UNIVERSITY OF BIRMINGHAM

REGULATIONS OF THE UNIVERSITY OF BIRMINGHAM

SECTION 3 - HUMAN RESOURCE MATTERS

Executive Brief

Sets out the Regulations to be followed relating to academic appointments, promotions and conferment of titles ; award of honorary academic titles; exceptional and study leave from a University post; and patents and intellectual property rights.

Section 3: Human Resource Matters

3.1 Appointment to a Vacant Chair

3.1.1 An Electoral Board shall be established by the Promotions and Titles Committee in respect of each vacant Chair to make a recommendation to the Vice-Chancellor. Where there is a vacancy both for a Chair and the Headship of a School the Electoral Board shall advise the University Executive Board regarding the appointment to the Headship.

3.1.2 An Electoral Board shall be chaired by the Vice-Chancellor and Principal or, if absent, a Vice-Principal or a Pro Vice-Chancellor, except in circumstances prescribed by clauses 3.1.7 or 3.1.8 below.

3.1.3 The Head of College concerned shall be an ex-officio member of an Electoral Board except in circumstances prescribed by Sub-regulation 3.1.8 below.

3.1.4 (a) Unless he or she wishes to be considered for the vacant chair, the Head of College concerned shall recommend to the Promotions and Titles Committee three Professors, at least one of whom shall be from outside the School concerned.

3.1.4 (b) Where the Chair is established in a School the Head of which is a member of the non-Professorial staff, the Head of School may be nominated by the Head of College concerned for appointment to the Electoral Board in place of one of the Professors referred to in Regulation 3.1.4(1).

3.1.5 The Promotions and Titles Committee may additionally appoint to an Electoral Board one Professor who is not a member of the School concerned.

3.1.6 The appropriate National Health Service Trust (or Trusts) shall nominate in total not more than two professional members to Electoral Boards established in respect of vacancies for Clinical Chairs in the College of Medical and Dental Sciences.

3.1.7 A retiring Head of School or retiring Professor shall not be a member of the Electoral Board responsible for recommending the appointment of a successor.

3.1.8 A member of Staff who has indicated that he or she wishes to be considered for a vacancy shall not be a member of the Electoral Board set up in respect of that vacancy.

3.1.9 The Electoral Board for a vacant Chair may consult expert External Advisers.

3.1.10 The External Advisers may be invited to attend meetings of the Electoral Board but shall not be entitled to vote. The names of any External Advisers shall be included in the report of the Electoral Board.

3.1.11 The Vice-Chancellor shall be empowered to give final approval to the recommendation of an Electoral Board.

3.1.12 Should an Electoral Board be unable to agree on a recommendation, the Vice-Chancellor shall decide the course of action to be taken, if necessary referring the matter to the Promotions and Titles Committee.

3.2 Conferment of Title of Professor, Associate Professor or Reader

3.2.1 The title of Professor may be conferred on an existing member of Academic Staff where he or she has shown a record of achievement comparable with that expected of an external candidate for a Chair, in the following respects:

3.2.1 (a) outstanding distinction in original research which has had a sustained, significant and demonstrable international impact, and

3.2.1 (b) leadership in learning and teaching which has had a demonstrable authoritative impact in the field, and

3.2.1 (c) a significant and sustained contribution to the management of financial or human resources and to the development and implementation of strategy and policy that has fostered and enhanced the standing of the University.

3.2.2 The title of Associate Professor may be conferred upon an existing member of the Academic Staff where he or she has shown a record of exceptional achievement in the following respects:

3.2.2 (a) leadership in learning and teaching, which has had a demonstrable sustained and innovative impact on pedagogy in the field nationally and/or internationally, and

3.2.2 (b) leadership in the management of financial or human resources and in the development and implementation of strategy and policy that has fostered and enhanced the standing of the University.

3.2.3 The title of Reader may be conferred on an existing member of the Academic Staff where he or she:

3.2.3 (a) has shown outstanding distinction in scholarship or original research which has had a demonstrable international impact, and

3.2.3 (b) is making a significant and sustained contribution to the management and delivery of research within the University.

3.2.4 The evidence for the conferment of the title of Professor, Associate Professor or Reader should demonstrate the required level of performance which has been maintained over a sustained period and shows an upward trajectory which is likely to be sustained.

3.2.5 The standard form of address for Associate Professors and Readers shall be the member of staff's normal academic title. Associate Professors or Readers shall not be entitled to describe themselves as Professor.

3.2.6 (a) The procedure shall be as follows:

(i) Each year the Vice-Chancellor shall invite the Heads of College to make proposals for consideration by the Promotions and Titles Committee for the conferment of the title of Professor, Associate Professor or Reader in accordance with 3.2.1, 3.2.2 or 3.2.3 above. The invitation shall specify the consultation required before proposals are submitted, how proposals shall be formulated and the

procedure and timetable for decision on proposals.

(ii) Each year a notice shall also be issued inviting members of the Academic Staff to apply for the conferment of the title of Professor, Associate Professor or Reader and setting out the appropriate procedures.

(iii) For the purpose of considering cases for the conferment of the title of Professor, the Promotions and Titles Committee shall constitute itself as an Electoral Board under Ordinance 3.16.1. On the basis of its consideration of a proposal, the Promotions and Titles Committee shall determine whether a prima facie case has been established for the conferment of the title of Professor, Associate Professor or Reader, under 3.2.1, 3.2.2 or 3.2.3 above.

3.2.6 (b) (i) The Promotions and Titles Committee will decide whether a prima facie case has been established.

(ii) Where a prima facie case has been established, the Promotions and Titles Committee shall, on the recommendation of the Head of College concerned, specify the title to be conferred, if the proposal is finally approved. Formal external advice will then be obtained.

(iii) The Promotions and Titles Committee will consider the external advice obtained for each case. Where, based on the external advice obtained, the case is confirmed, the Committee or the Vice-Chancellor on its behalf will approve the proposal and endorse the proposed title.

(iv) The Promotions and Titles Committee will report the outcome of its deliberations to the Council and the Senate.

3.3 The Appointment of Visiting Professors

3.3.1 A Visiting Professor whose employment will be supported by outside funds administered by the University or by University General Funds specifically allocated for this purpose may be appointed for a period of not more than one year, which may be renewed.

3.3.2 The procedure shall be as follows:

3.3.2 (a) A Head of School who is a Professor and who wishes to propose the appointment of a Visiting Professor within the School shall first discuss the proposal privately with the Head of College concerned.

3.3.2 (b) Where a School has a non-professorial Head, the Head of College may, following appropriate consultation, initiate a proposal for the appointment of a Visiting Professor within that School.

3.3.2 (c) The Head of College may then discuss the proposal with the Vice-Chancellor and if they are agreed that a prima facie case for the appointment has been made the Vice-Chancellor shall refer the proposal to the Promotions and Titles Committee.

3.3.3 The Promotions and Titles Committee, if it is satisfied that a prima facie case has been made for the appointment, shall constitute itself an Electoral Board to examine the proposal and may, but need not, consult outside opinion.

3.3.4 (a) If the Electoral Board decides to recommend the appointment, it shall specify the period of the appointment.

3.3.4 (b) The Vice-Chancellor shall be empowered to give final approval to the recommendation and shall report thereon as soon as possible to the Pro-Chancellor and the Treasurer. Report shall also be made of the approval to the Council, and the Senate.

3.3.4 (c) If the recommendation is not approved, no further action shall be taken.

3.4 Promotion to Senior Lecturer and Senior Research Fellow

3.4.1 In these Regulations "Senior Lecturer" shall include Senior Research Fellow; "Lecturer" shall include Research Fellow.

3.4.2 The intention to make promotions to Senior Lecturer shall be advertised within the University annually.

3.4.3 A Lecturer who wishes to apply for promotion may submit an application to the Head of College. The applicant shall submit a completed application form (including the names of three referees of which at least two should normally be external to the University), a curriculum vitae that includes a full list of publications and any supporting evidence relevant to their case.

3.4.4 A promotion may not proceed without the confirmation by the Director of Finance that sufficient funds are available for the purpose, whether provided from a special pool set up by the Strategy, Planning and Resources Committee, from University funds otherwise available to the School, from self-financing activities or from external sources.

3.4.5 Heads of College will forward applications to the appropriate Head of School who will set up a Promotions Panel (including the Head of School). Where the School Panel recommend promotion, applications will be forwarded to the Head of College, accompanied by:

3.4.6 (a) a covering statement from the Head of School setting out the reasons for the School's support of the case, explaining how each of the University's criteria (i.e. research; learning and teaching; management and administration) has been met;

3.4.6 (b) the application form, curriculum vitae and supporting evidence; and

3.4.6 (c) formal references and, where applicable, any additional references.

3.4.7 In preparing the covering statement to accompany each case for promotion, the Head of School should take into account the academic job family framework and seek advice from a senior person within Human Resources, where appropriate.

3.4.8 The Head of College will establish and chair a College Promotions Panel, which comprises the College Director of Education and the College Director of Research and Knowledge Transfer who will be joined by three professors, two internal to the College and one external to the College, all appointed by the University Executive Board. The College Promotions Panel shall not include any individual who has already been involved in the process at School level.

3.4.9 The College Promotions Panel will review the full application received from the School Panel and carry out quality assurance to ensure that all candidates for promotion to Senior Lecturer or Senior Research Fellow across the College are of the appropriate standard, measured against the agreed University assessment criteria and the academic job family framework

3.4.10 The College Promotions Panel will formally recommend cases for promotion to the University Promotions and Titles Committee.

3.4.11 The Head of College will present the College recommendations to the Promotions and Titles Committee which has the final decision on cases submitted.

3.4.12 The intention to consider personal applications and nominations of Heads of School/Budget Centre for re-grading and promotions within the grades used for Senior Library, Senior Computer, Administrative and Other Related roles will also be advertised annually within the University.

3.5 Promotion of Members of the Research Staff below Senior Lecturer/Senior Research Fellow

3.5.1 A member of the research staff who wishes to be considered for promotion to the next grade may submit an application to the Head of School. Alternatively, the Head of School may initiate a proposal that a member of the research staff should progress to grade 7 or 8.

3.5.2 Where a member of the research staff is on the top point of the grade 7 scale, their position must be reviewed annually to consider their suitability for promotion to grade 8.

3.5.3 Where a member of the research staff on grade 6 obtains a PhD (or equivalent) whilst in post, the role will be reviewed. The review will determine whether the role has developed to the point where upon re-evaluation it is established to have become level 7.

3.5.4 The Head of School, after consulting with the individual, can recommend to the Head of College whether the member of the research staff should proceed to the grade proposed, and the effective date of this change, where the criteria for promotion to the next grade, the funding requirements and job need requirements are met. Achievement of a PhD would be seen as a prompt to consider whether a Research Associate on grade 6 is meeting the criteria for promotion. If having reviewed the case of a member of the research staff who has achieved a PhD or a member of the research staff on the top point of grade 7, the Head of School decides against recommending promotion, he or she should confirm in writing to the Head of College that the review has been carried out. The member of staff shall also be informed.

3.5.5 All promotions are to be funded from within the budget of the School or Budget Centre concerned, or from external sources of funds available to the School or Budget Centre and should be confirmed prior to a recommendation being made.

3.5.6 The Head of School should verify that there is a requirement for the role at the proposed grade.

3.5.7 The Head of College shall consider all applications and all cases proposed by the Head of School and carry out quality assurance by ensuring that all the relevant candidates for promotion to Research Fellow grade 7 or Research Fellow grade 8 across the College are of the appropriate standard, compared against the agreed assessment criteria and the academic job family framework.

3.5.8 If the Head of College is likely to decide, on the evidence before him/her, that the role-holder should not be promoted, the Head of College will discuss this with the Head of School and the role-holder will be informed. The role-holder when informed of that intention and the reasons for it will have an opportunity to ask the Head of College to review their case, if the role-holder believes the case has not been properly considered by either the Head of School or the Head of College. The Head of College may refer the case back to the Head of School for further consideration in appropriate circumstances. The procedure is not an appeal in the technical sense but is designed to ensure that the Head of College is fully informed upon the facts of the case.

3.5.9 A member of research staff has the right to appeal to the Deputy Pro-Vice-Chancellor Staffing against a decision not to promote on the grounds that there has been a defect in the application of the procedures. The appeal may be handled by a representative of the Deputy Pro-Vice-Chancellor Staffing.

3.6 General Provisions

3.6.1 In Clauses 3.6.3 (b) and 3.6.9 of this Regulation "Head of College" shall include the Registrar and Secretary.

3.6.2 Recruitment to vacant posts shall be carried out in accordance with the University's Guidelines on Recruitment and Selection and its strategic plan for the time being.

3.6.3 Selection Committees shall be appointed for each vacant post under arrangements approved by the Vice-Principal or Pro Vice-Chancellor with responsibility for resources or his or her nominee subject to the following:

3.6.3 (a) the Vice-Chancellor and Principal shall be an ex-officio member of every Selection Committee and may be represented by a Vice-Principal or a Pro-Vice-Chancellor;

3.6.3 (b) the Head of College shall be an ex-officio member of and shall chair a Selection Committee, subject to clauses 3.7.7 and 3.7.8, and may be represented by a duly approved deputy, except that a Selection Committee for a non-clinical Readership, Associate Professorship, Senior Lectureship or Senior Research Fellowship must be chaired by a Head of College personally;

3.6.3 (c) the person appointed under sub-clause 3.6.3 (b) above shall have the duty

of representing the interests of the University and, as such, must not be a member of the School or Budget Centre in which the vacancy occurs;

3.6.3 (d) the membership of a Selection Committee may be varied at the discretion of the Vice-Principal or Pro Vice-Chancellor with responsibility for resources or his or her nominee; and

3.6.3 (e) the provisions applying to specific grades of post as detailed in Section 3.7.

3.6.4 Each member of the Selection Committee must be of a status equivalent to or higher than the appointment under consideration.

3.6.5 A retiring or resigning member of staff shall not without the agreement of the Vice-Principal or Pro Vice-Chancellor with responsibility for resources or his or her nominee be a member of the Selection Committee considering the appointment of a successor.

3.6.6 All applications for a vacant post and the replies from referees shall be available on request to every member of the Selection Committee. The Committee shall have power to determine the shortlist of applicants for interview.

3.6.7 The Selection Committee shall have discretion to dispense with an interview where an applicant is outside the United Kingdom or for other good reason.

3.6.8 If in the opinion of the Selection Committee there is a suitable applicant for the post the Committee shall recommend appointment to the Vice-Principal or Pro Vice-Chancellor with responsibility for resources or his or her nominee. If any member of the Selection Committee records a vote against such a recommendation the Selection Committee shall instead report the circumstances to the Vice-Principal or Pro Vice-Chancellor with responsibility for resources or his or her nominee who may either:

3.6.8 (a) recommend

(i) that the applicant supported by the majority on the Selection Committee be appointed; or

(ii) the vacancy be left unfilled.

3.6.8 (b) appoint a new Selection Committee.

3.6.9 If the Vice-Principal or Pro Vice-Chancellor with responsibility for resources or hihe or sher nominee considers that a recommended applicant lacks the qualities necessary to discharge the duties attached to the vacant post, he or she shall consider the views of the Head of School or Budget Centre and the Head of College before making a decision on the appointment.

3.6.10 Other than in exceptional circumstances, the responsibilities of the Vice-Principal or Pro Vice Chancellor with responsibility for resources set out in this Regulation are delegated to the Director of Human Resources.

3.7 Membership of Selection Committees

In addition to the members provided for under Regulation 3.6.3, subject to the

approval of the Head of College or the Head of College's nominee.

3.7.1 There shall be appointed to the Selection Committee for a non-clinical Lectureship:

3.7.1 (a) the Head of School concerned or a nominee of the Head of School;

3.7.1 (b) one Professor, Reader, Associate Professor, Senior Lecturer, Senior Research Fellow, Lecturer or Research Fellow nominated by the Head of School; and

3.7.1 (c) one or two Professors, Readers, Associate Professors, Senior Lecturers, Senior Research Fellows, Lecturers or Research Fellows who may be drawn from inside or outside the School in which the vacancy occurs.

3.7.2 There shall be appointed to the Selection Committee for appointment to Research Associate and Research Fellow (non-clinical):

3.7.2 (a) at least two Professors, Readers, Senior Lecturers, Senior Research Fellows, Lecturers or Research Fellows, one of whom, if not the Head of School, would normally be the chief investigator on the project concerned.

3.7.3 There shall be appointed to the Selection Committee for the post of Assistant Librarian, Sub-Librarian, Principal Computer Officer, Senior Computer Officer or Computer Officer as appropriate:

3.7.3 (a) the Head of School or Budget Centre concerned or a nominee of the Head of School or Budget Centre; and

3.7.3 (b) for a vacancy in a School, two members of Staff at least one of whom shall be a member of the senior library or senior computer Staff from Academic Services or Information Technology Services; or

3.7.3 (c) for a vacancy in Academic Services or Information Technology Services, two members of Staff at least one of whom shall be a member of the Teaching or Research Staff from an academic School with a particular interest as a user of the service concerned.

3.7.4 There shall be appointed to a Selection Committee for a non-clinical Senior Lectureship or Senior Research Fellowship:

3.7.4 (a) the Head of School concerned or a nominee of the Head of School;

3.7.4 (b) one Professor, Reader, Associate Professor, Senior Lecturer or Senior Research Fellow nominated by the Head of School; and

3.7.4 (c) one or two Professors, Readers, Associate Professors, Senior Lecturers or Senior Research Fellows who may be drawn from inside or outside the School in which the vacancy occurs, nominated by the Head of College with responsibility for the School.

3.7.5 The membership of a Selection Committee for appointment to a Clinical non-professorial post shall be as defined for a non-clinical post with the addition of such persons nominated by the appropriate Health Authority and Royal College

as may be required by NHS regulations.

3.7.6 An Instructor may be appointed on the recommendation of the Head of College, normally following an interview with the Head of School concerned (or hihe or sher nominee) and one or two senior colleagues.

3.7.7 There shall be appointed to a Selection Committee for a non-clinical Readership:

3.7.7 (a) the Head of School concerned or a nominee of the Head of School;

3.7.7 (b) one Professor or Reader nominated by the Head of School; and

3.7.7 (c) one or two Professors or Readers, who may be drawn from inside or outside the School in which the vacancy occurs, nominated by the Head of College with responsibility for the School;

3.7.7 (d) the chair of the Selection Committee for a non-clinical Readership, who will normally be the Vice-Chancellor or a Pro Vice-Chancellor, will co-opt one or more external advisers to advise the Selection Committee, as appropriate.

3.7.8 There shall be appointed to a Selection Committee for a non-clinical Associate Professorship:

3.7.8 (a) the Head of School concerned or a nominee of the Head of School;

3.7.8 (b) one Professor or Associate Professor nominated by the Head of School; and

3.7.8 (c) one or two Professors or Associate Professors, who may be drawn from inside or outside the School in which the vacancy occurs, nominated by the Head of College with responsibility for the School

3.7.7 (d) the chair of the Selection Committee for a non-clinical Associate Professorship, who will normally be the Vice-Chancellor, a Vice-Principal or a Pro Vice-Chancellor, will co-opt one or more external advisers to advise the Selection Committee, as appropriate.

3.8 Conferment of the Title of Honorary Professor

3.8.1 The title of Honorary Professor may be conferred for a specific period, subject to renewal, upon (a) persons of suitable distinction from outside the University who are making a significant and continuing academic contribution to its work and (b), in relation to the University's external links, upon other persons of suitable distinction.

3.8.2 The procedure shall be as follows:

3.8.2 (a) a Head of School who is a Professor and who wishes to propose the conferment of the title of Honorary Professor within the School shall first discuss the proposal privately with the Head of College concerned;

3.8.2 (b) where a School has a non-professorial Head, the Head of College may, following appropriate consultation, initiate a proposal for the conferment of

the title of Honorary Professor within that School;

3.8.2 (c) The Head of College shall then discuss the proposal with the Vice-Chancellor and if they are agreed that a prima facie case has been made shall refer the proposal to the Promotions and Titles Committee.

3.8.3 The Promotions and Titles Committee, if it is satisfied that a prima facie case has been made, shall constitute itself as an Electoral Board to examine the proposal and may, but need not, consult outside opinion.

3.8.4 If the Committee decides to recommend the conferment of a title it shall specify the period of the conferment. This period shall normally be five years unless some shorter period is proposed and approved.

3.8.4 (a) The Vice-Chancellor shall be empowered to give final approval to the recommendation and shall report thereon to the Promotions and Titles Committee which shall in turn report to the Senate.

3.8.4 (b) If no title is to be conferred no further action shall be taken.

3.8.5 A recommendation for the renewal for a further specific period, normally five years, may be made by the Head of College concerned to the Promotions and Titles Committee which shall, if it approves the recommendation, submit it to the Vice-Chancellor.

3.8.5 (a) The Vice-Chancellor shall be empowered to give final approval to the recommendation and shall report thereon as soon as possible to the Promotions and Titles Committee which shall in turn report to the Senate.

3.9 Conferment of the Title of Honorary Reader and Honorary Associate Professor

3.9.1 The Promotions and Titles Committee may confer the title of Honorary Reader or Honorary Associate Professor on any person of postdoctoral or equivalent status who has shown distinction in scholarship or original research; who is undertaking appropriate academic work in a School of the University and who does not hold an appointment financed from University funds or from outside funds administered by the University.

3.9.2 The procedures for the conferment of the title of Honorary Reader and Honorary Associate Professor shall thereafter follow those prescribed by Regulations 3.2.2-3.2.3.

3.10 Conferment of Honorary Teaching Titles

3.10.1 A Head of School may recommend, via the Head of College, for approval by the Vice-Principal or Pro-Vice-Chancellor with responsibility for resources on behalf of the Promotions and Titles Committee, the conferment for a defined period of the title of Senior Clinical Lecturer and Tutor, Senior Clinical Lecturer, Clinical Lecturer, Postgraduate Clinical Tutor, Honorary Senior Lecturer, Honorary Lecturer or Honorary Tutor on any person of appropriate status who is undertaking teaching for or on behalf of the University and does not hold an appointment financed from University funds or from outside funds administered by the University.

3.10.2 The proposal shall be made by the Head of the School concerned and shall indicate the nature and period of the teaching duties to be undertaken and the status and qualifications of the person concerned and the period of conferment proposed.

3.10.3 Holders of Honorary Teaching titles may register for higher degrees, but will be charged fees under the full or part-time rates and not at any concessionary staff rate.

3.11 Conferment of Honorary Research Titles

3.11.1 A Head of School may recommend, via the Head of College, for approval by the Vice-Principal or Pro-Vice-Chancellor with responsibility for resources on behalf of the Promotions and Titles Committee, the conferment for a defined period of the title of Honorary Senior Research Fellow, Honorary Research Fellow or Honorary Research Associate or Honorary Fellow on any person who:

3.11.1 (a) is undertaking appropriate research in a School of the University and is of appropriate academic standing;

3.11.1 (b) is not registered for a higher degree save in exceptional cases;

3.11.1 (c) does not hold an appointment financed from University funds or from outside funds administered by the University.

3.11.2 The procedure shall be that prescribed in Regulation 3.10 for the conferment of honorary teaching titles, except that a proposal may be initiated only by the Head of School who shall indicate the nature and period of the research work to be undertaken in the School and the period of conferment proposed.

3.11.3 Honorary Research Titles shall cease to be held should any of the conditions of 3.11.1 (a), (b) and (c) above not continue.

3.12 Award of Recognised Lecturer Title

3.12.1 A Head of School may recommend for approval to the Senate or delegated authority the award, for a defined period, of the title of Recognised Lecturer on a member of staff of a partner organisation. The member of staff should normally meet specified criteria and be undertaking teaching and/or assessment on a programme in that partner organisation which leads to an award of the University.

3.12.2 The award is subject to the following conditions:

3.12.2 (a) The individual does not hold an appointment financed from University funds or from outside funds administered by the University;

3.12.2 (b) The individual is not subject to the Conditions of Employment governing Honorary Staff, but to the employment, disciplinary and other staffing procedures of the partner organisation.

3.12.3 Recognised Lecturers may be entitled to certain benefits from the University as notified from time to time.

3.13 Leave of Absence

3.13.1 Leave of absence may be granted to Professors, Associate Professors, Readers, Senior Lecturers, and Lecturers for a specific assignment such as working temporarily on public service; or working for an international organisation; or holding a visiting fellowship or teaching appointment outside the University; or for similar purposes.

3.13.2 During the vacations Professors, Associate Professors, Readers, Senior Lecturers and Lecturers may be absent from the University subject to the requirements of School duties prescribed by the Head of School and subject to the obligation to obtain permission under the current arrangements before engaging in outside work. A member of Staff absent from the University during vacation is required to provide the Head of School with a forwarding address.

3.13.3 During term, leave of absence up to a total of 14 days may be granted to Professors, Associate Professors, Readers, Senior Lecturers and Lecturers by the Head of School. In the case of Heads of School during term, permission for absences up to a total of 14 days may be granted by the Head of College. Application for leave of absence for a longer period during term should be submitted through the Head of School to the Head of College for approval. Applications for leave of absence in the case of Professors and non-Professorial Heads of School are subject to the approval of the Vice-Chancellor. Details of the full period of absence including periods occurring during the vacation should be given.

3.13.4 Research Associates, Research Fellows and Senior Research Fellows may be granted leave of absence by their Head of School for the purpose of attending learned conferences or for any other appropriate reason.

3.13.5 Unless specifically excluded under the Conditions of Service leave of absence may be granted to other members of Staff though the circumstances giving rise to an application will be exceptional.

3.13.6 The amount of salary and other expenses, if any, to be paid by the University to members of Staff during leave of absence will be determined by the Head of School/Budget Centre (or by the Vice-Chancellor in the case of Professors and non-Professorial Heads of School) in consultation with the Director of Human Resources on the general principle that the members of Staff concerned, as a result of action by the University, should not be financially worse off or be appreciably better off than if they had remained in post. In examining each case on its merits, account will be taken of the following factors:

3.13.6 (a) the value of any fellowship, or the emolument of any post, to be taken up;

3.13.6 (b) whether travelling expenses are provided;

3.13.6 (c) the cost of living in the country in which the leave will be spent.

3.13.7 Salaries in respect of earnings during the long vacation will not normally be adjusted but in the case of such employment being continuous with the term before or after the long vacation, any adjustment in respect of such term may take account of the earnings over the whole period.

3.14 Study Leave

3.14.1 Heads of Schools will encourage Professors, Associate Professors, Readers, Senior Lecturers and Lecturers in their Schools to take Study Leave. An application for Study Leave will be submitted to the Head of School.

3.14.2 A Professor, Associate Professor, Reader, Senior Lecturer or Lecturer may be granted one semester's Study Leave after the completion of a minimum of three years' service in a teaching post in the University. The authorisation of such Study Leave will normally be delegated by the Head of College to the Head of School. The semester, for the purpose of study leave, is taken to include the Christmas Vacation with the first and the Easter Vacation with the second, but will not include the examination period except by agreement in individual cases. Professors and non-professorial Heads of School must obtain the approval of the Vice-Chancellor.

3.14.3 After an initial period of Study Leave granted under clause 3.14.2 above, further Study Leave may be granted only at the rate of one semester after the completion of each further three-year period of service. Every effort will be made to allow for any postponements of a period of Study Leave occasioned by illness or any other appropriate cause.

3.14.4 Study Leave for periods longer than one semester plus the Long Vacation will only be allowed in justified circumstances. Applications for longer periods of Study Leave should be accompanied by appropriate supporting documents.

3.14.5 The full salary of a member on Study Leave and the University's contribution to superannuation and National Insurance will normally be paid.

3.14.6 A member of Staff is required to submit a report on conclusion of the period of leave.

3.15 Secondment from the University

3.15.1 A member of Staff may be seconded to work in another institution or elsewhere on behalf of that institution. The authority for approving such an arrangement is the Head of College.

3.15.2 The salary and other expenses, if any, to be paid by the University will be determined in the same way as if the member of Staff was proceeding on Leave of Absence.

3.16 Special Leave

3.16.1 The Vice-Principal or Pro Vice-Chancellor with responsibility for resources may grant members of the Academic Staff special leave in exceptional circumstances which are inappropriate for leave of absence, study leave or secondments for limited periods.

3.16.2 Applications shall be made in writing through the Head of School via the Head of College to the Vice- Principal or Pro-Vice-Chancellor with responsibility for resources who shall decide whether or not to grant the application.

3.17 Patents and the Exploitation of Inventions

3.17.1 (a) When a member of Staff makes an invention or discovery in the course of his or her normal duties or in such other circumstances that by law the invention or discovery belongs to the University and which he or she has reason to believe may be commercially exploitable he or she will report the same to the Head of College for action. 'Invention or discovery' shall include the production and development of computer software. Those with responsibilities for exploitation in this Regulation shall always act with all due expedition, according to the circumstances of the case.

3.17.1 (b) The Head of College will consult the Inventor, others as appropriate and the office within the University with responsibility for commercial exploitation of research results and any agency appointed by the University to support this activity. The office within the University with responsibility for commercial exploitation of research results will recommend to the Registrar and Secretary whether and how steps shall be taken to protect and exploit the invention.

3.17.1 (c) If the Registrar and Secretary concludes that the University does not wish to participate in the development or exploitation of the invention the benefit thereof shall belong exclusively to the Inventor as between himself and the University.

3.17.1 (d) Members of Staff shall consult their Head of College as to the timing and procedure to be followed in connection with the publication of the results of researches likely to form the subject of a patent application by the University, or to lead to exploitation in which the University has an interest.

3.17.2 The University will agree with the Head of College the financial responsibility for the preliminaries for further development and exploitation of inventions within an agreed budget. The member of Staff concerned shall do any one or more of the following:

3.17.2 (a) assist the University in applying for patent protection in the University's name in the UK or elsewhere;

3.17.2 (b) enter into appropriate agreements for protecting the secrecy of the invention unless and until it is patented;

3.17.2 (c) collaborate with any agency acting on behalf of the University, in the exploitation of the invention.

3.17.3 Patents and Licences will be written in the name of the University, and Licences will be subject to formal authorisation by the Registrar and Secretary of the University.

3.17.4 The University will make arrangements to share any returns on the invention in such a way as to ensure that after reimbursement of the initial costs and administration the member of staff and, if appropriate, the College concerned obtain a fair share (whether in a lump sum, by periodical payments, or both) having regard to all the circumstances, and, in particular to:

3.17.4 (a) whether the invention was made in the course of his or her normal duties or

of duties specially assigned to him or her;

3.17.4 (b) whether the circumstances were such that an invention might reasonably be expected to result from the carrying out of his or her normal duties or duties specially assigned to him or her;

3.17.4 (c) whether, because of his or her special responsibilities, he or she had a special obligation to further the interests of the University;

3.17.4 (d) the nature of his or her duties and the remuneration and other advantages which he or she derives or has derived from his or her position with the University;

3.17.4 (e) the effort and skill which he or she has devoted to making the invention;

3.17.4 (f) the extent to which the invention was made jointly by him or her with any other person and the effort and skill which such other person has devoted to the invention;

3.17.4 (g) the extent of the advice and assistance contributed by any other member of the University who is not a joint inventor of the invention;

3.17.4 (h) the contribution made by the University to the making, developing and working of the invention by the provision of advice, facilities and other assistance and by its managerial skill and activities;

3.17.4 (i) the extent of the return and other benefits derived from the invention.

3.17.5 Any rights in a discovery arising from the work of a member of Staff sponsored by outside bodies, or those directly employed by outside bodies, shall be subject to this Regulation unless any special conditions relating to patents and commercial exploitation have been agreed by the University and included in the terms of the relevant contract or agreement with the outside body.