

PERSONAL TITLES

Guide to the Personal Titles process for 2022/23

1. Principles

The process for bestowing the Personal Title of Professor or Associate Professor is described in what follows. All academic promotions take effect from 1 August 2023.

The promotions process at the University of Reading is based on the principles of fairness, equity and the recognition of the value and strength of an individual's contribution.

This is a single, flexible pathway for academic promotions, allowing the University to continue to recognise and reward the varied contributions that individuals make. All applications for promotion are considered afresh each year against evidence of academic citizenship and leadership as well as research and/or teaching and learning excellence. This guidance is a framework to assist with the **peer-reviewed qualitative** assessment of that contribution.

All academic staff (including research staff in Grade 7 and 8) are eligible to apply for promotion to Associate Professor or Research Grade 8, or Professor or Research Grade 9, if they are able to demonstrate that they meet the criteria as appropriate. Applications from part-time staff are encouraged on an equal basis to full-time staff and will be treated fairly and consistently (see section 3.5 below). All candidates for promotion are strongly encouraged to seek advice and guidance from a School Personal Titles Mentor prior to submitting their application.

2. Criteria and evidence

The criteria are organised into three categories: Academic Citizenship & Leadership, Research and Teaching & Learning and are described in more detail, including examples of evidence which candidates should present, in Annex A.

As a minimum, candidates must;

- (a) Meet **TEN** criteria overall, some of which are compulsory;
- (b) Meet **all three** of the criteria in Academic Citizenship & Leadership;
- (c) Meet the Sustained Quality criterion S1;
- (d) For staff on a Teaching & Research or a Teaching Intensive contract, be a Fellow of the HEA or equivalent and have achieved fellowship **before submission of the promotion application**;
- (e) For staff on Teaching & Research contracts, meet T1, T2, R1, R2 **and two** other criteria from either teaching and/or research;
- (f) For staff on Teaching Intensive contracts, meet criteria T1, T2, T3 and T4, **plus two** other criteria from teaching and/or research;
- (g) For staff on Research Intensive contracts, meet criteria R1 and R2, **plus four** other criteria from teaching and/or research.

Candidates may only cite evidence against NINE criteria (this excludes the tenth and compulsory criteria, sustained quality S1, for which the applicant is not required to provide additional evidence).

Candidates may cite evidence from any period of their career, and each of the citizenship, research and teaching criteria will be scored on that basis.

However, to receive a personal title, candidates must demonstrate sustained quality (unless, exceptionally, because of personal circumstances). This sustained quality, S1, is assessed using ALL the evidence presented in the separate criteria, the CV and the illustrative appendices.

Note that it is not necessary to show sustained quality in each and every criterion in each and every year but it must be demonstrated across sufficient criteria throughout the career period considered.

3. Submitting an application for promotion

3.1 Submitting an application

All candidates should submit their application electronically to their Head of School **by 5pm on 09 January 2023**.

Any member of academic staff from across the University group who wishes to submit an application may do so: there is no requirement that cases have to be endorsed by someone else.

Applications should be completed by the candidate and must include:

- A completed promotion application form
- A CV (of no more than 40 pages of A4 in length)

Optional additional documents which may be submitted are:

- Illustrative appendices (of no more than 10 pages of A4 in length)
- A Personal Circumstances Declaration Form

All documents should use *Arial* or *Times New Roman* font at 11pt and at least 1.15 line spacing. Each document should be submitted as a separate file in Word or PDF format and include surname and type of document in the file name.

The application form consists of two columns, for 'Claims' and 'Evidence'. There is a strict word limit of 300 words per criterion to be divided across the two columns. The form should contain all key information required to assess the application. Please do not link to other documents as the Committees will not access them. Examples need to be provided as far as possible within the 'Evidence' column and may only refer to the CV or illustrative appendices to supplement these. Candidates should not only refer to their CV or illustrative appendices in this column.

Candidates may choose to present their case as shown in the example below; please note that this is purely for illustrative purposes and that Annex A provides comprehensive details of evidence that candidates should include.

	Claims	Evidence
C1 Academic Citizenship (Essential all)	1. I have demonstrated a sustained commitment towards the successful development of the University and its communities by making a significant contribution to a wide range of activities. 2. I am actively involved in widening participation and outreach activities and have made a strong contribution to the diversity and inclusion agenda at both School and University level. 3. I have consistently demonstrated values for working together and professional behaviours.	1.1 I have held a range of administrative and leadership roles, including: a) b) c) (See CV p10 for further roles) My significant impact in these roles is evidenced by... 1.2 I have demonstrated a sustained and significant contribution to Open Days by... Evidence includes: a) Appreciative emails from [] (see IA p2) b) 1.3 I am a member of a number of University-level committees, such as [], through which I have.... (See CV p12 for full history of memberships) 1.4 I was a member of the recruitment panels for a variety of roles including []. 2.1 My commitment to widening participation is demonstrated by.... 2.2 I have contributed to the diversity and inclusion agenda through.... 3.1 I have received [] lump sum awards, specifically for the Professional Behaviours of [].

(IA = Illustrative Appendices)

Candidates should not repeat the same piece of evidence against different criteria. They may, however, use different examples or activities from within a role against different criteria.

All examples given should be evidence based. Candidates will benefit from focusing their application on evidence of activity which may be clearly differentiated from that of the normal expectations of their role for each criterion. It is also good practice to specify contribution to collaborative endeavours.

Applications should be coherent and written for an audience who, in most cases, will not have personal knowledge of an individual candidate, or the discipline area.

3.2 Curriculum Vitae and supplementary evidence

It is important that the CV is set out in the correct format and provides a full, but succinct and factual account of achievement avoiding lengthy appendices. Detailed guidance can be found in

Annex B. The CV should be no longer than 40 pages in total.

The CV may be accompanied by a separate document of optional illustrative appendices (the appendices being a maximum of 10 pages in total) to provide supporting evidence for activities. These will typically relate to teaching and learning and occasionally to leadership, management and administration activities, but less frequently to knowledge transfer, enterprise and outreach and hardly ever to research since the outcomes of these activities are generally in the public domain and thus available for scrutiny and evaluation.

Senate has agreed that Heads of School should reject any application where the CV is not in the right format or where appendices are too long.

3.3 Promotions timetable for candidates

The different stages of the Personal Titles process are set out in detail in section 4 of this guidance, and a summarised timetable of information for candidates is below.

DATE	ACTION
September 2022	Guidance published. Information available on the HR website and staff portal.
Autumn Term 2022	Application information sessions. Head of School to identify membership of School Personal Titles Committee and inform University Secretary, whose office will schedule Spring meetings. Head of School to lead School level preparation, with support from the HR Partner. This should include a meeting involving all members of the School Personal Titles Committee to identify School Personal Titles Mentors, authors of Contextual Statements A, B and C and review of ALL eligible staff (including secondees and non-UK based academic staff). Mentoring training sessions to be provided by HR.
Monday 14 November 2022	Contextual Statements (Part A) to be submitted to the Head of School no later than 5pm. Head of School to circulate the Contextual Statement Part A widely within the School.
Monday 09 January 2023	Candidates to submit their application to the Head of School no later than 5pm. Where candidates have submitted Personal Circumstances for consideration, the Head of School must agree a final statement with the candidate prior to submission to the University Secretary.
Monday 23 January 2023	Contextual Statements (Part B and C) to be submitted to the Head of School no later than 5pm.

Monday 30 January 2023	Head of School to forward cases, Contextual Statements (A, B and C) and Personal Circumstances Agreed Statements (if any) to the University Secretary no later than 5pm.
February and March 2023	School Personal Titles Committee meetings held.
February/March 2023	Candidates notified of School Personal Titles Committee decision by University Secretary within 7 working days of the School meeting.
Within 3 weeks of the date of the School Personal Titles Committee outcome letter	Deadline for submission of an appeal against School Personal Titles Committee decision by 5pm.
March/April 2023	Consideration of appeals.
Friday 12 May 2023	Deadline for candidates' optional updates by 5pm.
Thursday 15 June 2023	University Personal Titles Committee meeting held.
w/c 19 June 2023	Candidates notified of outcome by no later than 5pm on Tuesday 20 June 2023.
Within 3 weeks of the date of the University Personal Titles Committee outcome letter	Deadline for submission of an appeal against University Personal Titles Committee decision by 5pm.
Tuesday 1 August 2023	Promotions take effect.
September 2023	Appeal Committee meeting to be held.

3.4 Help with your application

All candidates are entitled to advice and guidance with regard to the timing, shape and content of an application for promotion from a Personal Titles Mentor within their School. These will be assigned by the Head of School.

A number of candidate training sessions will be held during the autumn and will be available to be booked via UoR Learn.

All candidates are encouraged to attend one of the training sessions offered and engage with the School Mentor as early as possible in the development of an application.

3.5 Applications from part-time staff

In the case of part-time staff, expectations regarding quality will be the same as those for full-time staff, but expectations regarding the quantity of work produced will be lower.

If, exceptionally, a School determines that a candidate's part-time employment would mean it would be more suitable for them to submit an application against fewer criteria, the Head of School should seek guidance from the Office of the University Secretary. In such cases, the

candidate must, as a minimum, be able to demonstrate activity against the essential criteria required for their contract type, along with criterion S1.

It is recognised that the quantity of work produced by part-time staff (though not the quality) will be lower, and that particular staff may be appointed in part-time roles with particular areas of focus. It is impossible to be prescriptive about all possible combinations of part-time working over the period leading up to the promotion application, and the Personal Titles Committees will use their judgement in each case.

The School Personal Titles Mentor for a part-time applicant will provide guidance on what is likely to be an appropriate quantity of evidence required so as to inform the writing of the case, and it will be entirely appropriate for both the Mentor and the applicant to seek additional advice on this from their Head of School as Chair of the School Personal Titles Committee.

3.6 Personal circumstances

If an applicant wishes to draw to the attention of the Personal Titles Committees any particular personal, familial or other relevant circumstances that have impacted upon their work for a defined period of time and in relation to the criteria for promotion, they are encouraged to do so. This includes the effects of Covid-19 which it is recognised will have effects beyond 2020-21. Information on disability, neurodiversity, or chronic physical or mental health conditions, which impact/have impacted on lived working experience, can be included in the Personal Circumstances Declaration Form to the Head of School.

The amount of work expected of an applicant with relevant personal circumstances may not necessarily be the same as for other candidates, but the quality of work should not be any less.

After submission of a Personal Circumstances Declaration Form, the Head of School and candidate will engage in a collaborative discussion to identify how the candidate's personal circumstances have impacted the specific Personal Titles criteria. Following the discussion with the Head of School, the final statement will be signed by both the Head of School and the candidate and then submitted to the University Secretary by the Head of School. If the Head of School and candidate are unable to reach an agreement on the Personal Circumstances Agreed Statement, the Dean for Diversity and inclusion would be asked to adjudicate. In cases of adjudication, the candidate's Personal Circumstances Declaration Form may be disclosed to the Dean for Diversity and Inclusion.

The agreed statement provided by the Head of School must not describe the nature of the personal circumstances (with the exception of information regarding contractual employment history, which is permitted); but rather indicate that they have occurred and are considered to have had an impact on the candidate's work, and what that impact is considered to be.

It is important that the relevance to the case for promotion of the personal circumstances cited is made clear. The statement provided should detail the impact with respect to each of the criteria affected (e.g. T1, R3) as well as overall impact, e.g. on S1.

Further guidance is provided in Annex C.

3.7 Fellowship of the Higher Education Academy

All candidates with teaching as part of their University contract (i.e. Teaching Intensive or Teaching & Research) **MUST** have successfully gained a Higher Education Academy Fellowship,

or be alternatively qualified to teach according to relevant HESA categories, prior to making an application for promotion.

The relevant HESA categories are:

- Successfully completed an institutional provision in teaching in the higher education sector accredited against the UK Professional Standards Framework
- Recognised by the HEA as a Fellow, Senior Fellow or Principal Fellow
- Holder of a National Teaching Fellowship Scheme Individual Award
- Holder of a PGCE in higher education, secondary education, further education, life-long learning or any other equivalent UK qualification
- Accredited as a teacher of their subject by a professional UK body
- Other UK accreditation or qualification in teaching in the higher education sector
- Overseas accreditation or qualification for any level of teaching

3.8 Seconded staff

Where an applicant is working on secondment outside of their home School, or outside the University itself, the Head of School must request the completion of a Contextual Statement Part C by the candidate's current line manager. Part C should be requested following the submission of the application and the line manager should also be provided with the Contextual Statement Part A.

Part C is an opportunity for the current line manager to describe the nature of the secondment and make a factual statement about how the context of the secondment would result in some variation of the achievements described in Part A. The Contextual Statement Part C must be agreed with the applicant and signed off by the Head of School prior to submission to the University Secretary as part of the application pack.

The Contextual Statement Part C is attached at Annex D and further details on Contextual Statements can be found in Section 4.

3.9 Further information

Academic staff may only make one application for promotion per academic year.

Candidates do not need to be at the top of their grade before applying for promotion and Probationary Lecturers do not have to have completed probation before applying for promotion (although the requirement for Fellowship of the HEA or equivalent does have to be met).

In the case where an individual who has not yet successfully completed academic probation is promoted via the Personal Titles procedure, it is expected that the academic probation objectives will also have been completed and that academic probation is therefore completed. To confirm this, the relevant Head of School is asked to provide a short summary report to the Chair of the Academic Probationary Review Sub-Committee to confirm that they have reviewed the probationary objectives of the promoted colleague. If any of the academic probation objectives are not yet completed and will continue to be required, these should be reviewed as part of the Performance Development Review (PDR) process; this should be confirmed in the summary report with a note of the reasons.

It should be noted that the number of promotions each year is not limited and decisions on promotion will be made cost-blind, i.e. with no consideration being given to the cost or affordability to the School or University of potential salary increases associated with promotion.

Candidates will receive written feedback after each stage of the process.

4. Procedures

4.1 Governance structure

Decisions on personal titles are made by the University Personal Titles Committee (UPTC) on behalf of the University's Council and Senate.

4.2 School Personal Titles Committee

Each School Personal Titles Committee (SPTC) will meet during the Spring Term to consider the applications and make recommendations to the University Personal Titles Committee.

Recommendation by the School Committee does not guarantee that promotion will be conferred by the University Personal Titles Committee.

The role of the SPTC is to consider applications and determine which of those should be considered by the UPTC. That is, the SPTC is a stage of the process and only the UPTC is able to make the award of a personal title. It is common in the sector that an experienced University committee, with input from a School or similar level, makes the promotion decision.

4.2.1 School Committee membership

The School Personal Titles Committee membership is as follows:

- Head of School (Chair)
- Head of another School
- School Director of Teaching and Learning (SDTL)
- Head of a Research Division in the School
- No fewer than three and no more than six other members of the School as selected by the Head of School, having appropriate regard to diversity and subject knowledge

In determining the School Committee membership, the Head of School should have regard for the potential for applications to arise from those on secondment outside of the School and/or working at a non-UK campus. Where Schools have candidates from the University of Reading Malaysia, they are asked to consider whether it would be appropriate to include the relevant Head of Section on the Committee.

If a member of the Committee is themselves making an application for promotion they can continue to be a member of the Committee but the Head of School can, at their discretion, substitute them for an equivalent colleague (including altering the core membership set out above).

If a member of a School Committee has made an application they should absent themselves from the meeting for that discussion. The same rule applies to Heads of School making an

application for promotion and in that instance the Head of another School will Chair the Committee for that application discussion.

Personal Titles Mentors and Contextual Statement writers can all be members of the School Personal Titles Committee but staff who are intending to apply for promotion in a given year should not be the Contextual Statement signatory.

Where an office holder is unavoidably absent, the University Secretary would identify an alternate in the case of the Head of School (Chair) or Head of School (of another School) and the Head of School may identify an alternate for the SDTL or a Research Division Lead.

Where fewer than three 'other members' of the School are available on the day of the meeting, the Chair may choose either to reschedule the meeting, or allow the meeting to go ahead if they are satisfied that those present can represent a quorum, having due regard for subject knowledge and diversity and inclusion considerations.

The University Secretary, the HR Partner and the Dean for Diversity and Inclusion will have right of attendance, and the HR Partner will attend every meeting.

If a member of the Committee is concerned about the accuracy of any element of an individual application, they should raise the matter with the Head of School in the first instance, prior to the SPTC. Depending on the outcome of this deliberation, the matter may then be reported during the School meeting. Following discussion, the School Committee may choose to recommend an application onward to the University Committee with an accompanying statement.

4.2.2 School level preparations

Early in the Autumn Term, the Head of School will identify membership of the School Personal Titles Committee and inform the University Secretary. The Head of School will lead School level preparation, with support from the HR Partner.

This should include a meeting involving all members of the School Personal Titles Committee to:

- (i) Assign a Personal Titles Mentor, to help guide and advise colleagues putting in a case for a personal title. Mentoring training will be arranged by the HR Partner where required.
- (ii) Identify those staff who will be expected to provide Contextual Statements.
- (iii) Consider the list of academic staff within the School, including those on secondment outside of the home School and/or working at a non-UK campus, with their promotion history, as provided by HR supported by the Office of the University Secretary.
- (iv) Having regard to matters of concern around diversity, determine whether there are staff whom it considers should be approached to consider bringing forward a promotions case.
- (v) Determine what actions the School will take, including communications, to ensure smooth and transparent running of the process at School level.

A full list of activities required by the School during the Autumn and Spring Terms is attached at Annex E.

4.2.3 Contextual Statement

The Contextual Statement has three parts:

Part A	This is an evidence based statement about what would be expected for the promotion requested in that discipline.
Part B	This is a further factual, evidence based statement, adding whether in the particular area of the discipline in which the applicant works there is any difference in what is expected for promotion from the broader Contextual Statement. Contextual Statement B will not be required of all cases. It is the responsibility of the Head of School to ensure this is produced although they will not necessarily write it themselves.
Part C	Applicable specifically and only to staff on secondment, this will be prepared by the secondee's line manager at the request of the Head of School and will describe the nature of the secondment and make a factual statement about how the context of the secondment would result in some variation of the achievements described in Part A.

The Contextual Statement templates can be found in Annex D.

Each part has set questions asking what would be expected in the academic discipline for an Associate Professor or Research Grade 8, or Professor or Research Grade 9 applicant at the University. Evidence provided must be factual and it is intended to be an informative document for the Committees rather than as an advocacy statement for the applicant. All Contextual Statements must include a statement on the convention on multiple authorship commonly accepted within the discipline.

Contextual Statements must be completed by those identified by the Head of School and could be a line manager, PDR reviewer or other senior academic colleague from within the School or exceptionally outside of the School with relevant, up-to-date knowledge that can be used to place the evidence brought forward in a broader context. It should be appropriate to the career stage of the applicant and take into account whether the promotion application is for the title of Associate Professor or Professor. Staff who are intending to apply for promotion in a given year should not be the Contextual Statement signatory.

Identified staff will have submitted Part A of the Contextual Statement to the Head of School by 14 November 2022. Where applicable, Part B and Part C should be submitted to the Head of School by 23 January 2023. The Head of School will forward Parts A, B and C of the Contextual Statement to the University Secretary by 30 January 2023.

Once Part A has been agreed, it is expected that the Head of School will share the statement broadly within their School to assist candidates. Parts B and C should be shared with the relevant candidates.

4.2.4 School Personal Titles Committee meeting

During February and March, the formal School Personal Titles Committee meetings will take place. These are scheduled and serviced by the Office of the University Secretary.

The School Personal Titles Committee will consider each case, in the order of Associate Professors, Research Grade 8, Professors and Research Grade 9.

The School Committee will receive:

- The rules governing the process
- A randomised list of candidates
- The case for each applicant
- The Contextual Statements for each applicant
- Agreed statements on the impact of any personal circumstances

Each case will be discussed, including reference to the effect of personal circumstances on an applicant's work.

Prior to the meeting, each member of the Committee will score each applicant for each criterion for which they have cited examples of evidence and those scores will be made available to the Committee meeting anonymously. After discussion, the School Personal Titles Committee will decide a final score for each criterion for each candidate. Committee members should not advocate on the part of any applicant.

4.2.5. Scoring the criteria

School Personal Titles Committees determine scores against each of the categories evidenced in a case according to the following framework. In awarding the scores School Committees should give regard to the following.

For citizenship, research and teaching & learning, evidence based on previous employment, or before a promotion achieved while at Reading, should be considered by the committee because a personal title is conferred in respect of the sum total across a career of someone's academic contributions to administration/leadership, teaching and research. Indeed, categories C1,2,3, R1-6 and T1-6 should all be scored solely on the basis of whether or not the sum total of the track record evidenced in the case meets the required threshold for promotion.

For Citizenship, Research and Teaching & Learning:

Score	Explanation
6	The track record evidenced in the CV and promotion case for this category meets an excellent level for the personal title sought
5	The track record evidenced in the CV and promotion case for this category meets a good level for the personal title sought
4	The track record evidenced in the CV and promotion case for this category meets an acceptable level for the personal title sought
3	The track record evidenced in the CV and promotion case for this category narrowly fails to meet an acceptable level for the personal title sought

2	The track record evidenced in the CV and promotion case for this category fails to meet an acceptable level for the personal title sought
1	The track record evidenced in the CV and promotion case for this category is not sufficiently aligned with the category and therefore fails to meet an acceptable level for the personal title sought

For Sustained Quality S1:

This is a measure of how the entire body of evidence (including evidence against criteria, CV and illustrative appendices) demonstrates sustained quality in an individual's performance (subject to personal circumstances). Note that it is not necessary for an individual to sustain quality in each and every criteria in every year of their academic career.

The School Committee will be asked to indicate whether or not the candidate has demonstrated sufficient sustained quality by indicating yes or no only. It is required that where a candidate is judged by the School not to have demonstrated sustained quality, the application will not be recommended to the University Committee.

Score	Explanation
Yes	The application demonstrates sustained quality
No	The application does not demonstrate sustained quality

Consolidating scores for consideration by Personal Titles Committees

School Committees will be presented with information on the proportion of each score achieved in each category for each candidate, and be invited to reach a consolidated committee view on the final scores for that candidate that should go to the University Committee.

In order for the School to recommend a candidate to the University Committee for consideration, a candidate must reach a threshold of 4 in each criterion for which they have cited evidence, and be judged to have given sufficient evidence to demonstrate sustained quality for S1.

Exemplar:

Candidate Name

Score:	1	2	3	4	5	6		Agreed Score by Committee
C1	0%	0%	10%	80%	10%	0%		
C2	0%	0%	0%	50%	50%	0%		

Additional rows for other categories and so on.

4.2.6 Record Keeping and feedback

A written record of the School Committee's scores will be recorded in the minutes of the meeting. The minutes of the meeting and candidate scores will be passed to the University Personal Titles Committee. Occasionally, should the School so determine, there will be additional written commentary for the decision, which will also be passed to UPTC.

Where candidates are not recommended for consideration by the University Personal Titles Committee, the Head of School and HR Partner will ensure that written feedback, including the scores agreed by the Committee, is provided for inclusion in the formal notification of the outcome.

The University Secretary will write to candidates informing them of the outcome of the School Personal Titles Committee. Where an applicant has been unsuccessful, a deadline for the submission of an appeal against the decision will be given.

4.3 Independent Assessors

Independent assessments of applications will be requested for candidates seeking promotion to professorial level only.

Once the School Committee has agreed which candidates will be recommended to the University Committee, the Head of School will be asked to provide the names of up to four External Assessors, considered to be of national or international repute, for each professorial candidate.

Independent Assessors' reports will be sought by the Office of the University Secretary.

Those who should *not* act as an Assessor are:

- Anyone at a more junior level than the promotion which is being sought
- Anyone internal to the University
- A co-publisher with the candidate
- Holding a grant with the candidate
- The candidate's former PhD supervisor or PI
- Related to the candidate
- A friend of the candidate
- A previous workplace colleague

If, exceptionally, a School Personal Titles Committee determines that it cannot provide the names of four Assessors who are independent on the University's definition, it will need to make a case as to why not, addressed to the University Secretary, which will be considered by a Pro-Vice-Chancellor.

4.4 Application update

Those candidates who are recommended for consideration at the University Personal Titles Committee will be invited to submit an update to their original application.

The submission of an update is optional and should only be submitted where it is directly relevant to the criteria for promotion. The update must be no longer than two sides of A4 and should detail any significant achievements against the specific criteria chosen by the candidate in the initial application. The update must be clearly identifiable with the applicant's name, school affiliation

and the promotion being sought. The following layout must be used to give an update on specific criterion and an example is given below:

Criterion	Update
R2	Since submitting my application, I have spoken at 3 conferences at X, Y and Z of which I have received positive feedback.

Applicants should not make statements regarding personal circumstances in their application update and any such inclusions will NOT be passed on to the committee.

In exceptional cases, a candidate may feel that there are personal circumstances which have emerged since the original application that the University Committee should be made aware of. In these cases, applicants should consult with the Head of School in the first instance. If the Head of School agrees that the personal circumstances should be reported to the University level committee, a statement should be agreed with the applicant, using the Personal Circumstances form, and submitted to the University Secretary by 12 May 2023.

4.5 University Personal Titles Committee

The University Personal Titles Committee will meet once in June each year.

4.5.1 University Committee membership

The membership of the University Personal Titles Committee is as follows:

- The Vice-Chancellor (Chair)
- Three Pro-Vice-Chancellors
- Two Research Deans
- Two Teaching and Learning Deans
- Two members appointed by the Senate not being Heads of School but having at least two years' experience of the Personal Titles process at School or University level gained since the introduction of the revised approach in 2016/17.

The University Secretary, the Director of HR (or their nominee) and the Dean for Diversity and Inclusion have right of attendance. The University Secretary will provide a secretary to ensure that a record is taken of proceedings. The minutes of the meeting will confirm the decision for each candidate, but will not record the discussion. Where a candidate is unsuccessful, the Director of HR, or their nominee, will record the reason for each decision and this will be fed back to the candidate.

4.5.2 University Personal Titles Committee meeting

In June, the University Personal Titles Committee will meet and receive:

- The rules governing the process
- Minutes of the School Personal Titles Committees

- The case for each applicant (including Context Statement(s) and Personal Circumstances Agreed Statement, where provided)
- An update from each applicant (where the applicant chooses to make a submission)
- The scores achieved by each applicant against each criterion for which they presented evidence
- Up to two independent assessments for each applicant at Professorial level

4.5.3 Voting

The University Personal Titles Committee will not score any applicant, but rather will, with reference to all of the information available to it and after appropriate discussion of each case, reach a decision via voting.

The Vice-Chancellor as Chair is responsible for the proper running of the University Personal Titles Committee. The Vice-Chancellor will not have a vote, and nor will those who have right of attendance.

If a member indicates that they will be absent from the meeting with sufficient notice, the Vice-Chancellor will agree a comparable alternate. If, however, a member is unavailable at short notice, and there is as a consequence an even number of voters, a majority must be in favour for an applicant to be promoted. If more than one member is unavailable at short notice, the Vice-Chancellor will need to determine whether the meeting will need to be rearranged.

4.5.4 Record Keeping and feedback

For any unsuccessful applicant, the Committee must be clear about the reasons and make a written record of them against the criteria, such that they can be communicated to the applicant and the Head of School. The feedback will be recorded during the meeting by the Director of HR (or their representative). In order to limit the disclosure of personal information, the reasons why an individual application was unsuccessful will not be recorded in the formal minutes of the meeting but will be communicated to the candidate and Head of School in writing.

The University Secretary will write to candidates informing them of the outcome of the University Personal Titles Committee. Where an applicant has been unsuccessful, a deadline for the submission of an appeal against the decision will be given.

4.6 Appeals

Any unsuccessful applicant who is dissatisfied with the decision of a School Personal Titles Committee or the University Personal Titles Committee may submit an appeal. Appeals must be submitted in accordance with the timeline set out below.

The Appeal Committee cannot review the academic decisions or judgements made by members of the Personal Titles Committees. *Appeals should therefore be based on perceived procedural irregularities in the operation of the Personal Titles process rather than on matters of academic judgement made by the School or University Personal Titles Committee.*

An applicant who is contemplating an appeal may request to be provided, after the relevant meeting, with papers relating to their case. At School level, this will consist of their collated application, including the Contextual Statement A, Contextual Statement B or C (if applicable), Personal Circumstances Agreed Statement (if applicable), Application Form, CV and Illustrative Appendices (if provided), as well as the extract of the minutes of the School Committee

pertaining to their case, which applicants should note will typically consist solely of the scores that they have achieved. At University Level, this will consist of the papers listed previously, with the addition of the scores agreed by the School Personal Titles Committee, Application Update (if provided) and the extract of the University Committee minutes pertaining to their case, which applicants should note will generally only state a decision of 'Yes' or 'No'.

Anonymised copies of External Assessor reports submitted to the University Committee in relation to their case are available to Professorial candidates on request, following communication of the decision of the University Committee.

An appeal against a decision of either a School Personal Titles Committee or the University Personal Titles Committee must be lodged with the University Secretary no later than three weeks following the date of the letter informing the applicant of that decision.

The candidate submitting the appeal must detail, in writing, their grounds for doing so in relation to the statement on perceived procedural irregularities given above. Once the appeal has been received, the University Secretary will consult the Chair of the Appeal Committee on the eligibility of the appeal. If an appeal is considered eligible, HR will confirm arrangements for an appeal hearing, as appropriate.

4.6.1 Appeal after the School Personal Titles Committee

An appeal against the decision of the School Personal Titles Committee will be heard by a group consisting of an external person appointed by the Council (in the Chair) and three Heads of School not involved in any decisions against which an appeal is being made.

Before reference to an Appeal Committee, the University Secretary will consult the Chair of the Appeal Committee on the eligibility of the appeal.

The Appeal Committee will have access to all material available to the School Personal Titles Committee. Following confirmation of the eligibility of the appeal, the Appeal Committee may request a written response from the Chair of the School Personal Titles Committee. Candidates will be invited to present their appeal in a hearing and are strongly encouraged to attend. The Chair of the School Personal Titles Committee may also be asked to respond in person.

Candidates are welcome to be accompanied to the appeal hearing by a colleague or a trade union representative.

4.6.2 Appeal after the University Personal Titles Committee

An appeal against the decision of the University Personal Titles Committee will be heard by a group consisting of an external person appointed by the Council (in the Chair), one member of Senate and the President of the Reading branch of the Universities and Colleges Union (UCU).

Before reference to an Appeal Committee, the University Secretary will consult the Chair of the Appeal Committee on the eligibility of the appeal.

The Appeal Committee will have access to all material available to the University Personal Titles Committee. Following confirmation of the eligibility of the appeal, the Appeal Committee may request a written response from the Vice-Chancellor as Chair of the University Personal Titles Committee. Candidates will be invited to present their appeal in a hearing and are strongly encouraged to attend. The Chair of the University Personal Titles Committee may also be asked to respond in person.

Candidates are welcome to be accompanied to the appeal hearing by a colleague or a trade union representative.

4.6.3 Appeal outcomes

The Appeal Committee will not consider matters of academic judgement and so cannot themselves resolve that a case should have been successful. It is therefore open to the Appeal Committee;

- to reject the appeal or
- to refer the case back to the School or University Personal Titles Committee (or if appropriate to an *ad hoc* group drawn therefrom). A case will be referred back only where the Appeal Committee is satisfied that on the basis of the evidence submitted to it, no body acting reasonably could have reached the decision such as that recorded. The School or University Personal Titles Committee will then be asked to re-consider the application in the light of the findings of the Appeal Committee.

The decision of the Appeal Committee is final.

5. Review

The University will obtain feedback on the Personal Titles process on an annual basis. The list of evidence included in Annex A will be reviewed and updated also as part of this process to ensure that it reflects current thinking and practice.

ACADEMIC CITIZENSHIP AND LEADERSHIP CRITERIA

Associate Professor/Research Grade 8

Criteria (definitions in italics)		Examples of evidence could include:
C1 Essential	<p>Academic citizenship</p> <p><i>Demonstration of personal commitment towards the successful development of the University and its communities, and of a commitment to our values for working together and professional behaviours. Taking a share of the many and varied activities that we carry out together that are essential to our academic success.</i></p>	<ul style="list-style-type: none"> ▪ Examples of good practice taken from the University's "Values for Working Together and Professional Behaviours" document. ▪ Constructive and active contributions to School/University life. ▪ Significant contribution to successful programmes of Open Day activities. ▪ Active involvement in widening participation and outreach activities. ▪ A share in volunteering for necessary one-off duties. ▪ Assiduous performance of personal tutor duties. ▪ Active involvement in University staff network groups, e.g. Women@Reading, LGBT Plus. ▪ Contributing to work towards achieving School and University diversity and inclusion and/or sustainability targets. ▪ Effective contributions to administrative roles within Schools or the wider University. ▪ Panel member, or other contribution, in recruitment of new staff members. ▪ Contributions to the development of University T&L strategy. ▪ Significant contributions to University T&L/student experience focused sub-committees/committees: e.g. DELT, UBTLSE, CoSED, and relevant working groups. ▪ Leadership of initiative(s) to implement and feedback on University T&L strategy (e.g. globalising the curriculum). ▪ Contributions to and/or leadership of successful accreditation or review of programmes. ▪ Leadership of strategy-focused working groups. ▪ Influential contribution to STEAP process or School five year plan. ▪ Effective liaison with external stakeholders/delivery partners to support achievement of School/University strategic aims.

<p>C2 Essential</p>	<p>Continuing professional development to ensure working practice is up to date.</p> <p><i>Professional development activities, plus evidence of reflection on these activities, some of this reflection explicitly included in the promotion case. We expect that professional development will usually be achieved through a combination of undertaking new activities and roles; and of self-development through attending training courses, seminars, conferences, and/or through personal study and reading. In each case we expect to see a brief explanation in the submission of how these activities have contributed to your professional development and/or inform your working practices.</i></p>	<ul style="list-style-type: none"> ▪ Personal training record, this coupled to reflection on impacts that training has had on your working practice. ▪ A record of significant conferences/workshops, etc. attended in the last three years, and reflection on how these may have shaped your subsequent work. ▪ Details of your own contributions to support the professional development of other colleagues in the University and/or externally, for example through contributions to the delivery of staff training, through mentoring activities, etc. ▪ An account of activities/roles that you have undertaken which have contributed to your professional development, with an explanation of/reflection on the associated development that has taken place. ▪ Clear evidence of how engaging in professional practice has supported your development in your academic role.
<p>C3 Essential</p>	<p>Academic leadership and/or management.</p> <p><i>This interpreted broadly to include leadership and management within your departments or Schools, or leadership/management associated to your discipline (this latter may be exhibited largely through externally-focused activities, or through activities locally at Reading). We interpret leadership to include leadership of groups of staff (or staff plus research students/teaching assistants); leadership of activities; leadership by example in a variety of external engagement activities; leadership through chairing (but also through active membership) of groups within the University or externally that are responsible for significant activities or developments.</i></p>	<ul style="list-style-type: none"> ▪ Leadership by example in external engagement, this interpreted broadly to include: external presentations of various sorts (at academic conferences, to external partners, to lay audiences, as part of schools outreach); the nurturing and development of external relationships important to the School or University. ▪ Significant contributions to initiatives to achieve external engagement from research, and/or impact beyond academia. ▪ Organisation of conferences, workshops etc. ▪ Shaping the discipline within the University. ▪ Contributing to the organisation and running of professional associations or learned societies nationally or internationally. ▪ Robust financial management of Project/Grant budgets in line with University strategy. ▪ Significant role in widening participation and outreach activities. ▪ Actively promoting and/or innovative practice or leadership supporting the diversity and inclusion agenda. ▪ Significant roles in University staff network groups, e.g. Women@Reading, LGBT Plus. ▪ Taking significant responsibility for Health and Safety issues. ▪ Engaging with the sustainability agenda, including working towards relevant benchmarks/awards as appropriate.

		<ul style="list-style-type: none">▪ Trade union and employee representation activities.▪ Hall Warden.▪ Effective performance in positions of responsibility within the Department/School.▪ Representing the School in working constructively with other parts of the University and/or external organisations.▪ Participating in staff recruitment and selection within the School/University.▪ Spending time developing students and/or staff, for example through mentoring, line management, carrying out PDRs for research staff.▪ Constructive and active contributions to School/University committees and working groups.
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RESEARCH CRITERIA

Associate Professor/Research Grade 8

Criteria		Examples of evidence could include:
R1 Outputs Essential (T&R, RI)	Track record of research of at least national standing, built on high quality research outputs.	<ul style="list-style-type: none"> ▪ A majority of at least 3* outputs, or 2* outputs that have high impact (publications or recognised equivalent for discipline, including widely respected books).
R2 Recognition and Leadership Essential (T&R, RI)	Contribution to research leadership, and recognition (externally and internally) as a researcher, with a national profile and/or emerging international profile.	<ul style="list-style-type: none"> ▪ Demonstrable achievements from a role such as SDPGRS: leading research centres or research clusters, managing a sizeable research group, leading cross University research initiatives. ▪ Invitations to speak at national or international events/conferences; reviewing for leading journals/publishers; editing journals. ▪ Active contribution to research-related committees, research councils, or professional or learned societies. ▪ Acting as an external PhD examiner. ▪ Acting as a reviewer or assessor for significant bodies (major funders, leading journals). ▪ University or national prizes for research.
R3 Research Income	Record of gaining external research funding, or equivalent, as appropriate to the discipline (excluding funding for PGR students).	<ul style="list-style-type: none"> ▪ Evidence for high quality external grant applications (e.g. progression to second stage of external two-stage competitions; details of scores awarded by reviewers and panels for RCUK competitions; comments from internal grant development colleges). ▪ External grant income and expenditure (as PI or Co-I), applications for PDRA funding, exhibition funding, time at National Facilities and Institutes; individual fellowship funding.
R4 PhD Supervision	Formal supervision of, and/or demonstrable support for Doctoral students.	<ul style="list-style-type: none"> ▪ Contributing to students' broader skills development through the Graduate School and/or Doctoral training partnerships. ▪ Number of students (FTE and progress towards completion). ▪ Evidence of active recruitment of PhD and Professional Doctorates. ▪ Active participation in mentoring and monitoring processes. ▪ Internal examination of PhD students. ▪ Winning of externally funded PGR students.
R5 Public Engagement	Demonstrable track record of planned public engagement and communication of research; dissemination of research	<ul style="list-style-type: none"> ▪ Delivery of public lectures, engagement with the media, involvement in public events, use of blogs and other social media to communicate research.

	across the University and beyond.	
R6 Research Impact	Has drawn upon own research to achieve, or is in the process of achieving, an effect on, change or benefit, to the national and/or international economy, society, culture, public policy or services, health, the environment, education, or quality of life, beyond academia.	<ul style="list-style-type: none"> ▪ Preparation of an impact project (e.g. REF case study) that has been graded at either A or B. ▪ Citation of research in policy documents. ▪ Evidence of engagement with stakeholders and end-users of research. ▪ Evidence of engagement with the University's guidance on Open Research https://www.reading.ac.uk/research/research-environment/open-research/open-research-12-tips

TEACHING AND LEARNING CRITERIA

Associate Professor/Research Grade 8

	Fellow of the Higher Education Academy (HEA) or equivalent at D2 or above	
	Criteria	Examples of evidence could include:
<p>T1</p> <p>Excellent Teaching</p> <p>Essential (T&R, TI)</p>	<p>Track record of excellent T&L practice, impacting on the student experience/outcomes.</p>	<ul style="list-style-type: none"> ▪ Positive student module or programme evaluation. ▪ Positive student feedback. ▪ Positive feedback from student experience surveys. ▪ Student recruitment to modules /programmes. ▪ A record of good levels of student progression/completion/attainment. ▪ Successful outcomes of supervision of UG and/or PGT and/or PGR projects. ▪ Evidence of improvements in student attainment. ▪ Positive feedback from peer review of teaching. ▪ Positive feedback from External Examiners. ▪ Nomination for, or award of, RUSU excellence award. ▪ The award of a University Teaching Fellowship. ▪ The award of a University Collaborative Award for Outstanding Contribution to T&L. ▪ Discipline/subject/School awards for T&L. ▪ Positive comments from Periodic Review. ▪ Evidence of role-modelling good teaching and learning practices to others. ▪ Overt support for student learning and the student experience. ▪ Positive peer and/or student reviews of self-generated learning resources or materials. ▪ External recognition of good teaching and learning practices. ▪ Other recognition of the quality and impact of your teaching on student learning.
<p>T2</p> <p>Contribution to T&L beyond one's own classroom</p> <p>Essential (T&R, TI)</p>	<p>A valued contribution to Teaching and Learning at disciplinary, interdisciplinary School and/or University Level.</p>	<ul style="list-style-type: none"> ▪ Positive contribution to the design of new modules and/or programmes. ▪ Effective module co-ordination. ▪ Effective programme and/or subject leadership. ▪ Effective contributions to curriculum development/delivery and/or assessment. ▪ Effective contribution to specific innovations in curriculum design/planning and/or delivery.

		<ul style="list-style-type: none"> ▪ The valued introduction of new approaches to T&L. ▪ Effective contributions to BoSSE (Boards of Studies and Student Experience). ▪ Effective contribution to interdisciplinary initiatives. ▪ Effective contributions to teaching collaboration between UoR and UoRM. ▪ Effective contributions to collaboration with partner institutions/delivery partners, in UK or internationally. ▪ Evidence of successful collaboration with students in curriculum development projects. ▪ Successful promotion of initiatives to support specific groups of students. ▪ Effective contribution to University QA processes. ▪ Effective contribution to subject/disciplinary initiatives across HEIs. ▪ Effective contributions to University T&L/student experience focused sub-committees/committees. ▪ Effectiveness in mentoring roles in relation to T&L. ▪ Effective contribution to and/or co-ordination of T&L committees/working groups/communities of practice. ▪ Service on and/or chairing of committees/reviews/policy reviews. ▪ Effective contribution to MOOCs.
<p>T3 Contribution to T&L strategic initiatives Essential (T1)</p>	<p>Valued participation in teaching and learning strategic initiatives at disciplinary, interdisciplinary, School or University levels.</p>	<ul style="list-style-type: none"> ▪ Effective contribution to the expansion of the School's portfolio of taught programmes. ▪ Effective contribution to internationalisation/globalisation. ▪ Effective contribution to employability initiatives. ▪ Effective contribution to interventions which have had a positive impact on School T&L KPIs. ▪ The development of collaborative partnerships. ▪ Effective contribution to activities which aim to widen participation and/or promote access. ▪ Effective contribution to TEL. ▪ The introduction of new practices which further students' engagement with research and enquiry. ▪ Effective contribution to activities which aim to promote diversity and inclusion. ▪ Effective support for development of professional practice skills among students.

<p>T4</p> <p>Dissemination of good practice in T&L</p> <p>Essential (TI)</p>	<p>Sharing/promoting pedagogic good practice at disciplinary, interdisciplinary, School or University levels.</p>	<ul style="list-style-type: none"> ▪ Well-regarded T&L-related presentations. ▪ Well received delivery of CPD and other forms of professional training. ▪ Well-regarded contributions to T&L webpages, blogs, social media. ▪ Publications about T&L in recognised journals/edited collections. ▪ Publication and dissemination of T&L case studies.
<p>T5</p> <p>EITHER Research/scholarship/ and/or income generation</p>	<p>Pedagogic research and/or impactful scholarship and/or income generation in Teaching and Learning.</p>	<ul style="list-style-type: none"> ▪ Authorship or co-authorship of: <ul style="list-style-type: none"> -peer reviewed research publications in T&L -externally published teaching materials -scholarly publications in T&L -textbook(s) -published case studies ▪ The development of a coherent body of open educational resources. ▪ Identifying market need and establishing and running a financially significant new programme. ▪ Funding for learning technologies, T&L research or teaching-related equipment. ▪ Dissemination of research and/or scholarship in T&L. ▪ Success in gaining T&L related grants and bursaries. ▪ Acting as a referee for journal(s) in T&L. ▪ Acting as a reviewer of pedagogic grant applications.
<p>T6</p> <p>Engagement with innovation in T&L</p>	<p>Effective consideration and/or application of new pedagogies or innovative teaching methods at disciplinary, interdisciplinary, School or University levels.</p>	<ul style="list-style-type: none"> ▪ Innovative use of new technologies. ▪ Adoption of new pedagogies. ▪ Effective incorporation into programmes of experiences which improve student learning e.g. fieldwork, industry links, placement experiences, live projects. ▪ Development of co-curricular activities which support student learning. ▪ Development or incorporation of new assessment and/or feedback strategies. ▪ Incorporation of innovative student engagement and feedback activities. ▪ The development of innovative methods/activities to promote academic integrity/good academic practice. ▪ Devising/incorporating new/innovative approaches to student support. ▪ Effective contribution to discussion and decision-making with regard to T&L innovation.

ACADEMIC CITIZENSHIP AND LEADERSHIP CRITERIA

Professor/Research Grade 9

Criteria (definitions in italics)		Examples of evidence could include:
C1 Essential	<p>Academic citizenship</p> <p><i>Demonstration of personal commitment towards the successful development of the University and its communities, and of a commitment to our values for working together and professional behaviours. Taking a share of the many and varied activities that we carry out together that are essential to our academic success.</i></p>	<ul style="list-style-type: none"> ▪ Examples of good practice taken from the University's "Values for Working Together and Professional Behaviours" document. ▪ Constructive and active contributions to School/University life. ▪ Significant contribution to successful programmes of Open Day activities. ▪ Active involvement in widening participation and outreach activities. ▪ A share in volunteering for necessary one-off duties. ▪ Assiduous performance of personal tutor duties. ▪ Active involvement in University staff network groups, e.g. Women@Reading, LGBT Plus. ▪ Contributing to work towards achieving School and University diversity and inclusion and/or sustainability targets. ▪ Effective contributions to administrative roles within Schools or the wider University. ▪ Panel member in recruitment of new staff members. ▪ Leading development of partnerships with external stakeholders/delivery partners to support achievement of School/University strategic aims.
C2 Essential	<p>Continuing professional development to ensure working practice is up to date.</p> <p><i>Professional development activities, plus evidence of reflection on these activities, some of this reflection explicitly included in the promotion case. We expect that professional development will usually be achieved through a combination of undertaking new activities and roles; and of self-development through attending training courses, seminars, conferences, and/or through personal study and reading. In each case we expect to see a brief explanation in the submission of how these activities have contributed to your</i></p>	<ul style="list-style-type: none"> ▪ Personal training record, this coupled to reflection on impacts that training has had on your working practice. ▪ A record of significant conferences/workshops etc. attended in the last three years, and reflection on how these may have shaped your subsequent work. ▪ Details of your own contributions to support the professional development of other colleagues in the University and/or externally, for example through contributions to the design, management and/or delivery of staff training, through mentoring activities etc. ▪ An account of activities/roles that you have undertaken which have contributed to your professional development, with an explanation of/reflection on the associated development that has taken place.

	<i>professional development and/or inform your working practices.</i>	
C3 Essential	<p>Academic leadership and/or management.</p> <p><i>This interpreted broadly to include leadership and management within your departments or Schools, or leadership/management associated to your discipline (this latter may be exhibited largely through externally-focused activities, or through activities locally at Reading).</i></p> <p><i>We interpret leadership to include leadership of groups of staff (or possibly staff plus research students/teaching assistants); leadership of activities; leadership by example in a variety of external engagement activities; leadership through chairing (but also through active membership) of groups within the University or externally that are responsible for significant activities or developments.</i></p> <p><i>For promotion to professorial level contributions are expected to be more significant, and roles taken on are likely to carry more responsibility.</i></p>	<ul style="list-style-type: none"> ▪ Leadership by example in external engagement, this interpreted broadly to include: significant leadership of the nurturing and development of external relationships important to the School or University; external presentations of various sorts (at academic conferences, to external partners, to lay audiences, as part of schools outreach). External presentations might include keynote presentations at larger-scale conferences. ▪ Leadership of and active involvement in initiatives which achieve engagement with research and/or impact beyond academia. ▪ Leading role in organisation of conferences. ▪ Leading role in shaping the discipline within the University, or significant contributions nationally/internationally. ▪ Significant contributions, for example through offices held, to the organisation and running of professional associations or learned societies nationally or internationally. ▪ Panel membership and advising on senior academic appointments elsewhere. ▪ Government appointments. ▪ Develop and successfully implement School strategy/5 year plan initiatives. ▪ Contribute to the development and successful implementation of University strategy. ▪ Robust financial management of Department/ School budgets in line with University strategy. ▪ Leadership of and active involvement in widening participation and outreach activities. ▪ Actively promoting and/or innovative practice or leadership supporting the diversity and inclusion agenda. ▪ Leadership roles in University staff network groups, e.g. Women@Reading, LGBT Plus. ▪ Taking significant responsibility for Health and Safety issues. ▪ Leadership of the sustainability agenda, including working towards relevant benchmarks/awards as appropriate. ▪ Significant trade union and employee representation activities. ▪ Hall Warden. ▪ Effective performance in positions of significant responsibility within the School/ University/UoRM/major partnerships (e.g. NUIST).

		<ul style="list-style-type: none"> ▪ Representing the School in working constructively with other parts of the University and/or external organisations on significant developments. ▪ Significant role in staff recruitment and selection within the School/University. ▪ Spending time mentoring staff and developing a team. ▪ Chairing School/University committees and working groups. ▪ Active leadership of School/Departmental/ University Global Engagement Strategy initiatives. ▪ Contributing to the wider University's Global Engagement Strategy by being part of wider appropriate University committees, working groups and projects. ▪ Undertaking Performance Development Reviews of staff.
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RESEARCH CRITERIA

Professor/Research Grade 9

Criteria		Examples of evidence could include:
R1 Outputs Essential (T&R, RI)	Track record of excellent research of international standing, built on outstanding quality of research outputs.	<ul style="list-style-type: none"> ▪ A track record of 3* and 4* publications, confirmed by peer review and, where appropriate, supported by bibliometric data.
R2 Research Leadership and Recognition Essential (T&R, RI)	Providing research leadership within and beyond the University and the own discipline; significant international research impact on academia (nationally and internationally).	<ul style="list-style-type: none"> ▪ Significant achievements from roles such as: Research Division Leader, IDRI Director, leading major research centres or cross university research initiatives. ▪ Leading major collaborative projects and networks, DTPs, partnerships with key end-users and stakeholders of research. ▪ Active contribution to research-related committees, research councils, or professional or learned societies. ▪ National or international awards for research, invitations for keynote presentations and lectures. ▪ Evidence of being consulted by national/international research bodies (e.g. Government, Research Councils) on strategy or policy making. ▪ Journal editorships or membership of editorial boards. ▪ Regularly acting as a reviewer or assessor for significant bodies (major funders, leading journals). ▪ Consultancy services for industrial companies and external bodies.
R3 Research Income	Track record of excellent external income generation as defined within the discipline (excluding funding for PGR students).	<ul style="list-style-type: none"> ▪ External grants and awards as PI and/or Co-I (with evidence of active role in securing funding), senior fellowships, charitable and industrial income, as appropriate to discipline.
R4 PhD Supervision	Record of successfully supervising to completion a number of research students, as appropriate to the discipline.	<ul style="list-style-type: none"> ▪ A track record of successful Doctoral supervision to timely completion. ▪ Leadership of Doctoral Training programmes. ▪ External examination of Doctoral Students. ▪ Winning of externally funded PGR students, funding for CDTs or DTPs.
R5 Public Engagement	Substantial national and international track record of planned public engagement and communication of research.	<ul style="list-style-type: none"> ▪ Delivery of invited public lectures ▪ Substantial and meaningful engagement with the media, involvement in public events, use of blogs and other social media to communicate research.

<p>R6</p> <p>Research Impact</p>	<p>Has drawn upon own research to achieve, or is in the process of achieving an effect on, change or benefit, to the national and/or international economy, society, culture, public policy or services, health, the environment, education, or quality of life, beyond academia.</p>	<ul style="list-style-type: none"> ▪ Impact projects (e.g. REF Impact case studies) and equivalent activities that are rated 3*/4*. ▪ Evidence of influencing social/economic/cultural policy. ▪ Evidence of impact on end-users of research. ▪ Evidence of engagement with the University's guidance on Open Research https://www.reading.ac.uk/research/research-environment/open-research/open-research-12-tips
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TEACHING AND LEARNING CRITERIA

Professor/Research Grade 9

	Fellow of the Higher Education Academy (HEA) or equivalent at D2 or above	
	Criteria	Examples of evidence could include:
T1 Excellent teaching Essential (T&R, TI)	Track record of excellent T&L practice, with evidence of positive impact on students, colleagues and mentees (either internal or external) and excellent feedback.	<ul style="list-style-type: none"> ▪ Positive student module or programme evaluation. ▪ Positive student feedback. ▪ Positive feedback from student experience surveys. ▪ Improvements to student recruitment. ▪ A record of good levels of student progression/ completion/attainment. ▪ Successful outcomes of supervision of UG and/or PGT and/or PGR projects. ▪ Positive feedback from peer review of teaching. ▪ Positive feedback from External Examiners. ▪ Award of RUSU excellence award. ▪ The award of a University Teaching Fellowship. ▪ The award of a National Teaching Fellowship. ▪ The award of a University Collaborative Award for Outstanding Contribution to T&L. ▪ Discipline/subject/School awards for T&L. ▪ Positive comments from Periodic Review. ▪ Mentees' success in completion of Academic Practice Programme/CPD route to FHEA/SFHEA/ PFHEA. ▪ Leadership of significant initiatives to support specific groups of students.
T2 Improving student outcomes/ experience Essential (T&R, TI)	Leadership of activities in T&L that improves student outcomes and/or student experience.	<ul style="list-style-type: none"> ▪ Significant contribution in leading student support. ▪ Leadership of a University strategic project in T&L and/or responsibility for T&L priorities. ▪ Leadership of student access, employability, professional practice and/or engagement initiatives. ▪ Leadership of curriculum development project(s). ▪ Leadership of significant collaboration(s) with students.
T3 Leadership of strategic initiatives in T&L/ professional training Essential (TI)	Evidence of successful leadership in steering Teaching and Learning strategic initiatives at disciplinary, interdisciplinary, School or University levels	<ul style="list-style-type: none"> ▪ Influential membership of working group(s). ▪ Success in shaping T&L strategy. ▪ Leading a team implementing a T&L initiative. ▪ Influential contribution to Programme development. ▪ Influential contribution to a TEF return. ▪ Leading collaboration between UoR and UoRM. ▪ Leading collaboration with existing partner institutions/delivery partners, in UK and/or internationally.

		<ul style="list-style-type: none"> ▪ Establishing and developing teaching-related networks with other institutions which bring benefit to the UoR.
<p>T4</p> <p>National/ International standing in T&L</p> <p>Essential (TI)</p>	<p>Evidence of significant contribution of national or international impact to teaching and learning.</p>	<ul style="list-style-type: none"> ▪ Authorship of/major contributions in any media of high quality teaching materials that are widely acknowledged as central to the discipline or related to T&L in Higher Education in UK and/or internationally. ▪ Contribution to national and international T&L journals. ▪ Adviser to accrediting bodies, international societies or other professional bodies. ▪ National Teaching Fellowship. ▪ Invitations to give keynote presentations or contribute to other high profile T&L events nationally/internationally. ▪ Active membership of national or international subject body committees. ▪ Major contributions at national/international levels to widening participation and access activities. ▪ Influence on T&L and/or QA at other HEIs.
<p>T5</p> <p>EITHER Research/ scholarship and/or income generation</p>	<p>Pedagogic research and/or significant and impactful Scholarship and/or significant income generation.</p>	<ul style="list-style-type: none"> ▪ Publications based on pedagogic research in your discipline. ▪ Publications based on pedagogic research in HE. ▪ Collaboration with pedagogic researchers in other institutions. ▪ National/international presentations/conference papers on pedagogic research/scholarship. ▪ Major involvement in projects investigating how students learn and/or of teaching practice. ▪ Collaboration with colleagues in UoR Research centres/institutes to explore T&L-related aspects of research themes. ▪ Gaining external funding for pedagogic research or curriculum development. ▪ Identifying market need and establishing and running a financially significant new programme.
<p>T6</p> <p>Engagement with innovation in T&L</p>	<p>Effective consideration and/or application of new pedagogies or innovative teaching methods.</p>	<ul style="list-style-type: none"> ▪ Initiating and/or leading University-wide T&L innovations. ▪ Significant innovation in design of teaching. ▪ Significant personal contribution or leadership in technology enhanced learning. ▪ Evidence of reputation for innovatory approaches to teaching and learning. ▪ Effective contribution to discussion and decision-making with regard to T&L.

STANDARD FORM OF CURRICULUM VITAE AND THE OPTIONAL ILLUSTRATIVE APPENDICES

Candidates should ensure that their CV is presented to support their application for promotion and **expands and develops** the information and evidence provided against the relevant criteria described in Annex A. The CV should be no longer than 40 pages in total.

A **clear indication** (in percentage terms) must be given of the applicant's specific contribution to any joint or collaborative activities, including papers, grants etc.

The CV may be accompanied by a separate document of optional illustrative appendices (the appendices being a maximum of 10 pages in total) to provide supporting evidence for activities. These will typically relate to teaching and learning and occasionally to administration but less frequently to knowledge transfer, enterprise and outreach and hardly ever to research since the outcomes of these activities are generally in the public domain and thus available for scrutiny and evaluation.

CV

Personal details

Name

Present appointment

Nature of appointment (i.e. full- or part-time, probationary or indefinite, T, T/R or R) with precise hours if currently or recently part-time and time period for the change in FTE

Education and qualifications obtained (with dates)

Previous appointments (with dates)

Research

Achievements providing evidence as described in the Research section of Annex A including some or all of the following:

- The list of publications and other research outputs must be complete, and will be expected to have been recorded in CentAUR.
- Publications must be listed in groups, e.g. books, major articles, reviews; and each group must be shown in reverse chronological order (i.e. the most recent publication first) giving the title and year of publication. Full pagination must always be given. Candidates must clearly indicate whether publications are in refereed journals or conference proceedings and, where appropriate, comment on the status of such journals or proceedings within their particular subject area. Where such information is available, the number of citations should be stated.
- Where joint publications are included, it is essential that a clear indication (in percentage terms) is given of the extent of the applicant's contribution to the publication.
- A clear indication must be given of those books written as author or co-author, and those in which the work has been editorial or contributory.
- Publications that are "in press" or "under review" must be listed separately, detailing the relevant journal or publisher; publications that are "in preparation" must not be listed.

- Detail the number of PhD students supervised, and whether as first or second supervisor. State the number who have successfully completed within 4 years FTE.
- Research grants and contracts, listing first grants won, and clearly separated, grants applied for. Internal and external awards should be indicated separately. Detail the research income associated with each award, and identify the Principal Investigator and the Co-Investigators (if any).

Teaching and Learning

Achievements providing evidence as described in the Teaching and Learning section of Annex A including some or all of the following:

- The modules/credits taught at undergraduate and postgraduate levels both within and beyond the home School, the numbers of hours taught, and the numbers of students on each module.
- Quantitative evidence (for example, of improvements to mean marks or failure rates following the implementation of particular initiatives).

Academic citizenship and leadership

Achievements providing evidence as described in the Academic citizenship and leadership section of Annex A.

Illustrative appendices

The optional illustrative appendices could include the following:

Teaching and Learning

- Copies of documents (for example, handouts to students) annotated in such a way as to describe the approach taken, the pedagogical drivers for it, etc.
- External validation of particular activities (for example, letters accepting and/or praising work in journals or at conferences not directly related to research).
- Excerpted slides/notes from presentations given which highlight teaching and learning issues discussed.
- Screenshots of innovative uses of technology (discussion board use, Web 2.0 technologies, etc.) that augment the learning experience/process.
- Quotes from students, alumni, employers, colleagues (within and beyond the University); judicious choice of a limited number of representative quotes is advised.
- Copies of reports of peer/mentor observations of teaching (construed in a wide sense to include review of materials and methods).
- Copies of proposals written about teaching and learning for wider discussion amongst School/Departmental staff (for example, a proposal to introduce a particular teaching and learning method into a module).
- Example agendas/proceedings of events in which work in teaching and learning is presented (internally and externally).
- Photographs of particular approaches being used (in the classroom, the laboratory or the field).

- Excerpts from the minutes of Boards of Studies/departmental meetings/student-staff liaison committees in which a distinctive contribution is recorded.

Academic citizenship and leadership

- Copy of personal training or continuing professional development log over a sustained period.
- Examples of feedback you have received from colleagues and/or students that you have mentored and supported.
- Excerpts from the minutes of School or University committees.
- Excerpted slides/notes from presentations given which demonstrate leadership in the discipline, School, University and/or beyond.

PERSONAL CIRCUMSTANCES

It is essential to be able to take due account of any personal, familial or other non-academic circumstances that have impacted upon an applicant's work for a defined period of time and may have had an impact on the development of an applicant's career in relation to the criteria for promotion.

It is recognised that the effects of COVID-19 and associated circumstances on the productivity of academic staff will be variable and that some effects will continue into subsequent years. If an applicant believes that there is a particular effect on them which should be captured, they should raise it with their Head of School and, if so agreed by the Head of School, effects on defined criteria should be part of the Personal Circumstances Agreed Statement.

Candidates have the opportunity to draw to the attention of both the School Personal Titles Committee and the University Personal Titles Committee any specific equality related issues that they consider relevant. The process is in two stages:

1) Personal Circumstances Declaration

The applicant should complete the Personal Circumstances Declaration Form. Candidates must set out the length of time for which personal circumstances affected their career profile and, if relevant, the impact on the volume and range of their contributions. (While it is recognised that personal circumstances may affect the volume of contributions made, no regard will be paid to arguments that the quality of contributions were affected). Candidates need not describe the personal circumstances themselves (though may wish to, and this is permitted), but must detail how the circumstances have impacted upon the case for promotion in relation to specific criteria.

By this means, the University seeks to ensure that no applicant is placed at a disadvantage in consequence of particular conditions or circumstances, which may include:

- (a) time away from work for maternity, paternity, parental or adoption leave (with dates) and details of arrangements for return to work following these periods;
- (b) part-time (stating FTE) or other flexible working arrangements;
- (c) career breaks (with dates);
- (d) periods of absence (with dates) or flexible working arrangements or limitations on speed of working arising from caring responsibilities, a disability, neurodiversity, or chronic physical or mental health condition which impacts/has impacted on lived working experience, ill-health or injury (if a reasonable adjustment has been agreed that is relevant to the ability to meet one or more criteria, it would be helpful to mention this);
- (e) periods of absence (with dates) or flexible working arrangements arising from the impact and consequences of gender re-assignment;
- (f) personal, familial or other non-academic circumstances (with details) that have interrupted, restricted or delayed the applicant's career.

An applicant can complete the Personal Circumstances Declaration Form and submit this alongside their application to their Head of School. Normally, the Personal Circumstances Declaration Form would be confidential to the Head of School and applicant only. If an applicant feels unable to complete the form, they should arrange to discuss their circumstances in confidence with the Head of School.

Such submissions would normally be evidence-based and verifiable. These need not be accompanied by the actual evidence. The Personal Circumstances Declaration Form should be submitted with the application form to the Head of School by the deadline of **09 January 2023**.

2) Personal Circumstances Agreed Statement

The Head of School will then engage in a collaborative discussion with the candidate to identify the impact of the personal circumstances on the candidate's academic work, both in terms of the time period affected and the extent of the disruption, and complete a Personal Circumstances Agreed Statement form without disclosing sensitive personal data. It is important that the Personal Circumstances Agreed Statements are not permitted to describe the nature of any candidates' Personal Circumstances (with the exception of information regarding contractual employment history, which is permitted). This is in order to mitigate against unconscious bias on the part of any committee member and to ensure that the assessment of all applications is consistent. It is the impact of the circumstances, rather than the circumstances themselves, which is relevant to the assessment of the case. If any reasonable adjustments have been made these should be recorded in relation to the criteria which have been impacted, without disclosing the reason for these. In every case the statement should capture explicitly the impact for each of the criteria against which the application is made. The statement should be agreed and signed by both the Head of School and candidate and submitted to the University Secretary by **30 January 2023**.

Applicants may choose to present their personal circumstances in the form of a timeline, as shown in the example below:



The Personal Circumstances Agreed Statement will be made available to the relevant School Personal Titles Committee, to the University Personal Titles Committee and to Independent Assessors (where applicable). No Committee Members on either the School or University Committee are permitted to raise any information relating to a candidate's personal circumstances during the meeting which has not been included within the Agreed Statement.

If the Head of School and candidate are unable to reach agreement on the Personal Circumstances Agreed Statement, the Dean for Diversity and Inclusion would be asked to adjudicate. In cases of adjudication, the applicant's Personal Circumstances Declaration Form may be disclosed to the Dean for Diversity and Inclusion.

In exceptional cases, a candidate may feel that there are personal circumstances which have emerged since the original application that the University Committee should be made aware of. In these cases, candidates should consult with the Head of School in the first instance. If the Head of School agrees that the personal circumstances should be reported to the University level committee, a statement should be agreed with the applicant and submitted to the University Secretary by **12 May 2023**.

PERSONAL CIRCUMSTANCES DECLARATION

The submission of a Personal Circumstances Declaration is optional. It is the means by which the University seeks to ensure that no applicant for promotion is placed at a disadvantage as a consequence of a particular set of conditions or circumstances.

Please describe the effect of any personal, familial or other non-academic circumstances on your career profile. You need not describe the circumstances themselves but must detail:

- a) the period of time for which the circumstances have had an effect
- b) the impact that the circumstances have on specific promotion criteria

Once completed, please submit this form to your Head of School with your application form. Alternatively, you may choose not to complete the form and decide instead to talk to your Head of School about your personal circumstances. The deadline for submission of all cases is **Monday 09 January 2023**.

This form will only be seen by your Head of School and possibly your HR Partner and the Dean for Diversity and Inclusion.

PERSONAL CIRCUMSTANCES DECLARATION

Please outline the period of time and promotion criteria affected. Please refer to Annex C for more detailed guidance about what should be included here. **This should not normally exceed 600 words.**

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Name	
Date	

SIGNATURE



PERSONAL CIRCUMSTANCES AGREED STATEMENT

PERSONAL CIRCUMSTANCES

Where personal circumstances have been declared by a candidate, the Head of School must complete this form to accompany the application. Please refer to Annex C for more detailed guidance regarding this. The statement below must be agreed with the candidate prior to submission to the University Secretary and this form should be submitted complete with the signature of both parties.

If the Head of School and candidate are unable to reach agreement on the statement, the Dean for Diversity and Inclusion should be asked to adjudicate. In cases of adjudication, the applicant's Personal Circumstances Declaration Form may be disclosed to the Dean for Diversity and Inclusion.

Candidate Name	
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Please indicate the criteria impacted by the personal circumstances declared with an 'X' below, specify the time period affected and state the impact.

		Time period affected	Impact
C1			
C2			
C3			
<hr/>			
R1			
R2			
R3			
R4			
R5			
R6			
<hr/>			
T1			
T2			
T3			
T4			
T5			
T6			
<hr/>			
S1			

If considered helpful, a timeline may also be provided in the space below (an example can be found in the guidance). This **must not** include any details regarding the circumstances themselves but may include basic factual information such as 'period of unspecified leave'. Information regarding contractual employment history, such as job title, FTE and contract type, is also permitted.

--

If any of the Personal Circumstances relate to employment history/contractual changes, further information may be provided regarding this aspect below if appropriate. **No further details are permitted for any other circumstances.**

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
CANDIDATE SIGNATURE - I confirm that I have agreed the above statement with the Head of School.



Date

--

HEAD OF SCHOOL SIGNATURE - I confirm that I have agreed the above statement with the candidate named.



Date

--

CONTEXTUAL STATEMENT PART A ASSOCIATE PROFESSOR

You have been asked by your Head of School to complete this form as part of the submission to the Personal Titles process 2022/23. This statement is to provide the Committees with factual contextual information about achievements that would be expected of an Associate Professor in the discipline. It must be a factual statement and it is intended as an informative document for the Committees.

Once completed, please submit this form to the Head of School of the discipline. The deadline for submission of all Contextual Statement Part As is **Monday 14 November 2022**.

ABOUT THE APPLICANT

School	
Discipline	

Please provide information below about the academic discipline. For T&R candidates please complete both the research and T&L sections; for RI or TI, please complete R or T&L sections respectively. This information is intended to offer a guide to Committees on disciplinary norms.

CITIZENSHIP

What are the School/Departmental norms in relation to academic citizenship, continuing professional development and academic leadership or management. **This should not exceed 250 words**

--

RESEARCH

What are the disciplinary norms expected in relation to the research criteria such as research outputs (high impact journals, citations, single author monographs, practice research etc.), research income levels, typical numbers of PGR students, etc. **This should not exceed 250 words**

--

TEACHING AND LEARNING

Please comment factually on the teaching and learning context expected of an applicant in the discipline e.g. on the nature of teaching undertaken (UG, PG), complexity of T&L issues; internal and external T&L commitments within the context of the discipline/sector. **This should not exceed 250 words.**

OTHER - OPTIONAL

This part is optional and could include any other relevant contextual information. **This should not exceed 250 words.**

Name	
Date	

SIGNATURE



CONTEXTUAL STATEMENT PART A PROFESSOR

You have been asked by your Head of School to complete this form as part of the submission to the Personal Titles process 2022/23. This statement is to provide the Committees with factual contextual information about achievements that would be expected of a Professor in the discipline. It must be a factual statement and it is intended as an informative document for the Committees.

Once completed, please submit this form to the Head of School of the discipline. The deadline for submission of all Contextual Statement Part As is **Monday 14 November 2022**.

ABOUT THE APPLICANT

School	
Discipline	

Please provide information below about the academic discipline. For T&R candidates please complete both the research and T&L sections; for RI or TI, please complete R or T&L sections respectively. This information is intended to offer a guide to Committees on disciplinary norms.

CITIZENSHIP

What are the School/Departmental norms in relation to academic citizenship, continuing professional development and academic leadership or management. **This should not exceed 250 words**

--

RESEARCH

What are the disciplinary norms expected in relation to the research criteria such as research outputs (high impact journals, citations, single author monographs, practice research etc.), research income levels, typical numbers of PGR students, etc. **This should not exceed 250 words**

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TEACHING AND LEARNING


Please comment factually on the teaching and learning context expected of an applicant in the discipline e.g. on the nature of teaching undertaken (UG, PG), complexity of T&L issues; internal and external T&L commitments within the context of the discipline/sector. **This should not exceed 250 words.**

OTHER - OPTIONAL

This part is optional and could include any other relevant contextual information. **This should not exceed 250 words.**

Name	
Date	

SIGNATURE



CONTEXTUAL STATEMENT PART B

You are required to complete this form as part of the submission to the Personal Titles process 2022/23 if relevant. This is only required if the applicant is working in an area of the discipline where some variation of the achievements described in Part A would be expected. Please comment only on what variations would be expected and why.

Once completed, please submit this form to the Head of School of the applicant. The deadline for submission of all Contextual Statement Part Bs is **Monday 23 January 2023**.

ABOUT THE APPLICANT

Name	
School	
Promotion sought	

Please provide information below about the academic discipline of the applicant. For T&R candidates please complete both the research and T&L sections; for RI or TI, please complete R or T&L sections respectively. This information is intended to place the applicant's achievements in a disciplinary context.

CITIZENSHIP

What if anything should be expected that is different from what was described in Part A? **This should not exceed 250 words.**

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RESEARCH

What if anything should be expected that is different from what was described in Part A? **This should not exceed 250 words.**

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TEACHING AND LEARNING

What if anything should be expected that is different from what is described in Part A? **This should not exceed 250 words.**

OTHER - OPTIONAL

This part is optional and could include any other relevant contextual information variant from Part A. **This should not exceed 250 words.**

Name	
Date	

SIGNATURE




CONTEXTUAL STATEMENT PART C

You are required to complete this form as part of the submission to the Personal Titles process 22/23 if relevant.

This is only required if the applicant is working on secondment outside of their home School. Please describe the nature of the secondment, including term and full time equivalent, and make a factual statement about how the context of the secondment would result in some variation of the achievements described in Part A.

Once completed, please submit this form to the Head of School of the applicant. The deadline for submission of all Contextual Statement Part Cs is **Monday 23 January 2023**.

ABOUT THE APPLICANT	
Name	
School	
Promotion sought	
Details of Secondment (Please describe the nature of the secondment including term and full time equivalent and make a factual statement about how the context of the secondment would result in some variation of the achievements described in Part A)	
Name	
Date	
SIGNATURE	
	

PERSONAL TITLES SCHOOL PREPARATION CHECKLIST

Activity	Owner(s)	Completion Date
Confirm membership of School Personal Titles Committee (SPTC) and inform University Secretary	Head of School	October 2022
Agree date of School Personal Titles Committee in Spring 2023	Head of School/University Secretary	October 2022
Produce list of academic staff in School (including those on secondment and/or working at non-UK campuses) along with promotion history	HR Partner	October 2022
Hold meeting involving SPTC members to: <ul style="list-style-type: none"> ▪ Assign School Personal Titles Mentor and schedule training via HR Partners where required ▪ Identify staff to provide Contextual Statements A,B and C ▪ Review list of ALL academic staff in School (including those on secondment and/or working at non-UK campuses) and consider whether there are staff who should be approached to consider applying for promotion ▪ Agree School level communication plan on Personal Titles process 	Head of School/SPTC/HR	October 2022
Submission of Contextual Statement A to Head of School	Member of SPTC	By 14 November 2022
Candidates to make submission to Head of School	Academic staff	By 09 January 2023
Submission of Contextual Statement Bs and Cs to Head of School	Member of SPTC (Part B) Secondee's line manager (Part C)	By 23 January 2023
Agreement of Personal Circumstances Statement by applicant and Head of School	Head of School	By 30 January 2023
Applications, Contextual Statements and Personal Circumstances Agreed Statements to University Secretary	Head of School	By 30 January 2023

School Personal Titles Committee held		February/March 2023
List of External Assessors for Professorial candidates to Office of University Secretary	Head of School	No later than two weeks after School committee