

PROFESSORIAL ANNUAL REVIEW GUIDELINES

Introduction

Each year professors are required to submit an annual review of their achievements and activities for the previous 12-month period. The annual review provides colleagues with an opportunity to highlight their individual contribution in light of which an Advisory Group will recommend salary adjustments where appropriate; submissions are required even in cases where a salary adjustment is not expected.

Colleagues within the first 12 months of their appointment or internal promotion are not required to submit because they will not be eligible for a salary adjustment.

Advisory Group

Submissions will be reviewed by an Advisory Group comprising:

- the Pro-Vice Chancellor (Research & Innovation)
- the Pro-Vice Chancellor (Academic Planning and Resource)
- the Pro-Vice Chancellor (International)
- the Pro-Vice Chancellor (Education and Student Experience)
- the Director of Human Resources.

The Group reserves the right to seek further information or points of clarity where necessary. The process is subject to scrutiny by a lay member of Council, who will attend at least one meeting of the Advisory Group.

The Advisory Group reports its recommendations to the Remuneration Committee, who will consider the recommendations, being mindful of the University's overall financial position. Both the Advisory Group and the Remuneration Committee pay particular attention to equality issues throughout.

Professorial Zones

The professorial title comes with responsibilities and expectations regarding on-going performance, these being appropriate to the zone as captured within the zone criteria. Each professor is situated in one of four zones:

1. Emergent;
2. Established;
3. Outstanding;
4. Exceptional.

For more information, please refer to the Professorial Zone Criteria available on the [HR webpage](#).

The zone criteria are indicative rather than prescriptive and do not represent a simple check-list formula. The criteria are cumulative, implying that activities in higher zones would normally be undertaken in addition to those in lower zones.

There is some overlap between zones and movement within a particular zone, or progression to another zone, will reflect the degree to which particular criteria are achieved and demonstrated by the individual.

Key Points

Colleagues participating in the Annual Review should be mindful of the following:

- The primary purpose of the annual review is the requirement for Professorial colleagues to report on their activities and achievements over the previous 12 months. This provides Executive Board colleagues with a valuable oversight of the breadth of activity carried out across the Professoriate, and particularly work carried out in support of the University's strategic objectives and Key Performance Indicators (KPIs).
- The secondary purpose of the annual review is the opportunity for the Advisory Group to identify achievements that go beyond the normal expectations of the relevant zone and to make recommendations for additional reward accordingly.
- Where appropriate, the Advisory Group will recommend either a consolidated award (i.e. an additional increment), a non-consolidated award (i.e. a lump sum payment normally set at £1900), or advancement to a higher zone (in cases where this is applied for).
- There are no automatic increments or progression within or between the zones: these are awarded on the basis of exceptional performance against the relevant zone criteria.
- A recommendation not to make an award is not an indication of under-performance, but a consequence of the individual performing at a level commensurate with expectation. Salary adjustments are therefore recommended in recognition of exceptional performance and would not normally be awarded every year.
- Colleagues on Zone 1 are normally expected to make steady incremental progress through the zone.
- Movement through and between Zones will become progressively harder, as expectations of what constitutes exceptional performance increase. Your submission must directly reference the Professorial Zone Criteria under all 4 of the categories (academic achievement, impact and engagement, academic leadership and recognition, and citizenship) and use examples to show how you have met the criterion. You must make a submission for advancement to Zone 2 if you have been in Zone 1 for four or more years as it is a normal expectation that this is sufficient time to become an established Professor. Cases for zone advancement should evidence achievement against criteria in the higher zone, as well as sustained achievement in the current zone.
- The Advisory Group may, from time to time, at its discretion, recommend a larger lump sum (normally double the usual amount) or multiple additional increments. Such awards are exceptional.

- The relevant Head of School is required to validate your submission and make a recommendation, highlighting the particular contributions that they believe merit this. A positive recommendation from a Head of Function or Head of School does not by itself guarantee a successful outcome – decisions rest solely with the Advisory Group.
- There are no financial restrictions on the number of awards that can be made. However, the Advisory Group is required to remain mindful of affordability and will seek to ensure that the total sum of rewards recommended does not normally exceed 1.5% of the relevant pay-bill.
- The Advisory Group makes its recommends formally to the University’s Remuneration Committee, normally at its June meeting each year. Outcomes are notified to individuals shortly thereafter. Cases for advancement to Zone 4 normally require additional time for external review and a decision may not be possible within the academic year in which the application is made.
- The recommendation of additional rewards is entirely at the discretion of the Advisory Group. There is no appeal against their decisions.

Completing the form

Application form

You are required to complete an on-line form by logging in with your University username and password at <http://hrforms.reading.ac.uk>. If you wish to access the form from a computer that is not wired to the university network, you will need to connect using the VPN. Please contact DTS on 0118 378 6262, or extension 6262, if you have any problems connecting to the VPN.

A User Guide to completing the form is available on the [HR webpage](#).

Personal data held on Trent and CentAUR will automatically pull through to the secure on-line form. Please ensure that your publications record is up to date on CentAUR before commencing the form, as any subsequent changes will not be updated. If you identify any errors, please contact Human Resources or the CentAUR team.

Please use bullet points where appropriate to help make your submission clear. Please note that submissions are limited to 1500 words, but up to 2500 words are allowable in an advance zone application. You may wish to type your statement up on a word document first to check the word count, and then paste this into the online form. You are welcome to make use of information provided for other University processes where appropriate, e.g. PDR, Research Review.

When completing the Professorial Annual Review statement, your submission must directly reference the Professorial Zone Criteria under all 4 of the categories (academic achievement, impact and engagement, academic leadership and recognition, and citizenship) and use examples to show how you have met the criterion. You are entitled to describe activities and achievements that might not be explicitly covered by the criteria, but they are expected to be of an equivalent standing.

The Advisory Panel can only consider information included in the form. Please ensure your submission adequately evidences your achievements and activities.

Any work cited in your submission must be available in the public domain, so please do not include any work that has not been published or any pending funding applications. You may include relevant bibliometric data in your submission to support and complement other information and evidence. You must clearly state the source of the bibliometric data used.

If you work part-time and hold another part-time post at another University, your contribution to the University of Reading must be made clear.

For consistency, additional documentation in support of a submission will **not** be accepted. Please only upload your CV if you are seeking advancement to a higher zone and indicate this by ticking the box under the heading “Advancement Requested”. Your CV should be set out in the format of the standard CV template and saved as PDF format.

The form will be saved automatically when you click on the “Previous” or “Next”. You can exit and return to the form at any time. On the final page, you will be able to review your submission, and changes can be made by clicking on the “Edit” button next to the relevant section. Once you have completed the form you, please click on “Submit” and the form will be forwarded to your Head of School.

Role of referees (Advancement to Zone 4 only)

References are sought where advancement to Zone 4 is being requested.

External referees can provide useful insights into many aspects of an individual’s work but are especially important in assessing their contribution and standing in scholarship and research.

Human Resources will write to referees to ask for their opinions on the individual, providing the criteria for promotion to Zone 4. Referees' reports are subject to the strictest confidentiality.

Personal Circumstances

The completion of this section is entirely optional. However, it is helpful to be able to take due account of any personal, familial, or other non-academic circumstances that have impacted upon an individual’s work for a defined period of time. Circumstances that may be taken into account include:

1. Time away from work for maternity, paternity, shared parental or adoption leave (with dates);
2. Part time or other flexible working arrangements;
3. Career breaks (with dates);
4. Periods of absence (with dates), or flexible working arrangements, arising from: caring responsibilities, disability, injury or ill health;
5. Periods of absence (with dates), or flexible working arrangements, arising from the impact and consequences of gender re-assignment;
6. Other personal circumstances covered by the Equality Act 2010.

You may use this section if you wish to draw to the attention of the Advisory Group, any specific equality- related issues that you consider relevant. You are under no obligation to disclose sensitive personal circumstances, but setting out how those circumstances have impacted upon your work for the period under review provides helpful context. You may wish to have a confidential discussion with your Head of School before completing this section.

As noted, you are not obliged to declare any circumstances on the form if you do not wish to. However, if not declared, such matters cannot be subsequently taken into consideration.

If you feel there have been no special circumstances affecting your performance, you should

simply ignore this section of the form.

Further advice and guidance on declaring individual circumstances is available from Human Resources.

Timetable

Action	Date
Submit completed form to your Head of School/Line Manager by:	1 February 2023
Heads of School to check and counter-sign statements and submit to Human Resources by:	15 February 2023
Advisory Group meetings to be held:	30 March 2023 to 21 April 2023
Remuneration Committee meeting:	6 June 2023
Formal outcomes communicated no later than:	30 June 2023
Effective date for salary adjustments where appropriate:	1 August 2023

Communication of outcomes and feedback

Formal outcomes will be notified by the Director of Human Resources **by 30 June 2023**.

Requests for feedback in respect of notified outcomes should be addressed to your Head of School in the first instance.