1. Major updates for 2021-22

The academic promotions criteria have been extensively updated for 2021-22. A pillar dedicated to engagement has been introduced which succeeds the pillar for academic leadership and engagement. Leadership has been embedded across all three pillars of research, teaching and engagement and contributions to effective leadership in each of the three are recognised in the updated criteria. The updated criteria now align with the University’s strategy, sharing a triple focus on research, teaching and engagement. Candidates are encouraged to explain in the engagement section of their case how their activity is linked to their Department and Faculty’s engagement strategies as well as the University’s engagement strategy.

1.1 Transition arrangements

For colleagues who have been preparing a promotions case for the 2021-22 promotions round based on the academic leadership and engagement criteria from 20-21, the Academic Promotions Committee has agreed that the 20-21 criteria can be used for the 21-22 promotions round. The new engagement pillar and the old academic leadership and engagement pillar will therefore run in parallel for this year’s round. At the start of their statement on engagement, candidates should declare they are using the 20-21 academic leadership and engagement criteria.

1.2 Online promotion application system

Candidates for promotion to grade 9 and above are to submit their applications via the Stonefish academic promotions system. The system is similar in content to the previously used forms. Candidates can log into the system using their standard University username and password.

1.3 Covid-19 Pandemic

It is recognised that the COVID-19 Pandemic may have had a significant impact on a candidate’s academic profile from 2020 onwards. This impact may relate to one or multiple aspects of candidates’ profiles. For example, teaching objectives may have been impacted by reduced student contact, engagement objectives by reduced travel opportunities and research objectives by increased teaching demands or limited access to laboratories, field sites and practical spaces. Additionally, candidates may have faced ill health or additional caring responsibilities. Positive impacts are also possible – for example through new opportunities to innovate in teaching or supporting colleagues. It is important to note that any impact may extend well beyond the time-frame of the immediate pandemic as evidenced by changes in career trajectory. In setting and reporting against objectives HoDs should be mindful of the impact of COVID-19. Both HoDs and candidates are encouraged to indicate the impact of COVID-19 on the case presented and panels will be advised to take this information into account when assessing cases. Early research suggests that certain groups of staff are more likely to have been impacted by COVID-19 than others – panels will be encouraged to consider the unequal impact of the pandemic when making decisions.
2. General Information

2.1 Key points to note

- Candidates are expected to demonstrate sustained performance at the levels required in order for a promotion case to be supported by the Promotions Committee. Candidates and HoDs should, therefore, be aware that normally a minimum period of two years should elapse from the date of appointment or last promotion (usually on 1st August in the relevant year), before the submission of any case for promotion. This will give the committee two full years of evidence on which to base their decision. Exceptions may be made, but if this is the case the HoD must specifically explain in their statement why a case is being brought earlier than recommended with supporting evidence provided.

- Candidates and HoDs should be aware that promotion cases are primarily judged on performance since appointment or the last promotion, and are not a judgement of cumulative career performance to date. The statements by the candidate and the HoD, therefore, should explicitly refer to those elements of performance that fall within this time frame. There are limited circumstances in which referral may be made to earlier elements of performance, but this should be the exception and should be clearly identified and justified. Examples may include a previous successful promotion case in which the candidate was judged to have significantly over-performed, or where a recent appointee wishes to provide evidence of exceptional performance in a previous institution as corroborating evidence of their current level of performance.

- Chair and Reader cases should focus on outputs produced since promotion to Senior Lecturer or appointment to Lancaster University, whichever is the most recent.

- Candidates should focus attention on tangible activity which is completed/awarded/accepted and the impact of this activity, rather than activity that is in preparation.

- Candidates must structure their cases around the Promotions Criteria;

- Candidates must follow the guidance set out in the ‘Making My Case’ document;

- The double-counting of information must be avoided;

- All cases must be submitted in accordance with the prescribed format through the Stonefish academic promotions system.

- There is a 2000 word limit for the personal statement section of the Stonefish academic promotions system.

- Candidates should submit their case through the Stonefish academic promotions system to their HoD in sufficient time before the deadline to allow them to write their report;

- Queries should be emailed to: promotions@lancaster.ac.uk

- Cases are made up of the following sections: promotion case details (including CV upload), candidate personal statement, referee listing (the latter for cases for Grade 9 and above only) and HoD report.

- Candidates will be able to track the progress of their case through the Stonefish academic promotions system;

- The Academic Promotion Sub-Committee will have a series of meetings in the Lent and Summer terms to determine the outcomes of cases.

- Candidates are asked to ensure that their protected characteristics information is up to date in Core HR before submitting their promotion case.
Academic staff are expected to demonstrate an ongoing commitment to teaching excellence. This will include achieving formal accreditation or recognition. There are a range of pathways by which this accreditation can be achieved. It is expected that academic staff will successfully achieve this formal accreditation or recognition. For further details, please refer to the Promotions Criteria Appendix – Frequently Asked Questions.

2.2 Departmental Discipline Profiles

The current discipline profile is available from your department. HoDs are encouraged to refer to the discipline profile when considering a candidate’s personal statement and writing their report.

Discipline profiles should include:

- Guidance on which citation information is most useful to the discipline. This is so that candidates can include the most appropriate citation information in their submission;
- Reference to engagement, knowledge transfer, outreach and consultancy activities.

2.3 Time-out From, or Impact Upon, Academic Activities

Candidates should declare any significant periods of “time-out” that may be relevant to their career history in the promotions system. Candidates should explain how any of the following have otherwise impacted on their academic profile:

- part-time working; maternity leave, shared parental leave, statutory adoption leave, and additional paternity leave
- career break or secondment outside of the HE sector
- disability
- ill health or injury
- mental health conditions
- constraints relating to pregnancy, maternity, breastfeeding, adoption, paternity or childcare
- other caring responsibilities
- gender reassignment.

This information will be taken into account in assessing cases. In accordance with the University’s EDI Strategy, the Promotions Committee will only take into account relevant considerations.

2.4 Part-time and Fixed-term Staff

Equal consideration should be given to staff for promotion, regardless of whether they are employed on a full-time, part-time, temporary or indefinite basis. HoDs are asked to review all staff as part of the annual promotions process. HoDs are also asked to ensure that all staff are given equal opportunity for personal development and involvement in activities which meet promotions criteria.

For candidates who work for Lancaster and one or more other institutions, please indicate (where possible) in the case the work that is Lancaster-focussed to assist the Promotions Committee with its decision-making.

2.5 Interdisciplinary or Cross-departmental Cases
Where a case crosses disciplines or faculties, the “home” HoD should consider the need for input from any other area(s). Candidates may consider seeking supporting evidence from other areas in which they have been active.

2.6 Effective Date

Successful proposals for promotion or increments will normally be effective from 1 August 2022. If a HoD wishes to propose a different date, a special case must be approved by the appropriate Committee.

2.7 Salary after Promotion

The normal expectation is that salary will be advanced to the next highest salary point on the salary structure. Remuneration for staff in receipt of recruitment and retention payments will be reviewed in accordance with their contract and the principles set out in the Recruitment and Retention Pay Policy.

2.8 Retention Cases

If a case is made on retention grounds, the Promotions Committee will require details of actual job offers. It will not be sufficient to state that an individual has applied to or been approached by another employer.

2.9 Unsupported Cases

If a case is not recommended by the HoD, a candidate has the right to ask that the Promotions Committee consider his/her case by contacting Andrea Ferguson in HR, emailing promotions@lancaster.ac.uk.

3. Appeals

Unsuccessful candidates may appeal against the Promotions Committee decision on the grounds of procedural irregularity only. Appeals should be made to the Director of People and Organisational Effectiveness, stating clearly the grounds for an appeal. Appeals should be made by emailing promotions@lancaster.ac.uk.

4. Promotions to Grade 9 and Chair: promotion to Senior Lecturer/Reader/Senior Teaching Fellow/Senior Research Fellow and Professor

4.1 Departmental Officers can access details of academic staff through HR BI Reporting: www.lancaster.ac.uk/hr/core

4.2 Candidates for promotion to a Personal Chair are normally on the Reader and Senior Lecturer Grade (Grade 9). Staff on the Lecturer grades may, however, apply for direct promotion to a Readership or Personal Chair, provided they satisfy the Promotions Criteria. If such an application was made, but it was unsuccessful at the prima facie stage, then it would not be automatically considered for G8. The promotions committee may recommend to the candidate that they restructure the case for G8 promotion and submit it to their faculty committee; even without such
feedback the candidate would be able to apply for G8 promotion subject to the normal faculty procedures.

4.3 The Senior Lecturer and Readership salary scale is the same. Candidates on the Senior Lecturer scale that are promoted to Reader will receive one increment.

4.4 Promotions cases for Teaching or Research focussed roles should demonstrate evidence of exceeding the appropriate level 3 criteria but not achieving level 4 of the Promotions Criteria, indicated 3T in the Promotions Criteria, or exceeding Level 2 but not achieving Level 3, where 2T is indicated.

4.5 Heads of Department are asked to liaise with Helen Brace in the Research Support Office for details of candidates’ research grant activity, specifically, grant applications submitted and grants awarded and to include this information in their report.

5. References for Senior Lecturer/Reader/Senior Teaching Fellow/Senior Research Fellow and Professor

5.1 A minimum of four references for Readership and Chair cases and three references for Senior Lecturer, Senior Teaching Fellow and Senior Research Fellow cases are required. This must include at least one international reference. The referee listing composition may include:

- 0 – 1 referee nominated by the candidate
- 5 – 8 referees nominated by the HoD
- 0 – 4 referees nominated by the Promotions Committee

Referees should be eminent and independent and chosen with care: their departments should be of at least comparable standing with that of the candidate; they must be able to comment on the national or international reputation of the candidate; they will be normally be of Professorial (or equivalent) level and enjoy national or international standing within the candidate’s subject area.

5.2 Except where the referee has been selected to comment on Teaching or Engagement (see 5.4 below), 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 Promotions Committee, that rely upon large-scale collaboration (please state in the referee listing if this exception should be applied for the selected referee)
- PhD or Postdoctoral Supervisors of the candidate
- Joint holders of research grants with the candidate.

5.3 The Promotion Committee may supplement or replace suggested referees.

5.4 For Teaching-led and Engagement-led cases, up to 2 internal references may be nominated (one from within the department and one from outside). For Engagement-led cases, external non-academic referees able to offer an informed commentary on the engagement activity may be nominated. Referees will be asked to state the capacity in which the candidate is known to them, comment on the international reputation of the candidate, respond to specific questions to
illuminate the case and so facilitate assessment. Referees will be supplied with the candidate personal statement, HoD report and candidate’s CV for reference.
6. Faculty Promotions

6.1 Faculty Promotion Committees have responsibility for the following promotion pathways:

- Grade 6 Research Associate to Grade 7 Senior Research Associate (via role evaluation or career grade progression)
- Grade 6 Teaching Associate to Grade 7 Senior Teaching Associate (via role evaluation)
- Grade 7 Lecturer to Grade 8 Lecturer (via assessment against the promotions criteria)
- Grade 7 Senior Research Associate to Grade 8 Research Fellow (via assessment against the promotions criteria)
- Grade 7 Senior Teaching Associate to Grade 8 Teaching Fellow (via assessment against the promotions criteria)

Each Faculty has its own promotions process and timescale. Candidates are encouraged to contact their Faculty Offices if they have any queries with respect to these. Key contacts within the Faculty Offices are:

- Becky Bawden, Faculty Resource Manager, LUMS
- Rosie Cantley, Faculty Resources Manager (Staff), FST
- Amanda Harrison, Faculty Resources Manager, FASS
- Amelia Hunt, Faculty Manager, FHM

6.2 Staff currently at the top of grade 7 (spinal point 36 or above) should automatically be considered for promotion to grade 8 by their Department. Full case papers should be submitted, where this consideration is positive. Departmental Officers can access details of academic staff through HR BI Reporting: [www.lancaster.ac.uk/hr/core](http://www.lancaster.ac.uk/hr/core)

6.3 All other staff should be considered for promotion as part of the normal PDR process.

7. Probation

7.1 Departmental Officers can access details of academic staff with probations due in the forthcoming academic year through HR BI Reporting: [www.lancaster.ac.uk/hr/core](http://www.lancaster.ac.uk/hr/core)

7.2 HoDs must meet with probationers no later than 3 months before the end of their probation period. At this meeting, they will review the whole probation period and then s/he will submit a recommendation to their Faculty Dean stating whether the probation is to be confirmed, extended or failed.

7.3 Faculty Deans must QA and sign off the submitted probationary paperwork.

7.4 All probationary cases (confirmation, extension and termination) should be submitted electronically to Human Resources.
7.5 HR will collate probationary case papers and assign them to scheduled Probation Sub-committee meetings. This will be determined by the probation end date, with cases being assigned to meetings that fall sufficiently in advance of the probation end date.

7.6 The Academic Probation Sub-Committee is scheduled to meet to consider cases four times per annum.

7.7 Where a member of staff has been promoted during their probation period:

- For a promotion to Grade 9, the promotion is reported to the next probation sub-committee meeting and the probation is confirmed automatically, subject to the teaching qualification requirements having been met.
- For a promotion to Grade 8, probation documents should be submitted so that the Probation sub-committee can review the probation case to confirm that the objectives have been met; this can be an early confirmation.

7.8 Probation confirmation for Senior Lecturer, Reader and Professorial staff is made by the Faculty Dean. Manager Request in Core has been updated and allows paperwork to be submitted online to the Faculty Dean.

8. Academic Promotions Committee Membership

8.1 The Academic Promotions Committee is made up of three sub-committees:

- Academic Promotion Sub-Committee, split into two parts
  i Sub-Committee for Readers and Chairs
  ii Sub-Committee for Senior Lecturers and equivalent
- Academic Probation Sub-Committee
- Professorial Review Sub-Committee

Membership for these committees can be found on the Academic Promotions website.