Senior Appointments Panel of the Personnel Committee (SAP) procedures

The membership and role of the Senior Appointments Panel:

The SAP consists of the Vice-Chancellor, Pro-Vice-Chancellor (People and GLAM), Pro-Vice-Chancellor (Education) and the Pro-Vice-Chancellor (Research). It advises the Vice-Chancellor on:

- the *ad hoc* conferment of titles of distinction;
- above scale payments to Associate Professors for recruitment and retention purposes;
- above scale payments to senior clinical researchers (grade E82) for recruitment and retention purposes;
- salary approval on appointment for statutory professors and additional payments to substantive readers and professors for retention purposes;
- the creation, grading and salaries for senior administrative posts (grade ALC6) and senior research posts (grade RSIV) and the appointment of individuals to such posts without advertisement.

Cases will only be considered on the grounds of retention where the need is acute i.e. a firm offer has been made and it is thought likely that the individual will accept it, or there is clear evidence of momentum towards such an offer. The SAP does not make awards on the grounds of equity.

Submission of cases:

Cases are considered at meetings, which are held monthly. Very pressing cases may be considered by correspondence or by the Vice-Chancellor on behalf of the panel.

All cases should be submitted to the secretary to the SAP (currently: sarah.kilgour@admin.ox.ac.uk) by the relevant divisional office under cover of a letter from the Head of Division.

All cases will be reviewed by the secretary to the SAP against the procedures and any incomplete cases will be returned by the Secretary for completion. If departments or divisions will not be able to provide any required item of information in a timely fashion, they should contact the Secretary in the first instance to discuss their options.

All requests should:

- include formal confirmation that the costs are fully funded. Cases should be signed off by the relevant Divisional Financial Controller;
- include a CV for the current or proposed postholder; and
- provide confirmation of the views of the college of association whenever relevant.

Please use the links below to navigate to the detailed procedures for the following:

- **Conferment of titles of distinction on the grounds of recruitment or retention**
- **Requests for a salary supplement for Associate Professors (grade 10a) and senior clinical researchers (grade E82) on appointment**
• Requests for a salary supplement for Associate Professors (grade 10a), Professors, Readers and senior clinical researchers (grade E82) on retention grounds

• Requests to create new RSIV and ALC6 positions
  – Requirements for the creation of all RSIV posts
  – Situation 1: Creating RSIV and ALC6 posts for advertising
  – Requirements for the creation of and appointment to grade RSIV in situations 2-4
  – Situation 2: Creating RSIV posts for the purpose of retention of an existing staff member in the face of an offer of alternative employment
  – Situation 3: Creating RSIV and ALC6 posts for the purpose of managed moves (this includes regradings)
  – Situation 4: Creating RSIV posts for external candidates without advertisement

Requests for conferment of titles of distinction on the grounds of recruitment or retention

Cases for the conferment of full professorial title or which include a request for the conferment of title should:

• provide three references from full professors at prestigious universities, explicitly comparing the individual to the University’s distinctions criteria. The referees should not be nominated by the individual;

• specify the exact title requested e.g. ‘Professor of French Literature’;

• specify the date of effect; and

• confirm that conferment of title would be consistent with decisions previously made in the subject-area by the Recognition of Distinction Committee or the SAP.

Requests for a salary supplement for Associate Professors (grade 10a) and senior clinical researchers (grade E82) on appointment

Cases requesting a salary supplement on appointment should:

• explain the rationale for the proposal, in terms of the academic importance of recruiting that particular individual. It must be made clear why it is thought that the normal salary would not be sufficient to recruit the proposed postholder;

• specify the proposed salary package, including any college income (if applicable) as well as any variation from the standard set of terms and conditions;

• provide evidence to show that the proposed total salary would not lead to unacceptable salary anomalies; and

• include the proposed postholder’s CV with the references received.

Requests for a salary supplement for Associate Professors (grade 10a), Professors, Readers and senior clinical researchers (grade E82) on retention grounds

Cases requesting a salary supplement for Associate Professors (grade 10a), Professors, Readers and senior clinical researchers (grade E82) for retention purposes should:
• explain the rationale for the proposal, in terms of the academic importance of retaining a key and distinguished member of the academic staff;
• specify the proposed supplement and the proposed salary package, including college income (if applicable) as well as any variation from the standard set of terms and conditions;
• provide evidence to show that the proposed total salary would not lead to unacceptable salary anomalies;
• provide details of the offer and a copy of it, wherever possible; and
• explain why it is thought that the proposed supplement will be sufficient to achieve retention.

Requests to create new RSIV and ALC6 positions

Different processes apply depending upon the reason for establishing the RSIV or ALC6 post, which are set out in situations 1-4 below.

Additional requirements are in place for the creation of and appointment to grade RSIV. In all situations:

a) A recruitment board made up of the Head of Division, Head of Department from the employing department, and two further Heads of Department from the employing division should consider the request to create and make an appointment at RSIV and make a recommendation to the SAP.

b) The academic field into which it is proposed to recruit should be defined in a sufficiently explicit way to place the role in its academic context but also be defined broadly enough so as to return a balanced view from external referees.

c) A joint submission from the department and division should be prepared for the SAP specifying why the RSIV post is critical to the department and division for the future.

d) The business plan, which is received by the division for the approval of the Divisional Financial Controller, should be submitted to SAP as part of the request. Commentary on the longer term funding of the post, balance on external and University funding, and the impact on space and facilities should be provided, with reference to any other senior posts in the department which might be affected by the proposed creation of the RSIV post i.e. by the reduced availability of space that will result.

e) The Divisions should specify the number of vacant Statutory Professorships in the department and division: for situation 1 provide commentary on why an RSIV post rather than a Statutory Professorship is appropriate and for situations 2-4 specify whether in the longer term the individual proposed for appointment will be suitable for and therefore encouraged to apply for a Statutory Professorship. RSIV posts should only be used for special opportunities which arise to recruit and retain the highest calibre academics. It is recognised that the teaching and research landscapes differ across divisions and therefore the balance of types of academic post differ but the creation of RSIV posts should not significantly alter the balance in any division without clear strategic justification being provided.
Situation 1: Creating RSIV and ALC6 posts for advertising

Cases requesting the creation of a new post for advertising should:
- set out the rationale for the post;
- provide a graded job description;
- specify whether the proposed post is permanent or fixed-term (including the duration if it’s fixed-term);
- specify the proposed salary and details of the funding; and
- provide evidence to show that the proposed salary would not lead to unacceptable, internal salary anomalies

Requirements for the creation of and appointment to grade RSIV in situations 2-4 (below). In all cases to ensure the University is only recruiting and retaining the highest calibre of academics the following should be provided:

a) An assessment of the individual alongside the other top ten people in the relevant field in the world and a summary of any conversations held with these people to date about the opportunity to work at Oxford.

b) Three name-blind external references. Following consultation with the department these should be decided on and requested by the division and ask referees to provide commentary on the top three to five researchers in the relevant field. The SAP will reserve the right to request external validation of the references, whereby a further external referee will be asked to review all the documentation, including the original references.

c) A clear indication of the individual’s track record of research grant income and record of publication.

Situation 2: Creating RSIV posts for the purpose of retention of an existing staff member in the face of an offer of alternative employment

Cases requesting the creation of an RSIV post for the purpose of retention should:
- set out the academic rationale for the retention proposal, outlining the individual’s academic standing and contribution to the University. An assessment of the difficulty anticipated in replacing the individual with a researcher of equivalent global standing should be supplied;
- if the move is from the Associate Professor grade to an RSIV post, provide clarity as to what will happen to the underlying teaching. The impact on the balance of teaching and research should be specified along with a clear statement on the teaching strategy in the employing department. The position of the college should be provided and the college should specify how it proposes to deal with any reduction in teaching.
- provide a graded job description;
- specify whether the proposed post is permanent or fixed-term (including the duration if it’s fixed-term);
- specify the proposed salary and details of the funding;
• provide contextual data on the number of staff and the proportion of women in senior academic and research roles in the department and (as far as is known) in the subject nationally;
• provide (where the proposed salary is to be different from the individual's current salary) the salaries of other staff at the same level in the department, and their legal sex;
• provide commentary on the individual's standing in the subject globally;
• provide details of the offer and a copy of it, wherever possible; and the division should confirm that it has considered all the options available to retain talent, including but not limited to:
  o the conferral of title, which SAP can award outside of the gathered field exercise on the grounds of retention
  o the award of salary supplements equivalent to levels of professorial distinction award
  o an application for variation of duties for a defined period of time to allow an individual to undertake a particular project
The case should address why the above would not be sufficient to retain and why therefore an RSIV post is required.

**Situation 3: Creating RSIV and ALC6 posts for the purpose of managed moves**

Requests for regrading existing staff to grade RSIV or ALC6 will be considered under this route.

Cases requesting the creation of an RSIV or ALC6 post for the purpose of a managed move should:

• set out the rationale for the post. When a proposal to create an RSIV post is driven by a need to provide research leadership in a particular area, the case should set out the academic rationale for the arrangements proposed;
• provide a graded job description;
• specify whether the proposed post is permanent or fixed-term (including the duration if it's fixed-term);
• specify the current and proposed salary and details of the funding;
• provide a narrative on how the individual was identified, which other potential candidates were considered and the grounds on which the proposed postholder was selected;
• provide a list of any potential female candidates identified with an explanation of why they are not being offered this opportunity;
• provide the salaries of any comparable posts, at departmental or divisional level, as appropriate, with the legal sex of the postholders;
• if the move is from the Associate Professor grade to an RSIV post, provide clarity as to what will happen to the underlying teaching. The impact on the balance of teaching and research should be specified along with a clear statement on the teaching strategy in the employing department. The position of the college should be provided and the college should specify how it proposes to deal with any reduction in teaching; and.
- the division should confirm that it has considered all the options available to retain talent, including but not limited to:
  - the conferral of title, which SAP can award outside of the gathered field exercise on the grounds of retention
  - the award of salary supplements equivalent to levels of professorial distinction award
  - an application for variation of duties for a defined period of time to allow an individual to undertake a particular project

- The case should address why the above would not be sufficient to retain and why therefore an RSIV post is required

**Situation 4: Creating RSIV posts for external candidates without advertisement**

The SAP considers that in the vast majority of cases, it will be preferable to create an RSIV post for advertisement and invite individuals to apply, rather than to appoint them without advertising. For those exceptional cases in which appointment to an RSIV without advertising is the only way to achieve an objective that is vital to the University’s continued growth and good reputation requests should follow the following three stage process:

**Stage 1: Application by division for the creation of an RSIV post to be filled without advertising**

The division should include in the case any information they believe to be relevant and potentially helpful to the SAP in reaching a decision, to include as a minimum:

1) a narrative outlining:
   a) how the opportunity to recruit this individual came to light i.e. did the individual approach the department or has it come to light through other means that an individual is interested in moving between institutions; and,

2) contextual data as appropriate, to include:
   a) the number of statutory professors and RSIVs, and the proportion of women in those grades at departmental level (and, when appropriate, the sub-department);
   b) the proportion of women in academic and senior research posts (as far as is known) in the subject nationally: departments and divisions should decide how to define the ‘subject area’ e.g. physics, or sub-atomic physics, in the way that will be most helpful to the SAP in understanding the context for the proposal.

3) a description of how the individual's research will fit with departmental academic priorities;

4) if the case seeks a permanent appointment, details of how the post will be supported in the absence, now or in future, of grant funding to support the salary and associate costs;

5) confirmation that the individual is and will continue to be below the EJRA for the term of any proposed fixed-term contract
In accordance with the requirements set out in page 4, at this stage in the process the division should provide:

a) An assessment of the individual alongside the other top ten people in the relevant field in the world and a summary of any conversations held with these people to date about the opportunity to work at Oxford.

b) Three name-blind external references. Following consultation with the department these should be decided on and requested by the division and ask referees to provide commentary on the top three to five researchers in the relevant field. The SAP will reserve the right to request external validation of the references, whereby a further external referee will be asked to review all the documentation, including the original references.

c) A clear indication of the individual’s track record of research grant income and record of publication.

Departments should not conduct negotiations with an individual about salary or other terms prior to SAP approval for the creation of the post, to avoid reputational damage if approval is not received. If an individual approaches the Department, any discussions should be as brief as possible and clearly based on the understanding that the Department cannot make any guarantees. If the Department wishes to approach an individual they believe to be interested in moving, they should seek SAP approval before making an approach. This includes naming individuals on research grant applications. In such cases SAP approval in principle should be sought to create the post, make an appointment without advertising, and specify a salary before any grant application is submitted.

**Stage 2: Decision-making in principle**

On receipt of cases, the SAP will consider whether to:

1. approve the creation of the post for appointment without advertising, subject to successful receipt of references and negotiations with the individual on salary and terms;

2. seek more data, where appropriate from external sources, which might include:
   a) asking the department (via the division) to provide further detail in particular areas of the case;
   b) asking the Secretary to acquire further contextual information about the gender balance and/or most eminent scholars in the subject area;
   c) requiring the department to ‘sound out’ the interest of the list of eminent scholars in the potential post.

The SAP will then reconsider the case at the earliest opportunity.

3. approve the creation of the post but require the department to progress to an advertisement in all normal media and a competitive selection exercise (to be brought to the attention of the department’s preferred target and some or all of those on the list).
**Stage 3: Finalising the package**

When approval to enter negotiations with an individual is given, departments may open discussions over the details of the package. Before a firm offer is made, the SAP must approve the proposed package including salary, any start-up costs, and any other benefits outside of the normal terms of a senior academic-related post, such as a temporary or partial exemption from the ‘30-day rule’.

[The expectation is that RSIV staff make a contribution to teaching and administration equivalent to that of a statutory professor, and approval should be sought for any other arrangement. Leave equivalent to sabbatical may be included in the package if the individual will undertake a full teaching and administration load; otherwise, no leave equivalent to sabbatical can be included without the SAP’s approval.]

The following details should be provided in support of the case:

- the individual’s proposed salary and key terms;
- the individual’s current salary (and any relevant terms of their package), if known;
- the current salary and key terms (to include teaching requirements and sabbatical or equivalent leave) of all RSIVs and statutory professors in the department, by legal sex with an explanation for any significant differences between those who are to be colleagues.

September 2018