READERSHIPS/ASSOCIATE PROFESSORSHIPS

SUMMARY OF PRINCIPAL CHANGES

General changes

Document updated with effect from 1 September 2019 to incorporate the introduction of the title of Associate Professor and updates to the appointment process.[1]

*(Amendments to version **04.0**, UPR HR07, are shown in italics.)*

Structure

1 **INTRODUCTION**

These policies and procedures have been approved by the Academic Board[1].

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[1] Academic Board Minutes 418.1, 28 June 95; 701, 6 October 99; 289.3, 14 June 2006; 421, 7 November 2007, 514.2, 11 June 2008, 158, 20 Jun 2012, refer. Board of Governors: Minute 840, 9 July 2012, *Academic Board Minutes 622.3 22 June 2016,* refers.

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2   **DEFINITIONS AND GENERAL INFORMATION**

2.1   **Reader/*Associate Professor***

2.1.1   The title of *either* 'Reader' *or 'Associate Professor'* is awarded by the University to a member of the University's academic staff in recognition of a candidate's distinction in research, *learning and teaching, enterprise and* entrepreneurship., consultancy and original work in the creative arts or professional practice. A Reader or Associate Professor is a leader of national standing in his or her own field and is normally involved in the direct personal supervision of other staff and/or students. A Reader's or Associate Professor's work will have resulted in extensive public output, judged by peer review as being of outstanding quality.

2.1.2   *The title* of *either 'Reader'* or *'Associate Professor'* are *of an equivalent standard. The decision as to which of the titles a member of academic staff should apply for, is at the discretion of the individual member of staff. Only one title of either 'Reader'* or *'Associate Professor' can be applied for during the application round.*

2.1.3   *Following the award of a title, an appropriate workload allocation will be determined.*

2.1.4   members of the academic staff of the University may apply for *either* a Readership *or Associate Professorship* if they believe that they satisfy the relevant criteria.

2.1.5   *'Readers' or 'Associate Professors'* may also be appointed by external advertisement, in which case the procedure for appointment shall be in accordance with current University procedures for the appointment of new staff but a *Conferment* Panel will be constituted in accordance with the requirements of section 6.4 of this document.

2.1.6   The University's *approval* of the title 'Reader' *or 'Associate Professor'* will be withdrawn automatically upon termination of the holder's employment with the University of Hertfordshire. At the absolute discretion of the Vice-Chancellor, acting in his or her capacity as Chairman of the Academic Board, the title may be removed by the Board in the event of the holder's incapacity (UPR HR02[2], refers) or where misconduct on the part of the holder has been proven (UPR HR02[2], and section 7, refers).

3   **PURPOSE OF READERSHIPS/*ASSOCIATE PROFESSORSHIPS***

         The purpose of Readerships/*Associate Professorships* is:

i   to encourage individual research, *learning and teaching, enterprise and* entrepreneurship, together with publications, creative and scholarly activities of outstanding merit;

ii   to give due recognition to research, *learning and teaching, enterprise and* entrepreneurship, exhibiting excellence amongst the academic staff of the University;

iii   to reinforce the research, *learning and teaching, enterprise and* entrepreneurship, profile of the University by appointing, where appropriate, suitably qualified staff from outside the University;

iv   to assist staff in the development of new research, *learning and teaching, enterprise and* entrepreneurship, initiatives, including seeking funding from external funding agencies;

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[2]   UPR HR02 'Staff Disciplinary Policy'

v to encourage academic staff to promote research, *learning and teaching, enterprise and* entrepreneurship, in the University, for example, by leading the formation and growth of teams and of interdisciplinary activities.

4 CRITERIA FOR THE APPOINTMENT OF READERS/*ASSOCIATE PROFESSORS*

4.1 The title 'Reader' or *'Associate Professor'* is awarded in recognition of a candidate's proven achievements, although regard will also be given to the candidate's future potential. Candidates will be required to demonstrate their distinction as a scholar, teacher, business person, entrepreneur, consultant or practitioner in one or more of the following:

  i contribution by research, *learning and teaching, enterprise and* entrepreneurship, to the furtherance of knowledge, advancements of the subject or their application to society;

  ii standing in the subject or profession;

  iii their academic leadership.

  It is not expected that in any particular case all of these criteria will apply - or apply equally.

4.2 In interpreting the above criteria, the Academic Board has determined that:

  i in the context of Readership/*Associate Professorship* applications, 'distinction' implies a standing that would be recognised on a national canvas by those in the same discipline, profession or in the broader field of education;

  ii the University would wish to give as much weight to the skills and achievement of scholars, teachers, entrepreneurs, business people, consultants and practitioners as to those of more traditional scholars and researchers;

  iii the criteria adopted by the University are intended to demand a level of achievement no less than that traditionally expected within British universities, although the nature of the achievement need not be confined to those activities traditionally recognised by readership/*Associate Professorship* title and will reflect the vision and mission of the University.

4.3 As regards applications which it judges to be based on the above criteria, a *Conferment* Panel shall establish that the candidate is recognised by his or her peers as standing pre-eminent as a *researcher*, teacher, entrepreneur, consultant or practitioner in a defined field and enjoys a national reputation. The standing of such applicants will normally be reflected, as appropriate, to the discipline and/or profession in a distinctive portfolio of works and evidence of standing secured from eminent peer external assessors and personal referees.

4.4 An academic may seek *the title of either* Reader *or Associate Professor* for research activities and/or contributions of equivalence secured in learning and teaching *and enterprise and* entrepreneurship. Successful candidates will be able to evidence a material contribution to their subject and/or field of practice.

4.5 The work and activity cited in the application will be assessed against the criteria set out in this section (4) to determine whether it is of national distinction and that a prima facie case has been established for its further consideration using external peer review.

4.6 In reviewing an application for *either* Reader *or Associate Professor*, the University will look for evidence of the quality and effectiveness of the candidate's contribution, achievement, impact and peer recognition.

4.7 Above all, the University will seek to evidence that the candidate has made a material difference in his or her chosen field.

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4.8   **Interpretation of the criteria for a Reader *or Associate Professor***

4.8.1   In interpreting the candidate's case *for the title of* Reader *or Associate Professor, a Conferment* Panel will also be guided by the criteria set out in this section (4.8). In the case of staff seeking *the title of* a Reader/*Associate Professor* on the basis of a more traditional body of evidence arising from research, then the 'Research criteria will be dominant; for those staff seeking designation as a Reader/*Associate Professor* on the basis of their contribution to *learning and* teaching and *enterprise and entrepreneurship*, then the criteria for 'Learning and Teaching' or '*Enterprise and Entrepreneurship'* will be the focus.

4.8.2   Candidates, irrespective of whether the focus of their case is research, *learning and teaching or* entrepreneurial activities, will be expected to be able to meet the criteria set down in 'Professional Conduct' and 'Knowledge of Subject'. However, it is not required that all candidates meet all criteria across all areas. *Rather, the Conferment Panel* will take a considered view of the full case presented and evidenced by the candidate in arriving at a decision of whether the candidate has established a prima facie case, such that the *Deputy* ~~Pro~~ Vice-Chancellor *(or nominee)* can move to seek the views of external assessors, identified by the University and independent of the candidate.

4.9   Criteria and examples of evidence *can be found* in *the Appendices (section A1, refers).*

5   **THE UNIVERSITY OF HERTFORDSHIRE READER/*ASSOCIATE PROFESSORSHIP* – DEFINITION**

5.1   Readers/*Associate Professors* at the University of Hertfordshire are defined by reference to their distinction, standing and leadership in their subject and/or practice. The following framework provides a means of describing the range of activities that may be expected of a Reader.

5.2   The primary purpose of the readership/*Associate Professorship* role is to further the research, practice and innovation agenda of the University. University of Hertfordshire Readers/*Associate Professors* will help to maintain and enhance the University's reputation for research and scholarship, teaching and learning, entrepreneurship, business engagements, consultancy, original work in the creative arts and/or professional practice through their contribution to collective endeavours and through their own original works.

5.3   Together with other senior colleagues, University of Hertfordshire Readers/*Associate Professors* are expected to play an important role in the development of strategy and policies relating to research, entrepreneurship, business links, consultancy, original work in the creative arts and/or professional practice. They will be expected to assist more junior colleagues in realising their potential as scholars, teachers, entrepreneurs, consultants and/or practitioners.

5.4   The range of activities expected of a University of Hertfordshire Reader/*Associate Professor* may be expressed under the following headings:

i   undertaking novel enquiry and disseminating new knowledge and/or advances in practice;

ii   leading projects, teams and/or scholarly communities;

iii   teaching, learning and professional practice;

iv   subject advocacy, professional networks and knowledge exchange;

v   *enterprise and entrepreneurship.*

5.5   The duties of a Reader/*Associate Professor* are for Deans of School to determine. Designation as a Reader/*Associate Professor* does not carry with it any automatic consequences for the nature of the duties that might be undertaken by a Reader/*Associate Professor*. However, a significant contribution to the work and leadership of the School and/or University will be expected of all Readers/*Associate Professors*, which may include inter alia, staff and/or resources management, programme development and development of teaching and learning, research, business links and/or professional practice. The area in which Readers/*Associate Professors* contribute to the University/School may change over time. Readers/*Associate Professors* can be expected to contribute to their School in ways that may include some of the following duties:

i   assisting the School in developing research, entrepreneurship, professional practice and/or scholarly activity and developing corresponding links with other Schools and services, as appropriate, within and without the University;

ii   managing aspects that might include staff and/or other resources of the School's research, in association with the School's management;

iii   assisting colleagues in developing their research, business links, consultancy and/or professional practice and scholarly activity, including seeking and applying for external funding;

iv   undertaking teaching and learning activities, including the supervision of student research projects and dissertations;

v   supervising research degree students and mentoring less experienced colleagues in supervisory skills;

vi   undertaking research, business consultancy and/or professional practice as the lead academic;

vii   contributing to the development of the subject as a scholar;

viii   contributing to the collective good through professional conduct and action, demonstrating collegiality and good citizenship;

ix   representing their subject/profession at relevant external and internal fora;

x   such other duties as may be required by the Dean of School from time-to-time and that are commensurate with the nature of the role.

5.6   Readers who, for three (**3**) successive years, are unable to provide evidence of successful activities as defined in section 4, will normally be required to relinquish the title of 'Reader'. Such action shall be initiated by the Reader's Dean of School who, in consultation with the appropriate Pro Vice-Chancellor, will make a recommendation to the Vice-Chancellor.

5.7   The Vice-Chancellor shall seek the views of a *Conferment* Panel (section 6.4, refers) and will advise the Reader that the University is considering whether or not it would be appropriate for him or her to continue to use the title. The Reader will have the right to make a representation to a *Conferment* Panel before a final decision is taken about the case by the Vice-Chancellor.

5.8   Staff who are required to relinquish the title of 'Reader' shall *revert to* the *original* grade *prior to* their appointment.

5.9   Readers/*Associate Professors* may, with the agreement of their Dean of School, relinquish their *title* at any time. Staff who take such action shall retain the *original* grade *prior to* their appointment.

6   ***CONFERMENT PANEL* PROCEDURE**

The *Conferment Panel* process is managed on behalf of the Vice-Chancellor by the *Deputy Vice Chancellor and the* following Pro Vice-Chancellors:

Pro Vice-Chancellor (Research *and Enterprise*),
Pro Vice-Chancellor (*Education and* Student Experience);
Pro Vice-Chancellor (Business and International Development).

6.1   **Internal candidates – application for a readership/*Associate Professorship* not associated with an advertised post**

6.1.1   Internal candidates may submit an application for *a Readership/Associate Professorship in accordance with the timetable issued. In exceptional circumstances and at the sole discretion of the Deputy Vice Chancellor (or nominee), applications may be considered outside of the issued timetable.*

6.1.2   With the following exceptions, all applications must be made through the candidate's Dean of School. Where the candidate is not located within a School, the candidate's Head of Strategic Business Unit (SBU) is required to undertake the actions assigned to Deans of School in these regulations.

6.1.3   The Dean of School/Head of SBU will exercise his or her professional/academic judgement and determine, at his or her sole discretion, whether he or she is content to support the application. In reaching this decision, the Dean of School/Head of SBU may take account of internal or external advice.

6.1.4   Where the Dean of School/Head of SBU determines that he or she will not support the application, he or she will inform the candidate in writing and confirm to him or her that the application will not be taken forward.

6.1.5   Where the Dean of School/Head of SBU supports the application, he or she will:

a   write a letter in support of the application*;*
b   provide the names and contact information of *at least* three (**3**) external assessors with distinction in the applicant's field of endeavour, who are independent of the applicant (and will not, for example, have collaborated in a material way with the applicant in *their* work) who *will* be invited to provide *the Conferment* Panel with an independent opinion *of* the application; *and*
c   *submit* the *completed application to* the *Deputy Vice-Chancellor on behalf of the applicant*.

6.1.6   *Applications must include the following:*

a   *a full curriculum vitae and;*
b   *a synopsis of not less than 1,000 and not more than 2,000 words of the candidate's achievements, professional standing and future plans in his or her chosen field of endeavour (research, learning and teaching, enterprise and entrepreneurship), making specific reference to the criteria set out in section 4 of this document and;*
c   *the names and full contact information of three (3) academic, professional or other relevant referees of appropriate standing in the field who may be approached by the University regarding the application.*

6.2   **Applications for a Readership/*Associate Professorship* associated with an advertised post**

6.2.1   Internal or external candidates who meet the criteria for Readership/*Associate Professorship* may apply for any University of Hertfordshire Readership/*Associate Professorship* which is advertised externally.

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6.2.2 Applications must be made in accordance with the arrangements specified by Human Resources in the published advertisement and must contain the following:

    a   a full curriculum vitae and

    b   a synopsis, of not less than **1,000** and not more than **2,000** words, of the candidate's achievements, professional standing and future plans in his or her chosen field of endeavour, making specific reference to the criteria set out in section 4 of this document and

    c   the names and full contact information of three (**3**) academic referees of appropriate standing in the field who may be approached by the University regarding the candidate's suitability for appointment as a Reader/*Associate Professor*.

6.3 **Prima facie case**

6.3.1 *A Conferment Panel will be convened and chaired by the Deputy Vice-Chancellor to consider applications for the award of the title of Reader/Associate Professor.*

6.3.2 *An application will receive preliminary consideration by the Conferment Panel.*

6.3.3 *Where the Conferment Panel deems there is a prima facie case, the Deputy Vice-Chancellor will confirm this in writing to the candidate and refer the application to an Interview Panel for formal consideration.*

6.3.4 *Where a prima facie case has not been established, then a candidate will be informed in writing of that view and the reasons thereof.*

6.4 **Readership/*Associate Professorship Interview* Panel**

6.4.1 *The Deputy Vice-Chancellor (or nominee) will chair all Interview Panels. The Interview Panel will* consist of not less than three (**3**) members *of the Conferment Panel* and shall meet the following requirement:

6.4.2 *One member will* be of at least Reader/*Associate Professor* level *and* shall be in a field of endeavour relevant to the qualifying contribution on which the application is to be judged. *In the event that the nominee for the Deputy Vice-Chancellor is not at the level of Reader/Associate Professor, an additional member of the panel will be required at this level.*

6.4.3 *Recommendations from the Interview Panel will be considered at a meeting of the Readership/Associate Professorship Conferment Panel.*

6.5 *Readership/Associate Professorship Conferment Panel*

6.5.1 *The Readership/Associate Professorship Conferment Panel will confer a title of Reader/Associate Professorship on behalf of the Academic Board.*

6.5.2 *The Chair of the Readership/Associate Professorship Conferment Panel will ensure that applications are considered and shortlisted in accordance with the University's regulations for the recruitment and selection of staff.*

6.5.3 *The Chair of the Readership/Associate Professorship Conferment Panel will ensure that each candidate is notified of the panel's decision in writing.*

6.5.4 *Where a candidate's application has not been successful, the Chair will outline in a letter to the candidate the reasons for the decision.*

6.5.5 *The decision of the Readership/Associate Professorship Conferment Panel is final and there is no right of appeal.*

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6.5.6   Internal candidates for a Readership/Associate Professorship may re-apply after a period of not less than one (1) year.

6.5.7   The Chair of the Readership/Associate Professor Conferment Panel will report the appointments to the Academic Board and Board of Governors.

6.5.8   For successful candidates the appointments will be for a period of four (4) years, after which the candidate will be required to re-apply.

7   TITLE

7.1   Following appointment and appropriate consultation, successful candidates for a Readership will adopt a formal title *related to their field of endeavour,* such as 'Reader in Primary Education'.

Successful candidates for an Associate Professorship will be eligible for one of the following titles:
Associate Professor in Enterprise and Entrepreneurship
Associate Professor in Learning and Teaching
Associate Professor in Research

7.2   Formal titles will require the prior *Conferment* of the Vice-Chancellor, *Deputy Vice-Chancellor* or Pro Vice-Chancellor assigned the relevant portfolio who, in this regard, acts on the authority of *the* Readership/*Associate Professorship Conferment* Panel.

8   REMOVAL OF A READERSHIP/*ASSOCIATE PROFESSORSHIP*

Where at the conclusion of a disciplinary process (UPR HR02[2], refers), incapacity or an allegation of misconduct is proven against a Reader/*Associate Professor* who is a member of staff, the title of Reader/*Associate Professor* may be removed from the member of staff at the absolute discretion of the Vice-Chancellor, acting in his or her capacity as Chairman of the Academic Board, subject to a confidential report being made to the Board, by the Vice-Chancellor, at the earliest opportunity.

9   REPORTING REQUIREMENTS

The Chairman of the Readership/*Associate Professorship Conferment* Panel is required to report the appointment of Readers and *Associate Professors* to the next scheduled meeting of the Academic Board (UPR HR01[3], refers). Appointments and conferments will be noted by the Board of Governors.

S C Grant
Secretary and Registrar
Signed: **1 July 2019**

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[3]   UPR HR01 'Approved Titles'

APPENDIX A TO UPR HR07

A.1   *Criteria and examples of evidence in support of a case for Readership/Associate Professorship*

A.1.1   *Research*

RESEARCH	As evidenced by, for example:
Outputs and contributions	Research outputs of at least *internationally recognised* quality as defined in the subject area (for example, these may be defined by any national research assessment process) and/or learning community (pedagogic research) and/or professional practitioner groups/fora, evidence of diffusion and impact of research, for example, through citations, development of ideas by others, research awards, technology transfer, consultancy etc.
Research standing and esteem	Measures of peer esteem appropriate to the subject community and research activities. (for example, peer and/or expert review and/or editorship of original works, grants won, research conference presentations, invited presentations, exhibitions, internal/external research examinations etc. (Specify the nature and extent of your contribution for research grants/projects (for example, principal investigator, 40% of my time for 2 years, etc.)).
Professional practice/consultancy	Effective contribution to changing and developing practice (for example, national committee work, formulation of policy, standards of work, quality and scope and impact of consultancy work etc.)
Contribution to research based teaching and practice based teaching	Successful supervision of postgraduate taught and/or postgraduate research students, evidence that teaching and learning are informed by personal research and endeavours etc.
Contribution to the collective good	Effectiveness in team-based activities within and without the University that seek to advance the quality and opportunity of research, contribution to equality of opportunity in research etc.

Academic leadership	Achievements in leadership roles *(for example,* range *of* positions held, impact on research/teaching/professional practice within and/or without the University*)*.
Collegiality/good citizenship	*Citizenship contributions (for example,* committees, working groups, task forces, community groups, volunteering, supporting citizenship of the University and wider scholarly networks, being a good colleague*)*.
Development of self and others	Evidence of continued self-development *(for example,* roles as mentor/coach, contribution to staff development activities, awareness of equal opportunity issues*)*.
Awareness of wider context	*Evidence of awareness (for example,* understanding of *university and educational sector-wide issues and debates,* contribution to University and educational sector-wide issues and debates*)*.
External roles	*External contribution (for example,* external examinerships, consultancy, election to/membership of recognised national bodies, representing the School/Centre/University in external for a relevant to academic role*)*.

A.1.2   *Learning and teaching*

LEARNING AND TEACHING	**As evidenced by, for example:**
Conduct and currency of Teaching and assessment	Consistent high-quality student feedback *(for example, teaching qualification,* peer observation, external examiners comments, external reviews/validation/ accreditation outcomes, student outcomes, stakeholder views, effective project supervision of taught and/or research students, success in research student completions, final destination of research/taught students, recognition of equality of opportunity in learning and student diversity etc.*)*.
Reflective practice in relation to Learning and Teaching	Evidence of innovation and evaluation, demonstrable positive impact on advancing the student learning experience etc.

Leadership in relation to Learning and Teaching	Experience and success in leading academic colleagues in relation to learning and teaching *(for example,* experience and success in mentoring and/or coaching staff, achievements in relation to dissemination of new ideas, for example, changes to curriculum, development of new modules and/or courses and/or programmes and/or projects, indicators of peer esteem (for example, external activities, active involvement with Teaching and Learning groups/committees) etc*).*
Scholarship in relation to Learning and Teaching	*Development and dissemination of learning and teaching materials/projects/research (for example,* Editorship/authorship of student textbooks, book chapters in textbooks, editorship/authorship of collections, teaching guides and module booklets, open learning materials, e-based learning exercises, evidence of use and positive user evaluation, screening internal and/or external research funds/matched support etc.*).*
Curriculum development	Effective module leadership and/or programme leadership *(for example,* active contribution to programme development teams, engagement with PSBs, employer groups and other stakeholders, as appropriate, etc.*).*
Contribution to the collective good	Effectiveness in team-based activities within and without the University that seek to advance the quality and opportunity of teaching and learning, awareness of equality of opportunity issues in learning.
Academic leadership	Achievements in leadership roles *(for example, range of* positions held, impact on research/teaching/professional practice within and/or without the University*).*
Collegiality/good citizenship	*Citizenship contributions (for example,* committees, working groups, task forces, community groups, volunteering, supporting citizenship of the University and wider scholarly networks, being a good colleague*).*
Development of self and others	Evidence of continued self-development *(for example,* roles as mentor/coach, contribution to staff development activities, awareness of equal opportunity issues*).*

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Awareness of wider context	*Evidence of awareness (for example, understanding of* university and educational sector-wide issues and debates*, contribution to* University and educational sector-wide issues and debates*).*
External roles	*External contribution (for example,* external examinerships, consultancy, election to/membership of recognised national bodies, representing the School/Centre/University in external for a relevant to academic role*).*

A.1.3   ***Enterprise and entrepreneurship***

PROFESSIONAL CONDUCT	**As evidenced by, for example:**
Knowledge or technology transfer	*Evidence of leadership, business engagement and/or inventorship (For example, experience of Academic Supervisor, research and development in collaboration with external partners leading to new products/services/processes or up skilling of staff, publications authored with external non-academic partners, grant of registered intellectual property rights such as patent or registered design, participation in open innovation through licensing or open source means, spin-out or joint venture company creation).*
Consultancy and business support	*Evidence of expertise-based consultancy activity (for example, consultancy practice leading to defined business improvements in private business, public sector or third sector organisations, lead academic on wider consultancy projects, non-executive directorships of start-up or growing businesses based on academic reputation).*
Economic development activity	*Leadership in local, regional or national economic development activity (for example, operation of platform programmes to support business, using private or public funding, collaboration with local authorities or local enterprise partnerships, proactive engagement with innovation, incubation or Catapult centres, author successful bids).*

Employer engagement	*Track record of engagement in employer led education, training and development (for example, design and delivery of bespoke learning and development programmes for employers or professional bodies, establishing, input and successful delivery of a corporate degree, degree apprenticeship etc., contribution to CPD or professional qualification development at national level).*
Entrepreneurship	*Leading entrepreneurial practice at institutional, local or national level (for example, leadership in extracurricular activity such as business planning exercises or competitions, mentorship activity with entrepreneurs, engagement with the national enterprise, skills or innovation agenda through thought leadership or formal policy consultations, contribution to the advancement of UK entrepreneurial culture, author successful bids).*
Academic leadership	Achievements in leadership roles including range, positions held and impact on research/teaching/professional practice within and/or without the University.
Collegiality/good citizenship	Contribution to committees, working groups, task forces, community groups, volunteering, supporting citizenship of the University and wider scholarly networks, being a good colleague.
Development of self and others	Evidence of continued self-development, roles as mentor/coach, contribution to staff development activities, awareness of equal opportunity issues etc.
Awareness of wider context	Understanding of, and contribution to, university and educational sector-wide issues and debates.
External roles	Contribution to external examinerships, consultancy, election to/membership of recognised national bodies, representing the School/Centre/University in external fora relevant to academic role etc.
Contribution to the collective good	Effectiveness in team-based activities that seek to advance the mission of the University of Hertfordshire.

University Policies and Regulations (UPRs)
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