

APPENDIX A: Background information

1. A New Career Scheme for Researchers

In reviewing the current promotion pathway for pre- and post-doctoral researchers, it is apparent that the system aligns poorly with promotion pathways for other staff categories in the University and does not support the University's commitment to developing a positive and inclusive research culture. Our researchers are at the very heart of the University's endeavours to remain at the international forefront of research and we should provide a career progression pathway that recognises and rewards the contributions of this community of over 4000 individuals. While recognising the issue of precarity and accepting that a large fraction of our researcher community is transiently employed, usually funded from grants, it is nevertheless important that we develop a pathway that recognises excellence and provides a route for career development. The recent introduction of a career pathway for individuals who contribute to teaching and scholarship in the University suggests a framework for developing a similar scheme for researchers.

A further driver for change is emphasised by the June 2023 Future Research Assessment Programme (FRAP) report on proposed changes to assessment in REF2028. The report highlights that supporting a healthy research culture should be an underpinning principle with recognition of institutions striving to create a positive research culture and nurturing research and research-enabling staff. In particular, the People, Culture and Environment category is proposed to contribute 25% of the overall score and will include both institutional and discipline level components. We believe the proposed changes to the researcher reward and progression schemes have the potential to demonstrate sector leadership from the University and provide a tangible contribution to research culture.

There are two progression pathways currently in use for researchers in the University. First, the researcher promotion scheme (RPS). Many research staff are appointed at G5 and progress to G7 upon approval of a PhD thesis. Appointment or promotion to G9 (Senior Research Associate) is generally handled by Faculty Boards and individuals may be recruited at this level or promoted from G7. Thus, we currently have three researcher grades with limited mobility between them:

- Research Assistant (Grade 5) (RA, for staff without a doctorate or equivalent qualification),
- Research Associate (Grade 7) (PDRA, postdoctoral researchers)
- Senior Research Associate (Grade 9) (SRA, advanced postdoctoral researchers)

A second Senior Researcher Promotions Scheme (SRP) is dealt with through the ACP process and covers promotion to two grades:

- Principal Research Associate (Grade 11) (equivalent to G11 Professor)
- Director of Research (Grade 12) (equivalent to G12 Professor).

There are no Grade 6, 8 or 10 roles and RPS and SRP schemes operate differently.

2. Building on recent career schemes: Academic Career Pathways (Teaching & Scholarship)

The University recently introduced a new career pathway to recognise and reward outstanding contributions and celebrate academic achievement for individuals who primarily contribute to teaching (ACP T&S). There are two schemes within the ACP T&S: Scheme A for promotion to G10 to G12 that is broadly equivalent to the ACP (Research and Teaching) pathway, and Scheme B for promotion to G6 to G9. Both are considered by ACP committees. In addition, Scheme B allows for contribution rewards (pay increments) to recognise sustained excellence within the dimensions of the role (for those in Grades 6-8 only) and Scheme A allows for additional increments to be awarded to those at the top of the G10 scale (Pay Progression Scheme). The grades covered by the scheme for unestablished Teaching and Scholarship staff are designated as follows:

- Teaching Associate G6
- Teaching Associate G7
- Senior Teaching Associate G8
- Assistant (Teaching) Professor or Associate (Teaching) Professor G9
- Associate (Teaching) Professor G10
- (Teaching) Professor G11
- (Teaching) Professor G12

It should be noted that as a result of the confirmation that the University will remove the current restrictions on contribution increments for academic staff in Grades 9, 10 and 11 ([Reporter, 6751, 2023–24, p. 856](#)), a pay progression scheme will have to be created for staff in Grades 9 and 11. It is therefore anticipated that the pay progression schemes will be removed from the ACP schemes.

Examining the rationale for the T&S ACP Scheme B, we note that in the preamble to the guidance one can substitute reference to teaching with research and broadly have a common justification:

“It is recognised that ~~Academic (Teaching and Scholarship)~~ Research staff on Grades 6 to 8 are employed to fulfil very specific roles, determined by their role profiles and consequent grading of their posts. Particularly at Grade 6, they may be primarily expected to deliver ~~teaching~~ research on programmes devised by those on higher grades, and there may be little or no expectation of leadership of research or of contributing their service on committees or working groups. The limitations imposed by their role descriptions, through the specific responsibilities assigned to them, will necessarily constrain their opportunities for progression.

*However, in line with University strategies and priorities, excellence in ~~teaching~~ research **within the dimensions of the current role and grade** could and should be rewarded, and the mechanism outlined below is for the award of **contribution increments**.*

*Furthermore, for those able to make an additional **contribution above and beyond the breadth and depth of the role**, opportunities for **promotion** should also exist. The basis for any promotion case will be on the personal merit of any case and the contribution of the individual, rather than institutional requirements for posts at particular grades. There is furthermore a clear expectation that the role holder will still fulfil their current underlying role to the full, even after promotion to the next grade.”*

Similarly, for Scheme A:

The University of Cambridge is committed to providing a supportive environment to enable individuals to take ownership of their development and build a successful career at Cambridge. The University’s success depends on the diversity of its staff and students. The University aims to be a leader in fostering equality and inclusion and nurturing a sense of belonging for all within our community.

The purpose of the Academic Career Pathways scheme for ~~Teaching & Scholarship~~ Research staff (ACP-R) is to recognise and reward outstanding contributions and celebrate academic achievement through promotion and/or pay progression.

Assessment is based on contributions in: ~~Teaching & Scholarship~~ Research and in Service to the University and to the academic community more broadly.

3. An Academic Career Pathway for Researchers

We propose a reform of the researcher promotion scheme to better reflect the ideals and aspirations of the University’s commitment to positive research culture. We considered the schemes in place at other Russell Group Universities (included in the REF 2021 Top 10 results) and have taken account of these in working up our proposals.

There are a diverse range of grades and titles used at our peer institutions and while we could in principle port a scheme from another institution, we propose adopting the current ACP Schemes and applying them to researchers as summarised below:

G5 Research Assistant	
G6 Senior Research Assistant	[new]
G7 Research Associate	
G8 Senior Research Associate	[new]
G9 Assistant Research Professor	(currently Senior Research Associate)
G10 Associate Research Professor	[new]
G11 Research Professor	(currently Principal Research Associate)
G12 Research Professor	(currently Director of Research)

The benefits of this proposed system include:

- Recognition that research staff are academic staff, who play a critical role in the University;
- Harmonisation of reward and recognition for all members of the University that directly contribute to the core mission of world class research and teaching;
- A career progression pathway for all researchers, even those on fixed-term funding;
- A substantial contribution to improving research culture in the University;
- Improved staff recruitment and retention;
- Proposed titles, particularly at senior levels, are more reflective of contributions to the University;
- Greater transparency, consistency, and equity than the current schemes.

It is acknowledged that aligning researcher titles with those of other academic staff represents a significant change in existing practice, and it may prompt similar concerns to those raised for the ACP (Teaching and Scholarship) scheme. However, we believe that the proposal provides consistency with ACP schemes and consistency with international norms. We emphasise that the title issue is particularly relevant for G11 and G12 roles, where there have been problems recruiting to these high-level research positions in the absence of an internationally recognised title.

APPENDIX B: Scheme B criteria for researchers seeking promotion to Grade 6 to Grade 9

Detailed guidance will be developed for this scheme. At its essence will be (a) the requirement to fulfil the responsibilities of the following brief description of duties and responsibilities for each researcher grade (which are elaborated on in a detailed set of generic role profiles) and (b) the requirement to demonstrate meeting the criteria set out for each grade in the chart below.

1. Job titles for researcher roles as set out below are determined by the Department/Institution based on the purpose of the role. Most researchers' job descriptions are broad, which affords a degree of flexibility.

Research Assistant (Grade 5)

The purpose of this role is to support and maintain the University's national and international mission for excellence in teaching and research.

Contribution to excellence in research will usually be as a member of a research team carrying out research under the direction of a principal investigator and would commonly include data collection, analysis and some interpretation. Contribution to publications may be encouraged. Contribution to teaching within the department/faculty may include assistance in the supervision of students and some limited supervision of classes. The role holder will participate in the overall contribution of the department/faculty to the University, as appropriate.

For researchers who are educated to first or Master's degree level and who possess sufficient breadth or depth of knowledge in the discipline and of research methods and techniques to work within their own area. Role holders who gain their doctorate during the course of employment may be recommended for promotion to research associate, if this is appropriate for the duties and responsibilities of the post. Promotion is not automatic and depends upon the role holder fulfilling all the duties of the role of research associate. In some circumstances a researcher may be appointed at this grade while awaiting confirmation of a doctoral degree and automatically be appointed at Grade 7 when the doctorate is awarded.

Researchers at this grade will not have significant responsibility for independent research.

Senior Research Assistant (Grade 6)

The purpose of this role is to support and maintain the University's national and international mission for excellence in teaching and research.

Contribution to excellence in research will be as a member of a research team carrying out research and research design under the direction of a principal investigator to include data collection, analysis and some interpretation. Contribution to publications may be encouraged. Contribution to teaching within the department/faculty may include assistance in the supervision of students and some limited supervision of classes. The role holder will participate in the overall contribution of the department/faculty to the University, as appropriate.

For researchers who are educated to first or Master's degree level with several years laboratory/practitioner experience. For promotion to this grade role holders are expected to have shown some autonomy in research activities with responsibility for experimental design, developed new skill sets and have some oversight of research performed by students or technicians. Role holders who gain their doctorate during the course of employment may be recommended for promotion to research associate, if this is appropriate for the duties and responsibilities of the post. Promotion is not automatic and depends upon the role holder fulfilling all the duties of the role of research associate.

In some circumstances a researcher may be appointed at this grade while awaiting confirmation of a doctoral degree and automatically be appointed at Grade 7 when the doctorate is awarded.

Researchers at this grade will not have significant responsibility for independent research.

Research Associate (Grade 7)

The purpose of this role is to support and maintain the University's national and international mission for excellence in teaching and research.

Contributions to excellence in research will be as a member of a research team carrying out research with a high degree of independence and will provide substantial scope for academic judgement, originality, interpretation and presentation of results. The role holder may assist with grant administration and the writing of reports for funding bodies. This may include working closely with local and international research partners or maintaining research partnerships. Contribution to teaching is not expected but could include assistance in the presentation of seminars and/or participation in a research group's teaching programme. The role holder will participate in the overall contribution of the department/faculty, as appropriate.

For researchers with some research experience who have normally been awarded a doctoral degree. Their research activity will provide substantial scope for academic judgment, originality, interpretation and presentation of results. Research Associates may have some supervisory responsibilities for more junior researchers or research students in support of a Principal Investigator. For appointments at the level of research associate a department may use the title of 'fellow' where this is a condition of the sponsor's award.

Researchers at this grade will not normally have significant responsibility for independent research.

Senior Research Associate (Grade 8)

The purpose of this role is to support and maintain the University's national and international mission for excellence in teaching and research.

Contribution to excellence is expected to be at the level of an experienced and skilled researcher demonstrating a high level of competence and some evidence of independent standing. The role holder will assist in or lead grant administration, execution, and the writing of reports for funding bodies. This may include working closely with local and international research partners, and developing and maintaining research partnerships. Contribution to teaching is not expected but may include supporting the co-supervision of postgraduate students, presentation of seminars and may include participation in the research group's teaching programme, or in some circumstances developing and teaching a paper (module) in its entirety. The role holder will participate in the overall contribution of the department/faculty, as appropriate.

For researchers with significant experience as a postdoctoral Research Associate, or equivalent. Most Senior Research Associates may have operational responsibility for a major project, substantial part of a major project, or research facility and may act as Co-Investigators or hold research grants in their own right. They will have demonstrated a high level of competence and an independent standing as researchers. Appointment as a Senior Research Associate requires the approval of the relevant Faculty Board (or equivalent body). For appointments at the level of senior research associate the Department may use the title of 'fellow' where this is a condition of the sponsor's award.

Researchers at this grade will not normally have significant responsibility for independent research.

Assistant Research Professor (Grade 9)

The purpose of the role is to support and maintain the University's national and international mission for excellence in teaching and research.

Contribution to excellence in research will be at a comparable level to that undertaken by a member of the Research and Teaching staff at the same grade, providing substantial scope for academic judgement, originality, interpretation and presentation of results. Assistant Research Professors may have operational responsibility for a major project and will be co-investigators on or hold research grants in their own right. They will have demonstrated a high level of independence, reflected in national recognition for their research and may have direct supervisory responsibility for junior researchers and/or postgraduate students. The role holder will participate in the overall contribution of the department/faculty as appropriate.

For researchers with significant experience as a postdoctoral Research Associate/Senior Research Associate, or equivalent. Appointment as an Assistant Research Professor requires the approval of the relevant Faculty Board (or equivalent body).

Researchers at this grade will normally have significant responsibility for independent research.

2. ACP (R) Scheme B*

Chart showing the expectations for researcher promotion between Grades 5 and 9. This progression scheme is known as Scheme B. For researchers seeking promotion to Grade 10 and above, reference should be made to the separate Scheme A documentation.

	Grade 5	Grade 6	Grade 7	Grade 8	Grade 9**
Qualifications	1 st degree/Master's or equivalent experience	1 st degree/Master's or equivalent experience	Doctorate or equivalent experience	Doctorate or equivalent experience	Doctorate or equivalent experience
Experience	Some research/laboratory experience	Several years' laboratory/practitioner experience	Some research experience	Some postdoctoral experience	Substantial postdoctoral experience
Research Independence	Sufficient breadth/depth of knowledge to work within own area	Shown some autonomy in research activities with responsibility for experimental design, developed new skills sets	Scope in research activity for academic judgement, originality, interpretation of results	Greater degree of independence in research [than at Grade 7]. Contributes to determining the direction of future research for the group/project. Starting to develop reputation as a researcher in their field.	Significant independence in managing or supervising a research program. A national reputation in their field.
Projects	Plan own day-to-day research activity within the framework of the agreed programme	May exercise some responsibility over aspects of project/research activity	Exercise full responsibility over aspects of project	Operational responsibility for aspects of a major project/research facility	Independent responsibility for all or a major part of a research project.
Grants				Assist with grant applications and may obtain some independent funding with permission.	Will obtain or hold independent grants or be a Co-applicant on substantive grants

Engagement	Liaise with colleagues and students on routine matters	Liaise with colleagues and students on routine matters	Build internal and external contacts/participate in networks for exchange of information/to form future collaborations	Consolidate links with external contacts initiated at Grade 7	Initiate, maintain or play substantive roles in University, national or international collaborations.
Leadership		Have some oversight of research performed by students or technicians	May assist in the supervision of student projects/development of student research skills	Mentoring PhD students.	May supervise Masters, co-supervise or supervise PhD students.
Management		May involve management of staff at lower grades	May involve guidance of staff at lower grades	May involve guidance of staff at lower grades	Provide guidance and support for staff at lower grades. May include line management of staff at lower grades.
Service		Contributing to department committees	Contributing to department or other local committees	Contributes to department, faculty or local committees. Member of a university-level committee Performs other positions of responsibility within research group or department.	Takes leading role on department, local Faculty committee. Member of a university-level committee. Has positions of responsibility in the research group, within the Department of faculty. May have roles on external committees/advisory bodies.

* Some Departments/Faculties may wish add specific expectations required for promotion by including additional examples of indicators of excellence for their discipline.

** Since Grade 9 will now hold the Assistant Professor title, assessment criteria for promotion to G9 similar to those in ACP (R) Scheme A have been developed (below).

3. Criteria for the assessment of research: Assistant Research Professor (Grade 9)

There are three research criteria and one service criterion, and outstanding achievement is normally required in all:

CRITERION 1: Consistently conducts rigorous research addressing significant questions, contributing new ideas and advancing the boundaries of the field

Examples of indicators of excellence and impact, not all of which may be relevant to all applications

- A portfolio of high quality research outputs¹ that are nationally recognised in terms of their originality, significance and rigour. The University acknowledges that the scientific / academic content of a paper is much more important than publication metrics or the identity of the journal in which it was published
- Invited to present work at national or international conferences and institutions and/or in other relevant fora e.g. to industry bodies
- Participates in effective and impactful research collaborations, including beyond discipline where appropriate
- Contributes to the advancement of knowledge in research discipline
- Produces research outputs that have an impact, for example in the REF or informs policy development or practice.
- A track record of securing research funding directly or indirectly, according to the rules of the funding body (or otherwise ensuring research activity is sustainable)

CRITERION 2: Contributes to high-quality research through research leadership, research and individual endeavour and supports an inclusive and productive research culture

Examples of indicators of excellence and impact, not all of which may be relevant to all applications

- Successfully brings research projects to completion, whether collaborative or individual.
- Participation in public, industrial and/or policy engagement activities linked to research and/or knowledge transfer activities
- Contributes to organisation of research conferences, workshops and seminar programmes.
- Peer reviews for academic journals/publishers and funding bodies
- Promotes and maintains high standards of research integrity *and* professional conduct.
- Promotes collaboration that leads to new insights and develops cross-disciplinary research activities.

¹ These outputs may not necessarily be journals/articles but the quality of research should be attested by the sponsor

Example of local biomedical IoAs:

- *Sustained success in peer reviewed grant funding over at least two grant cycles (3 years) from reputable funding bodies*

At least one invited talk at an international meeting of high academic reputation in the preceding two years

CRITERION 3: Delivers high-quality research supervision that is intellectually challenging and supportive, and ensures that researchers receive excellent opportunities to develop their potential and prepare them for future success.

Examples of indicators of excellence and impact, not all of which may be relevant to all applications

- Provides consistently high-quality research supervision/mentoring, either daily or through teaching or committee work.
- Consistently receives positive feedback from research students
- Mentors or coaches early-career researchers.
- Provides underpinning support for and encourages team science.
- Provides inclusive leadership and delivers excellence through the performance of others
- Creates a positive working environment and acts as a role model in promoting the University's value of mutual respect
- Recognises and nurtures talent and demonstrates consistent engagement with researcher training and development processes in line with the standards for their discipline.
- Positively facilitating early-career researchers to be creative about their futures and take active steps to investigate career pathways both in and beyond academia.

4. Criteria for the assessment of service to the University and to the academic community

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.

CRITERION 4: 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.

Examples of indicators of excellence and impact, not all of which may be relevant to all applications

- Departmental/Faculty/University/College academic or non-academic leadership roles
- Sits on Departmental/Faculty/University committees and bodies, including EDI, Race Equality and Governmental panels.
- Promotes and demonstrates effective use of the Staff Review and Development Scheme
- Significant and sustained contribution to equality, diversity, inclusion activity
- Creates a positive working environment and acts as a role model in promoting the University's value of mutual respect
- Creates and manages multi-institutional national/international research facilities, and runs these facilities/laboratories.
- Contributing to the teaching and learning programmes in the department
- Supports the work of other HEIs (eg significant external examining; participation in research/teaching and learning reviews)
- Contributes to widening participation and access-for-all activities through Outreach, Public Engagement activities
- Involves the public, private or third party sector in the research process and increases the relevance of research to society
- Leadership on committees, panels, and advisory committees evaluating and/or recommending policy or practice at local, national or international level and providing information through the press and on social media.
- A (sustained) record of activity that enhances public understanding of, and engagement with, knowledge and research, or that contributes to well-informed public debate.
- Builds external relationships and networks with substantial impact on research field.
- Teaching duties for a college or colleges.
- For applicants with clinical duties, participation in regional and national medical education or veterinary education committees and other bodies concerned with undergraduate and postgraduate medical and veterinary education.

APPENDIX C. ACP (R) Scheme A (Promotion to Grade 10, 11 and 12)

Preamble

Recognising excellence

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. Excellence is expected of all staff, so the purpose of the promotions system is to recognise outstanding contributions and celebrate academic achievements.

Above all, the University is committed to providing a supportive environment that enables individuals to take ownership of their development and build a successful career at Cambridge, and to promoting collegiality by nurturing a culture of mutual respect and a sense of belonging for all within our community.

Diversity and inclusion

Promotion is open to any member of staff who can demonstrate that they meet the requirements – regardless of age, gender identification, ethnicity, or any other characteristic.

We know that certain staff groups – notably, women and those from underrepresented minorities – have historically made, and continue to make, fewer applications for promotion. Likewise, it is acknowledged that research staff on fixed-term contracts work in diverse styles and contexts, meaning that excellence can be demonstrated across a wide spectrum of activities.

The University is striving to be a leader in fostering equality and inclusion, hence it is critical that staff not feel deterred from applying for promotion. Similarly, it is important to emphasise that staff are not ‘nominated’ or ‘put forward’ for promotion by senior colleagues.

How to use this scheme

Who is the scheme for?

This scheme is for senior researchers seeking promotion to Associate Research Professor (Grade 10), Researcher Professor (Grade 11) and Researcher Professor (Grade 12).

It is envisaged that researchers and their managers can also use this document to devise an individualised career development plan, with a view to making a later application for promotion. For example, you can use the criteria and example indicators strategically, in order to identify whether you may have gaps in experience which would make it unlikely that you would be successful in applying for promotion at this time, and to decide on specific actions that you can take to address these.

What are the criteria?

There are four criteria by which applications will be assessed, and these criteria are divided into two sections, Research and Service:

Research excellence and impact

1. Consistently conducts rigorous research addressing significant questions, contributing new ideas and advancing the boundaries of the field.
2. Consistently provides high-quality research leadership, strategically planning for the future and supporting an inclusive and productive research culture.
3. Consistently delivers high-quality research supervision that is intellectually challenging and supportive, and ensures that early-career researchers receive excellent opportunities to develop their potential and prepare them for future success.

Service to the University and to the academic community

4. 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.

Under normal circumstances, successful applicants will demonstrate outstanding contributions across all four criteria. If your grant conditions or local arrangements in your department limit your ability to contribute in areas which usually form part of a promotion application, e.g. committee work, then your Head of Department is encouraged to identify this information in their written statement.

Below, each criterion is explained with example indicators – that is, the examples of activities, achievements, and behaviours that panels will expect to see as evidence to support a promotion application. The examples are *suggestions*: they are not intended to be exhaustive or prescriptive, and applicants are not expected to present evidence to align with every example.

Some Departments/Faculties may wish to consider adopting and publishing guidance setting out the expectations required for promotion and including examples of indicators of excellence for their discipline.

What about funding?

If you intend to apply for promotion, you are expected to ensure that the requisite funding is in place, or can realistically be put in place, to meet the cost of the proposed change in role and grade. If this resource is not available through your existing grant, you might need to submit new funding application(s), in discussion with your line-manager.

How do I decide whether to apply?

We understand that it is easy to feel uncertain about language like ‘excellence’, ‘outstanding contribution’, and ‘achievements’. Here, your line-manager may be an important source of advice and guidance.

In addition, you can:

- talk to your Head of Department.
- speak to any mentor(s) you may have and if you don't have a mentor think seriously about applying for one. The Postdoc Academy mentoring scheme can provide information [link].
- read the relevant information and examples on the Careers Service website concerning effective presentation of academic CVs.
- seek advice from a senior academics with experience of the promotion process via the Academic Career Pathways CV Scheme; and
- obtain support for procedural matters relating to promotion applications via the relevant Lead HR Business Manager [link].

Ultimately, it is important to stress that the decision to apply sits with you.

You should review the criteria carefully and, using the examples as a guide, begin to identify where you can present indicators and evidence of success that is particular to you as an individual. You are strongly encouraged to tailor your CV so that it responds clearly to the promotion criteria.

There will always be a need to exercise judgement in applying these criteria, by both applicants and panels. For example, it is understood that evidence will differ according to both an individual's level of experience at the time of application and their discipline – that is, an Associate Research Professor in the biomedical sciences applying for promotion to Research Professor (Grade 11) will not be expected to provide the same sorts of evidence across all indicators as a Research Professor (Grade 11) in the physical sciences applying for promotion to a Research Professor (Grade 12). Evidence is likely to differ across fields, which is why Faculties/Departments are responsible for determining the appropriate indicators in their area.

** Please note that the promotion criteria (and indicators of excellence) for assessment set out in the sections below are adapted from the ACP (R&T) scheme for academic staff.*

Scheme A Criteria

1. Criteria for the assessment of research: Research Professor (Grade 12)

Promotion to Research Professor (Grade 12) 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 three research and a service criteria and outstanding achievement is normally required in all:

CRITERION 1 Consistently conducts rigorous research addressing significant questions, contributing new ideas and advancing the boundaries of the field while ensuring the highest standards of research integrity are promoted and maintained

Examples of indicators of excellence and impact, not all of which may be relevant to all applications

- A very substantial portfolio of high quality research outputs¹ 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
 - Makes a significant contribution to the advancement of knowledge in research discipline
 - Produces and disseminates research outputs that have an impact, for example in the REF, or informs national or international policy development or practice.
 - Initiates, participates in and where appropriate, leads effective and impactful national and international research collaborations, including beyond discipline where appropriate.
 - A sustained track record of directly securing significant research funding or otherwise ensuring research activity is sustainable
 - Frequently invited to present work at major national and international conferences and institutions and/or in other relevant fora, e.g. to industry bodies.
 - Award of prizes and honours for research. Election to membership or fellowship of distinguished scholarly and professional organisations.
- Example of local biomedical IoAs:*
- *Sustained success in programmatic (5 years or more) funding from major funding bodies , e.g. MRC, BBSRC, Wellcome, British Heart Foundation etc*
 - *Election to the Academy of Medical Sciences (though this would much more commonly follow promotion to DoR or Professor)*
 - *More than one invited talk at international meetings of high academic reputation in the preceding two years*

¹ These outputs may not necessarily be journals/articles but the quality of research should be attested by the sponsor

CRITERION 2 Consistently delivers high-quality research through research leadership, research group leadership and individual endeavour, strategically planning for the future and supporting an inclusive and productive research culture

Examples of indicators of excellence and impact, not all of which may be relevant to all applications

- Successfully brings research projects to completion, whether collaborative or individual.
- Elected/appointed to research-related leadership roles
- Creates and manages research groups
- Convenes and leads major research conferences and seminar programmes
- Provides intellectual research leadership which informs and contributes to setting the international research agenda in an individual's area
- Participation in high-quality public, industrial and/or policy engagement activities linked to research and/or knowledge transfer activities.
- Edits and peer reviews for academic journals, books, conferences and grant applications.
- Promotes and maintains high standards of research integrity and professional conduct.
- Promotes collaboration that leads to new insights and develops cross-disciplinary research activities.

CRITERION 3: Consistently delivers high-quality research supervision that is intellectually challenging and supportive and ensures that researchers receive excellent opportunities to develop their potential and prepare them for future success.

Examples of indicators of excellence and impact, not all of which may be relevant to all applications

- Provides consistently high-quality research supervision, either daily or through teaching or committee work.
- Consistently high research student completion rates and mentoring
- Consistently receives positive feedback from research students and/or postdoctoral researchers
- Encourages early-career researchers to develop independent research lines and/or pursue independent publications or funding applications
- Positively supports early-career researchers, enabling them to be creative about their futures and take active steps to investigate career pathways both in and beyond academia.
- Provides inclusive leadership and delivers excellence through the performance of others
- Creates a positive working environment and acts as a role model in promoting the University's value of mutual respect
- Contributes to the process of recruiting and selecting research students.
- Recognises and nurtures talent and demonstrates consistent engagement with researcher training and development processes.
- Provides underpinning support for and encourages team science.

2. Criteria for the assessment of research: Research Professor (Grade 11)

Promotion to Research Professor (Grade 11) 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 three research and a service criteria and outstanding achievement is normally required in all:

CRITERION 1: Consistently conducts rigorous research addressing significant questions, contributing new ideas and advancing the boundaries of the field while ensuring the highest standards of research integrity are promoted and maintained

Examples of indicators of excellence and impact, not all of which may be relevant to all applications

- A substantial portfolio of high quality research outputs² that are internationally recognised in terms of their originality, significance and rigour. The University acknowledges that the scientific / academic content of a paper is much more important than publication metrics or the identity of the journal in which it was published •
- Contributes to the advancement of knowledge in research discipline
- Produces research outputs that have an impact, for example in the REF or informs policy development or practice.
- A track record of securing research funding directly or indirectly, according to the rules of the funding body (or otherwise ensuring research activity is sustainable)
- Invited to present work at national and international conferences and institutions and/or in other relevant fora e.g. to industry bodies
- Initiates and participates in effective and impactful research collaborations, including beyond discipline where appropriate

² These outputs may not necessarily be journals/articles but the quality of research should be attested by the sponsor

CRITERION 2: Contributes to high-quality research through research leadership, research and individual endeavour and supports an inclusive and productive research culture

Examples of indicators of excellence and impact, not all of which may be relevant to all applications

- Successfully brings research projects to completion, whether collaborative or individual.
- Participates in public, industrial and/or policy engagement activities linked to research and/or knowledge transfer activities
- Contributes to organisation of research conferences, workshops and seminar programmes.
- Edits or peer reviews for academic journals/publishers and funding bodies.
- Promotes and maintains high standards of research integrity *and* professional conduct.
- Promotes collaboration that leads to new insights and develops cross-disciplinary research activities.

Example of local biomedical IoAs:

- *Sustained success in peer reviewed grant funding over at least two grant cycles (3 years) from reputable funding bodies*

At least one invited talk at an international meeting of high academic reputation in the preceding two years

CRITERION 3: Delivers high-quality research supervision that is intellectually challenging and supportive, and ensures that researchers receive excellent opportunities to develop their potential and prepare them for future success.

Examples of indicators of excellence and impact, not all of which may be relevant to all applications

- Provides consistently high-quality research supervision/mentoring, either daily or through teaching or committee work.
- Provides inclusive leadership and delivers excellence through the performance of others
- Consistently receives positive feedback from research students
- Creates a positive working environment and acts as a role model in promoting the University's value of mutual respect
- Mentors or coaches early-career researchers.
- Recognises and nurtures talent and demonstrates consistent engagement with researcher training and development processes in line with the standards for their discipline.
- Provides underpinning support for and encourages team science.
- Positively facilitating early-career researchers to be creative about their futures and take active steps to investigate career pathways both in and beyond academia.

3. Criteria for the assessment of research: Associate Research Professor (Grade 10)

There are three research and a service criteria and outstanding achievement is normally required in all:

CRITERION 1: Conducts rigorous research addressing significant questions, contributing new ideas and advancing the boundaries of the field while ensuring the highest standards of research integrity are promoted and maintained

Examples of indicators of excellence and impact, not all of which may be relevant to all applications

- A portfolio of high quality research outputs³ that are nationally and beginning to be internationally recognised in terms of their originality, significance and rigour. The University acknowledges that the scientific / academic content of a paper is much more important than publication metrics or the identity of the journal in which it was published
- Invited to present work at national and international conferences and institutions and/or in other relevant fora e.g. to industry bodies
- Participates in effective and impactful research collaborations, including beyond discipline where appropriate
- Contributes to the advancement of knowledge in research discipline
- Produces research outputs that have an impact, for example in the REF or informs policy development or practice.
- Evidence of a significant contribution to securing research funding directly or indirectly, according to the rules of the funding body (or otherwise making a contribution to ensuring research activity is sustainable)

³ These outputs may not necessarily be journals/articles but the quality of research should be attested by the sponsor

CRITERION 2: Contributes to high-quality research through research leadership, research and individual endeavour and supports an inclusive and productive research culture

Examples of indicators of excellence and impact, not all of which may be relevant to all applications

- Plays a major part in successfully bringing research projects to completion, whether collaborative or individual.
- Participates in public, industrial and/or policy engagement activities linked to research and/or knowledge transfer activities
- Contributes to organisation of research conferences, workshops and seminar programmes.
- Edits or peer reviews for academic journals/publishers and funding bodies
- Promotes and maintains high standards of research integrity *and* professional conduct.
- [Makes a contribution to] promoting collaboration that leads to new insights and develops cross-disciplinary research activities.

Example of local biomedical IoAs:

- Sustained success in peer reviewed grant funding over at least two grant cycles (3 years) from reputable funding bodies

At least one invited talk at an international meeting of high academic reputation in the preceding two years

CRITERION 3: Delivers high-quality research supervision that is intellectually challenging and supportive, and ensures that researchers receive excellent opportunities to develop their potential and prepare them for future success.

Examples of indicators of excellence and impact, not all of which may be relevant to all applications

- Provides consistently high-quality research supervision/mentoring, either daily or through teaching or committee work.
- Provides inclusive leadership and delivers excellence through the performance of others
- Consistently receives positive feedback from research students
- Creates a positive working environment and acts as a role model in promoting the University's value of mutual respect
- Mentors or coaches early-career researchers.
- Recognises and nurtures talent and demonstrates consistent engagement with researcher training and development processes in line with the standards for their discipline.
- Provides underpinning support for and encourages team science.
- Positively facilitating early-career researchers to be creative about their futures and take active steps to investigate career pathways both in and beyond academia.

4. Criteria for the assessment of research: Assistant Research Professor (Grade 9)

There are three research and a service criteria and outstanding achievement is normally required in all:

CRITERION 1: Consistently conducts rigorous research addressing significant questions, contributing new ideas and advancing the boundaries of the field

Examples of indicators of excellence and impact, not all of which may be relevant to all applications

- A portfolio of high quality research outputs⁴ that are nationally recognised in terms of their originality, significance and rigour. The University acknowledges that the scientific / academic content of a paper is much more important than publication metrics or the identity of the journal in which it was published
- Invited to present work at national or international conferences and institutions and/or in other relevant fora e.g. to industry bodies
- Participates in effective and impactful research collaborations, including beyond discipline where appropriate
- Contributes to the advancement of knowledge in research discipline
- Produces research outputs that have an impact, for example in the REF or informs policy development or practice.
- A track record of securing research funding directly or indirectly, according to the rules of the funding body (or otherwise ensuring research activity is sustainable)

CRITERION 2: Contributes to high-quality research through research leadership, research and individual endeavour and supports an inclusive and productive research culture

Examples of indicators of excellence and impact, not all of which may be relevant to all applications

- Successfully brings research projects to completion, whether collaborative or individual.
- Participation in public, industrial and/or policy engagement activities linked to research and/or knowledge transfer activities
- Contributes to organisation of research conferences, workshops and seminar programmes.
- Peer reviews for academic journals/publishers and funding bodies
- Promotes and maintains high standards of research integrity *and* professional conduct.
- Promotes collaboration that leads to new insights and develops cross-disciplinary research activities.

⁴ These outputs may not necessarily be journals/articles but the quality of research should be attested by the sponsor

Example of local biomedical IoAs:

- *Sustained success in peer reviewed grant funding over at least two grant cycles (3 years) from reputable funding bodies*

At least one invited talk at an international meeting of high academic reputation in the preceding two years

CRITERION 3: Delivers high-quality research supervision that is intellectually challenging and supportive, and ensures that researchers receive excellent opportunities to develop their potential and prepare them for future success.

Examples of indicators of excellence and impact, not all of which may be relevant to all applications

- Provides consistently high-quality research supervision/mentoring, either daily or through teaching or committee work.
- Consistently receives positive feedback from research students
- Mentors or coaches early-career researchers.
- Provides underpinning support for and encourages team science.
- Provides inclusive leadership and delivers excellence through the performance of others
- Creates a positive working environment and acts as a role model in promoting the University's value of mutual respect
- Recognises and nurtures talent and demonstrates consistent engagement with researcher training and development processes in line with the standards for their discipline.
- Positively facilitating early-career researchers to be creative about their futures and take active steps to investigate career pathways both in and beyond academia.

5. Criteria for the assessment of service to the University and to the academic community

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.

CRITERION 4: 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.

Examples of indicators of excellence and impact, not all of which may be relevant to all applications

- Service to public engagement and to knowledge exchange
 - Departmental/Faculty/University/College academic or non-academic leadership roles
- Sits on Departmental/Faculty/University committees and bodies, including EDI, Race Equality and Governmental panels.
- Promotes and demonstrates effective use of the Staff Review and Development Scheme
- Significant and sustained contribution to equality, diversity, inclusion activity
- Creates a positive working environment and acts as a role model in promoting the University's value of mutual respect
- Creates and manages multi-institutional national/international research facilities, and runs these facilities/laboratories.
- Contributing to the teaching and learning programmes in the department
- Supports the work of other HEIs (eg significant external examining; participation in research/teaching and learning reviews)
- Contributes to widening participation and access-for-all activities through Outreach, Public Engagement activities
- Involves the public, private or third party sector in the research process and increases the relevance of research to society
- Leadership on committees, panels, and advisory committees evaluating and/or recommending policy or practice at local, national or international level and providing information through the press and on social media.
- A (sustained) record of activity that enhances public understanding of, and engagement with, knowledge and research, or that contributes to well-informed public debate.
- Builds external relationships and networks with substantial impact on research field.
- Teaching duties for a college or colleges.
- For applicants with clinical duties, participation in regional and national medical education or veterinary education committees and other bodies concerned with undergraduate and postgraduate medical and veterinary education.

Scoring Methodology

Assessment Criteria for R&T Staff	Typical weighting for ACP (R&T)	Assessment Criteria for T&S staff	Typical weighting for ACP (T&S)	Assessment Criteria for Research staff	Weighting for Researchers (9-12)
Research and Research Leadership	50/100	Research	-	Research (incl. Researcher Development)	70/100*
Teaching and Researcher Development	30/100	Teaching and scholarship	70/100	See above	-
Service to the University and the academic community	20/100	Service to the University and the academic community	30/100	Service to the University and the academic community	30/100*

***In exceptional circumstances the Head of Institution may propose a departure from the standard scoring model on an individual basis so that the maximum Research Score is increased to 80 points and the Service score is reduced to 20 points. This proposal must be approved by the Faculty Committee with reasons recorded in the minutes. Alternatively, in the light of responsibilities particular to a Faculty/Department, a Head of Institution may wish to propose a reduction in the Research Score for candidates to 60 points and the Service score to 40 points.**

APPENDIX D. Job outlines for researcher roles in Grades 10, 11 and 12

As for roles between Grades 5 and 9, these are elaborated on in a set of generic role profiles.

Associate Research Professor (Grade 10)

The purpose of the role is to support and maintain the University's national and international mission for excellence in teaching and research.

Contribution to excellence in research will be at the level of an experienced academic demonstrating a high level of competence and an independent standing in research. The role holder is expected to have full operational responsibility for a research programme and will be expected to hold research grants in their own right. Contribution to teaching may include participation in the Department/Faculty teaching programme and will involve the direct supervision of students. The role holder will participate in the overall contribution of the department/faculty as appropriate.

For researchers with sustained experience as a senior researcher. They will have demonstrated a very high level of independence, reflected in international recognition for their research and have direct supervisory responsibility for junior researchers and Postgraduate students. Appointment as an Associate Research Professor requires the approval of the relevant Faculty Board (or equivalent body). Promotion to Associate Research Professor is through the Researcher Career Pathway (RCP) route.

Researchers at this grade will have significant responsibility for independent research.

Research Professor (G11)

The purpose of the role is to advance, support and maintain the University's national and international mission for excellence in teaching and research.

Contribution to excellence in research will be at the level of an experienced and skilled researcher demonstrating a high level of competence and an independent standing in research. The role holder may have full leadership and operational responsibility for a research programme or facility and will hold research grants in their own right. The role holder will participate in the overall contribution of the department/faculty as appropriate. This is equivalent to the former G11 Principal Research Associate role. Researchers may be considered for promotion to or may be recruited to Research Professor G11 under the University's procedures. Successful applicants will demonstrate outstanding achievement in research and research leadership assessed by reference to national levels of excellence and international recognition. The criteria and evaluative standards used for appointment at this level are those specified in the guidance on the senior academic promotions scheme and these appointments will be reported to the University's Human Resources Committee. Where a post arises out of a national scheme run by a major research sponsor, a title associated with that post may be used.

Researchers at this grade will have significant responsibility for independent research.

Research Professor (G12)

The purpose of the role is to lead and maintain the University's national and international mission for excellence in teaching and research.

Contribution to excellence in research will encompass international leadership in the post holder's relevant subject area through originality in research and scholarship and contribution to the advancement of knowledge in the subject area. The role holder will participate in the overall contribution of the department/faculty, where appropriate, which may include serving as Head of a Department, Division or other major institution. This is equivalent to the former G12 Director of Research role and appointment is at a level equivalent to G12 Professor. A generic role profile for Professors is available on the Human Resources website. Successful applicants will demonstrate outstanding achievement in research and research leadership assessed by reference to international levels of excellence, consistently conduct rigorous research addressing significant questions, contributing new ideas and advancing the boundaries of the field whilst ensuring the highest standards of are promoted and maintained.

Researchers at this grade will have significant responsibility for independent research.

APPENDIX E. Proposed revised Contribution Reward Scheme (for researchers between Grades 5 and 11) (previously called Researcher Contribution Increment Scheme)

This pay progression scheme would be a separate scheme to the promotions process. If this proposal is accepted, changes will be made to remove the current pay progression schemes which are incorporated into the guidance for the ACP R&T and T&S schemes. This will then allow for the creation of an annual Contribution Reward Scheme for R&T, T&S and Research staff ensuring consistency across staff groups.

The below is a summary of the proposed process. Full guidance will be created following approval of this paper.

1. Overview

This scheme allows Institutions to propose rewards for research staff on the basis of outstanding work by the member of staff, in comparison with others at the same grade, for which an increase in remuneration is appropriate.

It would normally be expected that nominations for an award under this scheme would be submitted by the eligible employee's line manager. Eligible employees could also nominate themselves for an award but would be required to first discuss their intention to self-nominate with their line manager.

The Contribution Reward Scheme is not normally intended to be used for the purposes of retention, such as when a researcher with specialist skills may be contemplating a move to a position elsewhere. Researchers who fall into this category may be put forward for an out-of-cycle award as set out in Section X below.

Applications should provide robust, detailed evidence to support the case.

Contribution increments can be awarded to employees to recognise their contribution over and above the normal expectation for the role. The typical number of increments awarded is one or two; applications for three increments should be made to recognise truly exceptional performance. The level of evidence provided in the application should reflect the number of increments being applied for.

The prompts below, while not exhaustive, are examples of the level of evidence required:

- contribution over and above the normal expectation for the role;
- contribution made to an individual's institution's strategic plans or those of other institution(s) in the field, above and beyond what is normally expected from the role; or
- evidence of outstanding and sustained excellence in research and/or researcher development and/or service to the University and/or the wider academic community within the dimensions of the current role and grade.

Single Contribution Payments can be awarded to recognise outstanding performance, beyond the typical expectations for the role, usually for a specific task or project within a set timeframe. Awards can be made to individuals, paid at 3% of their base salary.

The evidence should fall within the qualifying period, i.e. since last promotion/appointment or the last award of a contribution increment.

It is recommended that applications are supported by a Staff Review and Development (SRD) meeting held within 12 months prior to submission.

2. Eligibility

All unestablished research staff are eligible to apply under this scheme except:

- A researcher who has less than 6 months' service at the point of the scheme launch.
- Researchers at Grade 12 who will be considered as part of the biennial ACP (Grade 12) scheme.
- Researchers who have transferred to the University under Transfer of Undertakings (Protection of Employment) or TUPE regulations and who have not harmonised to the University's terms and conditions. These individuals will follow the progression applicable to the employer from which they have transferred. Therefore, the previous employer should be consulted on any schemes for recognising outstanding contribution.
- Clinical researchers: salary progression for clinical researchers should be in line with the NHS pay scales, recognising clinical qualifications and including local or national clinical excellence awards as appropriate. Clinical Professors (and medically qualified Assistant (G9) and Associate Professors (G10)) are not eligible for salary increases under the University schemes which are applicable to Grade 11 and Grade 12 Professors.
- Researchers who have left the University by the time the award would be paid or who have resigned and are due to leave the University.

3. Scheme timing

The proposed Contribution Reward Scheme would launch in February with increments being effective on 1 August and single contribution payments being paid in the August payroll.

4. Guiding principles

Assessment of the staff member's contribution should be clearly related to University, School, or Faculty/Department objectives, and should recognise achievements, and reward behaviours and activities, likely to contribute to the future success of the University. Judgements should be based demonstrably on objective evidence and, as far as appropriate, recognise the collaborative nature of research.

In line with the University's commitments under the *San Francisco Declaration on Research Assessment* ('DORA', signed 2019) and the *Research Culture Institutional Action Plan* (published 2021), evidence of excellence should be assessed *on its own merits* – that is, without recourse to proxy measures of quality such as journal impact factors or other quantitative indicators isolated from their context.

Criteria for assessing contributions must be applied fairly and consistently. There is no formal right to appeal, but it is expected that all unsuccessful applicants will receive specific, actionable feedback on their application, setting out the reasons why their application was unsuccessful and any steps that could be taken to strengthen a future application. Feedback should be provided by the line manager or Head of Institution as appropriate.

A career development review discussion, under the Staff Review and Development Framework, [to be updated separately, outside of the working group] should be used to inform the recognition and reward process. Managers should ensure that they periodically review the contributions of all their staff, in order to bring forward for consideration all cases that meet the criteria.

5. Financial matters

The proposed scheme would offer two levels of award:

- Up to three contribution increments may be awarded to an individual, provided that the value of the individual's basic salary and contribution increments does not exceed the value of the top contribution point of the relevant grade.
- A single contribution payment (calculated as 3% of base salary) in recognition of short-term projects or for staff who have reached the top spine point of their grade.

If any contribution awards are recommended for staff supported from research grants, the cost should be met from the budget available for the grant. Should insufficient funds remain, these costs will need to be met from other departmental funds.

If additional funding is provided, e.g. from School budgets, there would need to be provision within the scheme for applying for this source of funds where the cost of an award cannot be met by a research grant.

6. Procedure

The first step is for a review (in line with the Staff Review and Development (SRD) framework) to take place prior to any application to the scheme being made, in order that the researcher and their line manager can assess whether there is robust evidence of outstanding contribution above what is typically expected for the grade and/or whether an application for promotion in order to recognise sustained excellence above what is typically expected for the grade may be more appropriate.

Heads of Institutions are notified in writing by the HR Division each year of due dates for submissions. They will be required to cascade this reminder to all relevant staff within their Institution.

Following receipt of nominations from line managers, Heads of Institutions would be required to assess and sign the nominations before forwarding them to Awarding Authorities.

Awarding Authorities would be required to make the final decisions on the outcomes of the scheme.

Awarding Authorities for this scheme would be made up of senior academic and research colleagues.

7. Out-of-cycle nominations

There may be exceptional circumstances, particularly arising from urgent retention issues, where it would be appropriate for employees to be put forward for an award of up to three increments outside the normal annual timetable. The application will be assessed against the same criteria as applications submitted during the annual process. The final decision will be made by the Chair of the relevant Awarding Authority and reported at the next Awarding Authority meeting.

Only one award may be granted per year, individuals who have already received an award during the annual process are ineligible for consideration for an out-of-cycle award.