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 Principal Academic Unit 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 Principal Academic Unit concerned.

3.1.4 (b) Where the Chair is established in a Principal Academic Unit the Head of which is a member of the non-Professorial staff, the Head of Principal Academic Unit 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 Principal Academic Unit 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 Principal Academic Unit 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, Distinguished Professor or Reader

3.2.1 The title of Professor or Distinguished Professor or Reader may be conferred on an existing member of Academic Staff according to criteria for the award of those titles determined by the University Executive Board from time to time.

3.2.2 The standard form of address for a Professor or a Distinguished Professor shall be 'Professor'. The standard form of address for a Reader shall be the member of staff's normal academic title. Readers shall not be entitled to describe themselves as 'Professor'.

3.2.3 (a) The procedure shall be as follows:

(i) Each year the Vice-Chancellor shall direct the Heads of College to put forward those cases that, in their judgement, meet the criteria for the conferment of the title of Professor, Distinguished Professor or Reader in accordance with 3.2.1 for consideration by the University Executive Board. The direction shall specify the consultation required before proposals are submitted, how proposals shall be formulated and the procedure and timetable for decision on proposals.

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

(iii) For the purpose of considering cases for the conferment of the title of Professor or Reader, the College Promotions Committee shall determine whether a prima facie case has been established for the conferment of the title of Professor or Reader, under 3.2.1.

3.2.3 (b) (i) Where a prima facie case has been established, a College Promotions Interview Panel will interview the candidate and consider the external written assessments that have been sought.

(ii) Upon confirmation of a prima facie case case by the College Promotions Interview Panel, the Head of College will put forward those cases to the University Executive Board (or to the Vice-Chancellor on its behalf) for approval of the promotion and endorsement of the title.

3.2.4 Where, exceptionally, it is considered necessary by a Head of College that a title of Professor or Reader be conferred on a member of the Academic Staff outside the procedures set out in 3.2.3, the Vice-Chancellor may, having taken such advice as s/he may consider appropriate, approve the award of the title on behalf of the University Executive Board, to whom the conferment will be reported at its next meeting.

3.2.5 The title of Distinguished Professor will be awarded by the Vice-Chancellor, having consulted the University Executive Board, according to the current criteria determined by the University Executive Board.

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 Principal Academic Unit who is a Professor and who wishes to propose the appointment of a Visiting Professor within the Principal Academic Unit shall first discuss the proposal privately with the Head of College concerned.

3.3.2 (b) Where a Principal Academic Unit 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 Principal Academic Unit.

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 at least once a year according to criteria determined by the University Executive Board from time to time.

3.4.3 A Lecturer who wishes to apply for promotion may submit an application to the Head of the Principle Academic Unit. 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 Principal Academic Unit, from self-financing activities or from external sources.

3.4.5 The Head of Principle Academic Unit will set up a School Promotions Committee (including themselves) subject to the approval of the Head of College. Where the School Promotions Committee has established a prima facie case, references will be sought. External advice may also be sought from advisors other than the nominated referees. The School Promotions Committee will meet to consider the applications including the references and any external advice received. Where the School Promotions Committee recommends promotion, applications will be forwarded to the Head of College, accompanied by:

(a) A covering statement from the Head of Principle Academic Unit setting out the reasons for the Principle Academic Unit's support of the case, explaining how each of the criteria determined by the University Executive Board has been met;
(b) The application form, curriculum vitae and supporting evidence; and
(c) Formal references and, where applicable, any additional references and/or external advice.

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

3.4.7 The Head of College will establish and chair a College Promotions Committee, 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 Committee shall not include any individual who has already been involved in the process at Principal Academic Unit level.

3.4.8 The College Promotions Committee will review the full application received from the School Promotions Committee 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 current criteria determined by the University Executive Board and the academic job family framework.

3.4.9 The College Promotions Committee will formally recommend cases for promotion to the University Executive Board.

3.4.10 The Head of College will present the College recommendations to the University Executive Board which has the final decision on cases submitted.

3.4.11 Where, exceptionally, it is considered necessary by a Head of College that a member of the Academic Staff be promoted to Senior Lecturer outside the procedures set out in 3.4.5 – 3.4.10, the Vice-Chancellor may, having taken such advice as s/he may consider appropriate, approve the promotion on behalf of the University Executive Board, to whom the promotion will be reported as its next meeting.

3.4.12 The intention to consider personal applications and nominations of Heads of

Principal Academic Unit/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 General Provisions

3.5.1 In Clauses 3.5.3 (b) and 3.5.9 of this Regulation "Head of College" shall include the Registrar and Secretary.

3.5.2 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.

3.5.3 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:

3.5.3 (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;

3.5.3 (b) the Head of College shall be an ex-officio member of and shall chair a Selection Committee, subject to clauses 3.6.7 and 3.6.8, 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;

3.5.3 (c) the person appointed under sub-clause 3.5.3 (b) above shall have the duty of representing the interests of the University and, as such, must not be a member of the Principal Academic Unit or Budget Centre in which the vacancy occurs;

3.5.3 (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 for his or her nominee; and

3.5.3 (e) the provisions applying to specific grades of post as detailed in Section 3.6.

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

3.5.5 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.

3.5.6 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.

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

3.5.8 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 for 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:

3.5.8 (a) recommend

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

(ii) the vacancy be left unfilled.

3.5.8 (b) appoint a new Selection Committee.

3.5.9 If the Vice-Principal or Pro Vice-Chancellor with responsibility for resources or his or her 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 Principal Academic Unit or Budget Centre and the Head of College before making a decision on the appointment.

3.5.10 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.

3.6 Membership of Selection Committees

In addition to the members provided for under Regulation 3.5.3, subject to the approval of the Head of College or the Head of College's nominee.

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

3.6.1 (a) the Head of Principal Academic Unit concerned or a nominee of the Head of Principal Academic Unit;

3.6.1 (b) one Professor, Reader, Associate Professor, Senior Lecturer, Senior Research Fellow, Lecturer or Research Fellow nominated by the Head of Principal Academic Unit; and

3.6.1 (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 Principal Academic Unit in which the vacancy occurs.

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

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

3.6.3 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:

3.6.3 (a) the Head of Principal Academic Unit or Budget Centre concerned or a nominee of the Head of Principal Academic Unit or Budget Centre; and

3.6.3 (b) for a vacancy in a Principal Academic Unit, 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

3.6.3 (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 Principal Academic Unit with a particular interest as a user of the service concerned.

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

3.6.4 (a) the Head of Principal Academic Unit concerned or a nominee of the Head of Principal Academic Unit;

3.6.4 (b) one Professor, Reader, Associate Professor, Senior Lecturer or Senior Research Fellow nominated by the Head of Principal Academic Unit; and

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

3.6.5 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.

3.6.6 An Instructor may be appointed on the recommendation of the Head of College, normally following an interview with the Head of Principal Academic Unit concerned (or his or her nominee) and one or two senior colleagues.

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

3.6.7 (a) the Head of Principal Academic Unit concerned or a nominee of the Head of Principal Academic Unit;

3.6.7 (b) one Professor or Reader nominated by the Head of Principal Academic Unit; and

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

3.6.7 (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.

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

3.6.8 (a) the Head of Principal Academic Unit concerned or a nominee of the Head of Principal Academic Unit;

3.6.8 (b) one Professor or Associate Professor nominated by the Head of Principal Academic Unit; and

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

3.6.7 (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.

3.7 Conferment of the Title of Honorary Professor

3.7.1 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.

3.7.2 The procedure shall be as follows:

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

3.7.2 (b) where a Principal Academic Unit 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 Principal Academic Unit;

3.7.2 (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.

3.7.3 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.

3.7.4 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.

3.7.4 (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.

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

3.7.5 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.

3.7.5 (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.

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

3.8.1 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 Principal Academic Unit of the University and who does not hold an appointment financed from University funds or from outside funds administered by the University.

3.8.2 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.

3.9 Conferment of Honorary Teaching Titles

3.9.1 A Head of Principal Academic Unit 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.

3.9.2 The proposal shall be made by the Head of the Principal Academic Unit 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.

3.9.3 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.

3.10 Conferment of Honorary Research Titles

3.10.1 A Head of Principal Academic Unit 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:

3.10.1 (a) is undertaking appropriate research in a Principal Academic Unit of the University and is of appropriate academic standing;

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

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

3.10.2 The procedure shall be that prescribed in Regulation 3.9 for the conferment of honorary teaching titles, except that a proposal may be initiated only by the Head of Principal Academic Unit who shall indicate the nature and period of the research work to be undertaken in the Principal Academic Unit and the period of conferment proposed.

3.10.3 Honorary Research Titles shall cease to be held should any of the conditions of 3.10.1 (a), (b) and (c) above not continue.

3.11 Award of Recognised Lecturer or Recognised Supervisor Titles

3.11.1 A Head of Principal Academic Unit may recommend for approval to the Senate or delegated authority the award, for a defined period, of the title of Recognised Lecturer or Recognised Supervisor on a member of staff of a collaborative organisation. The member of staff should normally meet specified criteria and be undertaking teaching and/or assessment on a programme or be experienced and actively engaged in research in that collaborative organisation which leads to an award of the University or where the student being supervised is a registered student of the University.

3.11.2 The award is subject to the following conditions:

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

3.11.2 (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 collaborative organisation.

3.11.3 Recognised Lecturers or Recognised Supervisors may be entitled to certain benefits from the University as notified from time to time.

3.12 Leave of Absence

3.12.1 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.

3.12.2 During the vacations Professors, Associate Professors, Readers, Senior Lecturers and Lecturers may be absent from the University subject to the

requirements of Principal Academic Unit duties prescribed by the Head of Principal Academic Unit 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 Principal Academic Unit with a forwarding address.

3.12.3 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 Principal Academic Unit. In the case of Heads of Principal Academic Unit 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 Principal Academic Unit to the Head of College for approval. Applications for leave of absence in the case of Professors and non-Professorial Heads of Principal Academic Unit 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.

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

3.12.5 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.

3.12.6 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 Principal Academic Unit/Budget Centre (or by the Vice-Chancellor in the case of Professors and non-Professorial Heads of Principal Academic Unit) 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:

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

3.12.6 (b) whether travelling expenses are provided;

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

3.12.7 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.

3.13 Study Leave

3.13.1 Heads of Principal Academic Units will encourage Professors, Associate Professors, Readers, Senior Lecturers and Lecturers in their Principal Academic Units to take Study Leave. An application for Study Leave will be submitted to the Head of Principal Academic Unit.

3.13.2 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 Principal Academic Unit. 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 Principal Academic Unit must obtain the approval of the Vice-Chancellor.

3.13.3 After an initial period of Study Leave granted under clause 3.13.2 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.

3.13.4 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.

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

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

3.14 Secondment from the University

3.14.1 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.

3.14.2 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.

3.15 Special Leave

3.15.1 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.

3.15.2 Applications shall be made in writing through the Head of Principal Academic Unit 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.

3.16 Patents and the Exploitation of Inventions

3.16.1 (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.

3.16.1 (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.

3.16.1 (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.

3.16.1 (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.

3.16.2 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:

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

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

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

3.16.3 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.

3.16.4 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:

3.16.4 (a) whether the invention was made in the course of his or her normal duties or of duties specially assigned to him or her;

3.16.4 (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;

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

3.16.4 (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;

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

3.16.4 (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;

3.16.4 (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;

3.16.4 (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;

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

3.16.5 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.