic 4/Grade 9	Associate Professor	Senior Research Fellow
Academic 5/Grade 10	Chair/Professor	Professorial Fellow

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SECTION 2:
GENERAL PROCEDURES



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1.0 CONSIDERATION PROCESS

1.1 Decisions on promotion are based on an objective review by panel members of the written evidence presented to them to determine whether, in light of the evidence, the criteria for promotion have been met.

Panels will operate according to principles of:

- Fairness
- Equal opportunity
- Transparency (e.g. in declarations of interest)
- Appropriate discretion

Therefore, the responsibility is on the applicant to demonstrate that they meet the requirements for promotion. Panels are required to make judgments about promotion exclusively on the basis of the documentation presented to them. Where evidence is not provided, promotion should not be recommended.

2.0 FEEDBACK AND PERSONAL SUBMISSION

2.1 Following consideration of cases by the School Promotions Committee, members of staff are entitled to know by the deadline stated in the timetable memo whether or not their case is being recommended to the Faculty Promotions Committee for promotion, and the Head of School or their nominee will provide this feedback to individuals who have not been successful, verbally and/or in writing.

2.2 On occasions, the School Promotions Committee may be in support of an application for Confirmation of Appointment or promotion, but will recommend that minor changes are made to the application in order to strengthen the case before it is reviewed at the Faculty Promotions Committee. A nominated member of the School Promotions Committee should ensure this feedback is delivered in a timely manner so the individual has sufficient time to amend and resubmit their application.

2.3 A member of staff who has submitted a case for consideration by the School Promotions Committee but for whom no recommendation is being made may make a personal submission for consideration by the Faculty Promotions Committee.

2.4 Any personal submission shall be considered at the same meeting of the Faculty Promotions Committee at which recommendations from Heads of School under the same category of business are considered. The Committee will accord parity of treatment to both recommendations from Heads of School and personal submissions and neither category of case will be treated less favourably than the

other. In reaching its decision the Committee will apply the same criteria and procedure in all cases as set out in the relevant parts of this document.

2.5 Any personal submission shall be submitted to the Head of Reward and Career Enablement by the individual concerned by the date notified in the communication detailed in Section One, clause 2.3.

2.6 A member of staff making a personal submission shall have the right to discuss the submission with their Faculty PVC prior to the meeting of the Faculty Promotions Committee and should make an appointment to meet with the PVC should they choose to do so.

3.0 PRINCIPLES OF CONSISTENCY AND CONTEXT

3.1 The Promotion Committees shall seek to ensure consistency of judgement from year to year. The grading of an individual member of staff should not be less favourable than that of others on grounds of sex, marital status, gender reassignment, race, colour, nationality, ethnic origin, disability, religion or belief, political belief, sexual orientation, transgender status, pregnancy or childbirth, membership of a trade union, fixed term or part-time working, or age. See also Section 4 relating to consideration of staff who work part-time or have had special circumstances.

3.2 The grading of all members of academic staff below the grade of Professor shall be reviewed annually in each School, according to the Committee's published timetable for the consideration of business and taking account of the relevant section of the Rules and Procedures.

3.3 Where retention of a key individual is demonstrably at risk, an accelerated promotions process may, at the discretion of the Deputy-Vice-Chancellor, be considered.

3.4 The promotions process should form part of a wider Performance and Development Review (PDR) process within the school, so that an individual receives clear guidance on the expectations of their role, identification of their training and development needs and feedback on their performance, see PDR webpages. The promotions process should also link with research planning and workload distribution processes within the school.

3.5 Opportunity should be taken by reviewers during the annual PDR meeting to discuss career progression with individuals and encourage suitable applications to be made to the School Promotions Committee.

4.0 OVERVIEW OF PROCESS

4.1 The outcomes of the progressions process will also be reviewed annually by the Equality and Diversity Committee and shared with UCU.

4.2 The University will allow for review of its procedures at regular intervals from time to time in order to ensure that it maintains itself at the forefront of good practice, including with regard to issues of equality and diversity. Any changes will be shared and discussed with UCU.

5.0 SUPPORT AND ADVICE

5.1 **Line Manager support:**
Individuals should have a regular PDRs through the Performance and Development Review process and receive ongoing manager feedback to ensure they have sufficient workload allocation for development activities, and are supported and assisted with exposure to activities that facilitate promotion. This includes; job shadowing, participating in working groups or projects, and leading new initiatives as well as formal learning options.

5.2 **Wider feedback:**
You can request feedback on your application for Confirmation of Appointment or promotion from Associate Deans or School Directors.

5.3 **Mentoring:**
Staff mentors can assist you in formulating a plan to help you achieve promotion. They can also provide guidance on how to structure and strenthen an application for Confirmation of Appointment or promotion.

5.4 **UEA Coaching Scheme:**
If you wish to learn new ways of thinking and approaching situations in order to achieve your development objectives, you may want to explore The UEA Coaching Scheme.Typical topics of discussion include career planning and continous professional development.

5.5 **Professional Learning:**
Visit the organisational development and professional learning content on the People and Culture webpages: My Development for guides and toolkits such as personal development plans and learning logs, plus access to online courses and details of workshops.

If you need additional research support, then visit the Research and Innovation

webpages. And don't forget to utilise the UEA Library's research support for assistance in your role as well.

For further training opportunities within the teaching community you can access UEA Learn on Blackboard. Visit UEA's Centre for Higher Education Research Policy Practice and Scholarship (CHERPPS) to find out more about developing your Teaching and Scholarship profile. You can also get involved in our UEA community by discovering networks and initiatives.

6.0 APPEALS

6.1 In cases of Promotion

Appeals will not be considered on grounds of the academic judgement of the University Promotions Committees, whose decision is final.

6.2 In cases of defect in procedure

A candidate who wishes to appeal on grounds of a defect in procedure should do so in line with the Grievance Procedure for Academic staff.

6.3 In cases of Non-Confirmation of Appointment

A candidate for confirmation of appointment who has been unsuccessful and who is dissatisfied with the outcome may appeal against the decision to dismiss in line with the process detailed below:

- Notice of appeal should be lodged with the Director of People and Culture, in writing, not more than ten days after the date of the written notification to the member of staff of the decision to dismiss.
- An appeal shall be heard by an Appeals Committee comprising three senior members of academic staff nominated by the Vice-Chancellor, with a lay member of Council who will act as Chair. No member of the Appeals Committee may be a member of the University Promotions Committee, nor a member of staff from the same School as the appellant. A member of the People and Culture Division will act as Secretary to the Committee.
- An objection by the appellant to the membership of the Appeals Committee may be raised formally with the Director of People and Culture who will refer the matter to the Vice-Chancellor for alternative nominations where appropriate.
- The Appeals Committee will review the case previously dealt with by the Promotions Committee and all documentation provided to that Committee will be made available to the appellant immediately after the appeal is lodged.

- The appellant and/or their representative (who can be a Trade Union representative or work colleague) may present additional relevant information. Any such information must be lodged with the Secretary to the Appeals Committee not later than one week before the date of the hearing and will be circulated to all parties to the hearing in advance.
- The University or the appellant may call witnesses to attend the hearing to give evidence. The names of any persons to be called by either side should be notified, in advance of the hearing to the Secretary, who will notify all parties to the appeal hearing.

- Conduct of the Hearing
  - The University Officers presenting the case, the appellant and/or the appellant's representatives will be invited to attend the hearing.
  - The Chair will call upon the University Officers to restate the case as presented to the Promotions Committee. The Chair will then call upon the appellant and/or the appellant's representatives to present their case.
  - Elucidation may follow by question and answer of any points arising
  - Witnesses may be called from either side, in which case they will be invited to enter the room, make their statement and/or be examined by either side and by the Committee, then withdraw. Witnesses will not otherwise be present at any part of the proceedings.
  - At any time during the hearing either side may request a brief adjournment and agreement to such a request will not unreasonably be withheld.
  - There being no further questions the appellant, any representatives, and the University Officers presenting the case will withdraw.
  - The Committee will consider its decision alone except for the presence of the Secretary.
  - The Committee shall endeavour to reach a decision as quickly as possible but may, if it so wishes, adjourn for one working day before reconvening to reach a decision.

- The Appeal Committee's decisions are final and shall not be the subject of further discussion or appeal.

SECTION 3: DOCUMENTATION AND EVIDENCE



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SECTION 3: DOCUMENTATION AND EVIDENCE

1.0 Each member of staff who makes a submission to be considered by the relevant School Promotions Committee shall submit a completed Application form together with their Curriculum Vitae (which should be no more than 6 pages). This should be completed with reference to the Academic Progression Assessment Framework. Both documents can be accessed via the Academic Staff Promotions webpages.

a. At an early stage in your probationary period, or in preparation for a future promotion you should become familiar with the relevant sections of the Academic Progressions Handbook so that you know what is expected of you.

b. You should assess the Academic Promotions application form so that you are familiar with the paperwork required and start to populate it over time, honing it as you work through the period towards formal review for confirmation, or your submission for promotion.

c. You should focus on your achievements since your last promotion (or since appointment or Confirmation of Appointment, as appropriate) in order to demonstrate your progression, providing evidence of the impact of your activities, initiatives or developments.

d. Do use the reference numbers on the expected and desirable criteria (R1, E14 etc.) to lay out in your application how you meet the requirements at each level.

e. You should also ensure you have regular PDRs and manager feedback so that any problems or concerns can be identified and addressed at an early stage.

f. It may also be helpful to seek a third-party view to identify areas to focus on or strengthen, e.g. from reviewer via PDR objectives, Mentors, Line Managers, Associate Deans or School Directors.

g. Do not use quotes from students or from Module Evaluation forms, as this could cause potential data protection issues. Published or formal feedback, for example from PDRs, may be used.

h. The application form contains two pages under section C (Education, Scholarship and Innovation) to enable ATS staff to provide a word count that is equivalent to ATR staff. This does not imply that more weighting is given to this area of activity than section D (Academic Leadership, Administration and Collegiality)

1.1. The evidence to be submitted to the School Promotions Committee, by the deadline notified by the School, shall comprise in respect of each recommendation and submission:

a. a completed Application Form prepared by the individual to present a profile of their career and highlighting recent and current activities as appropriate to their contractual requirements dependent upon staff group (ATR or ATS).

1.2 The evidence to be submitted to the Faculty Promotions Committee by the Head of School, and on to the University Committee should the case not be supported by Faculty, shall comprise in respect of each recommendation and submission:

a. The paperwork as detailed in 1.1(a) above, and
b. a statement from the Head of School on behalf of the recommendation of the School Promotions Committee.

1.3 The evidence to be submitted to the Faculty Promotions Committee by the individual in the case of a Personal Submission, and on to the University Committee should the case not be supported by Faculty, shall comprise in respect of each and submission:

a. the paperwork as detailed in 1.1(a) above.

No negative inference should be drawn from the absence of the Head of School statement.

1.4 The University Promotions Committee will review the evidence submitted to the Faculty Promotions Committee.

SECTION 4:
ASSESSMENT OF PART-TIME STAFF & THOSE WITH SPECIAL CIRCUMSTANCES



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1.0 GENERAL

1.1 Appropriate consideration should be given to members of academic staff who have a part-time contract, or where there are special circumstances that could have reasonably resulted in reduced output during the relevant period.

1.2 Special circumstances for this purpose are significant long-term periods of absence from the workplace for certified health reasons; maternity, adoption and paternity leave; and personal circumstances which may not have resulted in absence from work but have had a substantial personal impact.

1.3 Whilst an appropriate reduction in expectation of the volume of work may be considered for those with special circumstances, and a pro-rated reduction in volume for part-time staff, the quality expectation of work remains unchanged and should still meet the required standards.

1.4 In submitting cases to HR for consideration by the Faculty Promotions Committee Heads of School should ensure the outcome of any related School Promotions Committee consideration is included in the Head's statement which accompanies the individual's completed template.

2.0 PART-TIME CONTRACTS

2.1 Each School should ensure each member of academic staff whose contract is less than full-time has an appropriate workload allocation commensurate with their FTE, proportional to a full-time member of staff.

2.2 The workload allocation should guide the minimum expectation in terms of research activity/output, grant applications and target grant income, teaching load, E&E and administrative activity.

2.3 The minimum expectations should be clarified with the member of staff through existing school processes where one would expect workload and corresponding objectives to be agreed, such as induction, PDR and other review meetings with the Head of School, Department Head, etc.

2.4 Preparation within each school for the School Promotions Committee meeting should include a check to identify part-time employees among those who are to be considered. Individuals submitting an Application form are asked to state their FTE on the front page, and to provide relevant dates if the FTE has previously changed during the period to be considered. This will enable the Head of School to clarify the agreed minimum workload expectations in place for any

such individual in advance of the School Promotions Committee meeting, and ensure these are taken into account at the meeting when considering an individual's volume of output and activity.

2.5 This may apply in cases submitted for confirmation of appointment (see the relevant section below) and promotion.

3.0 STAFF ON SECONDMENT AND THOSE WHO HOLD INSTITUTION-WIDE ROLES

3.1 Upon appointment to the role, expectations should be clarified with the member of staff and review mechanisms determined by the Head of School and the line manager of the secondment/additional post.

3.2 If seeking Confirmation of Appointment or promotion, the individual should liaise with their Head of School to determine the most effective approach for obtaining input from their temporary line manager/additional reporting line. This individual may be co-opted to attend the School Promotions Committee to discuss this part of the agenda, where relevant. The manager would also be expected to provide feedback to the Head of School to assist with the submission for the Faculty Promotions Committee.

4.0 SPECIAL CIRCUMSTANCES

4.1 Where a special circumstance applies and the individual can demonstrate* that this has had a substantial impact on their activity/output, the reduction in volume against normal expectations will be taken into account by the promotions committee.

4.2 Consideration will be on a case-by-case basis, with the circumstances and the timing of the absence or event within the relevant period among the factors to be taken into account by the promotions committee.

4.3 This may apply in cases submitted for confirmation of appointment (see the relevant section below) and promotion.

5.0 CONFIRMATION OF APPOINTMENT

5.1 There may be cases where absence during the probationary period relates to maternity, paternity or adoption leave and the duration and/or timing of the leave may have, or can be shown to have had a demonstrable impact* on the probationer being able to meet the required assessment standards for confirmation of appointment. In

these cases, the promotions committee may decide to take the duration of the leave into account on a 'stopping the clock' basis, where the original probationary end date is extended by the same period of time as the leave taken.

5.2 Where a special circumstance has occurred during the probationary period and the individual can demonstrate* that there has been an adverse impact on their ability to meet the assessment standards required for confirmation of appointment within the required time frame, the promotions committee may take this into account in exceptionally agreeing an appropriate extension to the probationary period.

* *Demonstrable adverse impact: The individual may choose to state their case in the submitted template, or may discuss the case with their line manager/Head of School, who will provide agreed details to the School Promotions Committee.*

SECTION 5: CONFIRMATION OF APPOINTMENT



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1.0 GENERAL

1.1 The following procedures are intended to give Lecturer and Tutor probationers a full opportunity to develop appropriate skills and to demonstrate suitability and competence before a decision is taken on whether to confirm the appointment.

1.2 A probationary period of service of five years is a condition of appointment for all new academic appointments at the Lecturer grade except where the person concerned has satisfactorily completed probation in another university. A person appointed who has previous relevant service but has not satisfactorily completed a full probationary period may be made subject to an initial probationary period of less than five years.

1.3 There is no expectation of extension of the probationary period beyond five years, except if agreed by the promotions committee owing to a special circumstance as outlined in Section Four.

1.4 Variations from these procedures which are necessary in the case of fixed term appointments of up to five years are set out below. However, a decision to confirm the appointment in the case of a fixed term appointment will not imply any commitment to continue the employment beyond the specified term.

Fixed term of five years or more

The standard probationary period of five years will normally apply.

Fixed term of five years

The normal probationary period will be the full period of the appointment.

The probation of the member of staff will be subject to the guidelines set out in this Section Five. The appointment will also be subject to formal review by the Promotion Committees at the beginning of the final year of probation.

Fixed term of less than five years

Staff appointed for fixed term periods of less than five years will be subject to the same guidance and support mechanisms as any academic probationer, and expected to perform to similar standards. However, there will be no formal review by the Promotions Committee in this case, unless the appointment is extended to a total period of five years or longer. At this point it shall be decided whether (and if so when) a formal review of probationary performance by the Promotions Committee shall take place. A decision to confirm the appointment will not imply any commitment to continue the employment beyond the specified term.

2.0 PROCESS

2.1 During the probationary period, HR Services will request progress reports from the Head of School at the end of the first and third years of employment, in order that any concerns may be identified and appropriately addressed.

2.2 A formal review of the probationer's progress will normally take place at the first meeting in the final twelve months of the individual's probationary period and there will be no further extension of probation.

2.3 Earlier confirmation of Appointment may be recommended by the School and should a probationer feel they should be considered for earlier confirmation this should be discussed with their Head of School.

2.4 Formal review comprises assessment of the probationer's progress against the required assessment standards as identified in the Assessment Framework.

2.5 The documentation to be presented by the probationer to the School Promotions Committee is as detailed in Section Three.

2.6 The submission is considered by the School Promotions Committee and a report subsequently made to the Faculty Promotions Committee by the Head of School, documenting the extent to which the Lecturer or Tutor has demonstrated, and shows promise of continuing to develop, a satisfactory standard of progress and effectiveness as detailed in the Assessment Framework. Successful completion of the PGCert in Higher Education Practice (or equivalent programme as designated by the University, see 4.0 below) is also a requirement of Confirmation of Appointment as is Fellowship of the Higher Education Academy.

2.7 The submission and Head of School report on behalf of the School Promotions Committee is considered by the Faculty Promotions Committee and its decision is reported to the University Promotions Committee. If a recommendation for confirmation of appointment is not supported by the Faculty Promotions Committee the case will be discussed further at the subsequent University Promotions Committee.

2.8 If the University Promotions Committee decides it is not possible to recommend Confirmation of the Appointment, the Lecturer or Tutor concerned shall receive a letter from the HR Business Partner referring to the ways in which their performance has not met the required standards, advising what needs to be done by way of improvement, and stating that the appointment will not be confirmed unless a satisfactory standard of effectiveness is considered to have been achieved when the case is next considered.

2.9 The Head of School concerned shall meet with the member of staff and discuss the position fully, including the implication of the loss of post, and will advise further on steps to be taken, and the assistance which will be given, before the case next comes up for review.

3.0 SUBSEQUENT REVIEW FOR CASES NOT SUPPORTED AT SCHEDULED REVIEW

3.1 If the confirmation of the Lecturer's or Tutor's appointment has not been recommended when first considered by the Committee, the case shall be reviewed, using the same formal review procedure as before, at a subsequent meeting before the end of the probationary period.

3.2 If the Committee decides that it is not possible to recommend confirmation of the appointment following this further review the appointment will not be confirmed and notice of termination of employment will be given.

3.3 A Lecturer or Tutor may appeal against a decision of the University Promotions Committee to recommend non-confirmation of their appointment in accordance with the appeals procedure set out in Section Two, clause 6.3.

4.0 QUALIFICATION AND ACCREDITATION OF TEACHING PRACTICE

4.1 Members of academic staff on probation are normally required to undertake a course of study as designated by the University, wherever possible to begin in the first year of appointment. Those with Advance HE accreditation or prior experiential learning (APEL) for all or part of the PG Certificate level; or who are registered with the Nursing and Midwifery Council (NMC) and are undertaking an NMC approved teaching qualification; or are undertaking the University's Masters in Clinical Education, must contact the Director or CHERPPS (Centre for Higher Education Research Practice, Policy and Scholarship) to discuss any variations or exemptions.

4.2 Confirmation of appointment will be subject to successful completion of the PG Certificate in Higher Education Practice (or equivalent programme, as designated by the University) which should normally be completed within the first two years of post, and Fellowship of the Advance HE. Appropriate consideration relating to an individual's part time status or intercalation relating to long-term absence (for example maternity leave) will be taken into account. The Director of CHERPPS will adjudicate on disputes relating to equivalency or extensions in exceptional circumstances.

4.3 Progression to complete the Diploma stage and/or the full MA is optional and is not a probationary requirement.

4.4 Where this is a requirement of their appointment, fixed term staff on probation will undertake the PGCert in Higher Education Practice, during their appointment.

4.5 The Head of School will receive a progress report provided by the Academic Practice Team on the probationer at the end of the first and third years of employments.

4.6 A further report on the probationer's progress will be provided to the School Promotions Committee and this will be summarised in the Head of School's statement to the Faculty Promotions Committee.

5.0 TIMING OF PROBATION AND PROMOTION

5.1 The expectation is that confirmation of appointment will occur prior to any promotion to a higher grade being considered. These may however be considered at the same meeting if promotion to the grade being sought is on the promotions committee agenda.

6.0 PERSONAL RESPONSIBILITIES FOR PROBATIONER LECTURERS

6.1 Each probationer should be allocated a mentor and should take responsibility to ensure their progress remains on track. This should include:

- Being aware of the assessment criteria required for confirmation of appointment as detailed this document in the Assessment Framework (Appendix A). If Lecturers are unsure of whether they are seeking confirmation of appointment at Lecturer A or B, they should refer to MyView for confirmation of their current pay grade. The table of grade comparisons can be found on in Table 5;
- Letting their Head of School (as line manager) know as soon as possible of any concerns with their mentoring or other aspects of their probationary experience;
- Self-assessing and documenting progress against the assessment standards at regular intervals;
- Discussing progress at their annual PDR meeting, and taking into account any feedback on performance during this or other meetings with colleagues and/or line manager (normally the Head of School);

- Ensuring the PDR meeting takes place by alerting the line manager if a period of twelve months is approaching since their last PDR took place (although the primary responsibility for ensuring PDR takes place lies with the Head of School, as outlined in Section Six);
- Making the most of their Mentor, by engaging with regular meetings and acting on feedback received;
- Engaging with Academic Practice team to undertake the PGCert in Higher Education Practice or any alternative agreed in writing by the School and Academic Practice team;
- Raising with the line manager, Head of School, or HR Business Partner as appropriate, any difficulties which are not being addressed;
- Completing and submitting the required documentation by the relevant Promotion Committee deadline for formal review.

SECTION 6:
PROBATIONARY STAFF-RESPONSIBILITIES OF HEADS OF SCHOOL



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1.0 GENERAL

1.1 Section 5 details the formal arrangements for review of Confirmation of Probation and each Head of School (as primary line manager for all academic staff in their school) should ensure they are familiar with this process.

1.2 A probationary period of service of five years is a condition of appointment for all new academic appointments at Lecturer grade except where the person concerned has satisfactorily completed probation in another university. A person appointed who has previous relevant service but has not satisfactorily completed a full probationary period may be made subject to an initial probationary period of less than five years. Variations from these procedures which are necessary in the case of fixed term appointments are set out in Section 5, clause 1.3.

1.3 For the probationary period to serve its purpose, the line manager should set out what is expected of each probationer in the performance of their duties. In addition, line managers must ensure that probationers are and be given the opportunity, through experience and by receiving appropriate training and feedback as necessary, to develop a standard of effective performance which will enable the University to confirm the appointment.

1.4 The Head of School should also ensure that appropriate arrangements are in place to support the probationer and aim to ensure that any difficulties (especially those which might lead to non-confirmation) are identified and, as far as possible, overcome without resource to the formal warning procedure described in Section 5, clause 2.8.

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2.0 HEAD OF SCHOOL RESPONSIBILITIES

2.1 To ensure an Induction Programme is in place, including:

- General introductions to the University, its structure and procedures, and to the individual School/unit concerned;
- Introductions to colleagues within the school and in supporting functions;
- A specific introduction to the work which the probationer is to undertake within the context of the School/unit's overall aims, objectives and procedures;
- A meeting with the Head of School at the start of employment to make the new recruit aware of the standard of performance expected for confirmation of the appointment, with specific reference to the timetable, procedures and criteria set out in this Promotions Handbook. Normally, teaching and associated administration, management and leadership loads should be lighter than those of established members of faculty; [1]Provision of a timetable/workload allocation relating to all areas of contractual duties, noting that teaching loads should be lighter than those of established members of staff, and an allocation of time should be incorporated to facilitate engagement the PGCert in Higher Education Practice;
- Allocation of mentor and clarification of that relationship;
- Setting a date for an initial progress review meeting ideally in the first three months of employment, to review progress, revisit the job description, discuss any development needs or any concerns the probationer or line manager has identified. This will also serve as an initial PDR meeting and the probationer will fit into the School's annual PDR cycle thereafter (see clause 2.4 below).

2.1.2 The Academic Practice team arranges formal induction programmes each academic year as part of the PGCert in Higher Education Practice which new members of Lecturing staff are expected to attend. These include some sessions particularly orientated towards those new to university academic staff duties and every effort should be made to enable the probationer to attend on one of the available dates.

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1 **Sliding scale:** this may be reflected in significantly lower teaching/student facing demands in Year 1 and 2, some relief in Year 3, modest relief in Year 4, and minimal relief in Year 5. Administrative roles should be expected to start correspondingly light but rise to near full complement in Year 5. Where prior service reduces the 5 year period, the relief provided should be according to the notional total number of years already served. For part-time academic staff, relief should be pro-rata to the contractual full-time equivalent basis on which they are employed.

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2.2 To hold Review Meetings

2.2.1. At an early stage in the appointment, provide an opportunity for the probationer to discuss with the Head of School and/or mentor (see clause 2.3 below) any particular training or development need which, in the light of the probationer's education, professional training and previous experience, may assist the probationer to achieve the required standard of performance in all parts of the assigned duties. The probationer should receive a co-ordinated development programme of a helpful and comprehensive nature, which lasts throughout the probationary period andprovides a means of identifying and overcoming any difficulties which may arise. This meeting can double as the initial progress review meeting described in the Induction section above.

2.2.2 Heads of School will be asked by HR for a progress report on the probationer at the end of years one and three of the probationary period (see section 2.5 below) and this should include an update on the probationer's engagement and progression through the PGCert in Higher Education Practice, where successfully completing this course is a condition of probation. It is advised that the Head of School meets with the probationer on each of these occasions before finalising the report, to ensure the probationer has no concerns that should be addressed.

2.3 To ensure the probationer has a Mentor

2.3.1. The Senate has agreed that in order to provide advice and guidance, a Mentor is to be assigned within the school/unit to each probationer on appointment. This should be someone who is not involved with any formal assessment of the probationer's performance, but is a well-established member of faculty familiar with the true nature of the problems faced by probationers. Appropriate training for Mentors will be available where necessary. The Mentor's role is:

a. to help the probationer settle in to the working environment of the school/unit
b. to help protect the probationer from exploitation by established colleagues
c. to encourage the development of the probationer's academic talent and to help self-evaluation of their own teaching, research, innovation and related administrative performance.
d. to be actively involved in the development of the probationer's teaching expertise and style.

The Mentor and the probationer should arrange to meet regularly – at least quarterly is suggested – to review progress, identify and acknowledge achievements, jointly identify any difficulties or uncertainties and agree means of responding to these.

2.4 To ensure an annual Performance and Development Review takes place

2.4.1 The Staff Performance and Development Review (PDR) scheme is an essential opportunity for personal review and self-assessment on the part of any probationer and for guidance and advice from a senior member of staff acting as reviewer. In addition to annual PDR, line managers should ensure that other support and guidance mechanisms are made available to probationary lecturers throughout the year, as described in the preceding paragraphs and in 'Support and Advice' (section two, part 5). The member of staff may choose to include an agreed summary of PDR records in the documentation prepared for presentation to the School Promotions Committee when their case for confirmation is considered.

2.4.2. The Head of School receives all PDR records and should also ensure that they are familiar by other means with the progress of a probationary lecturer, and is available to discuss progress with the individual if requested.

2.5 To provide Progress Reports

2.5.1 As a link between the informal reviews of progress, the annual PDRs and the formal consideration of cases for confirmation of appointment which takes place at the beginning of the final year of probation, HR Services will request from the Head of School a report on the probationer's progress at the end of the first and third years of probation to identify any concerns to be dealt with before the stage of formal review If the Head of School does not expect to be able to recommend confirmation of appointment by the time of the formal review at the end of the fourth year or probation, the report should state in which areas the probationer's performance is at that stage considered inadequate:

2.5.2 These interim reports should be shared and discussed with the probationer before being submitted to the HR Services in order to provide positive feedback and/or address any area of under-performance and identify appropriate advice and assistance.

2.5.3 Should the Head of School identify any difficulties with the probationer's progress in advance of the request to report to the Director of Human Resources, these should be raised with the relevant HR Business Partner at the earliest opportunity to enable steps to be taken to address the concerns.

2.5.4. At the time of formal review, the Head of School will ensure the probationer is considered at the appropriate meeting and will provide a report to the Faculty Promotions Committee following the School Promotions Committee consideration.



Appendix A

ACADEMIC PROGRESSION: ASSESSMENT FRAMEWORK



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The assessment criteria indicate the attributes and achievements against which Promotion Committees will assess applications for promotion and confirmation of appointment. The descriptors cover three areas of activity:

i. Research and Innovation;

ii. Education, Scholarship and Innovation; and

iii. Academic Leadership, Administration & Collegiality.

ATR staff will be assessed under all three areas, while ATS staff will be assessed under Education, Scholarship and Innovation and Academic Leadership, Administration and Collegiality, with additional requirements under each area of assessment for ATS so that the overall number of criteria are balanced. All applications should demonstrate the UEA values of Collaboration, Empowerment, Respect and Ambition.

This framework indicates areas and not standards. It would be inappropriate to attempt to express generic standards that would be both meaningful and applicable universally. The determination of standards of excellence belongs within a discipline or School/Institute or Faculty. Faculty PVCs will provide oversight to the determination of standards.

The criteria are divided into 'expected' and 'desirable' categories, following the normal rubric for staff recruitment. It is not required that each individual descriptor in the 'desirable category' is met under each relevant area. That section should NOT be regarded as a comprehensive checklist but as a guide, to be discussed with your line manager, reviewer and/or mentor. The 'desirable' descriptors provide an indication of the range of achievement, and the type of evidence that may be required.

Where reference is made to 'sustained' service, this does not relate to a minimum length of service. The impact of career breaks such as maternity/paternity leave will be taken into account, with advice from HR. More important is evidence of deep and positive impact in the activity as defined.

We expect the assessment activities in all sections to take account of disciplinary differences and career stage. Applicants should focus on their achievements since their last promotion (or since appointment or Confirmation of Appointment) to demonstrate progression.

The criteria from Confirmation of Appointment/Lecturer A through to Chair are cumulative. This means, for example, that those assessed as achieving the criteria for Chair will be expected to have also met the criteria for Lecturer A, B, and Associate Professor, or their equivalents.

Schools are expected to ensure that opportunities to develop work in all areas are promoted transparently and that due consideration and support is given to staff on part-time contracts.

Promotion decisions are based on a review by panel members (at School, Faculty and University Committees) of the written evidence presented to them. The responsibility is on the applicant to demonstrate that they meet the requirements for promotion.

RESEARCH AND INNOVATION (ATR ROUTE ONLY)

Achievement in research and innovation can be evidenced in a range of ways, including research outputs; research grants; research impact; research supervision; research communication; editing and reviewing activities; engagement, knowledge exchange and collaboration with researchers and research users in appropriate networks, communities, bodies and societies; and appreciation by peers.

Research outputs should be appropriate to the discipline, and may include for example, refereed conference papers, journal articles, books/monographs, book chapters, or practice-based outputs.

Communicating work to external academic and non-academic audiences should be appropriate to the discipline, and may include, for example: engaging in media or policy debate in the subject area, articles, policy briefings or media appearances; building networks with practitioner, community or policy stakeholders; adopting co-production research methods or problem-focused research agenda; co-authoring outputs with collaborators; blogging or social media activity; infographics; seminars, conferences or workshops.

Innovation activities should be appropriate to the discipline, and may include, for example, consulting, contract research, or other specialist activities for UEA's external partners; securing funding for knowledge exchange and innovation projects, patent applications and intellectual property income such as licencing; establishing a sustainable spin-out company; public performances, festivals or exhibitions related to research; demonstrable contribution to the delivery of short courses for professional development and developing impact case studies.

We value quality over quantity, although lower quality outputs may be significant where they underpin or enable strong research impact. We expect the assessment of research and innovation activities to take account of disciplinary differences and career stage. We aim to reward disciplinary and interdisciplinary research and innovation success, recognising that the quality of interdisciplinary contributions may be harder to evaluate and take longer to achieve.

UEA is committed to a culture of good practices in research, including open, ethical, transparent and reproducible research approaches and to enhancing research integrity. We are also committed to the principles of fair, responsible and open use of metrics in the assessment of research activity and performance. UEA will put this commitment into practice by using metrics to support, and not replace, peer review and expert knowledge; which take account of discipline variations; in a transparent manner and with a clear objective; which are appropriate and robust, with the limitations clearly explained. As part of this commitment, UEA is now a signatory to the San Francisco Declaration on Research Assessment: https://sfdora.org/

EDUCATION, SCHOLARSHIP AND INNOVATION

Achievement in education, scholarship and innovation can be evidenced in a range of ways. These may include: the adoption of innovative practices and technologies to support and enhance learning; the development of new and successful teaching models and approaches within modules and courses; supporting others in the development of their teaching and learning practice; working collaboratively with other colleagues and with students; and achieving internal or external recognition, dissemination, or having positive impact in delivery and leadership in learning and teaching.

At all levels, it is expected that staff comply with the University's fundamental requirements in terms of meeting deadlines for Module and Course Update, providing clear and accessible feedback and advice to students, and in the return of assessment feedback to students in a timely manner. It is also expected that academics will routinely undertake the training and continuing professional development associated with key roles of responsibility, and deliver, as set out in the relevant role descriptors.

It is also expected that all academic colleagues hold a formal HE teaching qualification and Advance HE accreditation (Fellowship level or higher).

In line with UEA's Student Education and Experience strategy, all staff are expected to support our vision to advance the education of the next generation of outstanding graduates using progressive approaches to address the key issues of our changing world. To achieve this, staff are required to:

- deliver curricula of outstanding quality based on best-practice pedagogy and research-informed education;
- be mindful and respectful of students from diverse backgrounds;
- collaborate with students to improve our practices and foster a culture around employability and life-long learning; and
- capitalise on the use of impactful learning technologies.

ACADEMIC LEADERSHIP, ADMINISTRATION AND COLLEGIALITY

Evidence of achievement in Academic Leadership, Administration and Collegiality may include: a focus on building productive and respectful relationships across and beyond the University; creating partnerships internally and/or externally with other organisations; involvement in civic and societal engagement; and general positive contributions to the School, Faculty and UEA. Collegiality is linked with upholding the UEA values of collaboration, empowerment, respect and ambition, and being willing to take on a share of the general duties, within workload parameters.

We aim to recognise proactive engagement with initiatives that are at the heart of developing a strong community of people (staff, students and partners of all kinds, including our alumni).

The University is committed to Equality and Diversity, as evidenced in its position as silver award-holder for Athena SWAN, annual submissions to Stonewall Index, as signatory to the Race Equality Charter and as member of the Civic University Network and University of Sanctuary scheme, as well as support for a number of staff networks. Colleagues are expected to demonstrate their contribution towards one or more of these, or similar, initiatives/commitments in their personal submissions.

FOR CONFIRMATION OF APPOINTMENT AT ATS1

Education, Scholarship and Innovation

Expected

E1. Incorporating advances in the subject area into learning and teaching, providing intellectual stimulation, rigor and stretch for students;

E2. Using appropriate technologies to enhance learning and teaching e.g. Blackboard, TALIS;

E3. Ensuring feedback to students is timely, fair and helpful and that assessment criteria are clearly understood by students in advance;

E4. Ensuring that teaching practices and content are actively developed in the light of student feedback;

E5. Ensuring that teaching practices and content are actively developed in the light of feedback from colleagues via peer observation exercises;

E6. Supporting students in their studies and personal wellbeing outside the classroom by monitoring attendance and through the Academic Advising system;

E7. Ensuring that learning and teaching supports employability and UEA's Graduate and Postgraduate Attribute Frameworks;

E8. Following UEA policies and practices and using other provided systems to support the delivery of learning and teaching and student well-being, and quality assurance, in a collegiate and timely manner;

E9. Evidence of engagement with Continual Professional Development in learning and teaching.

Expected for ATS and ATR

E10. Advance HE accreditation at the level of Fellow or higher.

Desirable

E11. Impactful participation in programmes to support student employability such as placements and internships that may include a local or regional dimension;

E12. Evidence of innovative practice in inclusive learning and teaching that impacts positively on diverse student groups.

Academic Leadership, Administration and Collegiality

Expected

A1. Positive departmental citizenship and collegiate behaviour

A2. Proactive support to colleagues and students

A3. Effective contribution to academic administration processes

A4. Successful completion of all mandatory training

A5. Proactive and effective support for applicants and potential applicants

A6. Contribution to School recruitment and/or widening participation activities that may include a local or regional dimension

Desirable

A7. Contribution to UEA's Equality and Diversity activities

FOR CONFIRMATION OF APPOINTMENT AT AND PROMOTION TO LECTURER A

Research

Expected

R1. Plan and develop independent, original, significant and rigorous contributions to subject area or body of knowledge

R2. Produce high quality, externally peer-reviewed outputs, as appropriate to the discipline and career stage

R3. Contribute to writing bids for internal or external research grants or funding schemes

R4. Involvement in work to communicate research to external academic and non-academic audiences

Desirable

R5. Conduct joint supervision of research masters or doctoral students, when opportunities to do so are available

R6. Build networks of research contacts around discipline and/or relevant cross-disciplinary communities

R7. Produce outputs that exemplify best practice in open research, as appropriate to the discipline, including through the transparency and sharing of data, methods, materials, code, design and analysis, and practices that support replication and reproducibility

R8. Active engagement with a professional body or learned society relevant to the discipline

R9. Participate in innovation activities with tangible institutional benefit to UEA

Education, Scholarship and Innovation

Expected

E1. Incorporating advances in the subject area into learning and teaching, providing intellectual stimulation, rigor and stretch for students

E2. Using appropriate technologies to enhance learning and teaching e.g.Blackboard, TALIS

E3. Ensuring feedback to students is timely, fair and helpful and that assessment criteria are clearly understood by students in advance

E4. Ensuring that teaching practices and content are actively developed in the light of student feedback

E5. Ensuring that teaching practices and content are actively developed in the light of feedback from colleagues via peer observation exercises

E6. Supporting students in their studies and personal wellbeing outside the classroom by monitoring attendance and through the Academic Advising system

E7. Ensuring that learning and teaching supports employability and UEA's Graduate

and Postgraduate Attribute Frameworks

E8. Following UEA policies and practices and using other provided systems to support the delivery of learning and teaching and student well-being, and quality assurance, in a collegiate and timely manner

E9. Evidence of engagement with Continual Professional Development in learning and teaching

Expected for ATS and ATR

E10. Advance HE accreditation at the level of Fellow or higher.

Expected for ATS, Desirable for ATR

E12. Evidence of innovative practice in inclusive learning and teaching that impacts positively on diverse student groups

E13. Maintain currency in the field through participating in professional, pedagogical and learned society networks to inform teaching practice

E14. Evidence of applications to internal or external grants or funding schemes to fund student-focused activities, pilots or evaluation studies.

E15. Support the delivery of short courses for professional development or external organisations' needs

Desirable for ATS and ATR

E16. Impactful participation in programmes to support student employability such as placements and internships

Academic Leadership, Administration and Collegiality

Expected

A4. Successful completion of all mandatory training

A8. Effective departmental citizenship, with positive and effective support to colleagues and students

A9. Evidence of collegiate behaviour with clear benefits to School or sub-group

A10. Proactive and effective contribution to administration processes

Desirable

A7. Contribution to UEA's Equality and Diversity activities

A11. Member of an external body or network which may not relate to research or innovation, but raises UEA profile and reputation and indicates esteem

A12. Contribution to School recruitment and widening participation activities including supporting applicants and potential applicants

A13. Involvement in work to communicate UEA activity to non-academic audiences

A14. Promotion of engagement with public and community organisations including that which may support UEA's civic agenda impact case study work and/or widening participation

FOR CONFIRMATION OF APPOINTMENT AT AND PROMOTION TO LECTURER B

Research and Innovation

Expected

R2. Produce high quality, externally peer-reviewed outputs as appropriate to the discipline and career stage

R10. Work towards an independent research profile (or the research reputation of a collaborative team)

R11. Submission of research grant or funding applications, individually or in collaboration with others, as appropriate to the discipline

R12. Effective supervision and mentoring of research masters or doctoral students, as first or second supervisor, as opportunities allow

R13. Contribute to communicating research to external academic and non-academic audiences, as opportunities allow

Desirable

R7. Produce outputs that exemplify best practice in open research, as appropriate to the discipline, including through the transparency and sharing of data, methods, materials, code, design and analysis, and practices that support replication and reproducibility

R14. Enable research-related activities and communities through active participation in professional or learned societies, or cross-disciplinary networks

R15. Reviewer for research-focused publications and/or funding bodies

R16. Proactive engagement with activities in support of the research culture at School or Faculty level

R17. Contribution to innovation, impact and knowledge exchange activities with institutional benefit to UEA

Education, Scholarship and Innovation

Expected

E17. Significant contribution to curriculum planning, course design and/or development to support enhancements in student learning

E18. Advancing the use of appropriate technologies to enhance learning and teaching

E19. Engagement with pedagogical research to inform innovation and development of excellence in learning and teaching, and evidence of integrating research-based learning and teaching

E20. Demonstrate active engagement in the wellbeing and academic development of students through academic advising or mentoring

Expected for ATS and ATR

E10. Advance HE accreditation at the level of Fellow or higher

Expected for ATS, Desirable for ATR

E12. Evidence of innovative practice in inclusive learning and teaching that impacts positively on diverse student groups

E13. Maintain currency in the field through participating in professional, pedagogical and learned society networks to inform teaching practice

E21. Engagement with quality assurance, including through academic link roles with UEA's validated partner provision, such as INTO, City College, etc.

E22. Evidence of introduction of new, or substantial development of existing, modules including student involvement where appropriate

E23. Evidence of significant personal contribution and impact to School or Faculty learning and teaching or student related panels or committee (including employability and admissions)

Desirable

E24. Submission of funding applications, individually or in collaboration with others, to fund student-focused activities, pilots or evaluation studies

Academic Leadership, Administration and Collegiality

Expected

A4. Successful completion of all mandatory training

A15. Effective personal contributions through membership of committees/administrative groups and/or taking on administrative work as appropriate to career stage

A16. Effective contribution to projects or working groups, including those that link to broader Faculty work and/or in partnership with Professional Services

Desirable

A17. Pro-active contribution to UEA's Equality, Diversity and Inclusion activities

A18. Involvement in committees or panels related to student life such as Appeals and Complaints Panels, Senate Student Discipline Committee, Senate Student Discipline Appeals Committee, Campus Trade Union representation

A19. Effective contribution to an external body or network which may not relate to research or innovation directly, but raises UEA profile and reputation locally, nationality and internationally and indicates esteem

A20. Effective contribution to recruitment and widening participation activities.

A21. Promotion and maintenance of interaction with public and community organisations and which may support impact case study work and/or widening participation

FOR PROMOTION TO ASSOCIATE PROFESSOR – FORMERLY SENIOR LECTURER/READER

Research and Innovation

Expected

R18. Produce high quality externally peer-reviewed research outputs as appropriate to the discipline and career stage, including those based on collaborations where appropriate

R19. Developing reputation and profile nationally and/or internationally

R20. Success in grant capture, or other evidence of strong applications such as favourable feedback at review stage or having grants highly rated by the funding body's peer review process, at a level appropriate to the discipline

R21. Effective supervision and mentoring of PhD students, as first or second supervisor, as opportunities allow

R22. Significant contribution to communicating research to academic and non-academic audiences

Desirable

R7. Produce outputs that exemplify best practice in open research, as appropriate to the discipline, including through the transparency and sharing of data, methods, materials, code, design and analysis, and practices that support replication and reproducibility

R23. Supervise successful completion of PhD students

R24. Examination of internal or external PhDs

R25. Role in nationally or internationally funded research project

R26. Proactive role in successful collaboration within a large collective research group/ centre or with other research teams; successful leadership of significant research-enabling activities

R27. Editorial board member or equivalent of a significant conference or publication in the discipline

R28. Participation in peer review for grant schemes nationally or internationally

R29. Role in an institutionally or nationally significant innovation, knowledge exchange or commercialisation activity that has successfully delivered significant research or economic/social/cultural impact, or with substantial institutional benefit to UEA activity

R30. Recipient of internal or external award celebrating achievement in innovation and impact activities

Education, Scholarship and Innovation

Expected

E25. Leading a team or making a substantive contribution within a subject field in student-focussed activity

E26. Successful educational leadership through impactful support for more junior staff, leading a teaching team, making substantive contributions to student-focussed activity, or actively leading on particular education initiatives

E27. Engagement with inclusive learning and teaching practice within the School, e.g. contribution to widening participation

Expected for ATS and ATR

E10. Advance HE accreditation at the level of Fellow or higher.

Expected for ATS, Desirable for ATR

E28. Proactive engagement in professional, pedagogical and learned society networks to inform own teaching practice and that of others

E30. Successful and impactful collaboration on a learning and teaching initiative

E31. Recognised leadership on education- or student-related issues at the School/ Faculty level such as developing new courses, conducting course reviews, or contributing to key committees in relevant domains (learning and teaching, employability, admissions, etc).

E32. A national profile in aspects of education delivery and advancement, e.g. through membership of subject association committees as appropriate to the discipline

E33. Leadership of innovation in pedagogy within School or Faculty

E34. Proactive support and mentoring of less experienced colleagues to support them to meet their teaching and educational goals

Desirable

E29. Success in funding applications, individually or in collaboration with others, to fund student focussed activities, pilots or evaluation studies

Academic Leadership, Administration and Collegiality

Expected

A22. Effective and positive leadership to deliver of agreed and monitored targets, informed by Unit, School, Faculty and University strategic plans as appropriate

A23. Effective contribution to University, Faculty and/or School committees, panels, working or project groups

A24. Evidence of sharing knowledge and good practice which may include mentoring and support of colleagues

Desirable

A25. Collaborative leadership of School or cross- institutional strategic priority areas (e.g. admissions, quality assurance, examinations, research and the civic agenda)

A26. Significant contribution to UEA's Equality and Diversity activities

A27. Recognised leadership in an external body or network which may not relate to research or innovation directly, but raises UEA profile and reputation and indicates esteem

A28. Significant contribution to School recruitment and widening participation activities that may include regional dimension

FOR PROMOTION TO PROFESSOR - FORMERLY CHAIR

Research and Innovation

Expected

R31. Outstanding contribution to field of study with sustained quality of externally peer-reviewed research outputs as appropriate to the discipline, including those based on collaborations where appropriate

R32. Sustained track record of income generation for the UEA including leadership of a wider team where this is appropriate to the discipline context; success in major multi-group collaborative funding opportunities; lead role in collaborations within large research team or with other research teams/institutions

R33. Established and maintained profile within the subject community

R34. Sustained successful engagement with PhD students, including training, mentoring and student completion of PhD

R35. Examination of internal or external PhDs

R36. Recognised support, mentoring or management of others such as early career researchers, leading a research group/centre or committee, convening a research network, or directing research activities as appropriate to the discipline

R37. Leading strategic innovation, impact or knowledge exchange activities with significant and sustained financial or non-financial institutional benefit for UEA, dependent on discipline and as opportunities allow.

R38. Sustained leadership of communicating research with academic and non-academic audiences

Desirable

R7. Produce outputs that exemplify best practice in open research, as appropriate to the discipline, including through the transparency and sharing of data, methods, materials, code, design and analysis, and practices that support replication and reproducibility.

R39. Regular invited speaker at conferences, seminars and/or workshops attracting international participation

R40. Editor or editorial board of a significant research journal or book series

R41. Recognised for championing and celebrating UEA research impact, and embedding a culture of sharing experiences and good practice

R42. Senior advocate for public engagement with significant innovative examples in public engagement practice

R43. National and international recognition of success in innovation, impact, knowledge exchange and commercialisation e.g. prizes, awards or fellowships

Education, Scholarship and Innovation

Expected

E35. Sustained and significant engagement with students to inform, drive and deliver improvement in learning and teaching

E36. A sustained and successful track record in mentoring and supporting other staff in learning and teaching

E37. Outstanding contribution to educational development within the subject area

Expected for ATR only

E10. Advance HE accreditation at the level of Fellow or higher

Expected for ATS, Desirable for ATR

E39. Leading innovative changes to curricula at least at School-level

E40. Active championing of inclusive learning and teaching practices

E41. An external reputation nationally in education delivery and advancement

E42. Leadership of major learning and teaching initiatives

E43. Accreditation by the Advance HE at the higher levels of Senior Fellow or Principal Fellow

E44. National or international reputation in pedagogical scholarship

E45. Sustained and impactful leadership at an institutional level to support excellence in learning and teaching, championing educational excellence and inspiring less experienced colleagues including, for example through delivery of CPD

Desirable

E38. Sustained track record of success in applying for funding to support student-focused initiatives, or through additional educational initiatives, at a level appropriate to the discipline

Academic Leadership, Administraton and Collegiality

Expected

A29. Positive leadership and contribution to developing a supportive, collegiate and compassionate culture at UEA, with evidence from others of personal impact in motivating and developing colleagues to achieve personal, School, Faculty and/or UEA goals

A30. Significant contribution to leading regional, national or international initiatives (may include those with a research, education or civic focus) with significant reputational impact for UEA

Desirable

A31. Personal contribution to the development of the university's profile in the UK and/or internationally, as appropriate

A32. Leadership and active championing of UEA's Equality and Diversity activities

A33. Sustained and externally recognised leadership of an external body or network which may not relate to research or innovation directly, but raises UEA profile and

reputation and indicates esteem

A34. Leadership of student recruitment, widening participation or employability activity through a significant programme of work

A35. Leadership of engagement projects with public and community organisations which may support impact case study work or widening participation objectives

Expected for ATS, Desirable for ATR

A36. Make a significant personal contribution to the collegiate running and strategic direction of the University via appointment to a Faculty or University level leadership role

A37. Evidence of commitment to continuing development such as participation in higher level leadership or management training/coaching/mentoring



Appendix B

PROCESS OF TRANSFER BETWEEN THE RESEARCH (RA); TEACHING AND RESEARCH (ATR); AND TEACHING (ATS) STAFF GROUPS



UEA has a strategic aim to introduce a flexible three-strand approach to academic employment by developing criteria and processes to enable appropriate lateral and upward movement between Research (RA), Teaching and Research (ATR), and Teaching (ATS) grades, and integrating these with PDR and workload distribution processes.

The flexible three strand approach works on the premise that:

a. upward and lateral movement between staff groups and grades is facilitated through the PDR, workload distribution, and the existing promotions process,

b. within the Teaching and Research staff group there is a flexible approach to the proportion of teaching and research to be undertaken, and

c. that both ATR and ATS undertake teaching, innovation, scholarship, enterprise and engagement, other student facing activities and related administration; ATR post holders are required to undertake internationally excellent or world-leading research; ATS staff are expected to focus on teaching and learning and related activities.

The existing annual Promotions process addresses **upward** promotion routes within the three staff groups, through appropriate assessment of an individual's achievement and output.

This paper therefore addresses **lateral** movement between the grades. The expectation is that the most commonly occurring lateral movements will be RA to ATR; ATS to ATR; and ATR to ATS. Movement between RA and ATS is less likely to occur as the relevant knowledge, skills, and experience are less likely to be aligned between these grades.

The expectation is that movement between the grades will take place at the same level, e.g. Research Fellow to Lecturer B, as demonstrated in the table below, rather than diagonally, e.g. Research Fellow to Associate Professor, and that any upward movement within the new grade will be effected through the existing annual promotions process.

	RA	ATR	ATS
Academic 5	Professorial Research Fellow (grade 10)	Professor	Professor
Academic 4	Snr Research Fellow (grade 9)	Associate Professor	Associate Professor
Academic 3	Research Fellow (grade 8)	Lecturer B	Lecturer B
Academic 2	Snr Research Associate (grade 7)	Lecturer A	Lecturer A
Academic 1	Research Associate (grade 6)	Tutor	Tutor

1. Table showing comparative levels within the RA, ATR and ATS grades

The process to facilitate lateral movement is outlined below:

ATR to ATS

The expectation is that the proportion of teaching and related activity and administration allocated to ATR staff, who also have contractual research responsibilities, will be less than that allocated to ATS staff (calculated via the WLM). Therefore, should an ATR post holder wish to transfer to an ATS contract, their research must be replaced with additional teaching, other student facing activity, administration and/or innovation activity, and requires the following conditions to be met:

- Confirmation by the HoS that an ATS appointment meets with the post holder's expertise and would be in the management interest and in line with the Faculty's academic appointment strategy
- Confirmation by the HoS and AD(LT) that the individual's teaching meets the required quality in terms of UEA promotions criteria,
- Confirmation by the HoS and AD(I) that the individual's proposed innovation contribution is of the required quality in terms of UEA promotions criteria, and
- Approval by Faculty PVC, in discussion with HoS (including about School staffing profile)

ATS to ATR

It should be noted that an ATR post holder is allocated time within their contract to deliver high quality research. Therefore prior to transfer from ATS to ATR, a suitable research plan with appropriate time allocation should be agreed through the annual PDR and workload distribution processes. Given the expectation that the proportion of teaching and related activity and administration allocated to ATR staff will be less than that allocated to ATS staff (calculated via the WLM), there should be a corresponding reduction in the post holder's teaching and related activity. Therefore, the School needs to check and ensure that teaching capacity will be maintained at or above the relevant real SSR Benchmark: transfers from ATS to ATR should not take place where a School's real SSR is less favourable than the Benchmark, or where such a transfer would render it less favourable than the Benchmark. If appropriate, consideration should be given to increasing staffing levels to enable the transfer to take place. Once the post holder has demonstrated an appropriate level of research attainment and output, transfer to ATR may take place if the following conditions are met:

- Confirmation of the appropriate level of research attainment and output by two external reviewers selected by AD(R) in consultation with HoS (N.B. the AD(R) in consultation with the Faculty PVC will determine whether or not this step is necessary)
- Confirmation by the HoS that an ATR appointment meets with the post holder's research expertise and would be in the management interest and in line with the Faculty's academic appointment strategy, and
- Confirmation by HoS and AD(R) for Lecturer B, SL, Reader, and Chair that the individual's research meets the required level in terms of UEA promotions criteria; if the transfer takes place at Lecturer A level, the individual's research matches or is above the average research quality of other newly appointed ATR Lecturer A probationers within the School, and
- Approval by the Faculty PVC, in discussion with HoS (including about School staffing profile)

RA to ATR

It should be noted that a member of staff on a Research and Analogous (RA) contract has no substantial commitment to undertake teaching activity. Therefore prior to transfer from RA to ATR the post holder must develop and demonstrate an appropriate level of teaching capability. In order to facilitate this, and prior to transfer, a suitable development programme of teaching, and enrolment on the MAHEP programme, should be agreed through the annual PDR and workload distribution process. Once the post holder has demonstrated an appropriate level of teaching experience, transfer to ATR may take place if the following conditions are met:

- Confirmation by the HoS that the post holder's teaching and independent research experience meet the requirements of the post and that transfer is in the management interest and in line with the Faculty's academic appointment strategy, and
- Confirmation by the HoS, AD(LT) and AD(R) (confirmed by external review, if appropriate) that the post holder meets the required quality of an ATR probationer lecturer
- Approval by the Faculty PVC, in discussion with HoS (including about School staffing profile)
- Transfer will be subject to an appropriate probationary period and enrolling on the MAHEP. Confirmation of appointment will be subject to the successful completion of the Certificate, with the Diploma and the MA as optional.

ATR to RA

It should be noted that such a transfer would necessitate a change of terms and conditions from Academic to Research and Analogous.

General Principles for all Lateral Contract Transfers:

- The decision to transfer must be instigated by a clear School need.
- The transfer route sits within the University Promotions Process and the general principles of equality and diversity within the Academic Promotions Handbook will also apply to this document.
- All transfers should take account of the Faculty's academic appointment strategy and the resource needs both for teaching and research.
- No post release is necessary for ATS/ATR transfer, but the Faculty PVC and appropriate AD (ADLT for ATR to ATS; ADR for ATS to ATR) should be aware of and in agreement with the proposed transfer.
- Post release is necessary prior to transfer from RA to ATR if the post is not already indefinite with a clearly defined indefinite budget line.
- Individuals wishing to transfer will complete the Academic Progression Application Form so that all relevant data is available.
- There will be no need for advertisement or competitive interview prior to transfer if the other conditions are met.

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