

PAS3. Procedures and Criteria for Academic Staff Appointment and Promotion

1. Scope

This document describes the procedures and criteria for academic staff (Teaching & Research Staff and Teaching Specialist Staff) appointment and promotion. Academic staff contracts are one of the three:

- Teaching & Research (Teaching and Research Staff)
- Teaching & Scholarship (Special Teaching Staff)
- Research Specialist

Academic positions of TR and ST staff in CITY ULE are (see Regulations for staffing):

- Lecturer
- Assistant Professor
- Associate Professor
- Professor

2. Criteria for Appointments and Promotions

Academic appointments and promotions are based on demonstrating the candidate staff level of performance against a set of criteria. The criteria relate to the three key areas of academic work:

- Teaching, scholarship and professional practice
- Research
- Academic citizenship

In CITY ULE, the University of York criteria are used.

Scores (Levels) for each Academic Position related to tracks

In each of these areas, three incremental levels (Levels 1, 2 and 3) of performance have been defined. To be promoted, members of staff need to show how they have achieved sustained performance at the levels required for each academic position.

Position	Track	Teaching, Scholarship and Professional Practice	Research	Academic Citizenship	Requirements
Lecturer	Teaching & Research	None or 1	None or 1	None or 1	New appointment . At least two out of three criteria at Level 1.
	Teaching & Scholarship	1	-	None or 1	
	Research	-	1	None or 1	
Assistant Professor	Teaching & Research	1	1	1	At least 2 years of service as a Lecturer
	Teaching & Scholarship	1	-	1	
	Research	-	1	1	
Associate Professor	Teaching & Research	1 or 2	1 or 2	1 or 2	At least one criterion (related to track) at Level 2
	Teaching & Scholarship	2	-	1 or 2	
	Research	-	2	1 or 2	
Professor	Teaching & Research	2 or 3	2 or 3	2 or 3	At least one criterion (related to track) at Level 3
	Teaching & Scholarship	3	-	2 or 3	
	Research	-	3	2 or 3	

3. Promotion Criteria Description and Scores (Levels)

Teaching, Scholarship and Professional Practice

In all cases, the term 'teaching' here covers teaching across the range of degree programmes offered by the CITY ULE. While specific types of evidence may vary from discipline to discipline, the elements defined below remain the same.

Level 1	Level 2	Level 3
<p>Performance at this level (commensurate with one's teaching duties) requires good standards in the following key aspects of teaching / scholarship / professional practice. A sustained performance over a minimum period of 2-3 years will be expected.</p> <p>Essential requirements at this level are:</p> <ul style="list-style-type: none"> ● effective learning design - modules and programmes designed in an effective way appropriate for the subject matter and the level and types of students concerned, and with explicit aims and appropriate learning outcomes; ● effective teaching practice - teaching delivery which is of a good standard (as indicated by student feedback and/or enhancement of learning) and is stimulating, well organised and makes appropriate use of learning technologies; contribution to setting up new initiatives, e.g. collaborative teaching, use of online learning; ● support for students' learning inside and outside the classroom; responding positively to the diverse needs of students, including those with learning disabilities; ● effective academic supervision - for example, good support for students' independent projects as evidenced from feedback; ● effective fulfillment of duties as a supervisor; ● the creation of effective teaching materials - teaching materials which are of a good standard 	<p>Performance at Level 2 will be marked by continuing achievement of Level 1 criteria and a sustained teaching performance (i.e. over a period of 3-5 years with demonstrable departmental impact) evidenced by positive responses from students and colleagues. Leadership in teaching will be demonstrated by developments in teaching and learning which are recognised as innovative and effective and by a significant contribution to developing the teaching of others.</p> <p>Essential requirements at this level are:</p> <ul style="list-style-type: none"> ● consistency in very good teaching practices attested by, for example, peer observation, student feedback, CITY ULE or University prize for teaching, invitations to teach elsewhere or to professional bodies; ● significant contributions to programme review and development of modules and programmes; ● successful innovation in, or application of, teaching methods and/or assessment; ● a strong role in departmental/interdisciplinary initiatives that improve teaching; ● a strong role in steering the teaching/professional training strategy of the department/interdisciplinary grouping. <p>In addition, those on teaching and scholarship track should demonstrate:</p>	<p>This Level is marked by achievements in teaching in terms of continued exceptionally positive impact on students and colleagues, leadership, or impact and dissemination which are of regional and international eminence and have been sustained over a significant period. The applicant's teaching activities have changed ways of thinking about teaching in particular disciplines or have changed a significant element of how the subject is taught or learned.</p> <p>Essential requirements at this level are:</p> <ul style="list-style-type: none"> ● evidence of sustained positive impact on students, colleagues and mentees (either internal and external) and continued excellent feedback; ● leadership in departmental/interdisciplinary initiatives that improve teaching; ● leadership in steering the teaching/professional training strategy of the department/interdisciplinary grouping; ● external recognition of excellence and innovation in teaching and scholarship as assessed by independent referees. <p>In addition, those on teaching and scholarship track should demonstrate:</p> <ul style="list-style-type: none"> ● authorship of teaching materials which are widely acknowledged as central to the discipline and widely used in teaching; ● invitations to undertake external activities such

<p>and incorporate appropriate recent research material;</p> <ul style="list-style-type: none"> • effective assessment practice - assessment of students' work which fits with the teaching aims and the material; • effective feedback practice - the provision of timely and effective feedback to students, and sets good academic standards; • a reflective approach, identifying good practice and seeking to enhance teaching practice where appropriate; • positive engagement with and clear evidence that the applicant has completed or is working towards completion of the Postgraduate Certificate in Academic Practice (PGCAP) or, where appropriate, another recognised course for teaching in higher education, achievement of relevant professional qualifications; achievement of relevant continued professional development. 	<ul style="list-style-type: none"> • evidence of the dissemination of excellent teaching practices in the CITY ULE or more widely through significant participation in discipline or interdisciplinary groups or through learned society groups for improving teaching; • evidence of a leading role within the department in programme development and delivery • contributions to the development of teaching strategy at an institutional level; • evidence of external esteem for example through attainment of externally validated fellowships; • authorship or co-authorship of externally published teaching materials; • demonstrable leadership of the departmental/interdisciplinary teaching endeavour, both in terms of quality assurance and quality enhancement. <p>Supporting indicators at Level 2</p> <p>Other supporting indicators (for all applicants) include:</p> <ul style="list-style-type: none"> • contributions to CITY ULE or University teaching events or to internal publications about teaching such as Forum or internal departmental/inter-disciplinary newsletters; • the development of external networks of contacts to develop teaching programmes; • contribution to successful cross-departmental projects; • an established reputation with external agencies/clients and portfolio of activities that lead to financial, reputational or other significant benefits to the CITY ULE; • innovative development and leadership within the department/inter-disciplinary grouping and the institution more widely in the use of teaching, learning and assessment methods, e.g. problem-based learning, virtual learning environment, online assessment and the creative exploitation of electronic resources; • development and successful promotion of curricula or methods of teaching designed to 	<p>as programme reviews;</p> <ul style="list-style-type: none"> • scholarly publications which are critical, reflective and evaluative of teaching, and which advance ideas on how a subject should be taught. <p>Supporting indicators at Level 3</p> <p>Other supporting indicators (for all applicants) include:</p> <ul style="list-style-type: none"> • the supporting indicators at Level 2; • establishing and developing sustainable teaching-related networks with other institutions which bring benefit to the CITY ULE; • where such resources are available, a sustained record of income generation in the field of teaching activities, pedagogic research, curriculum development, learning technologies and other teaching-related equipment; • research into teaching and learning, and dissemination of best practice both within and outside the institution; • successful leadership of bids for, and development of, course provision funded by external bodies; • invitations to teach in other universities; • authorship of teaching materials which are widely acknowledged as central to the discipline and widely used in teaching.
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	attract prospective students; • service as external examiner for taught courses at other universities.	
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Research

The CITY ULE recognises that research outputs can take a variety of forms, in accordance with the subject area. Research outputs include:

- publications such as books (monographs and edited volumes), articles, research reports and (in some disciplines) refereed conference proceedings, including publications where an electronic final version is publicly available, or where there is other external evidence that a work has been accepted in its final form but awaits printing;
- other forms of appropriate practice as research;
- developmental work in methodologies for technical and scientific disciplines;
- knowledge transfer activities, such as involvement in licensing of intellectual property or spin-outs.

Reliable and auditable evidence must be provided for all outputs. Staff publication data should be supported by measures of quality and esteem, such as field weighted citations in the sciences.

Applicants on Research track will be expected to show a greater quantity of high-quality outputs and/or success in winning more research grant income, in keeping with the proportion of time they have to pursue research activities.

The CITY ULE regards impact (in the widest sense) as an important aspect of research and will give it due credit in academic promotions.

The Promotion Panel will take account of the fact that available funding for research varies markedly across different disciplines.

While taking a lead in winning research income is critical, due credit will be given where applicants demonstrate collaborative involvement in bids for funding.

Level 1	Level 2	Level 3
Performance at Level 1 will indicate that significant steps have been taken to escalate research effort beyond the expectations of a PhD/post-doc. Contributions to Interdisciplinary Research Groups will be recognised. A sustained performance over a minimum period of 2-3 years will be expected.	Performance at Level 2 will reflect a research profile that establishes the applicant as an independent researcher. Wide recognition will have been achieved by this stage. In addition to Level 1, applicants should demonstrate most of the following:	Professors have a national and international reputation in their field and produce work that is internationally excellent in terms of originality, significance and rigour. They are research leaders within the CITY ULE and have a significant profile outside the institution which enhances the CITY

<p>The early career researcher should demonstrate</p> <ul style="list-style-type: none"> ● a proven ability to conduct high quality research ● a profile of outputs appropriate to the discipline(s), or to an interdisciplinary or technical approach; ● representation of the Department's activities with groups outside the Department and the CITY ULE (for example, at conferences and symposia); ● where appropriate, PhD supervision; ● applications for external funding; ● evidence of contribution to the dissemination of research and of visibility in the research community beyond the CITY ULE; ● evidence of engagement with knowledge exchange activities or outreach or contributions to the discipline's impact agenda; ● where relevant, an effective contribution to the organisation of events, conferences or symposia. <p>In addition, those on research track should demonstrate:</p> <ul style="list-style-type: none"> ● additional research outputs ● additional applications for external funding ● additional contributions to dissemination of research, knowledge exchange and other activities commensurate with the additional time allocated to research when compared to an Research & Teaching track. 	<ul style="list-style-type: none"> ● a research reputation of national standing and recognition as an authority within their research specialism evidenced by high-quality outputs and their reception (assessed through referees' reports, reviews of the outputs and metrics such as field-weighted citations, as appropriate to the discipline); ● engagement with the development and/or delivery of research strategy at Department or sub-departmental level; ● speaker at events of national and international status; ● good record of gaining research funding, as appropriate to the discipline(s); ● where appropriate, PhD supervision to a successful conclusion; ● strong contribution to activities designed to ensure that appropriate impact of the research (outside academia) is achieved. <p>Supporting indicators at Level 2</p> <p>Other supporting indicators include:</p> <ul style="list-style-type: none"> ● invitations to act as internal or external examiner for PhDs; ● invitations to referee for peer-reviewed outputs; ● activities that enhance the CITY ULE's external profile, such as serving on the editorial board of a journal; ● significant contribution to cross-departmental and inter-University research projects; ● an established reputation with external bodies/clients; ● entrepreneurial activities including action- or client-focused research, technology transfer, aspects of consultancy, income generation for research, and working with external agencies 	<p>ULE's reputation as a leading research-intensive institution and may be reflected in external roles.</p> <p>In addition to Levels 1 and 2, applicants should demonstrate:</p> <ul style="list-style-type: none"> ● a reputation for excellent research of international standing, built on outstanding quality of research outputs (assessed through internal CITY ULE processes and by independent referees); ● sustained record of excellent income generation as defined within the discipline; ● leadership of a strong research group (sciences), or of a distinctive research field; ● invited/keynote speaker at national and international conferences and events; ● sustained record of supervising a substantial number of research students and/or research staff, who have progressed to successful careers in research or professional practice; ● well above average academic impact as measured where appropriate by field weighted citations or, where such metrics are less used, by other measures of quality and esteem. <p>Supporting indicators at Level 3</p> <p>Other supporting indicators include:</p> <ul style="list-style-type: none"> ● leading collaboration with other institutions and bodies; ● leadership of entrepreneurial activities including action- or client-focused research, technology transfer, aspects of consultancy, income generation for research, and working with external agencies (including public bodies) in research-user networks;
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	<p>(including public bodies) in research-user networks;</p> <ul style="list-style-type: none"> • success in bids/opportunities/collaboration with other institutions and bodies producing demonstrable benefits to the CITY ULE; • receipt of significant prizes or awards; • evidence of sustained contribution to the dissemination of research to non-specialist audiences (e.g. at festivals and events or through television and radio appearances); • taking a leading role in the organisation of conferences or symposia. <p>In addition, those on research track should demonstrate:</p> <ul style="list-style-type: none"> • additional research outputs; • additional applications and success in gaining external funding; • additional contributions in other areas commensurate with the additional time allocated to research when compared to an Research & Teaching track. 	<ul style="list-style-type: none"> • evidence of being consulted by national/international research bodies on strategy or participation in policy-making committees; • a leading contribution to the external impact of research; • leadership of cross-university research initiatives; • establishing and developing sustainable academic networks with other institutions which bring benefit to the CITY ULE, e.g. European networks; • leadership of activities designed to ensure that appropriate benefits of research (outside academia) are achieved; • receipt of significant international awards; • leadership of enterprise, innovation and other activities contributing to knowledge transfer outside academia, and/or to significant income generation; • chairing the editorial board of a journal; • fellowship of a learned society; • chairing a conference or symposium. <p>In addition, those on research track should demonstrate:</p> <ul style="list-style-type: none"> • additional research outputs • additional applications for and success in gaining external funding • additional contributions in other areas of activity commensurate with the additional time allocated to research when compared to an Research & Teaching track.
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Academic Citizenship

Academic citizenship covers activities additional to 'normal' teaching and research. It encompasses a broad range of externally and internally focused contributions and is defined as engagement with those elements of CITY ULE life that enable the smooth and collegial operation of the institution.

While due account will be taken of the different requirements of specialist contracts, all members of staff are expected to demonstrate good citizenship, the norm for which will include such areas as:

- attendance at and informed contribution to committees and staff meetings;
- attention to deadlines (whether for marking or for research applications or for consultations);
- where included in role, assiduous performance of duties as personal supervisor to students and mentor to junior staff;
- involvement in positive promotion of the CITY ULE through public engagement activities and/or open days;
- willingness to volunteer for one-off duties.

Internally, this includes:

- taking responsibility for significant managerial and administrative roles and performing these successfully;
- support of the Departmental and CITY ULE's commitment to their strategy;
- support of the CITY ULE's commitment to equality, diversity and inclusion;
- an excellent record in pastoral and co-curricular work with students;
- support for student recruitment activities;
- presence, willingness, positive attitude.

It also includes building a profile of external engagement activities of which the following provides an indicative list:

- industrial or professional liaison;
- policy formation;
- knowledge exchange;
- engagement with non-specialist public and community audiences through public lectures and activities;
- contribution to the management and leadership of regional, national and international organisations, such as learned societies and professional associations;
- relevant public service activity and/or work with voluntary organisations to the benefit of the CITY ULE;
- regional reputation enhancement (e.g. with partners or small & medium-sized enterprises)
- building international partnerships, promoting intercultural understanding and advancing the CITY ULE's internationalisation strategy.

These activities must show demonstrable benefit to the CITY ULE. Claims must be supported by reliable evidence at every level which demonstrates effectiveness, scale, quality, impact and importance of achievements. Appropriate quantitative indicators will be valuable.

Where an applicant cites leadership roles they are currently undertaking, they are expected to demonstrate the contributions and successes they have already achieved and not merely to highlight roles they are about to or have very recently assumed.

Level 1	Level 2	Level 3
<p>The applicant should indicate the process involved in initiating, managing and bringing to a successful conclusion the indicator involved. Sustained performance over a minimum period of 2-3 years will be expected.</p> <p>Performance at this level means competence in key aspects of academic citizenship as indicated by:</p> <ul style="list-style-type: none"> ● effective discharge of departmental/interdisciplinary responsibilities, e.g. engaged and effective participation in departmental/inter-disciplinary administrative activities and committees; ● active involvement in formal departmental general activities, e.g. open days, student support, student employability, staff meetings, relevant committees; ● representation of the department's/interdisciplinary grouping's activities with other audiences; ● involvement in departmental/interdisciplinary policy initiatives or course restructuring proposals; ● the beginnings of an external engagement profile; ● effective pastoral and co-curricular work with students (where appropriate to the role). 	<p>Applicants for promotion claiming performance at Level 2 should be fulfilling the criteria for Level 1 and, in addition, should demonstrate:</p> <ul style="list-style-type: none"> ● effective discharge of significant responsibility in the Department or CITY ULE; ● evidence of an effective contribution to the department and CITY ULE by balancing their academic citizenship activities (both internal and external) with their academic work; ● an established external engagement profile. <p>Supporting indicators at Level 2</p> <p>Other supporting indicators that would strengthen the case include:</p> <ul style="list-style-type: none"> ● effective contribution to CITY ULE level committees or projects; ● effective contribution to committee(s) above departmental/interdisciplinary programme level; ● evidence of a leading role in engaging with non-specialist audiences (e.g. through contributions to cultural enrichment or science outreach events beyond the CITY ULE's own initiatives); ● evidence of setting up, developing and sustaining new relationships with client organisations or other Universities and/or an established reputation and acknowledged expertise with senior managers in client organisations and/or professional associations; ● serving as an officer of a learned society; ● active and effective contribution to departmental/interdisciplinary programme management, policy formation and strategic development; ● successful initiatives or innovations in administrative processes, or departmental/interdisciplinary responsibilities; 	<p>Performance at Level 3 will be expected of applicants for promotion to professor and would include most of the following:</p> <ul style="list-style-type: none"> ● active and effective contribution to departmental, interdisciplinary and CITY ULE management, policy formation and strategic development; ● successful performance in a major departmental/interdisciplinary programme administrative role (e.g. Head of Department, Academic Programme Director, Research Director etc.); ● evidence of outstanding management and leadership qualities; ● effective management of colleagues and facilitation of their academic and personal development; ● leadership in securing productive partnerships with business, public sector bodies, research funders, policy makers or other users of our research and teaching expertise; ● a record of sustained success in business generation, for instance securing new or repeat business; ● leadership of sustainable academic networks with other higher education and/or further education institutions which bring benefit to the CITY ULE; ● evidence of a leadership role in initiating, developing and/or sustaining public and community engagement to the benefit of the CITY ULE; ● leadership of an aspect of the equality, diversity and inclusion agenda, either within the CITY ULE or externally.

	<ul style="list-style-type: none">• evidence of active engagement with our international partners;• active and effective contribution to mentoring students;• active and effective contribution to promoting the equality, diversity and inclusion agenda, internally or externally. <p>Once they are performing at Level 2 in Academic Citizenship, applicants for promotion to Professor would need to have the confidence of the CITY ULE that they could take on a major managerial / leadership role. While performing at Level 2, therefore, they might successfully discharge a role with significant responsibilities in the Department.</p>	
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4. Procedure for Appointments

4.1 Application for Appointment

The CITY ULE Executive Board may announce new academic positions on what the CITY ULE needs in order to maintain quality measures (such as Student/Staff ratio, discipline and sub discipline coverage, research areas etc), what it can afford in terms of its academic needs, the competing demands on financial resources within its overall financial plan. The announcement will clearly state the position and it will be published in appropriate fora, newspapers and elsewhere.

4.2 Appointment as a Lecturer

A candidate for appointment as a Lecturer should submit to the relevant Department:

- a covering letter for applying for the position available,
- a detailed curriculum vitae,
- Certified copies of degree certificates,
- any evidence of achievement supporting the work done with explicit reference to the criteria.

Appointments for a Lecturer position will be performed by the Appointments and Promotion Panel set up which consists of the following members:

- The Dean of the School (Chair)
- The Vice-Provost (Research & Innovation);
- The Vice-Provost (Education);
- The Head of the corresponding Department;
- One senior member of staff of the corresponding Department of at least equal position that the one applied by the candidate.

The Appointments and Promotion Panel will meet immediately after the deadline for submissions. All candidates will be expected to fulfil the levels of achievements expected for the Lecturer position, as described above. The Chair shall have a casting vote, if necessary. Appointment is approved by the CITY ULE Academic Provost.

4.3 Appointment in Academic Positions other than Lecturer

All applications for appointment to an academic position other than Lecturer will be treated in the same way as an application for promotion, as described below.

5. Procedure for Promotions

5.1 Application for Promotion

A candidate for promotion should submit to the School:

- a covering letter for applying for the position available,
- a detailed curriculum vitae (in a specific format - see below),
- reference letters (as appropriate for the position applied - see below)
- certified copies of degree certificates (in case of new appointment)
- any evidence of achievement supporting the work done with explicit reference to the criteria.

A member of staff is eligible to apply for promotion as long as they have normally completed 2 years of full-time service in the CITY ULE in the previous academic position.

Members of staff are responsible for ensuring that their curriculum vitae are kept up to date and submitted to the Head of the Department. It is intended that the curriculum vitae should display the cumulative record of an individual's development and career achievement, but members of the staff should draw attention to those special achievements and contributions, which they believe make their case for promotion stronger. Applicants for promotion should use the prescribed format for curriculum vitae.

5.2 Promotion for Assistant and Associate Professors

Promotions for Assistant and Associate Professors will be performed by the Appointments and Promotion Panel which consists of the following members:

- The Dean of the School (Chair)
- The Vice-Provost (Research & Innovation);
- The Vice-Provost (Education);
- The Head of the corresponding Department;
- One senior member of staff of the corresponding Department of at least equal position that the one applied by the candidate.

Candidates for promotion to Assistant or Associate Professor should submit an internal reference letter from a senior member of their Department (other than the one who is a member of the Appointments and Promotion Panel).

All candidates will be expected to fulfil the levels of achievements expected for this academic position, as described above. The Chair shall have a casting vote, if necessary. Promotion is approved by the CITY ULE Academic Provost.

The level of achievement under each criterion will vary among members of staff according to the nature of their discipline. The panel's procedures should ensure sufficient flexibility to take account of these variations and to consider the candidates' main achievements in respect of each criterion.

The Appointments and Promotion Panel will produce a recommendation for each individual candidate in which its decision is analytically justified. The recommendations on each criterion agreed by the Appointments and Promotion Panel are available to the candidates after the panel's final decision.

The Appointments and Promotion Panel will produce a recommendation for each individual candidate to the University of York. The candidate should then follow the process for acquiring the honorary academic title by York (see PAS5.Procedure for the Award of Honorary Titles by the University of York).

5.3 Promotion for Professors

Candidates for Professorship will be considered by a Panel set up which consists of the following members:

- The Dean of the School (Chair)
- The Vice-Provost (Research & Innovation);
- The Vice-Provost (Education);
- The Head of the corresponding Department;
- A Professor of the corresponding Department.

Candidates for promotion to Professor should submit two external reference letters.

All candidates will be expected to fulfil the levels of achievements expected for professorship, as described above. The Chair shall have a casting vote, if necessary. Promotion is approved by the CITY ULE Academic Provost.

The level of achievement under each criterion will vary among members of staff according to the nature of their discipline. The panel's procedures should ensure sufficient flexibility to take account of these variations and to consider the candidates' main achievements in respect of each criterion.

The Appointments and Promotion Panel will produce a recommendation for each individual candidate to the University of York. The candidate should then follow the process for acquiring the honorary Professor title by York (see PAS5.Procedure for the Award of Honorary Titles by the University of York).