**JOINT APPOINTMENTS PROCEDURE: DIVISIONAL GUIDELINES**

1. **Summary**

This document details the procedure to be followed in appointing to joint academic posts, that is, established academic posts (other than statutory professorships) with a College association [Grades 10a (30S) and (36S) for Associate Professors and clinical Grade A82 for Associate Professors (clinical)]. The overall responsibility for joint appointments lies with the division. Departments, therefore, should ensure that the Medical Sciences Board has provided the necessary permissions before proceeding to advertise a vacancy for a joint academic post.

The University's guidelines for appointment of academic staff and the joint appointment procedures can be found on the Personnel Services website at:

<https://hr.admin.ox.ac.uk/academic-recruitment>

<https://hr.admin.ox.ac.uk/guide-to-the-appointment-associate-professors>

1. **Associate Professor Recruitment Project (APIR)**

Following the pilot Associate Professor Inclusive Recruitment Project (APIR) developed in partnership with the Focus Programme, the University have created [new APIR guidelines](https://hr.admin.ox.ac.uk/associate-professorship-inclusive-recruitment-guidelines) for the recruitment of Associate Professors. The guidelines are an optional source of ideas and resources to assist those colleges, departments and faculties choosing to incorporate inclusive recruitment principles when making these joint appointments. The guidelines have been approved by the central Personnel Committee, and were positively received by our Finance, Research and General Purposes Committee earlier this year.

***APIR: Divisional Guidelines***

Within our division we are introducing an updated process, taking into account many of the ideas and recommendations arising from the APIR project.  We recommend that within the new process we incorporate the [DORA Principles](https://openaccess.ox.ac.uk/2020/02/24/oxfords-principles-for-responsible-research-metrics-and-implementing-dora/) to which the University is a signatory. We are also committed to central guidance regarding the [Athena Swan](https://edu.admin.ox.ac.uk/athena-swan) and [Race Equality Charter](https://edu.admin.ox.ac.uk/race-equality-charter) recruitment initiatives.

The new process recommends that a Strategy and Planning Meeting be held at the very start of planned recruitment for both new and refill AP posts. The advantage of such a meeting would be to share information and agree the main objectives for a successful recruitment exercise right from the start, in order to speed up the process of getting the post to the advertising stage. We would also encourage discussion around [Equality, Diversity and Inclusion](https://edu.admin.ox.ac.uk/networks-and-contacts) and how to achieve good practice for attracting applicants.

The Strategy and Planning meeting will be chaired by the Head of Department (or representative) and will include representatives from the College and the Division. Suggested agenda items should typically include the below:

* The vision and strategy for the post
* Review of job description and advertising arrangements
* Search strategy and who will lead it
* Recruitment timeline
* Appointment Committee membership (addressing correct gender balance and external representative(s)).

1. **Release of posts for filling or re-filling**

When a post becomes vacant (e.g. through retirement or resignation) and needs to be refilled, or when the department wishes to establish a new academic post, a request to release the post needs to be made to the Associate Heads of Division. The department must prepare and submit to the divisional office an academic case, detailing the background and academic need for the appointment. For new posts the division also requires a business case detailing the funding for the appointment. For posts which will involve teaching on interdepartmental courses (e.g. Medicine, Biomedical Sciences), the Associate Heads of Division should consult the relevant Course Director(s) to ascertain their views on the academic case.

1. **College association**

When the academic and business cases have been considered and the release of a post for filling or refilling has been approved by the division, the College association must be arranged.

In the case of a new post, the divisional office circulates a call for bids for association to all Colleges. The department and the division then consider the College bids, and a recommendation for association with a particular College is put forward by the division to the Joint Appointments Panel for approval.

In the cases of posts for refilling, the College association will normally remain unchanged, unless strong academic reasons for establishing a new College association exist. Nevertheless, the College with which the post has been formerly associated should provide a justification (usually based on student numbers in the relevant courses/subjects) as to why the association should continue. The Associate Heads will review the College’s justification and decide whether the association should continue, or whether other Colleges should be invited to bid for (joint or unique) association with the post. If a new College association is to be sought, the procedure described in the previous paragraph will be followed.

1. **Composition of selection committees**

*General requirements*

1. Non-clinical Associate Professorships: there will normally be 7 members in total representing both the College and the University. A template composition is attached at Annexe 1(a).
2. Associate Professorships (clinical): there will normally be up to two additional members to i) above, representing the respective Royal College and the relevant NHS Trust. A template composition is attached at Annexe 1(b).
3. There should be at least one third women on every committee, if suitably qualified individuals are available[[1]](#footnote-1).
4. The Head of Department or their nominee must be a member of the committee, and will normally chair the panel.
5. Selection committees may contain individuals who are not members of the relevant College or department in order to ensure a sufficient spread of subject expertise and/or a broader perspective.
6. At least one member of the committee must be external to Oxford[[2]](#footnote-2).
7. If the post is being advertised in association with a tutorial fellowship, one of the University members of the committee must be a tutorial fellow (note that there is no formal requirement for a committee member to have completed his/her probationary period prior to joining a committee).
8. In cases where the post is attached to more than one College, the selection committee should be enlarged as detailed below.
9. In cases where the field of the appointment is unusually broad, the selection committee may be appropriately enlarged by negotiation between the University and the College, in which case the enlarged committee should retain broadly the same proportions of University and College members.

*The divisional appointee*

The committee member appointed by the Divisional Board does not have to be a Divisional Board member. Departments should propose how best to use this position: for example, to provide an external perspective; to address gender balance; to complement or extend subject expertise; or to meet a combination of the above requirements. College approval for the divisional appointee must be secured.

For Appointment Committees for Associate Professors (clinical), either the Trust nomination or the Royal College nomination can be accommodated in the four nominated by the department but normally these are additional. In which case the College has to be advised and given the opportunity to increase their representation by one.

Approval of the membership of the selection committee must be sought from the divisional board prior to advertising.

1. **Further particulars**

The department and the College should discuss and agree the specific field within which the appointment will be made and liaise regarding the preparation of the further particulars. The further particulars must include joint selection criteria, which must be spelt out clearly, and be strictly adhered to in the appointment process. The further particulars must also make it clear to candidates that the selection committee does not make the final decision and that no offer of appointment will be valid until and unless the recommendation has been approved by the divisional board and formal contractual offers have been made.

In preparing the further particulars the department needs to:

* draft particulars using the templates available from the Personnel services website <https://hr.admin.ox.ac.uk/academic-staffing-further-particulars-templates> or by contacting the Divisional HR Officer;
* obtain confirmation that the further particulars have been approved on behalf of the College;
* send the final draft of the advertisement and further particulars to the divisional office for approval.

1. **Further particulars for Associate Professorships (Clinical)**

Template further particulars for Associate Professorships (Clinical) should be obtained from the Divisional HR Officer. The further particulars for clinical appointments should normally be accompanied by a job plan, which must be approved by the relevant Royal College and the Medical Director of the relevant NHS Trust. The British Medical Association’s sample job plans can be found on <https://www.bma.org.uk/pay-and-contracts/job-planning/job-plans-by-specialty/model-job-plans-by-specialty>. The further particulars including the consultant job plan should be sent to the Divisional HR Officer, who will seek approval from the relevant Royal College and NHS Trust.

1. **Advertisement**

The department prepares the draft advertisement in consultation with the Divisional HR Officer.

Once the advertisement and further particulars are approved by the divisional board, the divisional office places the advertisement. Academic posts are advertised on the Oxford University Jobs website, and also on jobs.ac.uk. The department may also wish to advertise in other media or on their own website. As soon as the advertisement is live on the University’s website the department is free to arrange this locally.

Further information about how and where to advertise can be found at the Personnel Services website: <https://hr.admin.ox.ac.uk/recruitment>

Please note that departments should ensure that they comply with the Home Office's advertising requirements if a work permit should be needed. Further information can be found on the Staff Immigration Team website: <https://staffimmigration.admin.ox.ac.uk/>

The department should keep a printed copy of the advertisement – as it appears on the website on the first day of publishing – for attachment to a COS/visa application, where such a permit is required.

The closing date for applications given in the advertisement must be, at minimum, four weeks after the advertisement has first been published. The date that the advertisement first appears on the Oxford University Jobs website, is acceptable for the purposes of determining the closing date for applications.

1. **Recruitment process**

Departments are responsible for conducting the short-listing and interview processes. Where any issues arise, advice should be sought from the divisional office.

*Shortlisting*

The chair of the selection committee ensures that a record is kept of the discussions (both face-to-face and by email), including a record of the extent to which each candidate meets, or fails to meet, the selection criteria. All committee members must receive copies of the following:

* Joint appointments procedure: <https://hr.admin.ox.ac.uk/joint-appointment-procedures>
* Recruitment and Selection: Guide to the Appointment of Academic Staff: <https://hr.admin.ox.ac.uk/guide-to-the-appointment-associate-professors>

The selection committee agrees the selection procedures for the shortlisted candidates (e.g. presentation, submission of published work, etc.), which must be described fully in the letter inviting shortlisted candidates to attend for interview(s).

The committee confirms the timescale for approving its recommendation, bearing in mind the dates of relevant meetings. If the interviews take place close to or after the final College governing body meeting before the Long Vacation, the arrangements for reaching a decision and offering the joint post to the chosen candidate must be agreed not later than at the shortlisting stage. Every effort should be made to ensure that interviewed candidates do not have an unreasonable wait to learn the outcome of their interview and are informed of the timescales involved.

Searching: carrying out a thorough search and inviting people to apply will encourage a high quality and diverse pool of candidates and is recommended in all cases. Please see the link to the [Associate Professor Recruitment Guidance](https://hr.admin.ox.ac.uk/guide-to-the-appointment-associate-professors) for more information.

*Interviews and selection exercises/presentations*

The interview(s) will be conducted strictly in accordance with the agreed selection criteria.

In cases where there is a possible conflict of interest (for example, a candidate who is either a selection committee member’s student, postdoc or research collaborator), the relevant member of the selection committee should declare their interest.

Normally, all aspects of the combined selection procedure will be jointly undertaken. However, either employer may undertake a separate exercise designed, as part of the selection process, to assess candidates against one or more of the selection criteria, which are of particular relevance to that employer. The status of any such exercise must be clear to all concerned (especially candidates), and *all members of the selection committee are entitled to be present and to participate in that separate process*. Any such exercise, including College exercises, must take place *before* the main interview.

The role of individuals from either employer who may participate in any such separate processes, but are not members of the selection committee, must be strictly limited to providing objective evidence to enable the selection committee to assess all candidates consistently against the agreed criteria. This applies equally to mini-presentations and to College interviews or discussions attended by members of the department or College who are not members of the selection committee*.* Such individuals have no say in determining the outcome of the recruitment process.

Arrangements must be made to report all relevant information from any such separate process to any members of the selection committee who were not present.

Expenses relating to travel/accommodation for short-listed candidates should be handled by the department.

1. **Report of selection committee**

The chair of the committee draws up a report for consideration by the Divisional Board. Before the report is submitted, it *must have been agreed by all members of the selection committee*. The template report is annexed at 2.

The report should be accompanied by the recommended candidate’s *curriculum vitae*, application and references.

The procedures to be followed in cases where the selection committee is unable to reach a unanimous decision are set out in the sections 17-23 of the [*Joint appointments procedures*](https://hr.admin.ox.ac.uk/joint-appointment-procedures). Disputes about candidates that cannot be resolved through discussion are referred by the Divisional Office to the Joint Appointments Panel of the Personnel Committee.

*All members of the committee must approve the selection committee report.* The chair should arrange for the report to be sent to the Divisional HR Officer.

***Salary offer***

The Head of Department, in consultation with the College, is responsible for determining the salary offer (for approval on behalf of the divisional board).

In special circumstances the department may ask for a salary supplement and/or a full professorial title to be conferred upon the selected candidate. A case must be made to the Senior Appointments Panel who will consider the additional provisions for approval. The department will be asked to provide the division with details about the academic and financial case for the proposed level of salary and/or title. The divisional office will present the case to the SAP.

1. **Appointing bodies**

The Divisional Board and the Governing Body of the College of association are the appointing bodies. The selection committee’s remit is to make a recommendation to these appointing bodies. Both the Divisional Board and the Governing Body of the College must approve the appointment before a formal offer can be made.

The department should plan the timescale for the recruitment in consultation with the College, obtaining key dates as early as possible (ideally prior to advertising the post). The key dates to agree upon are: (a) appearance of the advertisement, which determines the closing date for applications (at least 4 weeks after the first appearance of the advertisement); (b) short-listing date (or deadline for online short-listing); (c) date of interviews; (d) date on which the selection committee’s report will be considered by the College’s governing body.

Once the divisional office has received the selection committee report, the recommendation is sent to the Medical Sciences Divisional Board for approval.

Colleges may be unable to make elections during the Long Vacation. The Chair of the selection committee must establish the College’s procedures for considering selection committee reports after the last Governing Body meeting in Trinity Term. Some Colleges can enter into binding agreements to elect the first-choice candidate at the first meeting in Michaelmas Term; others cannot.

The Divisional Registrar and Chief Operating Officer issues the letter of appointment (University contract).

While the formal appointment of the preferred candidate cannot be confirmed until the appointing bodies (Divisional Board and College) have approved it, the chair of the selection committee may, with care, inform the candidate that their appointment to the post is being recommended and considered, and the precise terms of the appointment.

For all communications regarding the recruitment of Associate Professors please contact Ingunn Haugen [ingunn.haugen@medsci.ox.ac.uk](mailto:ingunn.haugen@medsci.ox.ac.uk) in the first instance.

IH  
30/11/2022

**ANNEXE (1)A**

**APPOINTMENT COMMITTEE FOR (NON-CLINICAL) ASSOCIATE PROFESSOR**

|  |  |  |
| --- | --- | --- |
| Slot | Name, address, email ID & phone number | Comments |
| 1. Head of Department |  | <Dept to Nominate> |
| 1. Nomination from the department |  | <Dept to Nominate> |
| 1. Nomination from the department |  | <Dept to Nominate> |
| 1. Nomination from the division and external to Oxford. This person must be approved by the College |  | <Dept to Nominate>;  College should approve this. |
| 1. Director of Studies for the appropriate subject/course\* |  | <Medical Sciences office to nominate> |
| 1. College Nomination |  | <check with College> |
| 1. College Nomination |  | <check with College> |

Please ensure there is one member from either gender.

\*In the case of an appointment in one of the Pre-clinical Departments, this should be either the Director of Pre-clinical Studies (or his/her Deputy) or the Director of the Biomedical Sciences course.

**ANNEXE (1)B**

**APPOINTMENT COMMITTEE FOR ASSOCIATE PROFESSOR (CLINICAL)**

|  |  |  |
| --- | --- | --- |
| Slot | Name, address, email ID & phone number | Comments |
| 1. Head of Department |  | <Dept to Nominate> |
| 1. Nomination from the department |  | <Dept to Nominate> |
| 1. Nomination from the department |  | <Dept to Nominate> |
| 1. Nomination from the division and external to Oxford. This person must be approved by the College |  | <Dept to Nominate>;  College should approve this. |
| 1. Director of Clinical Studies or representative |  | <Medical Sciences office to nominate> |
| 1. College Nomination |  | <check with College> |
| 1. College Nomination |  | <check with College> |
| 1. Royal College representative nominated by the relevant Royal College |  | <Medical Sciences Office to obtain name of representative> |
| 1. Trust representative nominated by the relevant Trust |  | <Medical Sciences Office to obtain name from relevant Trust> |

Note: The Trust nomination or Royal College nomination can be accommodated in the four slots nominated by the department (1 to 4) but normally these are additional. The College should be advised and given the opportunity to increase their representation by one.

**ANNEXE 2**

**Selection Committee Report**

**Associate Professorship of**

* **Post title and name of previous post holder (or ‘New post’)**
* **Oxford College Association**

**The vacancy was advertised on Oxford University Jobs and on Jobs.ac.uk, plus in X** (insert a listing of where the vacancy advertised, including minority networks like Women’s and BAME networks in the specialty.)

**Actions around senior recruitment** (list the department’s strategy and priorities for the recruitment of Associate Professors and Senior Scientists. For example many Athena action plans have actions or targets around recruitment of APs, SPs and senior scientists/clinicians. Also add the Female/Male breakdown of current senior staff in the department at this particular grade or role.)

**Membership of Selection Committee divided into male and female members**

***Female members***

***Male members:***

***Percentage of female and male members:***

**Details of the procedure for shortlisting, including searches**

***Search*** (insert details of the search process including Lead Person)

***Shortlisting***

Insert details of the short-listing procedure (S-L meeting online or in person, long list, communications with candidates, final short-list) Suggested text/procedure:

|  |  |  |  |
| --- | --- | --- | --- |
| **Number of applications** | Male = | Female = | % |
| **Number longlisted** | Male = | Female = | % |
| **Number shortlisted** | Male = | Female = | % |

***Interview***

Insert details of the interview procedure (presentations/interviews online or in person, pre-interview exercises or requested information, references sought, current and planned research activities, potential collaborations and mutual added value within the Oxford context, societal impact of research, awareness and understanding of equality, diversity and inclusion, mentoring and supervision, subject organisation and teaching for the College.

***Details of unsuccessful candidates***

Provide details of reasons why candidates were unsuccessful in their application

Shortlisted candidates

|  |  |
| --- | --- |
| **Candidate** | **Notes** |
|  |  |
|  |  |
|  |  |
|  |  |

Longlisted candidates

|  |  |
| --- | --- |
| **Candidate** | **Notes** |
|  |  |
|  |  |
|  |  |

Other candidates

Provide list of number of candidates not as strong as those short-listed (e.g. strong teaching and research track records, but less strong than shortlisted candidates in funding record and/or in the fit to the research and teaching area)

Or insufficient relevant teaching and research track record (e.g. not working in the required area, having modest track records in funding, and/or lacking relevant research or teaching expertise).

***Details of the selected candidate***

Provide details of the successful candidate and the reason for selection. Was there unanimous agreement from the committee. Was a second-choice candidate agreed. Who approached candidate initially.

***Starting date and salary scale***

Provide details and a brief justification if professorial title and salary supplement will be sought from the SAP.

***Names of all members of the selection committee***

***Date when the (University) college’s Governing Body will give approval for the appointment***

1. Consider the diversity and balance of selection committees to secure a range of perspectives, noting that this goes beyond race and gender. Council has agreed, in considering its Public Sector Equality Duty, the aim to have at least one third women on selection committees. In disciplines where the proportion of female academic staff is below a third, departments should seek to achieve female representation by other means, including the use of external panel members. [↑](#footnote-ref-1)
2. Appointing external committee members, including those from related disciplines at Oxford, is recommended to enhance the overall fairness of the application process. Externals can provide specialist knowledge and different perspectives; reinforce or widen research expertise; increase the diversity of committees; reduce the risk of polarisation in discussion; and identify Oxford terminology and assumptions that may disadvantage external applicants. Externals can also assist with the search phase of recruitments. Externals are substitutes for, not in addition to, the 7 members of a selection committee. [↑](#footnote-ref-2)