



# Guidelines For Annual Performance Review of (Full) Professors (2019-20)

## A. Purpose, Scope and Responsibilities

1. This document provides guidance on the Annual Performance Review (APR) process for (full) professors (professors for short in what follows). The APR process is first and foremost about review; it is related to the annual contribution pay process but there is **no automatic link** between the two.
2. **This academic year, participation in the APR will be voluntary except in cases where the Head of Department has decided that participation is going to be mandatory for some or all professors. In departments where participation is voluntary, professors will be invited to submit a Faculty Information Form (FIF) and CV, if they so wish, and will be asked to indicate on the form whether they want to receive feedback on their performance.** If a form is not received from a professor by the deadline, it will be assumed that they do not wish to participate in this year's APR process.
3. **It is likely that participation in the APR will be mandatory for all professors in the School next year. Depending on the experience with this year's process, and subject to further consultation in the School, the APR may then alternate between mandatory and voluntary every other year.**
4. When making recommendations to the ASRC for annual contribution pay, HoDs should take the APR into account for those professors who have opted into the process. However, **given that participation in the APR is voluntary this year, professors can be put forward for contribution pay irrespective of whether they participate in this year's APR.** However where HoDs have decided that all professors in their department are required to participate in the APR, **professors cannot be put forward for contribution pay if they have not participated in the APR.**
5. All professors are invited to complete the APR process even if they currently are, or have been during the review period, on partial buyout, sabbatical leave or research leave.

Staff who were promoted to professor on 1 August 2019 will not be included in this year's APR as their performance has already recently been reviewed through the promotions process. These professors will, however, be included in future APRs from next year (2020-21).

6. Primary responsibility for overseeing the operation of this procedure lies with Human Resources (HR). The Pro-Director for Faculty Development (PDFD) and the Vice-Chair of Appointments Committee (VCAC) are responsible for ensuring that the procedure is reviewed and updated.

## B. Guiding principles

1. Review is an essential element in the School's approach to the development of its faculty; the pursuit of excellence – both individually and collectively – is the primary purpose of this process.
2. The operation of School procedures related to performance review should be fair: all parties have a responsibility to actively promote fairness and appropriate transparency in the operation of the APR process. No individual or group should be unduly disadvantaged. Everyone involved in the assessment exercise should be aware of potential unconscious bias.
3. The School is a diverse institution. There are elements of the procedure which must apply to all academic departments, but it is appropriate to have some variation to suit local circumstances.
4. The Head of Department (HoD) has ultimate responsibility for a rounded evaluation of faculty performance. This procedure provides for the delegation of parts of the evaluation to a Departmental Evaluation Committee (DEC) (see C5), but the final assessment must be agreed by the HoD. The HoD must be able to explain the rationale behind an evaluation if required.
5. There must be accountability for recommendations and decision-making. At all levels in the procedure there is provision to ensure that each higher level provides the necessary oversight of those beneath.

## C. Timings and process

1. No later than **8 November 2019**, each HoD must inform the PDFD (via HR) whether they plan to empanel a Departmental Evaluation Committee (DEC) or not. If so, the membership and core rules of operation must be presented for approval by the PDFD (see C5).
2. Professors will be notified of the School's procedure **by 4 November 2019**. The period of review is the preceding academic year although research will need to be assessed on a rolling basis (over three years). The School expects that the cumulative effect of the APR process will, over time, fairly reflect and convey the overall performance of an individual.
3. The primary basis for review is: the FIF; the professor's updated curriculum vitae (CV) (to be submitted with the FIF); along with teaching scores and teaching loads for the year under review. The CV can be submitted **in any format**. The FIF and CV should be sent to HR no later than **6 December 2019**. HR will forward these to HoDs and their Departmental Managers (DM) as soon as possible thereafter.
4. Where an individual believes that their performance has been adversely affected by personal circumstances, they will have the opportunity to report these to HR. This provides a mechanism for the confidential consideration of these individual circumstances (see section G). This form should be sent alongside the FIF and CV to HR by **6 December 2019**.
5. As noted, HoDs may choose to evaluate performance of professors on their own or by empanelling a DEC (which could include the HoD and Deputy Heads). If empanelling a DEC, the following rules should apply (with names of DEC members being reported to the PDFD via HR):
  - a. there should be a minimum of three, and maximum of five, members. All members must be professors or Deputy Heads. All members should attend;
  - b. it may choose to have an external panel member who should be a professor from within the School;
  - c. members must be reminded that their DEC membership is one of significant responsibility and that duties must be undertaken with impartiality and discretion;

- d. evaluation of DEC members' performance is the responsibility of the HoD;
- e. the DEC will have no knowledge of individual circumstances.
- f. evaluations of research, teaching/education and service/citizenship made by the DEC are final. Other than on grounds of individual circumstances if the HoD is aware of them, the HoD cannot normally propose changes to evaluations made by the DEC. However, since the HoD has ultimate responsibility for a rounded evaluation of performance, the HoD may in very exceptional circumstances over-rule an evaluation made by the DEC.

[Note: HoD recommendations for annual contribution pay are separate and distinct from this evaluation process].

- g. brief records of meetings and key decisions taken should be kept.
- 6. Professors should be evaluated taking into consideration the job description of a Full Professor (see **Annex A**).
- 7. The relevant teaching scores, collated by TQARO, will be provided to HoDs by HR. HoDs or their DMs will have information about teaching loads. It is the HoD's responsibility to make sure that the DEC, if used, has access to any teaching evaluations and teaching load information as well as any other relevant information.
- 8. Where professors have opted into receiving feedback on their performance, each HoD will send to HR substantive qualitative feedback on the performance of the professor on each of the three areas of research, teaching/education and service/citizenship. In giving feedback on teaching, HoDs are encouraged to comment not only on teaching scores but also on innovative teaching and learning related initiatives that they are aware of. departments will provide HR with substantive qualitative feedback given to staff by no later than **3 February 2020**. **HoDs and members of the DEC that give feedback should declare a conflict of interest if any exist.**
- 9. The VCAC will meet with HR partners in February 2020 to discuss staff members who have submitted an Individual Circumstances Form.
- 10. Professors will receive their feedback, if applicable once individual circumstances have been taken into account.

## D. Professors located in more than one department

- 1. Professors based, in equal part, in two departments should decide which department will have lead responsibility to conduct the review and note this in the relevant section of the FIF. Professors based predominantly in one department cannot elect the other department to have lead responsibility. In all cases, the HoD of the Department with lead responsibility must consult with the HoD of the other Department to get their input and view on the performance of the Professor.

## E. Heads of Department and School Office Holders

- 1. The performance of HoDs, as relates to their role as Head of Department only, will be reviewed by the School Management Committee (SMC) independently of whether they submit a FIF. HoDs are invited to be assessed by either their DEC (without the HoD's participation) or by a former HoD on research, teaching/education as well as on service/citizenship, including (if they so wish) on their role as Head of Department. Views of the DEC or former HoD on the performance of the HoD in their role as Head of Department will be taken into account by SMC in its assessment.

2. The performance of School Office Holders, as relates to their School office role only, will be reviewed by the School Management Committee (SMC) independently of whether they submit a FIF. Their performance in research, teaching and education as well as in other aspects of service/citizenship, not relating to their School office, will be assessed by their department. SMC will review only School office roles for which departments receive notional teaching replacement resources, namely: Chair of the Graduate School Board of Examiners, Adviser to Women Students, Director of the PhD Academy, Chair of the Academic Misconduct Panel, Chair of Research Degrees Sub-Committee, VCAB and VCAC.

## F. Research Centre Directors

1. Service as a Director or Co-Director of a Research Centre should be included by faculty when completing their FIF and should be taken into account by the HoD or the DEC during assessment. For faculty who are Director or Co-Director of a Research Centre outside their own department, the HoD or, where applicable, the DEC should seek input from the Head of the Department or Institute where the Research Centre is located.

## G. Individual Circumstances

1. Professors should only submit an Individual Circumstances form if they feel that specific personal circumstances are significantly affecting their performance. The School expects that if this is the case, the professor will have raised these circumstances at the earliest opportunity with the HoD who will have addressed these issues, with the advice of HR, as soon as reasonably possible. The School expects that most circumstances will not need to be stated using the Individual Circumstances form since, through discussions locally, these will have been addressed. For advice, consult the department's HR Partner in the first instance.
2. The following are examples of individual circumstances that might apply where these have had a significant impact on a professor's performance:
  - Disability (including conditions such as cancer and chronic fatigue)
  - Ill health or injury
  - Mental health conditions
  - Constraints relating to pregnancy, maternity, breastfeeding, adoption, paternity or childcare **in addition to** periods of parental leave taken. This could include, for example, pregnancy related illness.
  - Other caring responsibilities (including caring for an elderly or disabled relative)
  - Gender reassignment

Please note that periods of interruptions in service due to maternity leave, adoption leave, substantial paternity leave, shared parental leave, secondment or special leave buyout should be declared on the FIF instead.

3. If an Individual Circumstances form was submitted in a previous year and the circumstances are still affecting performance, a new form should be submitted with the same or updated information so that evaluators are aware of this. The form should explain how the individual circumstances have had an impact on the three areas of performance (teaching/education, research, and service/citizenship) during the review period.

4. Information about individual circumstances will be treated with the utmost sensitivity. In particular, the information provided on the Individual Circumstances form will only be available to relevant HR Partners and the VCAC. To protect members of staff who are evaluated, the DEC will not know of the existence of individual circumstances. Unless the staff member has already informed the HoD about the nature of the individual circumstances, which is advised, the HoD will not be informed about the existence and severity of individual circumstances following the evaluation, as assessed by the HR Partner in consultation with the VCAC. Staff should keep in mind, however, that if the HoD is not aware of the specific nature of the individual circumstances, this may prevent appropriate support being given to the staff member.
5. In a case where it is concluded by the VCAC and HR Partner that the individual circumstances presented have significantly impacted upon performance, the VCAC can confirm the feedback or amend the feedback.

## H. Appeal

1. There is no formal right of appeal. This does not prejudice any rights academic staff might have with respect to the formal grievance procedure under the Academic Annex.

# Job Description: Full Professor

Roles at this level reflect internationally recognised academic leadership in research, pedagogical, and entrepreneurial activities, and outstanding contributions to their discipline through publications and other appropriate forms of scholarship.

There will be contributions to departmental and School-wide strategic management; considerable engagement in all aspects and at all levels of teaching, and in the mentoring and career development of junior members of staff. The relative balance of activities in research, teaching, management and administration may vary across departments, and is also likely to vary for any particular individual.

## Range of Academic Activities and Responsibilities at Professorial Level

### Research

- Conducting substantive and original research into complex problems, ideas, concepts or theories and applying appropriate methodologies.
- Developing and carrying forward a coherent research strategy in their discipline which achieves public recognition and a sustained national and international impact.
- Publishing work of outstanding quality and significance to the discipline.
- Planning and directing research activities and programmes of outstanding quality and international significance.
- Leading major peer reviewed funding bids for research programmes in the specialist area.
- Establishing/Directing/Co-Directing Research Centres and leading the activities of teams within Research Centres.
- Contributing to the development of departmental and School research strategy.
- Leading and participating in national and international committees - e.g. REF panels, Research Funding bodies, European Commission committees etc.
- Leading scholarly initiatives in the discipline.
- Membership of boards of international journals and other bodies related to the discipline.
- Providing expert opinion and commentary to external audiences and bodies.
- Providing advice to government bodies.

### Teaching

- Teaching and examining undergraduate and masters level students in core subjects and in own specialism to a high standard.
- Acting as personal tutor and providing pastoral care.
- Supervising and examining PhD students.
- Contributing to and monitoring the enhancement of quality in teaching within the department and ensuring that teaching delivery across the department is consistent with best practice.
- Developing innovative and attractive courses, shaping and influencing curriculum development and actively contributing to the review of courses in accordance with departmental strategy.
- Acting as a role model for teaching methods through excellent practice.

### Activities relating to departmental /School management and administration

- Fostering collegiality and fulfilling responsibilities as set out by the Head of Department and other senior colleagues.
- Leading strategic management development in the department and the School.
- Assuming senior academic office holding positions.
- Contributing to professorial decision taking on candidates for promotion, review and additional incrementation.
- Assuming the role of Head of Department or deputy for a specified period.

- Participating in professorial committees e.g. the Promotions Committee, the Appointments Committee and the Department Heads Forum.
- Contributing to the development and performance of colleagues through coaching, mentoring and peer support.
- Giving leadership to academic recruitment campaigns and department hiring search committees.
- Engaging with external institutions, organisations and the wider community to support research, teaching and other School strategic objectives.

#### **When acting as Head of Department**

- Taking responsibility for the appointment procedures, promotion proposals and development and management of all staff within the department.
- Taking responsibility for major processes in the department e.g. forward planning, financial management, teaching and teaching quality, research quality and admissions.
- Preparing key departmental review documents for internal and external consumption e.g. for various School financial reviews, the departmental development plan and the annual report to the Director.
- Taking decisions on course provision in line with strategy.

#### **Activities relating to the discipline, academic and professional body**

- Participation and occasional leadership roles in national and international professional bodies and other initiatives concerned with promoting the interests of the social sciences or a particular discipline.

## Review schedule

Review interval	Next review due by	Next review start
1 year	01/11/2020	01/09/2020

## Version history

Version	Date	Approved by	Notes
n/a			

## Links

Reference	Link
n/a	

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## Communications and Training

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