2020/21 PROMOTIONS GUIDANCE

1.0 General Information

1.1 All cases must be submitted in accordance with the prescribed format. The key points to note are:

- Candidates should focus attention on:
  - activity in the period following their latest successful promotion at Lancaster or (if they have not previously been promoted) their appointment to Lancaster University;
  - tangible activity which is completed/awarded/accepted 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 duplication of information should be avoided and overlong cases will be returned for re-formatting
- You should submit your case to your HoD in sufficient time before the deadline to allow them to write their report
- Cases must be submitted electronically to promotions@lancaster.ac.uk no later than Tuesday 2nd February 2021
- Cases comprise your coversheet, personal statement, CV, your HoD’s report, and the referee listing (the latter for cases for Grade 9 and above only).
- **Candidates will be provided with a link to an online spreadsheet to track the progress of their case through the promotions cycle**
- The Academic Promotion Sub-Committee will have a series of meetings in the Lent and Summer terms to determine the outcomes of cases.

**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.

1.2 Departmental Discipline Profiles

The current discipline profile is available from your department.

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.
1.3  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 and indicate if 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. Explicit criteria is being developed to assist in this process. In accordance with the University’s Single Equality Strategy, the Promotions Committee will only take into account relevant considerations.

1.4  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.

1.5  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.

1.6  Effective Date

Successful proposals for promotion or increments will normally be effective from 1 August 2021. If a HoD wishes to propose a different date, a special case must be approved by the appropriate Committee.

1.7  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.

1.8  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.
1.9 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.

2.0 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 Human Resources, stating clearly the grounds for an appeal. Appeals should be made by emailing promotions@lancaster.ac.uk.

3.0 Promotion to Senior Lecturer/Reader/ Teaching & Research Promotions to Grade 9 and Chair

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

3.2 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.

3.3 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.

3.4 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.

3.5 Heads of Department are asked to liaise with Becky Gordon 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.

4.0 References for Senior Lecturer, Grade 9 Teaching or Research Promotions, Reader and Chair

4.1 A minimum of four references for Readership and Chair cases and three references for Senior Lecturer and Grade 9 Teaching or Research cases are required. These 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.

4.2 Except where the referee has been selected to comment on Teaching or Academic Leadership and Engagement (see 4.4 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.

4.3 The Promotion Committee may supplement or replace suggested referees.

4.4 For Teaching-led and academic leadership-led cases, up to 2 internal references may be nominated (one from within the department and one from outside). 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 HoD report together with a copy of the candidate’s CV for reference.

5.0 Probation

5.1 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)

5.2 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.

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

5.4 All probationary cases (confirmation, extension and termination) should be submitted electronically to Human Resources.

5.5 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.

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

5.7 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.

5.8 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.
6.0 Promotion from Lecturer Grade 7 to Grade 8 – Faculty Promotions

6.1 Departmental Officers can access details of academic staff through HR BI Reporting:

www.lancaster.ac.uk/hr/core

Staff currently at the top of grade 7 (spinal point 36 or above) should automatically be considered for promotion to grade 8. Full case papers should be submitted, where there this consideration is positive.

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

7.0 Academic Promotions Committee Membership

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

- Academic Promotion Sub-Committee, split into two parts
  - Sub-Committee for Readers and Chairs
  - 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.

Last updated: 09 December 2020