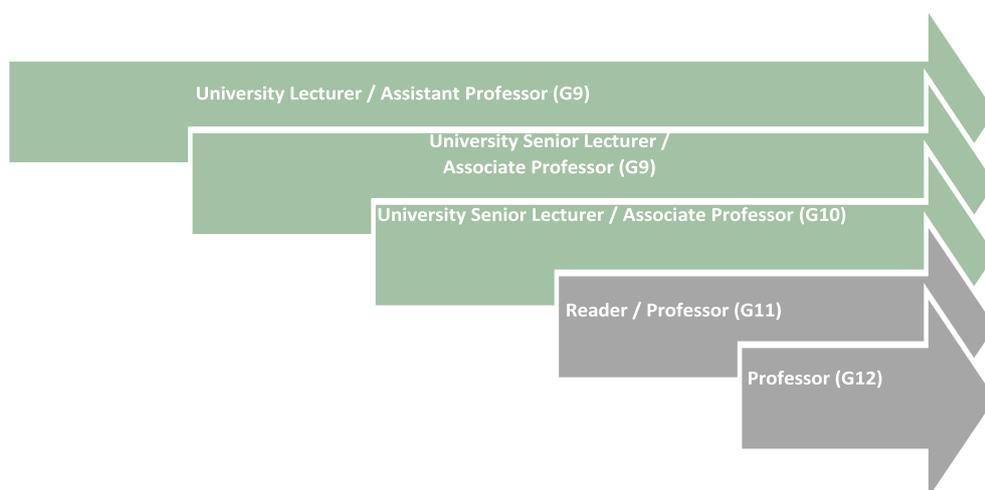


## Academic Career Pathways (Research and Teaching) School of the Biological Sciences Criteria and Indicators of Excellence for promotion and probation

There are five levels for academic progression within the *Research and Teaching* Career Pathway as set out below.



It is important to emphasize that there is no expectation of step by step progression through each level of the Pathway. For example, a University Senior Lecturer / Assistant or Associate Professor (G9) can apply directly to the Readership / Professor (G11) level and a University Lecturer / Assistant or Associate Professor (G9) can apply directly to the University Senior Lecturer / Associate Professor (G10) level.

### Part 1: Promotion to Reader / Professor (Grade 11) and to Professor (Grade 12)

This paper sets out the promotion criteria and scoring methodology for promotion to Reader / Professor (Grade 11) and Professor (Grade 12).

#### 1. Promotion statement

The mission of the University of Cambridge is to contribute to society through the pursuit of education, learning and research at the highest international levels of excellence.

We are committed to providing a supportive environment to enable individuals to take ownership of their development and build a successful career at Cambridge. The University strives for the highest international levels of excellence and has achieved its success through the diversity of its staff and student community. We aim to be a leader in fostering equality and inclusion, and in promoting collegiality by nurturing a culture of mutual respect and a sense of belonging for all within our community.

The University's firm conviction is that achieving the highest international levels of excellence requires not only world-class research but also undergraduate and postgraduate education which benefits from and engages with Cambridge's research-rich environment, and a deep commitment to the development of research students and early career research staff. This conviction is reflected in our academic promotion scheme, which requires applicants to show that they have made an effective contribution to teaching and / or researcher development as well as outstanding research.

Excellence is expected of all staff and the purpose of the promotion scheme is to recognise outstanding contributions and celebrate academic achievements. Assessment is based on contributions in: research

and research leadership; teaching and / or researcher development; and service to the University and to the academic community.

All applicants for promotion must show service to the University and to the wider academic community and are expected to share and role model the University's values in promoting collegiality and mutual respect. Research integrity is also considered paramount in maintaining the University's international standing and reputation; staff are therefore expected to demonstrate how they maintain and uphold these principles at all times.

The University recognises that the lines between research leadership (or education or clinical leadership) and service are not always clear-cut and that there may be differences between disciplines. Assessments should be made within the context of relevant disciplinary norms, taking care to avoid double-counting and ensuring that decisions are objective and clearly documented.

A continued rising research trajectory would be expected for progression and promotion at all levels.

## **2. Promotion criteria: Academic Career Pathway (ACP) scheme**

Each application will be considered and assessed on its own merit against the relevant criteria for the level, taking into equal account evidence of both inputs and outputs. Assessment against the progression/promotion criteria requires the exercise of good judgement and balance by the relevant committees, but the decisions can be robustly informed by objective evidence. Committees should be mindful of the existence of unconscious biases – both in themselves and others - and consider how these biases might impact how assessments are made and how they affect objective decision-making. A way to mitigate this is for committee members to constructively challenge any potential implicit or explicit biases they observe in the assessment process whether in themselves or others to ensure fairness and promote inclusion.

Whilst it is important to ensure a fair and consistent approach is taken to evaluating excellence, we recognise that certain metrics, such as student feedback and bibliometrics, have their limitations. As the University has signed the San Francisco Declaration on Research Assessment (DORA) each School will be developing guidance on the appropriate use of metrics, which will be provided to progression/promotion committees in due course. Progression/promotion committees should therefore be mindful of the shortfalls associated with applying metrics (such as low participation levels and/ or gender bias) and apply judgement when making their assessment. In particular, committees should ensure that their judgments are not based on journal-level metrics such as impact factors or the particular journal in which an output is published, but on assessment of the intellectual content of research outputs.

This section sets out the promotion criteria for the ACP scheme, which applies to all academic staff.

**Note that these examples are suggestive in nature and non-exhaustive; not all the indicators will be relevant to all applicants.**

To ensure transparency, all Departments/Faculties are expected to adopt and publish guidance setting out the expectations required for promotion and including examples of indicators of excellence for their discipline. Departments/Faculties may find it helpful to use the minutes of previous ACP committee meetings as a source of examples of indicators of excellence used to determine excellence for promotion within the relevant discipline.

The University recognises that there is diversity in disciplinary norms. It is therefore important that each Department / Faculty is responsible for determining the appropriate indicators within their respective area. To ensure parity of standards and expectations, the ACP guidance must be approved by School Councils prior to adoption. The ACP guidance must be regularly reviewed and updated, as necessary, to ensure that it is still relevant and remains fit for purpose

The assessment of individual applications by ACP committees will also take the published ACP guidance into account. As a signatory of the San Francisco Declaration on Research Assessment the University is committed to eliminating the use of all journal-based metrics and publication venue as a proxy for research quality when considering the research output of individuals for promotion. Recognising there is not a one-size-fits-all approach to responsible research assessment, the University relies on expert evaluators to consider an individuals research with fairness and integrity, and to transparently describe criteria used in the assessment process, including an explicit statement about any metrics employed, how they are calculated and how they will be used.

Research quality in its broadest sense can be judged by a range of different outputs beyond standard research publications. These include, but are not limited to, datasets, software, curation of collections and qualitative indicators of research impact such as influence on policy or disciplinary practices. In line with the University commitment to Open Research, evaluations will also consider a track record of engaging in open research practices such as making manuscripts, source data and protocols openly available, contributing to reproducibility initiatives, etc.

## 2.1 Criteria for the assessment of research: Professor

Promotion to Professor requires **outstanding achievement in research and research leadership assessed by reference to international levels of excellence**. This includes both individual and collaborative contributions to research, as well as contributions to leading an excellent institutional research culture.

There are two criteria and outstanding achievement is normally required in both:

<b>CRITERION 1 Consistently conducts rigorous research addressing significant questions, contributing new ideas and advancing the boundaries of the field whilst ensuring the highest standards of research integrity are promoted and maintained</b>	
<b>Examples of indicators of excellence and impact</b>	
<ul style="list-style-type: none"> <li>• A substantial portfolio of high quality research outputs that are internationally recognised as world-class in terms of their originality, significance and rigour. The University acknowledges that the intellectual content of a paper is much more important than publication metrics or the identity of the journal in which it was published</li> <li>• Makes a significant contribution to the advancement of knowledge in their research discipline</li> <li>• Produces and disseminates research outputs that have an impact, for example in the REF, or informs national or international policy development</li> <li>• Supports and widely encourages Diversity and Inclusion in all their activities</li> </ul>	<ul style="list-style-type: none"> <li>• Frequently invited to present work at major national and international conferences and institutions</li> <li>• A significant track record of winning competitive research funding</li> <li>• In receipt of prizes and honours for research</li> <li>• A track record of engaging in open research practices such as making manuscripts, source data and protocols only available.</li> <li>• Contributing to reproducibility initiatives</li> <li>• Curatorial activity including innovative use of collections in research.</li> <li>• Commitment and innovation in maintaining and improving collections</li> </ul>
<b>CRITERION 2 Consistently provides high-quality research leadership, strategically planning for the future and supporting an inclusive and productive research culture</b>	
<b>Examples of indicators of excellence and impact</b>	
<ul style="list-style-type: none"> <li>• Leads and contributes to collaborative research projects</li> <li>• Elected/appointed to research-related leadership roles</li> <li>• Creates and manages significant research groups in a manner that is inclusive, supportive and principled.</li> <li>• Convenes and leads major research conferences and seminar programmes</li> <li>• Provides intellectual thought leadership which informs and contributes to setting the international research agenda in an individual's area</li> <li>• Provides strategic leadership for research themes and/or networks or initiatives within or beyond the School</li> </ul>	<ul style="list-style-type: none"> <li>• Participation in high-quality public, industrial and/or policy engagement activities linked to research</li> <li>• Edits major academic journals</li> <li>• Promotes collaboration and develops cross-disciplinary research activities</li> <li>• A track record of creating and managing a successful research group(s) that promotes and develops the careers of early stage researchers.</li> <li>• Promoting the careers and interests of junior researchers (eg running DTPs)</li> </ul>

## 2.2 Criteria for the assessment of research: Reader

Promotion to Reader requires **outstanding achievement in research and research leadership assessed by reference to national levels of excellence and international recognition**. This includes both individual and collaborative contributions to research, as well as contributions to institutional research culture.

There are two criteria and outstanding achievement is normally required in both.

<b>CRITERION 1: Consistently conducts rigorous research addressing significant questions, contributing new ideas and advancing the boundaries of the field whilst ensuring the highest standards of research integrity are promoted and maintained</b>	
<b>Examples of indicators of excellence and impact</b>	
<ul style="list-style-type: none"> <li>• A substantial portfolio of high quality research outputs that are internationally recognised in terms of their originality, significance and rigour. The University acknowledges that the intellectual content of a paper is much more important than publication metrics or the identity of the journal in which it was published</li> <li>• Contributes to the advancement of knowledge in their research discipline</li> <li>• Produces research outputs that have an impact in the field and in the context of the REF.</li> <li>• A track record of winning competitive research from sponsors</li> <li>• Research that demonstrates prominence within the field</li> <li>• Supports and encourages Diversity and Inclusion in all their activities</li> </ul>	<ul style="list-style-type: none"> <li>• Invited to present work at major national and international conferences and institutions</li> <li>• A track record of engaging in open research practices such as making manuscripts, source data and protocols openly available.</li> <li>• Contributing to reproducibility initiatives</li> <li>• Curatorial activity including innovative use of the collections in research. Commitment and innovation in maintaining and improving collections.</li> <li>• Significant involvement with or leading DTPs</li> </ul>
<b>CRITERION 2: Contributes to high-quality research leadership and supports an inclusive and productive research culture</b>	
<b>Examples of indicators of excellence and impact</b>	
<ul style="list-style-type: none"> <li>• Makes a significant contribution to collaborative research projects</li> <li>• Contributes to organisation of major research conferences and seminar programmes</li> <li>• Creates and manages a research group that is inclusive, supportive, diverse and principled</li> <li>• Contributes to strategic leadership for research themes and/or networks or initiatives within and beyond the School.</li> </ul>	<ul style="list-style-type: none"> <li>• Participation in high-quality public, industrial and/or policy engagement activities linked to research</li> <li>• Edits major academic journals</li> <li>• Promotes collaboration and develops cross-disciplinary research activities</li> </ul>

## 2.3 Criteria for the assessment of teaching and researcher development: all applicants

All applicants are required to show that they have made an effective contribution towards the University's goal of providing high-quality research-led teaching to undergraduate and postgraduate students and/or fostering the professional development of research students and early career research staff. It is recognised that applicants may contribute in different ways at different points in their career and that effective contributions may differ between disciplines. Contributions will be assessed in the context of the relevant Department/Faculty's expectations, including the local workload model where applicable. In its guidance, each Department/Faculty should indicate the balance of expectation as between teaching (undergraduate/postgraduate) and researcher (PhD/Postdoc) development.

An effective contribution must be shown by reference to all or some of the following criteria, but should always include an element of undergraduate teaching

<b>CRITERION 1: Consistently delivers excellent teaching that benefits from and engages with Cambridge's research-rich environment and is intellectually challenging</b>	
<b>Examples of indicators of excellence and impact</b>	
<ul style="list-style-type: none"> <li>• Designs and develops new programmes</li> <li>• Leads/makes a significant contribution to internal teaching reviews</li> <li>• Demonstrates breadth of knowledge and teaches effectively beyond immediate research area</li> <li>• Receives nominations and prizes for teaching</li> <li>• Acts as a course Senior Examiner</li> <li>• Provides educational leadership and organisation</li> </ul>	<ul style="list-style-type: none"> <li>• Successfully introduces innovative teaching/assessment methods or significant contribution to their enhancement.</li> <li>• Publishes major textbooks/e-learning materials adopted in courses internal or external to the University</li> <li>• Delivers high-quality continuing professional development teaching to scientific or clinical societies and groups</li> <li>• Attracts national or global press coverage of the candidate's educational ideas or activities</li> </ul>

<ul style="list-style-type: none"> <li>including curriculum development and learning design</li> <li>• Contributes to teaching students in College</li> <li>• Demonstrates effective leadership and pedagogical development in positions such as Course Organiser or the postgraduate admissions process</li> </ul>	<ul style="list-style-type: none"> <li>• Holds an educational leadership position within a professional body</li> <li>• Receives excellent student feedback from didactic and/or clinical teaching activities</li> <li>• Demonstrates sophisticated, reflexive approach to teaching and supporting learning which enables students to develop subject knowledge and capabilities.</li> <li>• Curatorial Activity: use of the collections in teaching</li> </ul>
<p><b>CRITERION 2: Consistently delivers high-quality research supervision that is intellectually challenging and supportive</b></p>	
<p><b>Examples of indicators of excellence and impact</b></p>	
<ul style="list-style-type: none"> <li>• Consistently high research student completion rates</li> <li>• Consistently receives positive feedback from research students</li> <li>• Shows practical leadership of widening participation of under-represented groups in post graduate research</li> </ul>	<ul style="list-style-type: none"> <li>• Provides inclusive leadership and delivers excellence through the performance of others</li> <li>• Creates a positive working environment and acts as a role model in promoting the University's values relating to mutual respect</li> <li>• Contributes significantly towards recruiting and winning support for research students</li> <li>• Recognises and nurtures talent and demonstrates consistent engagement with researcher training and development processes</li> </ul>
<p><b>CRITERION 3: Consistently ensures that early-career researchers (generally taken to mean people within 10 working years of their PhD) receive excellent opportunities to develop their potential and prepare them for future success</b></p>	
<p><b>Examples of indicators of excellence and impact</b></p>	
<ul style="list-style-type: none"> <li>• Consistently receives positive feedback from postdoctoral researchers</li> <li>• Enables and encourages early-career researchers to develop independent research lines and/or pursue independent publications or funding applications</li> <li>• Mentors or coaches early-career researchers in other groups or departments</li> <li>• Shows practical leadership in promoting a positive research culture broadly across the Department and School</li> </ul>	<ul style="list-style-type: none"> <li>• Provides inclusive leadership and delivers excellence through the performance of others</li> <li>• Creates a positive working environment and acts as a role model in promoting the University's values relating to mutual respect</li> <li>• Recognises and nurtures talent and demonstrates consistent engagement with researcher training and development processes</li> <li>• Helps early-career researchers to be creative about their futures and takes active steps to support career pathways both in and beyond academia</li> </ul>

## 2.4 Criteria for the assessment of service to the University and to the academic community (all applicants)

All applicants are required to show an **effective service contribution**. University members are expected to demonstrate and promote collegiality by nurturing a culture of mutual respect. The University recognises that individuals may contribute in different ways at different times and that as individuals become more senior they may be asked to take on more commitments that are external to the University. Nevertheless the University normally expects applicants to demonstrate a significant degree of service contribution that is internal to the University.

<p><b>CRITERION: Consistently makes an effective contribution of service to the University and to the academic community beyond the University. Promotes collegiality and engenders a culture of mutual respect</b></p>	
<p><b>Examples of indicators of excellence and impact</b></p>	
<ul style="list-style-type: none"> <li>• Departmental/Faculty/University academic leadership roles</li> <li>• Sits on Departmental/Faculty University committees and bodies</li> <li>• Provides active mentoring and support for colleagues</li> <li>• Promotes and demonstrates effective use of the Staff Review and Development Scheme</li> <li>• Significant and sustained contributions to equality, diversity and inclusion activities</li> <li>• Creates a positive working environment and acts as a role model in promoting the University's values relating to mutual respect</li> <li>• Promotes cross-disciplinary collaboration and knowledge sharing</li> <li>• International clinical excellence as evidenced by specialty clinical credentials, demonstrated service and leadership within a clinical specialty, and mentorship of clinical trainees</li> </ul>	<ul style="list-style-type: none"> <li>• Contributes to leadership, administration and student support within Colleges</li> <li>• Significant and sustained contribution to widening participation activity</li> <li>• Engages significantly in peer review activity</li> <li>• Advises government and parliamentary bodies</li> <li>• Sits on public review bodies</li> <li>• Significant and sustained contributions to fostering strategic partnerships (e.g. industry, trusts and foundations, philanthropic donors)</li> <li>• Supports the work of other HEIs (e.g. significant external examining; participation in research/teaching and learning reviews)</li> <li>• Significant Public Engagement activities</li> <li>• Curatorial activity, devising exhibitions and installations, digitization or citizen science projects that make collections more widely accessible, strategic use of the collections in national and international partnerships.</li> </ul>

## The Promotion procedure

### 1. Eligibility

An applicant would normally be expected to have been in post at the current level for at least 12 months before s/he applies for promotion. Exceptionally, this period may be waived where the officer is considered ready for promotion to the relevant office by the Head of Institute. Any exceptions will require approval from the Faculty Committee, and supported by the School Committee.

### 2. Submission of applications

Applicants are responsible for preparing and submitting their application to the Secretary of the Faculty Committee for the institution to which their office or post is assigned by the deadline specified in the timetable for the Academic Career Pathways exercise

### 3. Roles and Responsibilities

#### Applicant

Potential applicants are expected to seek advice from the Head of Department /Faculty before deciding whether to apply.

Applicants should complete the relevant document providing evidence that they meet the promotion excellence criteria relating to the Office for which they are applying, and should be encouraged to provide examples and evidence in their application of any contribution they feel would support their case for promotion against the excellence criteria.

This document should be submitted to the Secretary of the relevant Faculty Committee by the stated deadline for the Academic Career Pathways exercise.

#### Head of Department / Faculty

Heads of Departments / Faculty, with the assistance of appropriate senior colleagues if necessary, should ensure that they review the contributions of all their eligible staff, so that all cases that meet the promotion criteria are brought forward for consideration. The decision on whether to apply for promotion will ultimately sit with the individual, however Heads of Department / Faculty should encourage applications from individuals that meet the criteria and discuss any perceived barriers that may be preventing an individual from applying. This will ensure any contextual factors that may have been overlooked are considered and promote equal opportunities for all staff members including those in underrepresented groups.

The Staff Review and Development Scheme, whilst remaining a separate and independent mechanism for reviewing personal contribution and facilitating development, could be used to discuss career aspirations, assess an individual's readiness for progression, and inform this process.

The University recognises the benefits of mentoring in supporting an individual's personal and professional development. Mentoring is an essential part of development and should be considered beyond probation, at each key stage in an individual's career. Individuals are encouraged to engage in mentoring throughout their career at Cambridge. Heads of Department / Faculty should ensure that appropriate mentoring opportunities are available and help facilitate this process to support career development and progression. Further information on Mentoring can be found at: <https://www.ppd.admin.cam.ac.uk/professional-development/mentoring-university-cambridge>

The Head of Department / Faculty should complete the relevant document explaining whether they support the application and the reasons for their decision, returning the completed form to the Faculty Committee Secretary in time for the meeting.

#### Faculty Committee

After the deadline for applications, the Secretary of the Faculty Committee will circulate a summary list of applicants and the full application documentation to all committee members.

The Chair, supported by the Secretary, and seeking the advice from the members of Committee by circulation as appropriate, will decide in each case who should provide the Head of Department statement and the internal and external referees

The Faculty Committee at its meeting will consider all the documentation for each application and agree collectively the evaluation and scores against each of the assessment criteria documenting in each case whether the application for promotion is supported and the reasons for its decision.

The Committee should then rank the applicants in a list according to the strength of their applications.

#### **School Committee**

The School Committee will check that applicants have been consistently assessed across the Faculty Committees, clearly indicating in its minutes for each application any changes from the Faculty Committee evaluations and the reasons, as well as whether the application for promotion is supported.

#### **4. Outcomes**

Applicants are advised of the outcome of their application by their Head of Department/ Faculty once the ACP exercise is concluded. Template documentation and guidance will be provided.

#### **5. Timetable**

Applicants will be notified in writing of the outcome of their application by their Head of Department / Faculty after the General Board meeting that considers ACP recommendations.

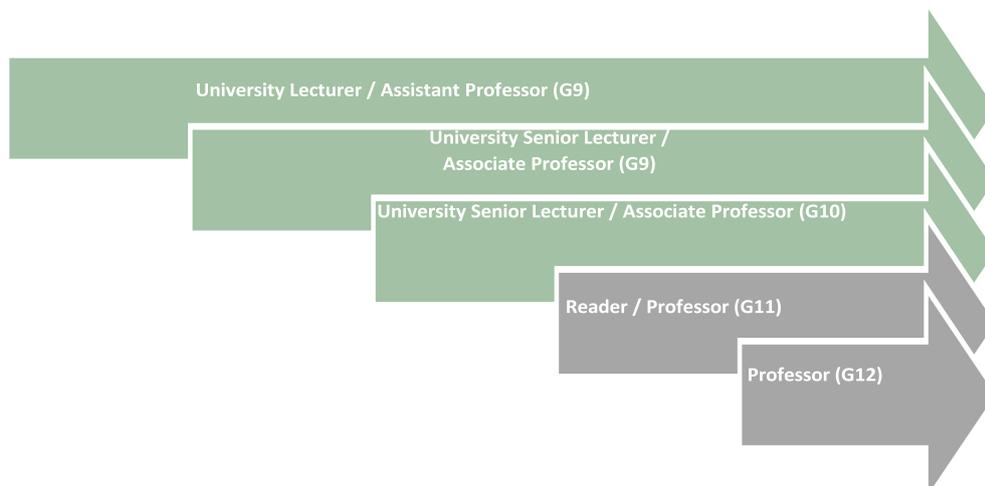
Unsuccessful applicants who wish to receive feedback should request this from their Head of Department by the deadline set out in the timetable. Heads of Department / Faculty are responsible for communicating feedback in person to unsuccessful applicants, if requested.

#### **6. Exclusions**

The University aims to be a leader in driving a culture of mutual respect and in promoting a positive working environment for all in its community. High standards of conduct are therefore expected from all staff; particularly those in leadership positions who are expected to role model these values. Formal sanctions may be taken into account when assessing the applicant's suitability for promotion; those with a live disciplinary warning on file may be excluded from applying for promotion.

## Part 2: Academic Probation and Career Progression up to University Senior Lecturer / Associate Professor (Grade 10)

There are five levels for academic progression within the *Research and Teaching Career Pathway* as set out below.



It is important to emphasize that there is no expectation of step by step progression through each level of the Pathway. For example, a University Senior Lecturer / Assistant or Associate Professor (G9) can apply directly to the Readership / Professor (G11) level and a University Lecturer / Assistant or Associate Professor (G9) can apply directly to the University Senior Lecturer / Associate Professor (G10) level.

This paper sets out the proposals for the Probationary Arrangements for Academic Offices and Career Progression up to University Senior Lecturer / Associate Professor (Grade 10).

Through these proposals, the University seeks to address a number of concerns which were highlighted following a review of the University's current Senior Academic Promotions (SAP) arrangements in 2016. Principally, many considered the promotions system to be opaque and unduly complex. This was largely due to a perceived lack of transparency in the evaluative criteria for promotion; it was unclear what the requirements were for progression and how performance should be evaluated. More specifically in relation to senior lectureships, it was apparent that there was no common understanding of the role of the University Senior Lecturer (USL), which led to distinct differences in how progression at that level was interpreted, particularly between those in the sciences and the arts. The University also had to be responsive to the introduction of the Teaching Excellence Framework (TEF) which placed greater emphasis on teaching. This meant a review of the weighting of the criteria was required to ensure appropriate recognition was given to teaching.

### 1. Probation statement

The mission of the University of Cambridge is to contribute to society through the pursuit of education, learning and research at the highest international levels of excellence.

We are committed to providing a supportive environment to enable individuals to take ownership of their development and build a successful career at Cambridge. The University strives for the highest international levels of excellence and has achieved its success through the diversity of its staff and student community. We aim to be a leader in fostering equality and inclusion, and in promoting collegiality by nurturing a culture of mutual respect and a sense of belonging for all within our community.

Confirmation of appointment at the end of academic probation is regarded as an important career milestone. The University considers this step a fundamental test of capability to perform the duties of the office and an indicator of potential for future success. We are committed to providing personal and professional development opportunities and advice to support and enable staff to achieve the expected standards of excellence, and build a successful career at Cambridge. Heads of Department / Faculty are responsible for ensuring that appropriate mentoring arrangements are established for probationary academics and should hold regular discussions concerning career aspirations and progress in meeting criteria for success

## 2. Probation criteria – University Lecturer / Assistant Professor (Grade 9)

Cambridge academics are required to meet the highest international standards of excellence for confirmation of appointment at the end of probation. There must be strong evidence of consistent and sustained, satisfactory performance of duties, and a clear indication of an upward trajectory during the probationary period. All staff are expected to share the University's values in promoting collegiality, mutual respect and demonstrate contribution to the community. Research integrity is also considered paramount in maintaining the University's international standing and reputation; staff are therefore expected to maintain and uphold these principles at all times.

The new assessment criteria are aligned with those set out for promotion to Reader and Professor in the Academic Career Pathway (ACP) scheme as follows:

*Performance is assessed by reference to research; teaching and / or researcher development; service to the University and to the academic community. There must be no doubt that the probationer has been performing to all the relevant criteria and meets the expected standards of excellence in their performance and contribution within the Cambridge context. Where relevant College teaching should also be taken into account.*

To ensure transparency, all Departments/Faculties are expected to adopt and publish a protocol setting out what is expected of probationers under each of the performance criteria. The University recognises that there may be differences in the way probation criteria are set across the various Departments / Faculties. It is therefore important that each Department / Faculty is responsible for determining the appropriate practice within their respective area, taking into account the context and the relevant disciplinary norms.

To ensure parity of standards and expectations, these protocols must be approved by School Councils prior to adoption. Probation protocols must be regularly reviewed and updated, as necessary, to ensure they are still relevant and remain fit for purpose.

## 3. Academic Progression (from University Lecturer / Assistant Professor G9 up to University Senior Lecturer / Associate Professor G10)



University Lecturers / Assistant Professors are appointed at Grade 9.

The probationary period is five years unless the Head of Institution makes a case to the relevant School Committee for the requirement to be reduced (to a period of not less than three years) or to be waived, for example where the officer has held a senior academic position at another university and has already acquired relevant skills and experience.

Exceptionally, the probationary period may be extended where a new officer has not had sufficient time to demonstrate her/his suitability due to factors beyond her/his control, for example because of long leave of absence taken on account of illness or family commitments (including maternity leave). Heads of Institutions must consult their HR Business Manager at an early stage to discuss any proposed extensions.

A University Lecturer / Assistant Professor who has met the probationary requirements shall have their tenure confirmed and the title of University Senior Lecturer / Associate Professor (Grade 9) will be awarded in recognition of this achievement. There will be no change in grade or salary associated with this new title. Annual incremental progression through the service points of the Grade 9 salary scale will continue.

The title of University Senior Lecturer / Associate Professor (Grade 9) will be awarded to all existing University Lecturers who have passed probation when the ACP Scheme, including this process, is implemented.

It was suggested to introduce the title of University Principal Lecturer to be awarded to existing University Senior Lecturers in recognition of their previous achievement and status. The intention was also to use this title going forward to provide recognition to University Senior Lecturers / Assistant Professors who progress from Grade 9 to Grade 10.

The Principal level is well established within the Research career track at Cambridge. It was therefore considered an appropriate step to align Academic titles with current Research titles within the University as part of the broader ACP reform. However, consultation indicates concern in some Departments / Faculties regarding the new University Principal Lecturer title, and there is not a consensus for this to be introduced at this time. The proposal to establish the title of University Principal Lecturer is therefore not to be taken forward at this time.

A University Lecturer / Assistant Professor would normally be expected to have been in post at their current level for at least 12 months before applying to move up to a different level. Exceptionally, this settlement period may be waived where the officer is considered ready for promotion to senior offices by the Head of Institution. Any exceptions will require approval from the Faculty Committee, and be supported by the School Committee.

#### **4. End of Probation / Confirmation of Appointment process (progression from University Lecturer /Assistant Professor (Grade 9) to University Senior Lecturer / Associate Professor (Grade 9)**

The relevant School Committee (specified in the local protocol) will receive, evaluate and decide on probationary cases presented by the relevant Head of Department/Faculty. All cases should be accompanied by a CV, the Head of Department/Faculty case (using the template CV, the Head of Department's supporting statement set out elsewhere under the ACP Scheme) and both internal and external references as specified in the local protocol. The Head of Department/Faculty is expected to provide supporting evidence in their statement of how the probationer has successfully met the standards against the relevant performance excellence criteria.

The University Senior Lectureship is not only considered an important career step at the University, it also comes with the award of tenure which offers job security until retirement; a significant benefit to the individual on confirmation of appointment. Departments / Faculties should therefore ensure they have a robust protocol in place to manage the probation process, undertake a rigorous assessment to evaluate an individual's capability and potential long term contribution to the community, and ensure the University's high standards of excellence are maintained.

Confirmation of appointment leading to the award of the title of University Senior Lecturer / Associate Professor (Grade 9) is not assessed by reference to a scoring scheme.

Full details regarding the Probationary Arrangements for Academic Offices are set out at <https://www.biology.cam.ac.uk/departments/academic-appointments/AppsCttee/probation>, including the process to be followed where in exceptional circumstances the academic member of staff does not yet meet the standards at the end of their probationary period.

#### **5. University Senior Lecturer / Associate Professor (Grade 9) progression to University Senior Lecturer / Associate Professor (Grade 10)**

This section sets out the core elements of the Progression Scheme for University Senior Lecturers / Associate Professors (Grade 9) to progress to University Senior Lecturers / Associate Professors (Grade 10) within the ACP Scheme.

Progression to University Senior Lecturer / Associate Professor (Grade 10) is intended to recognise and reward academic staff who are fulfilling all the ACP criteria (research; teaching and / or researcher development; service to the University and to the academic community) but who have a special focus on teaching. The University aims to achieve the highest international levels of excellence and all applications will be assessed against this standard.

Progression to University Senior Lecturer / Associate Professor (Grade 10) is determined by reference to a scoring scheme that is modelled on the ACP scoring scheme for promotion to Reader/Professor but adapted to reflect the teaching focus of the USL / Associate Professor (Grade 10).

A University Senior Lecturer / Associate Professor (Grade 10) remains on the Academic Career Pathway and thus eligible to apply for further progression. It is recognised that the balance between research, teaching and / or researcher development and service can shift in different directions over the course of an individual's career and the Pathway has the flexibility to accommodate this. The weighting for teaching and / or researcher development at Reader / Professor (Grade 11) and Professor (Grade 12) levels reflects the University's expectation that all UTOs will make a significant contribution.

The maximum scores are as follows:

Teaching and / or Researcher Development	50/100
Service	30/100
Research	20/100

A case may be made to transfer 10 points from Service to Teaching and/or Researcher Development or Research.

Each application will be considered and assessed on its own merit against the relevant criteria for the level, taking into equal account evidence of both inputs and outputs. Assessment against the progression/promotion criteria requires the exercise of good judgement and balance by the relevant committees, but the decisions can be robustly informed by objective evidence. Committees should be mindful of the existence of unconscious biases – both in themselves and others - and consider how these biases might impact how assessments are made and how they affect objective decision-making. A way to mitigate this is for committee members to constructively challenge any potential implicit or explicit biases they observe in the assessment process whether in themselves or others to ensure fairness and promote inclusion.

Whilst it is important to ensure a fair and consistent approach is taken to evaluating excellence, we recognise that certain metrics, such as student feedback and bibliometrics, have their limitations. Progression/promotion committees should therefore be mindful of the shortfalls associated with applying these metrics (such as low participation levels and/ or gender bias) and apply judgement when making their assessment.

**Examples** of evidence to support the criteria are provided here. Note that these examples are **suggestive in nature and non-exhaustive**; not all the indicators will be relevant to all applicants.

Each Department /Faculty, with approval from the School, should tailor the indicators of excellence to ensure they are relevant within the local context. This includes stating the institutional expectations with regard to the balance between teaching and / or researcher development required for progression.

### Criteria for the assessment of teaching and researcher development

An applicant seeking progression to University Senior Lecturer / Associate Professor (Grade 10) is required to show consistent and sustained excellence in providing high-quality undergraduate and postgraduate education that benefits from and engages with Cambridge's research- rich environment and/or which may include nurturing the professional and personal development of research students and early-career research staff. It is recognised that effective contributions may differ between disciplines and that an applicant's contribution is therefore to be assessed in the context of their Department/Faculty's expectations, including the local workload model where applicable. Sustained

excellence must be shown by reference to all or some of the following criteria (in Biological Sciences 2/3 of teaching must come from Undergraduate or MPhil teaching).

<b>CRITERION 1: Consistently delivers excellent teaching that benefits from and engages with Cambridge's research-rich environment and is intellectually challenging</b>	
<b>Examples of indicators of excellence and impact</b>	
<ul style="list-style-type: none"> <li>• Contributes to the design and developments of new and existing programmes</li> <li>• Contributes to internal teaching reviews</li> <li>• Undertakes examination / acts as a course examiner</li> <li>• Provides educational leadership and organisation, including curriculum development and learning design</li> <li>• Demonstrates sophisticated, reflexive approach to teaching and supporting learning which enables students to develop subject knowledge and capabilities.</li> </ul>	<ul style="list-style-type: none"> <li>• Successfully introduces innovative teaching/assessment methods or significant contribution to their enhancement.</li> <li>• Publishes materials adopted in courses internal or external to the University</li> <li>• National or global press coverage of the candidate's educational ideas or activities</li> <li>• Receives excellent student feedback</li> <li>• Leads substantive Undergraduate teaching programmes</li> <li>• Delivers substantive Undergraduate teaching programmes</li> <li>• Contributes to College teaching to a high standard</li> </ul>
<b>CRITERION 2: Consistently delivers excellent research supervision that is engaging, intellectually challenging and supportive</b>	
<b>Examples of indicators of excellence and impact</b>	
<ul style="list-style-type: none"> <li>• Supervises research students effectively</li> <li>• Consistently receives positive feedback from research students</li> <li>• Consistently high research student completion rates</li> </ul>	<ul style="list-style-type: none"> <li>• Provides inclusive leadership and delivers excellence through the performance of others</li> <li>• Creates a positive working environment and acts as a role model in promoting the University's values relating to mutual respect</li> <li>• Contributes towards recruiting and winning support for research students</li> <li>• Recognises and nurtures talent and engages with researcher training and development processes</li> <li>• Supervision of trainee clinical specialists</li> <li>• Curatorial activity: Innovative use of the collections in teaching</li> </ul>
<b>CRITERION 3: Consistently ensures that early-career researchers (generally taken to mean people within 10 working years of their PhD) receive excellent opportunities to develop their potential and prepare them for future success.</b>	
<b>Examples of indicators of excellence and impact</b>	
<ul style="list-style-type: none"> <li>• Consistently receives positive feedback from postdoctoral researchers</li> </ul>	<ul style="list-style-type: none"> <li>• Provides inclusive leadership and delivers excellence through the performance of others</li> <li>• Creates a positive working environment and acts as a role model in promoting the University's values relating to mutual respect</li> <li>• Recognises and nurtures talent and engages with researcher training and development processes</li> </ul>

### Criteria for the assessment of service to the University and to the academic community

An applicant is required to show an effective service contribution. University members are expected to demonstrate and promote collegiality by nurturing a culture of mutual respect. The University recognises that people may contribute in different ways at different times and that as individuals become more senior they may be asked to take on more commitments that are external to the University. Nevertheless the University normally expects applicants to demonstrate some degree of service contribution that is internal to the University.

<b>CRITERION: Consistently makes an effective contribution of service to the University and to the academic community beyond the University. Promotes collegiality and engenders a culture of mutual respect.</b>	
<b>Examples of indicators of excellence and impact</b>	
<ul style="list-style-type: none"> <li>• Departmental/Faculty/University academic leadership roles</li> <li>• Sits on Departmental/Faculty University committees and bodies</li> <li>• Provides active mentoring and support for colleagues</li> <li>• Promotes and demonstrates effective use of the Staff Review and Development Scheme</li> <li>• Significant and sustained contributions to equality,</li> </ul>	<ul style="list-style-type: none"> <li>• Contributes to leadership, administration and student support within Colleges</li> <li>• Significant and sustained contribution to widening participation activity</li> <li>• Engages significantly in peer review activity</li> <li>• Advises government and parliamentary bodies</li> <li>• Sits on public review bodies</li> <li>• Significant and sustained contributions to fostering strategic partnerships (e.g. industry, trusts and</li> </ul>

<p>diversity and inclusion activities</p> <ul style="list-style-type: none"> <li>• Creates a positive working environment and acts as a role model in promoting the University's values relating to mutual respect</li> <li>• Promotes cross-disciplinary collaboration and knowledge sharing</li> <li>• Contributes to public engagement activities</li> </ul>	<p>foundations, philanthropic donors)</p> <ul style="list-style-type: none"> <li>• Supports the work of other HEIs (e.g. significant external examining; participation in research/teaching and learning reviews)</li> <li>• National Clinical excellence</li> <li>• Curatorial Activity, devising exhibitions or new installations; sustained and novel contribution to public engagement; digitization or citizen science projects that make collaborations more widely accessible, strategic use of the collections in national and international partnerships.</li> </ul>
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### Criteria for the assessment of research

An applicant is required to demonstrate **achievement in research** assessed by reference to national levels of excellence. This may include individual and/or collaborative contributions to research.

<p><b>CRITERION</b> <i>Consistently conducts rigorous research addressing significant questions, contributing new ideas and advancing the boundaries of the field, whilst ensuring the highest standards of research integrity are promoted and maintained.</i></p>	
<p><b>Examples of indicators of excellence and impact</b></p>	
<ul style="list-style-type: none"> <li>• A portfolio of high quality research outputs that are nationally recognised as excellent. The University acknowledges that the intellectual content of a paper is much more important than publication metrics or the identity of the journal in which it was published</li> <li>• Invitations to present work externally</li> </ul>	<ul style="list-style-type: none"> <li>• Invitations to join research consortia</li> <li>• Commitment and innovation in maintaining, organizing and improving collections.</li> </ul>

Process: please see “Contribution Reward Scheme for University Senior Lecturers”.

### 6. Appointment as University Senior Lecturers (Grade 10)

The option to make an appointment at University Senior Lecturer (G10) level will be retained. This must be decided at the permission to fill stage, in line with the relevant School office process and RMC processes.

The probation process for University Lecturers applies also to persons appointed as University Senior Lecturer (G10).

### 7. Additional contribution increments for University Senior Lecturers (G10)

The option for a University Senior Lecturer (G10) to apply for contribution increments above the service points is retained. The assessment of contribution should be clearly related to the institution's strategic plans and should recognise achievement in teaching and general service which is likely to contribute to the future academic success of the University.

Please see “Contribution Reward Scheme for University Senior Lecturers” for detail.

### 8. Exclusions

The University aims to be a leader in driving a culture of mutual respect and in promoting a positive working environment for all in its community. High standards of conduct are therefore expected from all staff; particularly those in leadership positions who are expected to role model these values. Formal sanctions may be taken into account when assessing the applicant's suitability for promotion; those with a live disciplinary warning on file may be excluded from applying for promotion.

### 9. Further career progression of teaching-focused staff

The University is committed to making further progress on staff recognition and award for teaching (Priorities Framework). The Contribution Reward Scheme for progression to University Senior Lecturer (G10) and for additional contribution increments above the Grade 10 service points that is set out in this set of papers provides some progression for teaching- focused staff but it is recognised that more needs to be done, including consideration of expanded opportunities for promotion to senior offices within the ACP framework. A separate group has been formed to take forward this work.

#### **10. Further career progression of research-focused and clinical staff**

The University is equally committed to making further progress on its review of the Research Career Pathway. A group has been formed to determine the promotion excellence criteria for research staff and take this work forward.

The University also intends to establish a Clinical Excellence strand, which will be subject to a separate consultation. Further details will be provided once the work in this area is underway.

*University draft May 2019, amended and approved by Council of SBS July 2021*