DUBLIN CITY UNIVERSITY

Promotion Schemes from (A) Associate Professor to Professor and (B) Professor to Full Professor

Outline, Procedures, Criteria and Guidelines

Section I: Outline of Scheme

Introduction
The University is committed to rewarding, retaining and attracting staff of outstanding quality who contribute significantly to its reputation, nationally and internationally. High performing academic staff are the cornerstone of the University and a range of strategies is available to appropriately recognise, reward and retain such staff. Promotion, through an effective and rigorous process, is one of these strategies and one of great importance.

Purpose
The University is a very diverse institution and its effective functioning and reputation depend on wide and varied contributions from staff. The overall purpose of this scheme is to enable the University to develop and retain the best talent within the organisation and to provide excellent academic staff with career advancement opportunities.

Since the introduction of the Employment Control Framework and the parallel cuts to state funding of universities, the University is now required to keep the proportion of academic staff at the different grades within limits set by the Higher Education Authority and to periodically report on those proportions. Therefore, promotion to Professor and Full Professor must include a competitive process for the limited places available.

This document sets out the procedures to be followed in the schemes for promotion from (A) Associate Professor to Professor and (B) from Professor to Full Professor.

Eligibility to apply for promotion

A. Academic staff members at Associate Professor grade may apply for promotion to Professor grade.

Applicants

- shall have completed three years at Associate Professor grade, on the closing date for applications.
• shall be employed on a
  ◦ permanent full-time contract, at Associate Professor grade, OR
  ◦ on a fixed-term full-time contract, at Associate Professor grade, that extends at least to the end of the calendar year in which the application is being made.

B. Academic staff members at Professor grade may apply for promotion to Full Professor grade.

Applicants
• shall have completed three years at Professor grade, on the closing date for applications.
• shall be employed on a
  ◦ permanent full-time contract, at Professor grade, OR
  ◦ on a fixed-term full-time contract, at Professor grade, that extends at least to the end of the calendar year in which the application is being made.

In the case of a staff member on a fixed-term full-time contract a promotion approval shall not be interpreted as any undertaking by the University that an extension of contract was intended or approved.

Principles
In order to ensure a breadth of promotional opportunities across the University, consistent with balancing budgets and ECF requirements, these promotion schemes to Professor and Full Professor grades will be a merit-based, competitive process, organised separately within each Faculty.

Applications for Promotion to these senior academic grades will be expected to demonstrate how the applicant has shown effective leadership in their career to date and must outline how they see their future role in this regard.

Within DCU, core academic activity is classified into 3 broad domains:

• Teaching and Learning
• Research and Scholarship, and
• Service and Contribution (to School, Faculty, University, Society and Profession)

To be deemed suitable for promotion within this scheme, an academic staff member shall be required to demonstrate that, in these three domains, they have sustained high achievement at his/her current level of appointment and has the valid expectation of future excellence. They will need to evidence how their leadership has impacted on their School, Faculty University or Society, on one or more of these domains.

The University recognises that members of staff do not have identical opportunities to engage in the full range of academic activities. Thus academic profiles at the same level of appointment may be constructed in different ways. However the University expects all staff to contribute to its three domains of core activity.
Applicants shall be required to **provide evidence of their capacity and potential to perform at the next level (Professor or Full Professor, respectively)** and the case for promotion shall be based on achievement and quality beyond that expected for the satisfactory performance of duties at his/her current level.

While applicants are required to provide some information concerning their whole career, it is essential that they focus on, and provide a clear account of, their progress and achievements in the recent past (e.g. in the previous 5 years, or since their last appointment or promotion). **Evidence of an upward trajectory in performance** that would warrant promotion to the next level, i.e. continuing progress commensurate with the promotion being sought should also be provided.

**Strategic focus**

It is important that the University’s mission and values, described in *DCU Strategic Plan (Talent, Discovery and Transformation)*, are fully expressed through its policies for internal promotion so that staff (a) understand the significance of the institutional mission and values, and (b) receive appropriate recognition for working continuously to ensure that our stated mission and values are realized.

In order to ensure that there is coherence between our stated mission and values and our internal promotion policies and schemes, the priorities set out in that plan articulate the type of focus and behaviours that it wishes to encourage in its senior academic staff and thus the type of focus and behaviours it wishes to reward through internal promotion.

**Section II: Procedures**

**Call for Applications**

Any Faculty wishing to open a call for promotion to either Professor or Full Professor roles must first of all have agreement from relevant units such as Finance and Human Resources that both the budget and ECF headcount for such a call is in place. As the needs of Faculties will differ, and Faculties will have different needs over time, the timing and number of promotional posts available will vary from Faculty to Faculty both in any one year and over time.

A call for applications under this scheme will be sent via e-mail by the Executive Dean of Faculty to all staff in the Faculty. It is staff members’ own responsibility to ensure that they are on their Faculty mail list and that any filters in use would not block such a call. That call will clearly set out the competitive nature of the process and include information on the application procedure to be followed.

**Preparing an application**

Applicants shall use the appropriate application form and follow any other requirements set out in a call for applications.
Applications shall be submitted to the DCU Human Resources (HR) Department on or before the stipulated deadline (date and time). Late applications shall not, under any circumstances, be accepted for consideration. Applications which breach the maximum page limits will not be considered.

Taking advice

Applicants are encouraged to take advice from senior colleagues and academic collaborators when applying for promotion. Heads of School – or in the case of applicants from the DCU Business School (DCUBS), the Dean – have a supportive role to play in advising staff on how they can best advance through promotion.

The HR Department shall be available to provide advice on procedural issues, including the requirements in relation to the preparation and completion of applications.

Nominating and contacting external assessors

Applicants will be asked to provide details in relation to their Head of School and contact details of one external referee (telephone numbers, email addresses and their professional website profile). The external referee should be an eminent academic or professional expert in the applicant’s field who should be able to comment in detail on their career and in particular on the discipline specific aspects of the application.

Referees shall not be provided with a copy of application by HR, but applicants are free to forward a copy. It is the applicants’ responsibility to confirm the willingness and availability of their referee to supply the reference by the stipulated deadline. Late references shall NOT be pursued by HR.

Head of School Reference

The applicant’s Head of School shall be asked by the Executive Dean to provide a reference. [In the case of applicants from DCUBS, the Dean shall be requested to provide the reference. The request shall be made of the current Head of School/Dean DCUBS if he/she has been in post for a minimum of six months. If the current Head of School/Dean DCUBS has been in post for a period of less than six months, applicants may opt to nominate the previous Head of School/Dean DCUBS]. If the applicant is currently occupying the post of Head of School, they should indicate this and nominate the Former Head of School or Executive Dean of Faculty as Referee.

Consideration of the applications

Applications for promotion to Professor or Full Professor shall be assessed as follows:

1. All applications which meet the formal requirements will be reviewed, based on the written application, references and submitted publications.

   The Review Panel shall be chaired and convened by the Executive Dean of the Faculty and shall, in addition, include another Executive Dean of a DCU Faculty, two external Professors, who will have experience of assessing
candidates for promotion from a wide range of disciplines (for example, Deans or former Deans in other universities). The Review Panel must include both male and female members.

The Review Panel shall assess each application and reach an agreed decision as to whether the applicant, in their collective view, meets the minimum standard to be considered for promotion.

If those applicants judged to meet the minimum criteria are equal to or fewer in number than the number of positions available those applicants should be called for interview.

If in the view of The Review Panel more applicants meet the minimum standard for promotion, than the number of positions available, the Panel should further consider the relative strengths of the applications and may short-list applicants for interview, based on their relative ranks. The Review Panel may choose to only interview the number of applicants equal to the number of available positions, if in their view, based on an assessment of the written applications, those are clearly the strongest applications. If a number of applications are very closely ranked together the Panel may call to interview additional applicants, but in no case will the number of those interviewed be more than three times the number of available positions.

2. Formal interview

The Interview Panel will normally consist of the same people who made up the Review Panel. In exceptional circumstances, or to avoid undue delay in scheduling interviews, one of the external members, maybe replaced with someone of equivalent cross-disciplinary experience.

If the number of applicants presenting for interview are equal to or fewer in number than the number of positions available, then the interview board should consider each applicant on their merits as to whether, following interview, they are deemed to meet the criteria for promotion The panel should agree the list of names to recommend to the University President for promotion

If the number of applicants presenting for interview are greater than the number of positions available, then the interview board should:

(a) consider each applicant on their merits as to whether, following interview, they are deemed to meet the criteria for promotion, and in addition

(b) the panel should rank the applicants and agree a list of names (in number no greater than the number of positions available) to recommend to the University President for promotion.
Notification of outcome

All applicants shall be advised in writing of the outcome of their application as soon as possible after the Governing Authority has approved the recommendations of the interview boards.

Equal opportunities

In line with the University's equal opportunities policy, the panels/committees shall be concerned to ensure that only relevant considerations are taken into account in reaching decisions. Care shall be taken to ensure that equal opportunity factors are taken into account when each area of activity is considered.

In this context, when an applicant's record is being reviewed, consideration shall be given to any special circumstances that may have resulted in a lack of opportunity for an applicant to perform to their full potential in any area of activity. For example, time away from work, because of family responsibilities or because of chronic illness, could have delayed career development.

Where an applicant has taken maternity leave/sick leave or other leave for family reasons, the Promotions Review Committee shall endeavour to consider these periods on a pro rata basis in order best to reflect the candidate's contributions over actual years worked. The overall approach shall take into consideration quality of work rather than just quantity.

Section III: Criteria

Applicants shall be assessed and scored across the three domains of core academic activity within the University:

- Domain 1  Teaching and Learning (scored out of 100)
- Domain 2  Research and Scholarship (scored out of 100)
- Domain 3  Service and Contribution: to University and Society (scored out of 50)

Information given in the highlights and leadership sections of the application form will be taken into account in the domain addressed by the different elements of those sections. While each domain within the application form includes a number of sub-headings to prompt the applicant, only one score is awarded for each of the three domains. Therefore within each domain it is likely that there will be sections where individual applicants have a lot of material to include and other
sections which may be briefer and this balance will be different for different applicants.

Scores consistent with the indicative levels of performance, as shown below, shall be assigned to each applicant:

<table>
<thead>
<tr>
<th>Indicative level of performance attainment in the core academic activity domains</th>
<th>Score Domains 1 &amp; 2</th>
<th>Score Domain 3</th>
</tr>
</thead>
<tbody>
<tr>
<td>Level 6</td>
<td>85 -100</td>
<td>43 -50</td>
</tr>
<tr>
<td>• indicates an exceptional level of performance, consistent with someone already operating at the grade for which they are seeking promotion.</td>
<td></td>
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<tr>
<td>Level 5</td>
<td>70 - 84</td>
<td>35 – 42</td>
</tr>
<tr>
<td>• indicates an excellent level of performance, at the upper end of expectations for promotion and indicating an applicant who is poised for further career advancement.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Level 4</td>
<td>55 – 69</td>
<td>27 – 34</td>
</tr>
<tr>
<td>• indicates a very good level of performance (i.e. as required for promotion)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Level 3</td>
<td>40 - 54</td>
<td>20 - 26</td>
</tr>
<tr>
<td>• indicates a good level of performance (i.e. at the upper end of expectations for the applicant’s current grade, and the minimum required to be considered for promotion, noting that 50 is the minimum score required to be considered for promotion)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Level 2</td>
<td>25 -39</td>
<td>12 -19</td>
</tr>
<tr>
<td>• indicates a satisfactory level of performance (i.e. as required at the applicant’s current grade).</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Level 1</td>
<td>10 - 24</td>
<td>5 - 11</td>
</tr>
<tr>
<td>• indicates the minimum level of performance (i.e. as required at the applicant’s current grade).</td>
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An applicant’s total score shall be the sum of the three domain scores. The total scores shall therefore be positioned on a scale running from 0 to 250.

Eligibility for consideration for promotion
To be deemed eligible for consideration for promotion an applicant must achieve

(a) a total score equal to or greater than 150
(b) a score equal to or greater than 50 in both domains 1 and 2, and
(c) a score equal to or greater than 25 in domain 3

An applicant who has been deemed not to be eligible for consideration for promotion – not having achieved the minimum standard (as defined above) – shall be required to wait for a period of 2 years prior to submitting a further application.

Section IV: Instructions – presenting a case for promotion

Applicants should follow the instructions for Promotion from Associate Professor to Professor and Professor to Full Professor”
Instructions for Application for Promotion from Associate Professor to Professor and Professor to Full Professor

These instructions must be strictly observed when completing the Application for Promotion to the Grade of Professor and Full Professor form. They should be read in conjunction with the Framework Document (DCU Academic Development and Promotion Framework)

YOUR APPLICATION MUST PROVIDE INFORMATION ON THE FOLLOWING:

(i) Leadership

(ii) Research and Scholarship

(iii) Teaching and Learning

(iv) Service and Contribution to University and Society/ Engagement

- You are advised not to replicate information across the four headings
- If replication is necessary, please highlight it
- Please complete each section or insert: “Nothing to Include”
- DO NOT EXCEED 20 PAGES EXCLUDING APPENDICES. No additional material or additional appendices other than those specifically requested can be submitted with your application. Do not write much in sections that have less relevance to your own circumstances; having short or empty responses to many parts is normal. Where no order of items is stated, proceed from the most significant/ important/demanding ... to less so. Do not change the form except to expand the boxes as necessary, add lines as indicated, to add rows to tables as required or to delete unused bullet points or page breaks. Do not delete empty sections or empty entries in tables. Do not change section numbering. Retain font & font size.
1. **HIGHLIGHTS OF APPLICATION** (not more than 500 words)

Succinctly state the highlights of your case for promotion, most significant first

2. **LEADERSHIP**

Demonstrate how you have shown effective leadership in your career to date and outline how you see your future in this regard (not more than 500 words)

3. **RESEARCH AND SCHOLARSHIP**

   3.1 **Research**

   Research Agenda: This should be a succinct statement, of not more than one page, outlining the objectives of your research and how you see it developing in the future.

   3.2 **Publications**

   A comprehensive list of your publications should be included as an appendix. It is recommended that you divide them into the following sections, including for each publication listed both the first and last page numbers. For each item listed, please give the number of citations (indicating whether Google Scholar or Scopus has been used) and the journal ranking where applicable.

   (a) Books
   (b) Book Chapters
   (c) Refereed Journal Articles
   (d) Non-refereed Journal Articles
   (e) Refereed Abstracts
   (f) Non-refereed Abstracts
   (g) Reviewed Conferences
   (h) Other Conferences
   (i) Other

   3.3 **Research Impact**

   Provide appropriate metrics to demonstrate Research Impact to include H-index from Google Scholar and Scopus and Field-weighted Citation Impact (FWCI).

   3.4 **Research Quality and Productivity**

   3.4.1 Funding awards to research students, visiting researchers, etc. where the
application was actively promoted by you, and which included your name as sole or joint principal supervisor/host. Exclude awards listed elsewhere.

3.4.2 External research funding (i.e. other than from university) where you are the sole principal investigator, most recent first.

Explain all acronyms here.

3.4.3 External research funding where you are a co-investigator, most recent first.

Please take responsibility for ensuring that the information included is accurate. Please be explicit about the percentage of funding that came to DCU. Please quantify the subsequent amount that came to DCU and the amount that came to you. (JD)

Explain all acronyms here.

3.4.4 Internal research funding, most recent first.

3.4.5 Research funding applications in past three years (up to deadline for this application) where result is pending (p) or was unsuccessful (u).

Explain all acronyms here.

3.4.6 List awards for research excellence, including awards to research students under your supervision.

3.5 Publications for Review

3.5.1 You are requested to nominate three pieces of published work for review and provide citation analyses for your nominated publications where available and/or other independent evidence of quality. Please submit a PDF attachment of each for review purposes. Please use A4 sheet size for all submissions. In the case of publications (for example, books) which, because of the large number of pages involved, provide particular photocopying difficulties, three copies of the original should be provided with the application. These will be returned when the review process has been completed.

3.5.2 Please provide a brief commentary on why you have selected these particular publications in support of your application and indicate your role in them.

3.6 Additional Research Activities

3.6.1 Graduated research students for which you were the sole or joint principal supervisor, most recent first.
3.6.2 Current registered research students for which you are the sole or joint principal supervisor.

3.6.3 Current registered research students for which you are the secondary supervisor.

3.7 Research Collaboration

List significant research collaborations in academia and industry, most recent first. Include dates, names of principal collaborators (not all names needed), affiliations (school/unit if DCU), and a brief description of the nature of the collaboration and any output or impact.

4. TEACHING AND LEARNING (T&L)

Please provide full information for the past 5 years under the following headings:

4.1 Excellence in T&L

4.1.1 Philosophy of Teaching Statement. Please state your own personal philosophy of teaching and what it is based on.

4.1.2 Teaching and Assessment Approaches. Please describe the approaches you take in your teaching. Give examples indicating why you use them, how you know they are suitable to your discipline area and how you know they are successful.

4.1.3 Supporting Evidence. Please provide evidence that demonstrates the effectiveness of your teaching.

4.2 Scholarship in relation to T&L (evidence of wider dissemination such as conference papers, publications, textbooks)

4.3 External T&L activities (external examining, attending/presenting external courses, membership of external bodies, etc).

4.4 Innovation in Teaching and Learning and Assessment

4.5 Funding secured to support and develop Teaching and Learning

4.6 Any other relevant activities or awards

5. SERVICE AND CONTRIBUTION TO UNIVERSITY AND SOCIETY/ENGAGEMENT

Describe the particular contributions you have made to your School and Faculty and to the wider University community under the following headings:

5.1 Service

Describe the roles you have taken on in the School, Faculty and University, and your particular contribution in that context
5.2 Promoting growth and innovation

5.3 Delivering on aspects of the University Strategic Plan not covered in other sections.

5.4 External engagement

5.5 Capacity Development and Mentorship

6. REFERENCES

You are asked to provide details in relation to your Head of School and one external referee. The external referee should be an eminent academic or professional expert in your field who should be able to comment in detail on your career.

7. CHECKLIST
   Please ensure that:
   ● Relevant sections completed, without duplication
   ● Final page preceding appendices is page number 20 or less
   ● Layout, section numbering, fonts etc. retained
   ● Declaration signed
   ● Three pieces of published work, attached as PDF documents
   ● Electronic copy of application as PDF file
   ● Your Head of School details are completed
   ● Your external referee details are completed

Version Control Panel

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