

THE UNIVERSITY OF SUSSEX

**Documents published by the University from time to time and referred to in the
Conditions of Service of Faculty**

The attached documents contain information which is referred to in the Conditions of Service of Faculty. They have been published in accordance with paragraph 2(d) of those Conditions.

Attachments

- (a) Remuneration
- (b) Procedure Agreement between the University and the local branch of the UCU
- (c) University practice relating to extra curricular and outside activities
- (d) Career progress
- (e) Leave
- (f) Appraisal
- (g) Removal expenses
- (h) University insurances
- (i) Medical retirement
- (j) Miscellaneous provisions

Version October 2016

THE UNIVERSITY OF SUSSEX**Remuneration**

The salary scales are published at <http://www.sussex.ac.uk/humanresources/1-2-15.html>

Superannuation

The national superannuation scheme for faculty is the Universities Superannuation Scheme (USS). USS has: (i) Career Revalued Benefits for all members on salary up to £55,000; (ii) a Defined Contribution (DC) section for members based on salary above £55,000; and (iii) an option for all members to make additional contributions to the DC section of USS and to claim an additional 'matched' 1% from the employer contributions (provided the member contributes an additional 1%).

October 2016

THE UNIVERSITY OF SUSSEX

(b) Procedure Agreement

The following Procedure Agreement between the University and the UCU is hereby published:

Procedure Agreement between the Council of the UNIVERSITY OF SUSSEX (hereinafter referred to as “the University”) and the University of Sussex Local Branch of the UNIVERSITY AND COLLEGE UNION (hereinafter referred to as “the UCU”).

1. It is the spirit and intention of this agreement to foster the best possible relations between the University and the UCU and to this end to provide a mutually acceptable method of consultation and negotiation.
2. The University and the UCU share a common interest in developing the objectives, national and international, of the University of Sussex and in improving its efficiency in matters administrative and academic. With these objectives in view, the UCU recognises the responsibility of the University through its government and administration – to plan, organise and administer its faculty, schools, and subject groups with whatever machinery it deems necessary. The University on its part recognises the responsibility of the UCU to negotiate on appropriate matters on behalf of those employees of the University who are covered by paragraph 3 below as well as to represent the interests of this group of employees in a consultative capacity.
3. This agreement covers academic and related staffs who are employed by the University on salary scales and ranges negotiated nationally between universities and the UCU, that is to say teaching faculty, research and analogous faculty, administrative faculty, library faculty and other faculty.
4. The University recognises only the UCU for the purposes of collective bargaining in respect of the employees specified in paragraph 3 above.
5. The University agrees that, before implementing alterations to any extant set of Conditions of Service or major changes in established practices (within the areas of activity defined in Paragraph 7 (i) below or relating to a matter which has become the subject of negotiation under 7(ii)) relating to the conduct of the duties carried out by employees specified in paragraph 3, it will negotiate with the UCU and deal with any consequent issues through the procedures as set out below.
6.
 - i) There shall be a Joint Negotiating Committee (hereinafter referred to as the JNC) which shall be responsible for negotiation between the University and the UCU on issues falling within the topics referred to in paragraphs 7 (i) and 7 (ii) below.
 - ii) As far as possible all matters of negotiation or concern to the parties shall be dealt with outside the JNC or through consultation.
 - iii) The UCU undertakes as far as possible to raise and to attempt to resolve any matter subject to negotiation or otherwise jointly of concern in the committee or group of the University established to deal with the matter and on which the UCU has agreed to be and is formally represented, and together with other trade unions to negotiate or consult on matters of common concern to them, the UCU and the University in appropriate bodies.

7. i) The following topics are agreed upon, as being appropriate for negotiation, in so far as the University has discretion in the matter:
- (a) Salary scales (but not salaries of individual employees)
 - (b) Superannuation
 - (c) Changes in Conditions of Service
 - (d) Sick leave, maternity leave, leave of absence, and study leave
 - (e) Appointment procedures, to the extent that they specify explicit qualifications for particular categories of posts, and in so far as they may affect the treatment of existing employees in relation to external applicants
 - (f) Conditions and procedures under which appointments are terminated
 - (g) Career progress procedures and policies
 - (h) Job evaluation
 - (i) Redundancy
 - (j) Grievance procedures
 - (k) Part-time and hourly paid appointments, if the holders thereof are covered by paragraph 3 above
 - (l) Fees for additional lectures and internal examinations
 - (m) Travelling and subsistence allowances
 - (n) Insurances, in so far as they relate to contingencies arising from employment with the University
 - (o) Appraisal
- ii) The University and the UCU may agree to other matters (not relating to individuals) becoming the subject of negotiation in the JNC, or of joint negotiation between the University, the UCU and other Unions concerned.
8. i) At any meeting of the JNC, the University side will consist of up to four members of the University appointed by the Council, and the UCU side will consist of up to four members of the University appointed by the UCU. The membership of either side may vary from item to item, provided that no more than four are present at any time. By agreement between the two sides, either side may in addition invite an adviser or advisers to take part in the negotiations on particular items.
- ii) Each principal will appoint a Joint Secretary, who may be from the four members or in addition to them. In the latter case the Joint Secretary may speak on matters of procedure or fact but may not have a vote nor take part in the negotiations.
- iii) The Chairmanship of the meeting shall alternate, and a quorum shall be two members from each side. The Chairman shall have an ordinary vote.
- iv) A decision shall be deemed to be reached when a majority of each side agrees.

v) Each side shall be responsible for communicating decisions of the JNC to its principal, on the basis of the agreed minutes of the relevant meeting. Decisions shall be subject to ratification by the principals. If they are not ratified, negotiations shall be re-opened.

9. i) References to the JNC should normally be accompanied by explanatory memoranda.

ii) A meeting will be scheduled each term in the Committee Timetable, but will be held on that scheduled date only if the need arises. Meetings will also be held at other times for urgent matters at the request of either side.

iii) Each side may be given advice by its principal as to the limits within which it should negotiate.

iv) The committee may adjourn at the request of either side for separate private discussions to be held.

v) The agenda and minutes of the JNC will be prepared by the Joint Secretaries, and the minutes will indicate in the margin whenever action is required and who is responsible for that action. The agenda will contain a report, including documents, from the Joint Secretaries of matters agreed since the last meeting which were subject to negotiation under paragraph 7 (i) and (ii) or in the process of consultation.

vi) In the event of agreement not being reached by the JNC on any negotiable issue following full discussion, either side may declare a dispute.

vii) When a dispute is declared the JNC shall consider the action to be taken appropriate to the particular dispute, on each issue.

viii) If this action fails to resolve the dispute, normally after a further JNC meeting, it may be referred by joint agreement of the parties to the dispute to the Advisory, Conciliation and Arbitration Service, or any other body agreed by the parties, for conciliation or arbitration.

ix) Conciliation involves an independent conciliator attempting to bring the two sides to common agreement.

x) Arbitration involves agreement by both sides to be bound by the decision of an independent arbitrator.

xi) In local disputes the UCU shall not seek approval for industrial action before opportunities to resolve the issues through consultation, negotiation and/or conciliation according to procedures set out above have been exercised.

In national disputes the UCU and the University shall consult as early as possible to avoid enduring damage to mutual relations, to the quality and reputation of teaching and research, and to the education of the students.

The University for its part in any dispute shall take no action and make no changes to employment practices or Conditions of Service before opportunities to resolve the issues through consultation, negotiation and/or conciliation according to procedures set out above have been exercised.

10. i) There shall be provision for consultation between nominated officers on any matters relating to the employment of staff specified in paragraph 3 above.

ii) Consultation shall be carried out according to guidelines to be established and as necessary revised from time to time and the JNC shall review in 12 months time those established in conjunction with this revision of the Procedure Agreement.

iii) The University and the UCU shall consult jointly on the implementation of matters which have been determined by agreement on a national basis or the implementation of new legal requirements affecting Conditions of Service.

11. Recognition shall be given in the allocation of duties to any employee who is a member of the UCU and holds the office of President, Secretary, Treasurer, or JNC Secretary. The work of these officers will be recognised as a load to be offset against other duties, and the fact of such work will be on the individual's record which is taken into account in the consideration of promotion and advancement. In the case of teaching faculty, this will normally be a load to be offset against teaching duties. The same shall apply to members of the UCU who for the time being are officers of the National Association. The extent of such recognition will be agreed in the JNC.
12. University facilities such as secretarial help, duplicating etc. shall be made available without charge to the UCU for matters directly concerning business falling under this Procedure Agreement. Facilities provided by the University for other purposes shall be chargeable to the UCU. The pattern of these facilities will be reviewed from time to time.
13. Neither the provisions of this Agreement, nor the decisions of the JNC, are intended to be legally enforceable.
14. The parties to this Agreement reserve the right to terminate it by giving three months' notice in writing, this period to exclude the summer vacation. Amendments may be made with the consent of both parties.
15. In this Agreement, the term "principals" means the University and the UCU which are defined as follows:

The University – the Council acting under the Charter and Statutes.

The UCU – the University of Sussex Local Branch of the University and College Union.
16. References in this document and in agreements reached by the JNC to particular University officers and committees shall be deemed to be references to such officers and committees as are from time to time responsible for the relevant functions in accordance with the Organisation of the University document for the time being in force.

Human Resources

1st November 98 (updated with UCU name change, Nov 2008)

The Information and Consultation of Employees Regulations 2004

Changes to the University's procedure agreements

The following is an addition to the University's procedure agreements with the UCU, Unite and Unison:

Information and consultation

In addition to the University's agreement to negotiate with its recognised trade unions on matters detailed in this procedure agreement, the University will inform/consult trade union representatives on issues which fall under the headings listed below.

The University will inform and consult trade union representatives at its termly meetings of the Joint Negotiating Committees, the Vice-Chancellors termly meetings with trade unions representatives, and any related sub-groups. It will also use written communication where appropriate, for example, the Bulletin; the annual review; email notifications; FAQs on webpages.

The information will provide the necessary background and inform representatives of the rationale for subsequent decisions on which they will be informed and consulted, and on which agreement between the University and its recognised trade unions may need to be reached. It will include:

1. Information about the University's activities and economic situation
2. Information about employment within the University
3. Information about conditions of employment

Note: Consultation under 2. and 3. does not include consultation about individual posts or members of staff, or very small numbers of staff, unless there are wider implications for other staff in the University.

The University will review the above arrangements with its recognised trade unions after a period of one year, and thereafter biannually, to ensure that staff are being informed and consulted about work-related issues in the most appropriate way.

THE UNIVERSITY OF SUSSEX

(c) University practice relating to extra-curricular and outside activities normally associated with academic and related posts

The following practice relating to extra-curricular and outside activities of members of faculty is hereby published:

1. Teaching Faculty

Extra-curricular or outside activities normally associated with teaching faculty posts in universities include external examining, book reviewing, advising on publications, writing articles, and undertaking broadcasts and lectures. No special permission to undertake such activities is required provided that they are not substantial. (See paragraph 18 of the Conditions of Service of Faculty.)

2. Research and Analogous Faculty

Extra-curricular or outside activities normally associated with research and analogous faculty posts in universities include external examining, book reviewing, advising on publications, writing articles, and undertaking broadcasts and lectures. The express approval of the Dean is required to undertake such activities. (See paragraph 12 of the Conditions of Service of Faculty.)

3. Administrative Faculty, Library Faculty and Other Related Faculty

Professional, extra-curricular or outside activities normally associated with administrative faculty, library faculty and other related faculty posts in universities include professional advisory work, external examining, book reviewing, advising on publications, writing articles, and undertaking broadcasts and lectures. No special permission to undertake such activities is required provided that they are not substantial. (See paragraph 5 of the Conditions of Service of Faculty in respect of administrative faculty and other related faculty and paragraph 9 of the Conditions of Service of Faculty in respect of library faculty.)

4. Continuing engagements (paid or unpaid) outside the University, or a substantial amount of consulting work, or any unusual extra-curricular, professional or outside service require prior consent as in paragraphs 12 (a) and 20 (b) as appropriate of the Conditions of Service of Faculty. The consent will be given if the Vice-Chancellor is reasonably satisfied that acceptance of the work will not interfere with the duties of the member and that it will not be in conflict with official University policy as decided by Senate and recorded in its minutes.

THE UNIVERSITY OF SUSSEX

(d) Career Progress

Academic Faculty

There is an annual cycle for promotions for all levels of academic faculty, with the exceptions given in the next paragraph. The timetable is published annually on the web and can be also obtained from the Human Resources Division.

Submissions for confirmation of appointment at the end of probation, and for Professorial titles can be made throughout the year as detailed below in Sections 1 and 3 respectively.

The procedures set out in this publication shall operate in all University of Sussex Schools. Where any procedures are impracticable in an academic unit then the Deputy Vice-Chancellor shall have the authority to amend the detail of the procedures so as to make them workable.

1. Procedures relating to the confirmation and termination of probationary appointments

- a) This section is supplementary to references to Probation in the Terms and Conditions of Employment and should be read in conjunction with them.
- b) Criteria
Before being confirmed in the appointment, a Teaching Faculty probationer must have demonstrated that, having regard to his or her experience and the opportunities offered, s/he has evidenced most of the following:
 - i) has satisfactorily engaged in the teaching of prescribed courses and the supervisory and tutorial work assigned to him or her;
 - ii) is a member of the Higher Education Academy, or has undertaken or is close to completion of the PGCertHE; or equivalent experience
 - iii) has satisfactorily evidenced engagement with wider aspects of student support
 - iv) has satisfactorily engaged in research towards the advancement of the subject;
 - v) has conscientiously carried out examining and assessment duties
 - vi) has competently performed such unit, Department or School duties as have been required;
 - vii) has engaged effectively in external networks, either in relation to the subject, or with external partners to further the objectives of the university
 - viii) shows promise by his or her work and enterprise of continuing to develop as a University teacher and a scholar.

And in the case of Clinical Academics:

- v) has satisfied the clinical governance requirements of the honorary contract held

A Research Faculty probationer will have demonstrated that s/he has demonstrated the criteria outlined in Appendix 2 as the appropriate criteria for the grade

While it is normally considered inappropriate for a probationer to assume administrative or executive duties of a non-academic character (e.g. as a Head of Department), if such duties are undertaken they will be taken into account in considering whether or not the appointment should be confirmed.

c) Information and Discussion

There shall be at least one meeting annually for Teaching Faculty, between the probationer and the Dean of the School and the Head of Department, meeting jointly, to discuss the probationer's progress in relation to the criteria for confirmation of appointments. There shall be one meeting in the first six months for Research Faculty, between the probationer, Principal Investigator, Programme Leader or equivalent and Head of Department, Director of Graduate Studies or nominee (for SPRU, the Director of Research or nominee). Prior to such meetings, relevant colleagues shall be consulted by the senior member of that group, and the probationer shall be invited to submit a report on the duties and responsibilities undertaken. In such a meeting the senior member of that group will make use of all available information and will make clear the nature of such information to the probationer. If the senior member of the group believes that there are, or are likely to be, grounds for dissatisfaction with the probationer, s/he shall state those grounds to the probationer in writing as well as in discussion.

d) Decisions and Procedures

The decision whether the probationer's appointment should be confirmed, extended or terminated will normally be taken not later than the third month of the third year of the appointment for Teaching Faculty; the third month of the fifth year for Clinical Academic Senior Lecturers; and not later than six months after commencement of employment for Research Faculty. A recommendation will be made by a Probation Committee consisting of the same group as in c) above, with the addition of a non-probationary member elected by and from the Department meeting without student representatives at the beginning of each academic year. The Committee's recommendation will be based on all relevant information (see paragraph 5 below), and will be submitted to the Deputy Vice-Chancellor on behalf of the Vice-Chancellor, whose decision:

- i) if it is to confirm the appointment or extend the probationary period, shall be subject to confirmation by the Vice-Chancellor on behalf of the Senate.
- ii) if it is for termination of the probation shall be subject to the right of appeal as given below;

e) Appeals

If the Deputy-Vice-Chancellor decides that a probationer's appointment should be terminated, the probationer shall be informed in writing of the decision, of the reasons for it, and of the appeals procedure. The appeals procedure shall be as set out in Statute XXI, a copy of which may be obtained from the Human Resources Division.

2. **Procedures for the Advancement of Academic Faculty up to Professorial Grade.**

2a **General**

- i) The criteria for Teaching Faculty are given at Appendix 1 and for Research Faculty at Appendix 2
- ii) All cases for sub-professorial promotion (but not the title of Reader) will be made initially to the School Promotion Board (SPB), which will be constituted as detailed in the Organisation of the University. (See vi) below for the Award of the Title of Reader)
- iii) In considering cases for promotions, information should be used as detailed in Section 5 below.
- iv) In the case of Lecturer A to B, and Research posts 1A to 1B and 1B to Grade II, the School Promotion Board will consider and decide the cases and report its decisions to the Academic Promotions, Advancements and Titles Committee (APATC).
- v) Cases for L to SL, and for promotion to Senior Research Fellow (Grade III) will be considered initially by the SPB and references taken up only on those which evidence a prima facie case. These will then be re-considered by the SPB, who will rank their recommendations to APATC accordingly for a final decision on promotion.
- vi) Cases for the title of Reader will be considered by APATC only.
- vii) APATC will report on all sub-professorial level promotions and titles to Senate and Council and the bodies to which they have delegated responsibilities.

2b **Procedures**

Lecturer A to Lecturer B

- i) Lecturers on the top point of Grade A will be automatically considered for advancement, and the Dean will report on each to the SPB.
- ii) Lecturers below this point may apply or be recommended for advancement and will be considered by a group as given in 1d) above, where the elected member is at minimum a Lecturer B.
- iii) If the SPB disagrees with that Group's report, it shall refer the report back to the Group for comments, and shall formulate its recommendations after considering those comments.
- iv) Lecturers at the top point of Grade A who are refused advancement to Grade B because they have been judged not to have met the required standard will be informed in writing of the reasons and of what must be achieved. They may obtain feedback from the Dean.

Research Officer to Fellow

- i) Research Officers and Research Fellows Grade 1 may apply or be recommended for promotion by their Head of Department
- ii) Researchers who are refused advancement because they have been judged not to have met the required standard will be informed in writing of the reasons and of what must be achieved. They may obtain feedback from the Head of Department.

Lecturers to Senior Lecturers and Research Fellow to Senior Research Fellow

- i) These faculty may apply or be recommended for promotion through their Head of Department.

- ii) Candidates who apply for promotion and who are not promoted will be informed of where their performance in one or more of the criteria is insufficient to justify promotion. Candidates will be told the nature and/or extent of the shortfall, and will be given advice on how to improve their performance through the appraisal and career development process.

2c. **Appeals**

- i) An appeal may be made against a refusal of advancement to Grade B or Research Fellow, to Senior Lecturer or to Senior Research Fellow, on the grounds of a defect in procedure or that the Committee acted unreasonably in its decision.
- ii) An appeal should be submitted to the Director of HR by the end of the term following the term or vacation in which the decision to refuse advancement was notified.
- iii) The Appeal Committee will consist of the following, who shall not have been a member of the SPB: a Dean, nominated by the Vice-Chancellor; a Senior Lecturer, Reader or Professor, belonging to a Department other than the appellant's similarly nominated by the Vice-Chancellor; and a member of the appellant's Department chosen by the Department meeting without student representatives, who will be at a grade higher than the appellants.
- iv) The following may also attend meetings of the Appeal Committee for the purpose of hearing all submissions and of commenting on them: the appellant; (if the appellant wishes) a person chosen by him or her; and the Chair of the Promotions Board which reached the contested decision.
- v) The Appeal Committee shall have access to all material available to the appropriate Promotions Board, and references supplied in confidence will remain confidential to the Appeal Committee.
- vi) It will reach its decision after all those who are not members have withdrawn. Its decision shall be final, subject to confirmation by the Vice-Chancellor on behalf of the Senate and Council.

2d. **Title of Reader**

- i) Proposals for such recommendations may be made to the Academic Promotions Advancements and Titles Committee by Deans, where the candidate is already at Senior Lecturer Grade, or by the SPB, where the candidate is not yet at Senior Lecturer Grade.

3. **Procedures for Promotions to Professorial Grades and Titles**

- i) The Academic Promotions Advancements and Titles Committee will consider whether there is a prima facie case for promotion to a professorial grade and title. In considering such promotions all available information (see paragraph 5 below) will be used as far as is practicable.
- ii) If the Academic Promotions Advancements and Titles Committee decides there is a prima facie case in respect of a member, it may act on behalf of the Senate and the

Council and may appoint a Professorial Appointing Committee, membership of which will be as detailed in the Organisation of the University.

- iii) The candidate will normally be asked to attend the Professorial Appointing Committee for interview.
- iv) The Chair Appointing Committee will consider whether the member should be promoted to a personal chair and, in the event of a positive decision, will submit a recommendation to the Senate and the Council and the bodies to which they have delegated responsibilities.

4. **Salary Reviews**

- i) The salaries of all sub professorial academic faculty will be reviewed annually by the Dean. The APATC will receive recommendations for additional or discretionary increments or bonuses from Deans. In the case of clinical academics, discretionary increments will be dealt with under iv) below
- ii) Such awards will be granted in cases of special ability or special responsibilities to reward those whose performance and contribution was **outstanding**, and to allow the needs of particular disciplines to be met.
- iii) Professorial salaries will be reviewed annually by the Remuneration and Review Committee, following recommendations from the Vice Chancellor following consultation as appropriate.
- iv) Clinical Excellence Awards for Clinical Academic staff will be reviewed in conjunction with the current NHS scheme for additional reward, using the protocol agreed by the university for staff of BSMS.

5. **Information to be used in matters relating to career progress**

A. The following information is essential for each candidate for all levels of academic faculty promotion. **Should such information not be made available to the Committee in reasonable time, the case will not be considered.**

- a) An up to date curriculum vitae (including such matters as those listed below [this list is a guide and further information is regularly updated on the web]):

Name

Present post

Qualifications (degrees etc.)

Academic career (with dates) and other relevant experience

Publications and research interests

Teaching, research and other academic duties, such as examining recently or currently being undertaken

Committee membership, external and internal, and other administrative duties

External academic duties or commitments.

- b) Details of teaching, showing hours of teaching, range of courses, introduction of new courses etc.
- c) Names of three external referees supplied by the candidate.

And for clinical academic staff only

d) Details of clinical duties assigned and undertaken

B. A committee will also have available:

a) the names and contact details of three independent referees OR

Written references (where relevant) from referees or assessors.

b) Written assessments by the Head of Department. In the case of submission for the title of Reader, written assessments also from the Dean, and in addition, for promotions to professorships such assessments will include at least two others from existing Professors in cognate subjects. Such assessments should be structured so as to cover such matters as teaching (load, spread, ability), academic and, where appropriate, other administration, any general contributions to the life of the University, research and publications, professional standing and external references (where relevant).

C. Any supporting statement the member wishes to make available, e.g. an agreed summary of the appraisal record.

Amended 02.04

Administrative Faculty, Library Faculty and Other Related Faculty

The following procedures relating to the career progress of members of the administrative faculty, library faculty and other related faculty are hereby published.

The definitions given in the Conditions of Service of Faculty also apply to this document. In addition, 'Office Head' means the administrator responsible to a senior officer for the office or unit or section in which the member works.

1. Procedures relating to the confirmation and termination of probationary appointments

- a) This section is supplementary to paragraphs 30 and 31 of the Conditions of Service of Faculty, and should be read in conjunction with them. In this section, a member whose appointment is probationary in accordance with that paragraph is called a probationer.

- b) Criteria Relating to Administrative Faculty

Before being confirmed in the appointment, a probationer must have demonstrated to the relevant senior officer that he or she has the appropriate levels of competence and industry in the exercise of his or her duties and of professional skill and judgement in administrative support of the University's activities, and shows promise of continuing to develop as a university administrator.

- c) Criteria Relating to Library Faculty

Before being confirmed in the appointment, a probationer must have demonstrated that he or she has the appropriate levels of competence in the performance of his or her duties and of professional skill and judgement in the provision and management of library services.

It is considered inappropriate for a probationer to assume administrative or executive duties within the University that are not related to librarianship; if such duties are undertaken they will not be taken into account in considering whether or not the appointment should be confirmed.

- d) Procedures Relating to Administrative Faculty and Other Related Faculty

Assessments will be made during the probationary period by the Office Head. The person making the assessment will meet the probationer and discuss progress in relation to the criteria for confirmation of appointments. At such a meeting the person will make use of relevant information and will make clear the nature of such information to the probationer. If the person making the assessment believes that there are, or are likely to be, grounds for dissatisfaction with the probationer, he or she will state those grounds to the probationer in writing as well as in discussion.

- e) Procedures Relating to Library Faculty

There shall be at least one meeting annually between the probationer and the Librarian and the senior librarian within whose divisional responsibility the probationer's principal duties are carried out, to discuss progress in relation to the criteria for confirmation of appointments. Other appropriate members of library faculty may be consulted by the Librarian or senior librarian prior to a meeting, and the probationer shall be invited to

submit a report on the duties and responsibilities undertaken. At such a meeting, the Librarian and senior librarian will make use of relevant information and will make clear the nature of such information to the probationer. If the Librarian believes that there are, or are likely to be, grounds for dissatisfaction with the probationer, the Librarian shall state those grounds to the probationer in writing as well as in discussion.

f) Decisions

The decision whether the probationer's appointment should be confirmed, extended or terminated will be taken not later than six months before the probationary period is due to end. The decision will be based on relevant information and will be taken by the appropriate officer as follows: in the case of members of the Administration, by the Registrar & Secretary in consultation with the senior officer; in the case of a member of the other related faculty, by the senior officer; in the case of members of the library faculty, by the Librarian after consultation with a group consisting of the Librarian, the senior librarians and one other member whose appointment has been confirmed and who is chosen by the Librarian and the Chairman of the Library Sub-Committee of the AUT, jointly. Such decisions shall be subject to confirmation by the Vice-Chancellor on behalf of the Council.

g) Appeals

If the appropriate officer referred to in paragraph 1 d) decides that a probationer's appointment should be terminated, the probationer shall be informed in writing of the decision, of the reason for it, and of the appeals procedure. The appeals procedure shall be as determined by the University from time to time, and until further notice as set out in Statute XXI, a copy of which may be obtained from the Staffing Services Division.

2. Annual Review criteria and procedures

- a) Normally the salaries and grading of administrative faculty, library faculty and other related faculty are reviewed annually. In the context of the effective operation of the University, the objective of the Annual Review is to ensure that members are equitably rewarded in terms of grading and salary for their contribution to the management and administration of the unit in which they work and to the University and for their abilities and merit.
- b) During the Annual Review each member's level of industry and of professional skill and judgement in the performance of their duties during the period of review and their potential for development will be considered. Additional increments are awarded mainly on the basis of performance during the preceding year. Promotions from one grade to another are made in the light of the management and administrative needs of the University and within the constraints, including financial constraints, within which the University has to operate. Each promotion is based upon the duties to be assigned to the member being promoted and upon the member's merit and potential.
- c) During the Spring Term heads of budgetary units are invited to consult senior colleagues as appropriate and to submit recommendations on promotions and the award of additional increments or bonuses to members on grades 1 to 5 to the Standing Review Committee.
- d) The salaries of officers on grade 6 are reviewed by the Remuneration Committee.

- e) Members may put their case for promotion in writing and, if they so desire, orally, to the head of the unit and may be interviewed by an office head or senior officer. If the member's case for promotion is not supported by the head of the unit, the member may make their case for promotion in writing to the Standing Review Committee.
- f) The current membership of the Standing Review Committee is the Vice-Chancellor (Chair), Senior Pro-Vice-Chancellor, an ex-Dean from the Planning & Resources Committee, a lay member of Council, Registrar & Secretary and Finance & Business Director.
- g) The current terms of reference of the Standing Review Committee are to give formal approval to proposals for promotions, additional increments and bonuses arising from the annual review of non-academic faculty and proposals for the promotion of clerical and technical staff to non-academic faculty grades.
- h) The Standing Review Committee normally meets in the Summer Term to consider recommendations and relevant documentation. If the Committee is not clear about some elements of any case, it may seek clarification from the head of the unit before coming to a final decision.
- i) Exceptionally, recommendations from heads of units may be agreed at other times, out of the context of the annual review, by the Chairman's Committee on the recommendation of the Chairman of the Standing Review Committee.

July 2001

CRITERIA FOR THE APPOINTMENT AND PROMOTION OF ACADEMIC FACULTY

TEACHING FACULTY

APPENDIX 1

1 GENERAL

- 1.1 Initial placement on the appropriate scale will take into account qualifications and experience. Market considerations may, in some fields, dictate a higher placing than would normally have been expected.
- 1.2 Teaching faculty promoted from one grade to another will be placed on the minimum point of the higher grade or one incremental point above that already reached on the lower grade, as appropriate.
- 1.3 It is not necessary for every criteria set out below for a particular grade to be met to enable an appointment to be made or a promotion to be agreed. It is, however, expected that most will be met.
- 1.4 At each level, the criteria include those described in previous levels, including those for successful completion of probation at 1b) above.
- 1.5 Promotion is dependant solely on individual performance, and is not competitive. There will be no separate complement of staff at any level.
- 1.6 Where a member of staff is part-time, the contribution on which they are considered will be appropriately pro-rated
- 1.7 Many of the criteria given below will be ably demonstrated by a summary of the appraisal record

2 LECTURER A TO LECTURER B

For Lecturers who reach the top point for Lecturer A, progression to Lecturer B will be the normal expectation. Other Lecturers can progress to Lecturer B if they have demonstrated progress and achievement against the following criteria:

- A first degree and normally a PhD, or equivalent scholarly or relevant professional activity
- Active engagement in teaching and learning, including course design and assessment, with an understanding of appropriate pedagogy in the subject area demonstrated by the inclusion in the submission of a teaching portfolio
- Demonstrated progress in research and scholarly activity typically evidenced by publications;
- Demonstrated progress in making applications for funding; in initiating or developing contacts with partners outside of the university; and in wider involvement in the subject area
- Contribution to duties in the department or unit

LECTURER TO SENIOR LECTURER

Senior Lecturer is the Career grade for teaching faculty. In considering promotion to this grade, each candidate's performance will be considered in relation to all of the criteria below, but the Committees may, at their discretion, recommend promotion for exceptional achievement in only one or two of the criteria.

- Significant contribution to teaching and learning, including in areas of delivery and assessment; typically evidenced by positive peer and student evaluation and by production of a reflective teaching portfolio
- Evidence of successful curriculum design or re-design
- A national and/or international reputation in the field of study, typically evidenced by a monograph; by book chapters; by text books; by publications in refereed journals of high quality; by successful application for research funding; and by the supervision of research students
- Pro-active contribution to the unit, Department or School
- Demonstrated contribution to raising the university's profile through external networks in the subject or professional area and/or through the creation and development of commercial/industrial partnerships

And for Clinical Academics:

- Will have their CCST, or be within three months of achieving it
- OR
- will have evidence of comparable achievement acceptable to the GMC
- OR
- JCPTGP certification or certificate of equivalent experience

READER

The title of Reader may be awarded to members of teaching faculty on any scale, but it is most usually used at Senior Lecturer level. The title is awarded as a mark of personal distinction for an important contribution to the advancement of the subject. Candidates for the title will be expected to have achieved an exceptional level in research with demonstrated competence in teaching.

- **Research:** Candidates will have a record of substantial publications; and a sustained and independent research reputation, acknowledged nationally and internationally (if necessary demonstrating an individual role in collaborative research). Important contributory evidence may come from such areas as the ability to attract research grants, contracts and/or consultancies and successfully to supervise doctoral students.
- **Teaching and Learning:** The Committee will look for evidence (from the self-evaluation of teaching and learning provided by the candidate and from statements consequent upon internal consultation) of quality in teaching and learning; of thoughtful and effective innovation in the development of new courses and/or programmes; and of leadership in the promotion of teaching and learning in the subject.

PROFESSOR

In considering promotions to professorships, the paramount objective of the University is to ensure that promotion is made on merit. The University requires evidence of exceptionally high academic standing and will give consideration both to 'internal' criteria (e.g. teaching and academic administration) and to 'external' criteria (e.g. research and professional standing).

Candidates for promotion to a Professorship will be expected to have made a broad, sustained contribution to their field and discipline nationally and internationally, and normally to have achieved exceptional performance in research. Demonstrated leadership in the development of teaching in

their subject and field may play a dominant part in a case. Service to their subject, to the University and to higher education in administrative or research capacities may contribute to the case.

- **Research:** Candidates for a Professorship will be expected to have distinguished themselves by the volume and quality of completed research and to have demonstrated strong leadership, national and international standing and recognition, together with the ability to inspire colleagues to develop their own research potential; to supervise doctoral students successfully; and to realign work in their field. Where appropriate, proven ability to attract research grants, contracts and/or consultancies will be important factors in the judgement of the Committee.
- **Teaching and Learning:** The Committee will look for evidence (as from the self-evaluation of teaching and learning provided by the candidate and from statements consequent upon internal consultation) of quality in teaching and learning; of thoughtful and effective innovation in the development of new courses and/or programmes; and of leadership in the promotion of teaching and learning in the subject. Where teaching and learning criteria are expected to play a dominant role in a particular case for a Professorship, evidence of innovative thinking and practice which has changed the nature of teaching and learning in the candidate's field will be looked for. Candidates may present evidence of publications on and research contributions to the development of the pedagogy of the discipline or field and/or of contributions to national policy making and educational debate.
- **Service and Administration:** The Committee will wish to see evidence of significant contributions to the work of the Subject and School and to the needs of the institution as a whole. Undertaking major administrative tasks within the University and/or fostering the cause of the subject and of the University by accepting tasks such as service on relevant national, regional or local bodies will also be taken into consideration.

1 GENERAL

1.1 The salary scales, in ascending order, and job titles associated with research staff are as follows:

Grade 1B	Research Officer
Grade 1A	Research Fellow
Grade II	Research Fellow
Grade III	Senior Research Fellow
Grade IV	Professorial Fellow

(In the case of staff appointed to the Science and Technology Policy Research Unit, *Research* is exceptionally omitted from the title.)

Grades 1B, 1A and II cover the extent of the Lecturer A and B salary scales. Grade III coincides with the salary scale for Senior Lecturers and Readers. Grade IV is equivalent to the salaries of Professors.

1.2 Initial placement on the appropriate scale will take into account qualifications and experience. Market considerations may, in some fields, dictate a higher placing than would normally have been expected.

1.3 Research staff promoted from one grade to another will be placed on the minimum point of the higher grade or one incremental point above that already reached on the lower grade, as appropriate.

1.4 The appointment or promotion of research staff is contingent on the availability of funding.

1.5 It is not necessary for every criteria set out below for a particular grade to be met to enable an appointment to be made or a promotion to be agreed. It is, however, expected that most will be met.

1.6 At each level, the criteria include those described in previous levels.

1.7 Where a member of staff is part-time, the contribution on which they are considered will be appropriately pro-rated

1.8 The university of Sussex is wholly supportive of and sees this document as a key contributor to its implementation of the Research Concordat 1996

2 RESEARCH OFFICER, GRADE IB

This is a training grade and the normal level of appointment for staff entering research employment for the first time.

- Relevant honours degree (min 2:1) or equivalent qualification or experience.
- Informed of current developments in the subject area.
- Ability to exercise a degree of innovation and creative problem solving requiring post degree level scientific input.

- Works under the general supervision of a more senior colleague who determines the broad direction of the work to be undertaken.
- Is involved in the collection of data, interpretation of results and initial writing up of results.
- Demonstrates clear, logical and concise written and oral communication skills.
- Ability to prioritise and meet deadlines.
- Ability to work as part of a team.

3 RESEARCH FELLOW, GRADE 1A

This is the first career grade for research staff.

The duties of a Research Fellow appointed at or promoted to this level would normally reflect the research elements of a Lecturer A post

- Evidence of capacity to design, plan and organise independent original research demonstrated either by the award of a PhD/DPhil or academic, charitable, commercial or industrial research experience and written output equivalent to that required for a PhD/DPhil.
- Ability to evaluate methods and techniques used and results obtained by other researchers and to relate appropriately such evaluations to own work.
- Under the broad direction of a more senior colleague, with capacity to gain substantial independence towards the top of the grade.
- Ability to communicate and present research results within own research group and through publications and other recognised forms of output.
- Ability to form effective relationships with partners outside the university, in support of their research, for example members of the general public, policy makers; NGOs etc
- Ability to guide more junior staff and students.
- General understanding of issues relating to the management of research, including funding.
- Evidence of successful engagement in teaching or supervision

4 RESEARCH FELLOW, GRADE II

A post of Research Fellow, Grade II is broadly equivalent to Lecturer B. Research Fellows appointed at or promoted to this level will normally carry a level of responsibility and a range of duties appropriate to a person with substantial research experience.

- Evidence of significant independent contributions to the design and execution of research.
- Creditable record of sustained research output evidenced by publications, reports prepared for sponsoring bodies, participation in seminars, conferences, etc.
- Evidence of independent research reputation and professional recognition evidenced, for example, by serving on peer review committees, acting as a referee for journal articles or research grant applications.

- Ability to lead and manage a small research group or programme or assist in the running of a larger group or programme.
- Ability to co-ordinate and supervise successfully the work of more junior research and support staff.
- Evidence of successful relationships with partners outside the university, in support of their research, for example members of the general public, policy makers; NGOs etc
- Ability to supervise /DPhil students.
- Ability to play constructive role in obtaining research funding.
- Evidence of successful engagement in teaching or supervision

5 SENIOR RESEARCH FELLOW, GRADE III

Senior Research Fellows are equivalent to Senior Lecturers and Readers. The research profile of those appointed on or promoted to Grade III will be at least commensurate with those appointed as or promoted to Senior Lecturer, and perhaps closer to that expected for promotion to Reader.

Appointment at or promotion to Senior Research Fellow will only be made where the candidate can demonstrate individual research achievement. Managing and planning research may be a part of that achievement but will not be the principal justification for appointment or promotion.

- Substantial achievements over a continuing period in terms of completed independent research and related publications, including articles in refereed academic journals and/or books.
- Evidence of an established national reputation and a known or developing international reputation evidenced, for example, through citations, academic distinctions (including editorship of, or refereeing for, journals, grant reviewer for awarding bodies, services for learned societies), industrial collaboration, external DPhil examining, invitations to speak at national and international meetings.
- Evidence of successful supervision of doctoral students.
- Ability to lead and manage a major research group, including mentoring and supervising others.
- Ability to attract significant external research funding, including helping to raise funds for other researchers possibly within the specific school.
- Substantial evidence of positive relationships with partners outside the university, in support of their research, for example members of the general public, policy makers; NGOs etc
- Capacity to contribute to departmental policy formation.
- Commitment to the broader work of the University for example by taking responsibility for some administrative roles and tasks or serving on relevant committees.
- Evidence of successful engagement in teaching or supervision

6 PROFESSORIAL FELLOW, GRADE IV

A Grade IV salary is equivalent to a Professorial salary. The research profile of a candidate for appointment at or promotion to Professorial Fellow will be commensurate with those seeking appointment to a Chair or promotion to a personal Chair.

- Evidence of outstanding, distinguished contribution to the discipline through publications, creative work and other appropriate forms of scholarship.
- Evidence of academic distinction and international reputation for outstanding research achievements.
- Proven ability to devise and direct large research projects, including leading large multi-disciplinary teams and/or collaborating with groups in other higher education institutions and/or the public and private sector.
- Proven ability to inspire colleagues to develop their own research potential.
- Proven ability to attract significant external research grants, contracts and/or consultancies.
- Substantial evidence of successful relationships with partners outside the university, in support of their research, for example members of the general public, policy makers; NGOs etc
- Evidence of successful supervision of doctoral students.
- Commitment to the broader work of the University and Higher Education generally reflected, for example, through taking on major administrative tasks or serving on committees and working parties.
- Evidence of successful engagement in teaching or supervision

Amended 02.04

THE UNIVERSITY OF SUSSEX**(e) Leave**

The following conditions and procedures relating to leave of members of faculty are hereby published:

I Maternity Leave (Paragraph 46)

- (a) Members are asked to inform their Head of School, head of unit or senior officer as appropriate in writing as early as possible that they are pregnant, so that the University can carry out the requirements on it to assess the risks to the health of new and expectant mothers. In the event that this assessment shows that the member is employed on work which may involve risk to her health and safety as a new or expectant mother, or to that of her child, arrangements will be made to protect both the mother and her child having regard to statutory health and safety provisions. Any member concerned about their health and safety should discuss their concerns with their Head of School, head of unit or senior officer at the earliest opportunity.
- (b) A pregnant employee has the right to paid time off to attend ante-natal care, but must produce evidence of appointments if requested.
- (c) Entitlements to maternity leave and pay are set out in the Maternity Guide at <http://www.sussex.ac.uk/humanresources/documents/e48.pdf>.

II Short Term Leave (Paragraph 47)

- (a) The University may grant special leave of absence from his or her duties to a member without reduction of salary for periods of less than one term in the case of members of the teaching faculty or research and analogous faculty, or three months in other cases, on any of the following grounds:
 - (i) attendance at courses and conferences, and visits, connected with his or her work or the advancement of knowledge in the subject;
 - (ii) for the discharge of civic and public duties;
 - (iii) compassionate grounds, eg urgent family affairs, or the prolonged illness of a member of the family.
- (b) In the case of members of the teaching faculty or research and analogous faculty, applications for short-term leave during term should be made to the Head of School.
- (c) In the case of members of the administrative faculty, library faculty or other related faculty, applications for short-term leave term should be made to the head of unit or designated senior officer, and may be granted by:
 - (i) the head of unit or designated senior officer for periods of less than one month;
 - (ii) the Vice-Chancellor, for periods of one month or more.

III Study Periods (Paragraphs 48 and 49) or Leave for Career Development (Paragraph 50)

- (a) The University recognises the importance of study periods (ie leave from teaching duties with salary normally for one, two or three terms, for research, educational development, or other approved purposes at the University or other approved location), and will seek to grant it within the constraints of staffing and University finance to members of the teaching faculty whose appointment is not temporary at the rate of one term for each three years of the member's service. Unpaid leave shall not normally count as service for calculating amounts of paid study periods for which application may be made. Plans for work to be undertaken during periods of study leave should be discussed with the Head of School (or nominee/s), and outputs will be reviewed with the member of staff on return from study leave.
- (b) The University recognises the importance of leave of absence with salary for periods of up to one year for training, research, and allied approved purposes related to the duties and responsibilities of a member of the administrative faculty, library faculty or other related faculty as set out in Section II of the Conditions of Service of Faculty, and will seek to grant it within the constraints of staffing and finance, to members whose appointment is not temporary. The member may be required to submit a report at the end of the period.
- (c) In the application for a study period or leave for career development, the member shall provide detailed statements of the research or study he or she intends to undertake and of the relevant financial arrangements. The study period or leave for career development will be granted with full or part salary in the light of those arrangements, and that salary may be adjusted if those arrangements are changed (eg as in paragraph (f) below).
- (d) Applications from members of the teaching faculty for a study period shall be submitted as early as possible, and not later than any dates notified to members of the teaching faculty from time to time. Applications should be submitted to the relevant academic office holder nominated by the University, who will seek to provide such study periods in the light of teaching requirements and competing claims at the time.
- (e) Applications for leave from members of the administrative faculty, library faculty or other related faculty shall be submitted to the head of unit or designated senior officer as early as possible and not later than six months before the start of the proposed leave. The head of unit or senior officer will decide whether the proposed training, research or allied purpose should be approved as being related to the duties and responsibilities of members, and if he or she does so decide he or she will discuss it with senior colleagues in the light of operational requirements and constraints, and will make a recommendation for written approval of the Vice-Chancellor. Applications for leave by a head of unit or senior officer shall be submitted to the Vice-Chancellor.
- (f) Paragraphs 5, 9, 12 or 18 as appropriate of the Conditions of Service apply to a member while on a study period or on leave for career development, and the member is reminded that if he or she undertakes any paid employment he or she must, subject to the practice published by the University from time to time, notify the Head of School, head of unit or senior officer as appropriate. If the member is a Head of School, head of unit or senior officer he or she must notify the Vice-Chancellor.

IV Leave Without Salary (Paragraph 51)

- (a) The University may grant to a member leave of absence without salary for a period of up to one year; in exceptional circumstances, such leave may be granted for a longer period.
- (b) Applications for unpaid leave shall be submitted as early as possible and not later than any dates notified to members from time to time. They will be considered for approval by the relevant Head of School, head of unit or senior officer as appropriate, and will be subject to the approval of the Vice-Chancellor.
- (c) A major criterion in considering an application from a member of the teaching faculty will be the contribution of the proposed leave to the member's academic achievements, experience or qualifications, or to the University's academic reputation. But the University's academic and teaching commitments must not be jeopardised by the absence of too many members at one time, and leave will be provided in the light of teaching requirements, of competing claims for leave at the time and within the constraints of staffing and University finance.
- (d) A major criterion in considering an application from a member of the administrative faculty, library faculty or other related faculty will be the contribution of the proposed leave to the member's career or professional achievements, experience or qualifications, or to the University's reputation. But the University's commitments must not be jeopardised by the absence of too many members at one time, and leave will be provided in the light of operational requirements, of competing claims for leave at the time and within the constraints of staffing and University finance.

V Holidays and Hours (Paragraphs 39 and 42)

- (a) The University office hours are 9.00 a.m. to 5.30 p.m. (including one hour's break for lunch), Mondays to Fridays inclusive.
- (b) Applications for holiday with pay shall be made to the head of unit or designated senior officer or his or her nominee as long in advance as possible.
- (c) It is the aim of heads of unit and senior officers, in consultation with senior colleagues, to grant holidays at the times applied for by members, subject to operational requirements.
- (d) If the exigencies of the work so require, a head of unit or designated senior officer and a member may agree that the member shall forego up to half his or her leave entitlement for the current year (that is excluding any entitlement brought forward from the previous leave year) and carry it forward to be taken in the following leave year. Any such agreement shall be in writing.

May 2012

THE UNIVERSITY OF SUSSEX

(f) Appraisal

Outline of Procedures

1. These procedures apply to all members of faculty (the appraisee), with the exception of members of the research and analogous faculty with an appointment or successive appointments totalling less than one year; Deans or heads of units may at their discretion include members of the research and analogous faculty with appointments of less than one year.
2. The appraisal procedures will be compatible with the development of equal opportunity policies and with the maintenance of academic freedom.
3. The principal purpose of the career development and appraisal system is to promote staff development. Other purposes of the system are to help individual members to develop their careers within the University, to identify changes in the organisation or operation of the unit or the University which would enable individuals to improve their performance, to identify and develop potential for promotion and to improve the efficiency with which the unit or the University is managed.
4. Responsibility for the conduct of appraisal of members of the teaching faculty and the research and analogous faculty rests with Deans as members of the teaching faculty. Other members of the teaching faculty designated by Deans after consultation with the permanent members of the teaching faculty in the School, and responsible to the Dean of the member's School of primary allegiance, will be encouraged also to become appraisers. (The term 'Dean' throughout includes the Director of the USIE and the Director of the SPRU.) Deans and Pro-Vice-Chancellors will be appraised by appraisers appointed by and responsible to the Vice-Chancellor. In exceptional circumstances, an appraisee may request that an alternative appraiser should be chosen. Normally one appraiser will be designated for an appraisee, but in special circumstances, at the suggestion of either the appraisee or the Dean and with the agreement of both, more than one appraiser may be designated. In such circumstances, one of the appraisers will exercise the responsibilities of an appraiser listed below.
5. Appraisal of members of the administrative faculty, computer faculty library faculty and other related faculty will be undertaken by appraisers designated by the head of unit after consultation with senior colleagues. Heads of units will be appraised by the Vice-Chancellor.
6. There will be a meeting between the appraisee and the appraiser at least every two years, the period to be determined at the Dean's or head of unit's discretion, except where an annual meeting is determined by other procedures eg for probationary lecturers. The appraisee may request an annual meeting.
7. The following factual information should be available for the appraisal interview:
 - (i) The appraisee should submit on a standard form a factual report in respect of the period since the previous appraisal. In the case of members of the teaching faculty this should list the teaching undertaken, publications accepted or other research in progress, offices undertaken and other activities and also providing course preparation material in

consultation with the appraiser. In the case of members of the research and analogous faculty this should give details of his or her contribution to the progress of current research projects or project on which he or she is engaged, publications accepted and additional relevant activities, including teaching where undertaken, administration of research, development and fund raising for new projects since the previous appraisal

- (ii) The appraiser will ensure that material bearing upon the effectiveness of the appraisee's performance is available. Any such material available to the appraiser should be made known to the appraisee, who may read any such material on request.
- 8. The appraisal will be retrospective, looking back on performance since the previous appraisal and prospective, with agreement on a forward plan of action to be taken.
- 9. The forward plan is agreement on action to be taken to build on strengths or remedy weaknesses and the period over which the action will be taken.
- 10. In the case of members of the teaching faculty, categories of performance to be appraised include: Teaching; Research; Administration; Other Related Activities.
- 11. Members will be encouraged to appraise their own performance. The discussions at the appraisal meeting should be frank and constructive. While the appraisee is encouraged to appraise his or her own performance, the comments recorded by the appraiser will be the appraiser's own views. The appraiser will record comments on the appraisee's performance on a standard form. The appraisee will be able to read the comments, and record any dissenting views on the form.
- 12. The appraisal forms are confidential, and copies will be kept only by the appraisee, the appraiser and the Dean or head of unit, except that a copy shall also be forwarded on request to the Vice-Chancellor, to enable the Vice-Chancellor to discharge his obligations to ensure that appraisals are being carried out satisfactorily and that common standards of judgement are being applied. The Vice-Chancellor may delegate this consideration, but otherwise will maintain the confidentiality of the records. The Dean or head of unit may draw the Vice-Chancellor's attention to cases of disagreement between the appraisee and the appraiser. The Dean or head of unit may also involve other officers as appropriate in discussion of follow-up action.
- 13. It will be the responsibility of the Dean to read the appraisal reports of all members of teaching faculty and research and analogous faculty of the School and to initiate any follow-up action as seems necessary. In particular the Dean will discuss any individual or general staff development needs with the appropriate University officer responsible for career development and training.
- 14. The career development and appraisal system is separate from the annual review, but they nevertheless relate to each other in several ways. Unsuccessful candidates for promotion may seek advice at the appraisal meeting on how to improve their performance. The procedure for making appraisal records available to promotion committees will be for the appraisee and the appraiser to produce an agreed summary of them.
- 15. The training and advice on conducting the interview to be given to appraisers will be provided through the Staff Development Unit.

Updated July 2001

THE UNIVERSITY OF SUSSEX

(g) Removal expenses

The University will reimburse staff taking up a new appointment at the University for certain expenses incurred in the process of moving to the area, subject to the following conditions.

1. The maximum amount payable will normally be £2,500, although in exceptional circumstances the head of the staff member's budgetary unit may agree to this limit being exceeded, following consultation with the Staffing Services Division.
2. Within this overall limit, expenditure will be reimbursed to cover the following items:
 - (i) professional fees and disbursements (including solicitors', surveyors' and estate agents' fees); and
 - (ii) removal company and van hire charges.
3. Any expenses claimed will only be payable on production of invoices or receipts proving that the expenditure has been incurred. These should be submitted with the expenses claim form and must be submitted within 14 months of taking up the post, unless the Unit head in exceptional circumstances has agreed to extend the deadline.
4. Expenses will normally be payable to all new staff living at least 20 miles away from the University and who have had to move to within 20 miles of the University in order to take up their post, although the Unit head has discretion to vary this after consultation with the Staffing Services Division.
5. Removal expenses will only be payable to staff whose contract is for one year or more. However, new staff employed on a contract of less than one year who contract is subsequently extended beyond one year will then be eligible for removal expenses.
6. Any member of staff who claims removal expenses and who leaves the University's employment within three years of their start date (except through redundancy or the expiry of a fixed term contract) will be required to repay the expenses, by deduction from final salary unless otherwise agreed, on the following scale:

first year of employment: 100%
second year of employment: 50%
third year of employment: 25%

July 2000

THE UNIVERSITY OF SUSSEX

(h) University Insurances

(Paragraph 57)

This document is currently being reviewed and updated.

In the meantime, for further information please contact:

Jo Rogers Insurance Officer on Extension 3934, email J.Rogers@suusex.ac.uk

THE UNIVERSITY OF SUSSEX

(i) Medical Retirement of Faculty

The procedures relating to the ill-health retirement of members of faculty are as set out in Statute XXI, a copy of which may be obtained from the Staffing Services Division.

THE UNIVERSITY OF SUSSEX

(j) Miscellaneous Provisions

The following are topics which are not appropriate for inclusion in the formal Conditions of Service but which are worthy of mention and are hereby published:

1. A member of faculty appointed to a full-time permanent post is expected to reside within a reasonable distance from the University so that he or she is at all times able to carry out his or her duties. A distance of 20 miles as the crow flies from the University Park is normally a guide to the maximum reasonable daily travel.
2. The holding or processing of information on individuals which a member of staff may handle in the course of his or her duties is subject to the Data Protection Act 1998 and the University's Code of Practice on Safeguarding the Confidentiality of Personal Information. It is the policy of the University that all members of staff must comply with this Act and the Code of Practice. The Data Protection Act refers to information stored in computers as widely defined, including word processors, ("equipment operating automatically in response to instructions"), whereas the Code of Practice refers to all personal information about an individual learned in the course of a member of staff's duties. The University has designated a Data Protection Officer to oversee compliance with the Act.

The attention of members of staff is drawn in particular to the following points:

- i) Information concerning individuals learned in the course of a member of staff's duties must not be communicated to other persons or bodies unless required to do so by law or for the proper purposes of University business, or with the consent of the individual concerned, and any disclosure of information must be consistent with the University's registration under the Data Protection Act.
- ii) It is the responsibility of all staff members to ensure:
 - a) that appropriate measures are taken to ensure that information which they obtain, including information given on computer print-out, microfiches etc, is not accidentally divulged to unauthorised persons, and that appropriate care is taken in disposing of printed information, and
 - b) that the measures relating to their particular offices, to ensure the security of personal information, are applied, and
 - c) that any personal data they handle has been registered under the Data Protection Act, and that the Data Protection Officer is informed of any data which is not registered or of any changes or deletions that might affect the University's registration. For anyone handling personal data that they do not themselves control, this responsibility is met by checking with the person who controls the data.

Guidelines about the Act for students in a School who are handling personal data in their academic work will be determined by the Dean of each School and communicated to the School's students and teaching faculty.

A code of Practice on the Data Protection Act, with Annexes on subject access requests and on security has been issued, and Section Heads or appropriate academic officers will inform staff of the security measures applicable to their office.

- iii) Staff who are data holders may hold personal data only in accordance with the University's registration under the Data Protection Act, except where a member of staff has chosen to register as a Data User for his or her University academic work, and where a member of staff has chosen to be so registered he or she should inform the Data Protection Officer. Data holders should make appropriate arrangements for access to their data whenever they are absent from the University.
- iv) No employee is permitted to remove from the University personal data with the intention of processing this on another computer, unless such use is recognised and authorised as part of the system. The standard of security at another site should be adequate having regard to this code of practice.
- v) The University will use its resources to support any employee or student who faces court proceeding for alleged breaches of the Act connected with the University's registration, if that employee or student has acted in a reasonable manner, and in accord with this Code of Practice.

Copies of the Code of Practice on Safeguarding the Confidentiality of Personal Information, which gives staff rights of access to their manual personal files, and of the Code of Practice on the Data Protection Act, may be consulted for reference in School Offices, the Library, or the Staffing Services Division.

- 3. Men and women shall be equally eligible for any appointment in the University. No religious, racial or political test shall be applied to any applicant or upon appointment to any post.
- 4. Members of faculty are free to express political, religious, social and professional views both privately and in public, provided that this is done explicitly in their own name and not in that of the University.
- 5. On appointment a member of faculty will receive a copy of the University's Safety Policy and an outline of the safety organisation. The Policy and Organisation documents are re-issued in building safety handbooks from time to time.

July 1994