LANCASTER UNIVERSITY
Professorial Pay and Review Framework

1. Introduction

The University has a comprehensive framework for the review of professorial performance and establishment of professorial pay. The intention is to provide an equitable and open system for the reward and recognition of academic leadership that offers incentive for exceptional achievements. At Lancaster, professorial staff members are expected to contribute to and provide leadership in research, teaching and learning and management at Departmental, Faculty and University level.

Professorial pay is primarily set by reference to performance and contribution as defined below and this is reflected in the management of the pay structure.

The framework is designed to contribute to the recruitment and retention of high quality staff at Lancaster, which is a key strategic aim of the University.

This scheme will be reviewed and may be revised from time to time. It is not intended to be contractual in nature, and does not form part of individual staff terms and conditions of employment.

2. Key Features

The main features of the framework are:

- Three pay Bands
- A professorial pay minimum
- A set of pay points within Bands 1 and 2, progression between each of which is dependent wholly on performance
- Promotion to Bands 2 and 3 dependent wholly on critical evaluation of performance, contribution and esteem
- External evaluation of Band 2 and Band 3 candidates
- Explicit recognition of market related pay elements

There is no automatic progression between pay points within a Band or between Bands.
3. Pay Band Structure

The pay structure for professorial staff is based on 3 pay Bands. Band 1 comprises a minimum point with five further pay points to the maximum; progression between points is dependent on individuals being able to demonstrate continuing performance at the level expected of all professorial staff. Band 2 consists of two pay points and Band 3 has a specific minimum pay point but no maximum.

At present about 69% of professors are in Band 1, 19% in Band 2 and 11% in Band 3.

A positive decision is required to progress from one pay point to another within a Band. A further positive decision is required to consider promotion to a higher Band. The value of the steps between each point within each Band is around 5%. The value of the steps between each of the Bands is larger (around 8%). This is designed to reflect the significance of each movement. Movement is based on evidence of important and continuing contributions since the last review. Information on the pay Bands and the process for pay advancement is provided in section 5 of this document.

It is expected that the majority of Professors in Band 1 are able to demonstrate a level of sustained contribution and leadership over their careers that merits salary advancement within this Band. The normal expectation for most Band 1 professorial colleagues is a step to the next pay point every two years. Colleagues need not move through all of the steps of Band 1 before promotion to Band 2; nor is it always necessary to move through the second step of Band 2 before promotion to Band 3.

The descriptors below indicate the level and nature of achievements required to qualify for the appropriate Band and also describe the continuing expectations of professorial staff at that level. Continued performance at the level corresponding to a given band or pay-point does not in itself warrant upward progression.

4. Band Descriptors

4.1 Band 1 Professor

Band 1 is intended for new and established Professors who have satisfied the University Promotions criteria for a Chair. On appointment they normally already have at least a national and, in most cases, an international reputation for sustained excellence in research and scholarship and also have contributed fully to teaching and/or the promotion of learning. They are also expected to contribute to the leadership and management of their Department or Research Centre. Promotion or appointment to Band 1 may also exceptionally be approved to reward outstanding contribution to the University in teaching and leadership / management, where this is combined with research of at least national standing.
4.2 Band 2 Professor

Band 2 is for Professors with an international reputation as leading figures in their research field. This is evidenced by significant esteem markers and a substantial and sustained record of achievement. They have had a considerable impact on their field, shaping and influencing its development. Professors in Band 2 demonstrate a significantly higher level of international distinction than Professors in Band 1, with their work constituting major points of reference. They also contribute fully to teaching and/or the promotion of learning and normally exercise a key role in the leadership and/or management of one or more of their Research Centre, Department, Faculty or the University.

4.3 Band 3 Distinguished Professor

Band 3 is reserved for a small number of Professors who are widely recognised as world leaders in their subject area by other world leaders in cognate fields. Their marks of esteem include membership of major international bodies or awards of distinction from international bodies and/or wide recognition for their contributions to world-class interdisciplinary research. They have made a major and lasting contribution to their own research field(s) and, in some cases, have influenced the development of connected research fields. In relation to teaching and/or the promotion of learning, the sub-committee takes account of contributions in these areas. Distinguished Professors are expected to be actively involved in the leadership and/or management of the University and/or the broader academic community.

4.4 General statement re. translational research and policy development

The University values research in many forms, for example, blue skies, applied, translational, which may be novel and non-traditional. It will look across all three for marks of distinction and evidence of genuine impact.

5. Procedures for movement within Band and for Promotion to a higher Band

The Professorial Pay Review has from 2019/20 onwards has a unified cycle where cases are invited for either salary movement with the current band, or promotion to the next.

For detailed information on how to prepare and submit a case, please refer to the Academic Promotions website.

Only in exceptional circumstances will a case be considered for a candidate who received promotion or salary movement in the preceding year. Cases must be submitted within the stated timelines.

5.1 Entry to Band 1, Professor

Entry to Band 1 will be determined for external appointments by an appropriately constituted appointing committee or, for internal promotions, by the University’s Academic Promotion Sub-Committee.

While candidates promoted by the Academic Promotion Sub-Committee will normally enter Band 1 at the first point, the Sub-Committee may at its discretion appoint to a higher point where there is clear evidence that the individual’s achievements significantly exceed the norm for newly promoted candidates.
The Chair of the appointing committee and Dean will determine at which point to place an external candidate, based on the appointee’s record of achievement and standing.

5.2 Within band salary increase

It is recommended that the review be integrated in the performance review cycle and process (PDR). Professors who wish to be considered for a salary increase will submit an application to their Head of Department.

The application must provide clear evidence of achievements within a growing body of work. It must only detail of achievements realised since the individual’s last successful case for salary increase through the professorial pay route. For individuals that have not previously submitted a case, the achievements should be from 2007 onwards or since appointment to Lancaster, whichever is the most recent.

The Head of Department will report on the applicant’s contribution to teaching and management within the Department (and more broadly, if appropriate) and a commentary on research achievements.

Professors will not normally move from the first to the second salary point in Band 2 in less than 4 years.

For Band 3, in the absence of a formal scale, salary increases will be assessed on an individual basis considering personal contribution since the last review and relevant salary benchmark data. There will normally be a 4-year period between salary increases.

5.3 Submission of a case by a HoD

Where a Head of Department submits a case for salary advancement within a Band or to a higher Band, the Dean will obtain from a suitable senior Professor as an alternative to the required HoD report.

5.4 Promotion from Band 1 to Band 2

Professors who wish to be considered for promotion are required to submit an application to their Head of Department. The application will consist of the applicant’s executive summary, statement, CV (including citation data) and referee listing. It must detail achievements realised since the individual’s last successful case for promotion and also how the case aligns with the Band 2 descriptor. For individuals that have not previously submitted a case, the achievements should be from 2007 onwards or since appointment to Lancaster, whichever is the most recent.

The Head of Department will write a report on the applicant’s contribution to teaching and management within their Department (and more broadly, if appropriate) and a commentary on their research profile.

The application must provide clear evidence of the applicant having achieved the high level of distinction required for Professors in Band 2.
A minimum of eight external referees will be identified who may be approached to comment on the applicant’s contribution to, and impact on, their discipline, should the decision be made to take the case forward. The candidate will nominate one referee, and the Head of Department will nominate seven, for the Faculty Dean to ratify. Referees must be independent and of international standing in their field (comparable to Band 2 but preferably of Band 3 standing). A minimum of five responses are required.

The sub-committee will consider both supported and unsupported cases. Following an initial evaluation, the sub-committee will decide whether or not to take the case forward and will also review and accept or amend the list of referees to be approached. In addition to referee reports, the sub-committee may invite one or more external assessors to comment on cases and/or join the sub-committee.

Decisions on entry to Band 2 by external applicants will be made by the appropriately constituted Chair sub-committee, which will draw on an appropriate set of independent referee reports.

5.5 Promotion to Band 3, Distinguished Professor

The procedure for promotion to Band 3 is the same as for promotion to Band 2 except that referees will be comparable to Band 3 standing. The sub-committee may on occasion invite an applicant to appear before it.

Decisions on entry to Band 3 by external applicants will be made by the appropriately constituted Chair sub-committee, which will draw on an appropriate set of independent referee reports.

6. References and use of citation data

Referees must have appropriate status to provide an informed view of the candidate’s contribution. The reference list should always include international referees who are eminent in their field (of Distinguished Professor status). The selection of referees must avoid:

- Current members of staff at Lancaster, including Emeritus;
- Former Lancaster employees who have left within the last five years;
- Co-authors within the last five years. This is with the exception of certain disciplines, at the discretion of the sub-committee, that rely upon large-scale collaboration;
- PhD or Postdoctoral Supervisors of the candidate;
- Joint holders of research grants with the candidate.

Referees’ details must be accompanied by a short explanation for their selection, together with a web link and email address.

Use will be made of appropriate citation and impact data. Candidates are required to provide data as part of their submission. Sources will be kept under review.
7. Unsupported Cases
Cases that are not supported at department and/or Faculty level will be considered by the Professorial Review sub-committee. In such a case, statements provided by the HoD and/or Faculty Dean will be considered as part of the submission.

8. Appeals and Feedback
Feedback to unsuccessful candidates should be offered and will be provided as follows:

1. Band 1 and Band 2 cases unsupported by the Faculty – Faculty Dean;
2. Band 1 and Band 2 cases rejected by the Professorial Review Sub-Committee – Vice-Chancellor or nominee;
3. Band 3 salary movements – Vice-Chancellor or nominee;
4. Band 3 promotions – Initially by the Vice-Chancellor or nominee with further feedback from a Distinguished Professor of the Faculty.

Individual professors who wish to challenge the outcome of the review may do so on grounds of procedural fairness only. An application may be made to the Director of Human Resources and Organisational Development, stating clearly the grounds for an appeal. Appeals should be made using by contacting promotions@lancaster.ac.uk.

9. Ongoing Review
Regular reviews will help to identify the achievements and progression path for each member of staff. As described above, the expectation is that those in Band 1 will progress through the Band steps to the Band maximum. Any potential problems will be identified and action will be agreed between the Head of Department and individual professor. In the rare case of consistent under-performance within any Band, the appropriate procedure will be invoked and a range of measures will be considered, including those affecting pay.

10. Pay Supplements
In accordance with University policy, pay supplements to address specific attraction and retention difficulties may from time to time be utilised. These will be identified separately from base pay and it is base pay that will reflect the standing of the individual. The University will also make use of market pay supplements where appropriate and in accordance with its policy document.

11. Equality Monitoring
Candidates are invited to provide information that is relevant to their employment and achievements, such as career break or personal circumstances, and this will be considered by the Review sub-committee. Faculty Deans are responsible for reviewing the diversity profile of professorial staff within their area to ensure that possible candidates are given proper consideration.

Staff are not normally eligible for review within the first 12 months of appointment or promotion into a Band. The University will strive to ensure that the review and decision-making process conform to principles of equity and equal opportunity. Outcomes of the sub-committee are monitored and presented in Academic Promotions Committee’s annual report to Senate.
### Professorial Pay Framework as of 1 August 2020

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1 Salary values are unchanged from 2019.