

Principles and instructions for the conferment of the title of Associate Professor by divisional boards

These principles are intended to promote comparability between divisions in the process and criteria for the award of the title of Associate Professor to those who do not automatically qualify for it but who:

1. are employed by the University or, in certain circumstances by one of the colleges;
2. have evidence of ongoing funding; making a significant and sustained contribution to the achievement of the University's goals; and
3. are of comparable distinction to those holding the substantive post of Associate Professor¹.

Individuals who hold a college-only appointment but who have made and are expected to continue to make a significant contribution to the work of a Department in terms of teaching (including supervision) and administration and who meet the criteria listed below can be nominated for the title of Associate Professor by the Head of Department. It is recognised that there will be few instances in which individuals make the requisite contribution without a University employment contract. The willingness to undertake duties will not justify the award of title.

- Nominations to be made by Heads of Department who are required to convene an internal panel. The panel should discuss the possibility of nomination with those who would be likely to qualify, and the panel composition should be included as part of the nomination.
- Decisions to be made by Divisional Boards, or by an appropriately senior and experienced sub-committee of the Board, on the delegated authority of the Board.
- Submissions by the Head of Department will include:
 - the applicant's **up-to-date CV and application form**;
 - **a statement from the Head of Department** confirming that the individual's duties are comparable to an academic post-holder;
 - **a short reference by the Head of Department or an appropriate, senior academic from within the Department**², attesting to the quality of the individual's contribution and demonstrating that the following criteria have been met;
 - an **independent, external assessment** obtained by the Head of Department or by the departmental referee, of the individual's research standing. The assessor should have no *active* collaborations with the individual (no active grants shared, no active collaborative projects and not published together in the last 5 years).

¹ See Annexe A for clarification and for MSD definition of research

² Please indicate **clearly** if the senior academic's reference is representing the Head of Department.

- Divisions may if they wish, seek additional references, including external references, if they are deemed necessary to establish whether applicants have met the criteria below. The Medical Sciences Division will seek such additional references.
- Applications for college employed staff should include a reference from the Head of House, addressing the quality of teaching carried out in the college, in comparison to the standards expected of a substantive Associate Professor.
- The criteria for the award of the title of Associate Professor are:
 - An independent programme of research and grants as a key focus of their role and of a standard equivalent to that required for confirmation in post as an Associate Professor
 - A teaching role comparable with that of a substantive Associate Professor, to include DPhil supervision to at least confirmation or completion. Teaching and administrative duties are carried out at no less a level of excellence than is expected of a substantive Associate Professor.
 - Contribution to other departmental duties, academic and otherwise, demonstrating the level of citizenship expected of a substantive Associate Professor, and personal contribution to Equality, Diversity and Inclusion actions in their group³.
- **Applicants have to meet all three criteria outlined above.** There will be no appeal, but Heads of Department will be able to re-nominate individuals for consideration on an annual basis. Whilst resubmission one year later is allowed, this is **strongly** discouraged as it is usually difficult to address any gaps in successfully meeting the criteria in such a short time frame. Applicants **must** indicate whether they have applied previously, and, if so, **must** include a statement (no more than one page) of changes since the last application. Please see [Demystifying the AP title process - PowerPoint Slideshow](#) for more information.

³ Please indicate how you are personally contributing to Equality, Diversity and Inclusion (EDI) actions in your group and department, demonstrate the commitment to EDI both in terms of research design, and also in terms of actions around gender, race and broader equality at all levels, including Athena Swan. This may include information on what you are personally doing to further the aim of EDI in your workplace.

INSTRUCTIONS

1. Please complete the application form fully even if the information is available on your CV, which should be enclosed. A letter of support by your Supervisor or your Head of Department should be provided with your application, detailing how you have met each of criteria 1 to 3, plus a statement from your Head of Department confirming that your duties are comparable to an academic post-holder.
2. Your application will be considered only if all four documents (completed application form, CV, HoD statement and letter of support) are submitted. All documents should be submitted to your department, so that they can be assessed and submitted electronically to the Division.
3. Applications (not including the CV) must consist of one document comprising no more than 12 pages of A4 in total (with a font size no smaller than the equivalent of Arial 10), including the details of your 5 most significant publications and/or research outputs. Pre-prints are not allowed. Any additional information, such as a covering letter (should you wish to include one), must be included within the 12-page limit. An up-to-date CV should accompany your application.
4. You must indicate whether you have previously applied for the title of Associate Professor, indicating the year of application, and submit a statement (no more than one page) of changes since your last application. This should be provided as a separate document, in addition to, and not included as part of the 12-page application. Failure to disclose such information will mean that your application will be at risk of rejection.
5. You are encouraged to disclose circumstances that may, over a period of time, have had a substantial effect on your record of research or teaching. Such circumstances will be given due consideration. Any personal disclosure should be provided as a separate document, in addition to, and not included as part of the 12-page application. This disclosure should be a maximum of one page. Disclosures will be seen by the divisional committee but not by independent assessors, and will be treated as strictly confidential.
6. Please give as much information as possible, as this title will be conferred only on individuals who can demonstrate exceptional achievements under the criteria headings stated on the application form.
7. Please note that the panel's decision will be based on the information that you supply in the application form, and it is therefore your responsibility to supply full, accurate and relevant information.
8. If you have any queries please contact the relevant person in your department.

Those holding a substantive Associate Professorship are required to perform the following duties to the satisfaction of the divisional board:

to engage in teaching, research and administrative work under the direction of the head of the department.

The teaching and supervision of undergraduates and graduates should be undertaken as required and maintained at a standard sufficient to satisfy the relevant Director of Studies and their head of department, under the jurisdiction of the Medical Sciences Board. Accordingly, all aspects of contributions to teaching, supervision and examining should fully satisfy the relevant external review bodies such as the QAA.

Research achievement should be reflected in the publication of articles in leading refereed journals and in holding externally funded grants, where appropriate, for the research. The journals in which they can reasonably be expected to publish will be considered in the context of their particular field. The level of grant income that they can reasonably be expected to achieve will be considered in the context of their publication record and particular field of research. Their overall academic contribution should achieve international recognition and be regarded, by leading peers in their field, as of high quality.

Both teaching and research, if they are to be effective, will necessarily involve them accepting responsibility for some administration. From time to time, they may be asked to take on other administrative duties to assist the department and the Division in achieving their overall aims. In that case, the Division's normal expectations for performance in teaching or research will be appropriately modified.

For your guidance, the Medical Sciences Board's definition of research is as follows:

'Assessment of the research achievement of those in the initial period of office reflects the desirability of individuals in being able, over the period of their appointment at Oxford, to contribute to the division's achievements and maintenance of research profile at the highest level. The normal expectation is that, by the time of the review of the initial period of office, the individual will be able to demonstrate significant progress in original research in the subject area. This will be reflected in substantial articles published or accepted for publication in leading refereed journals, edited volumes and/or the publication of, or significant progress towards the publication of, the book or books as the culmination of the major project on which the individual has worked for a considerable part of his/her initial period of office⁴.

⁴ *The University of Oxford is a proud signatory to the San Francisco Declaration on Research Assessment (DORA), which means all hiring, tenure and promotion decisions will evaluate applicants on the quality of their work, not the impact factor of the journal where it is published.*

Progress in original research will also be reflected in the amount of external grant income obtained. This should be substantial and of appropriate value for the particular field of research.

The aggregated performance in research and grant income should represent achievement at the highest international level, such that the post holder would satisfy the highest categories of assessment of processes such as the Research Excellence Framework.'