

STRANMILLIS UNIVERSITY COLLEGE

PROMOTIONS SCHEME FOR LECTURING STAFF

Guidelines on Promotions and Discretionary Pay

Introduction

Promotion is a legitimate aspiration for every member of staff. The University College undertakes to foster this aspiration by developing individuals' careers through regular appraisal, by the provision of relevant training programmes, and by ensuring that opportunities are provided for everyone to acquire the experience of teaching, research, administration, and community service, appropriate to support applications for promotion. Promotion, whether to Principal Lecturer (or the equivalent in the new, nationally agreed Framework Agreement), or alternatively on the basis of a discretionary payment of one accelerated increment on the SL or PL scales or an additional increment at the top of the SL or PL scales, is based on merit against the published guidelines. Advice on the promotions process will be provided to staff at open seminars.

It is up to employees who are on the current SL scale to decide whether to apply for the Principal Lecturer grade or for a discretionary payment. Employees on the current SL scale who are deemed on the basis of their application not to meet the criteria for promotion to Principal Lecturer may then be considered for the award of a discretionary payment, against the criteria for such payments. A lecturer/senior lecturer who has been awarded a discretionary payment may not make application for a promotion in the year following this award. Therefore, if an individual applies for promotion but does **not** wish to be considered for discretionary payment in the event that the application for promotion is unsuccessful, s/he should indicate this preference on the application form. The standards required of successful SL candidates for promotion to Principal Lecturer will inevitably be higher than for the award of discretionary payments. Different sets of requirements have therefore been developed for

each. Clearly, those on the current PL scale (from 1st September 2002 on a 'personal-to-holder' basis) have only the option of making an application for a discretionary payment.

Applications are considered by a Senior Management Group advised by an external assessor, before final decisions are taken by the Board of Governors' Establishment and Development Committee. Oral and written feedback will be provided to applicants after the Board of Governors' stage. An appeal process has been incorporated.

Promoted staff and those awarded a discretionary payment will be expected to continue to carry their share of administrative and management responsibilities and those relating to teaching and research. Letters offering promotion or discretionary payment will contain a clause setting out the University College's expectations in this respect and making promotion or discretionary payment conditional upon their acceptance.

Staff are asked to note that all discretionary payments are permanent and pensionable. For those who are successful in a given year, awards will not be considered in subsequent years under the present scheme. A lecturer/senior lecturer who has been awarded a discretionary payment may not make application for a promotion in the year following the award of the discretionary payment. Those in receipt of an accelerated increment will in due course have their existing scales extended by one point. Those already on the top of their scales who receive an additional increment will immediately have their existing scales extended by one point. [Discretionary payments awarded in the 2004-05 cycle of business will be backdated to 1st September 2004].

STRANMILLIS UNIVERSITY COLLEGE

ACADEMIC PROMOTIONS (PRINCIPAL LECTURESHIPS OR EQUIVALENT)

Guidelines for the Applicant

- 1.1 Academic staff who wish to be considered for promotion to Principal Lecturer (or equivalent) must apply personally for promotion and submit their completed forms to their Director/Head of Department by 31 October of each year. Applicants must submit 1 copy to the Director/ Head of Department and separately send 1 copy to the Human Resources Manager for record purposes. This copy will be held on file for a period of three years.
- 1.2 Application for promotion may be made annually.
- 1.3 Applicants for PL grade only are required to submit a formal curriculum vitae i.e. **Form 1** and a printed statement on **Form 2** indicating how they match the profile of the status for which they are applying. Applicants should indicate clearly how their profile has been strengthened, particularly in relation to recent activity.
- 1.4 **The activities listed in the promotion profile grid are not exhaustive, nor are they prescriptive. Rather they are intended as exemplars of what is required.** Applicants are not expected to match all of the activities but they are required to match the appropriate profile in both teaching and research/scholarship, and in at least one of the other two categories of generic activity. In the remaining area they must at least match the profile required for their current grade. **Applicants are asked to note the emphasis on peer-referenced, published outcomes in relation to the research/scholarship category.**
- 1.5 In order to qualify for consideration for promotion all academic staff, whether or not they are part of an RAE return, will be required to develop a balanced portfolio of activities.

- 1.6 Applicants must indicate the evidential base of their applications. Reference may be made, for example, to the RAE status of journals or publishers, the status of collaborators, externally validated awards or prizes or the significance of conferences. Work not yet in the public domain will only be considered if full details of publications are provided, along with evidence of acceptance. In the case of joint authorship, the lead author must be clearly identified. In the case of Research/Scholarship, it is recommended that applicants include evidence of their best publications or comparable pieces of recent years, indicative of the quality of the work. Supporting evidence may be attached to applicants' statements. This may include, inter alia, summary teaching evaluations, external examiners' comments, extracts from appraisal documents, external assessments of research applications/reports, reports of module review groups, external peer assessments, citation indices and book reviews. However, applicants are advised to be selective and limit the volume of such supporting material. No more than 8 pages of such documentation (minimum font size of 12 point) may be submitted. It is not necessary to attach copies of publications, papers presented, etc, but full reference details must be given within the application.
- 1.7 It is accepted that the emphasis and balance of activities may change over time, for example, as a consequence of undertaking significant administrative duties. While the two committees considering promotion will be concerned to consider evidence as to the quality of performance, they will also be assessing the breadth of an applicant's record in each category and looking for evidence of strength and development in each of the areas specified for promotion.
- 1.8 The name and address of one external referee must be supplied by the applicant. In all cases the referees must themselves be of a rank at least equal to that for which application is being made and of an appropriately high academic standing in the relevant field. Normally, referees must be drawn from institutions with which Stranmillis University College seeks to compare itself. In the case of external referees drawn from institutions using the North American system of academic titles, the precise rank (i.e. assistant, associate or full Professor) must be stated.
- 1.9 After the University College committees considering promotion have decided upon their recommendations for promotion, written and oral feedback will be available to all

applicants. At this stage, dissatisfied applicants may write to the Chair of Governors, through the Principal's Office, setting out the precise grounds of their appeal. Such applicants may also seek further advice on the appeal process from the Human Resources Manager. Information which was not provided in the original application will not be considered at this stage and it is the responsibility of every applicant to ensure that the initial application is complete.

- 1.10 In the event of appeals, the Chair and Vice Chair of Governors, with the assistance of an external assessor, will review all the decisions made at the various stages in the process and will have the discretion to reconsider cases if appropriate. The applicant may present his/her case in person to the appeal panel. Again, information that was not provided in the original application will not be considered at this stage. The individual may be accompanied to the appeal, normally by a work colleague, or in exceptional circumstances, by a trade union official.
- 1.11 The University College will make it clear that financial reward carries with it an expectation that the recipient will continue to perform at the same or higher level in future. Letters offering promotion or discretionary payment will explain the College's expectations in this respect and promotion will be conditional upon their acceptance.

STRANMILLIS UNIVERSITY COLLEGE

ACADEMIC PROMOTIONS (PRINCIPAL LECTURESHIPS OR EQUIVALENT)

Guidelines for Directors/Heads of Departments

- 1.1 Applicants for promotion should submit to Directors/Heads of Departments a completed application form, i.e. **Form 1** and a printed statement, i.e. **Form 2** by **31 October** of the relevant year. Applicants are required to provide the Director/Head of Department with 1 copy of their documentation which will be passed up the various stages in the process to the Board of Governors' Establishment and Development Committee. The applicant will also be required to send 1 copy of his/her completed documentation to the Human Resources Manager for record purposes. This copy will be held on file for a period of three years.

- 1.2 A departmental panel comprising the Director/Head of Department and two appropriate persons (currently holding positions of academic leadership) will consider each application, confirm the factual accuracy of the application and will make a recommendation regarding each applicant's submission:
 - (i) recommended for promotion
 - (ii) recommended for consideration at next stage
 - (iii) not recommended for promotion
 - (iv) recommended for discretionary payment
 - (v) not recommended for discretionary payment.

Directors/Heads are required to complete report **Form 3** to record the outcome of these deliberations. The Director/Head must nominate one further external referee and make his/her name known to the applicant in writing. Applicants should not be consulted about the selection of this referee but will have the opportunity to raise any concerns about the choice with their Director. The departmental panel should comment on the range of work undertaken relative to the average for the same unit, the length of time over which any activity has been undertaken, and the success with which

it has been undertaken. The report should be written against the four generic profiles, indicating clearly those in which the applicant meets the required level.

- 1.3 All reports must rest on evidence. Examples must be provided of administrative and community service. For research, evidence may be based on reviews of published work, comments from external assessors of grant applications and reports, the standing of journals/ publishers, the status of collaborators, the significance of conferences attended or participated in as a presenter etc. Work not yet in the public domain will only be considered if full details of publications are provided along with evidence of acceptance. For teaching, the supporting evidence could be drawn from the reports of external examiners, student evaluations, peer review and module review groups. **However, applicants should be encouraged to be selective (in order to make a strong case) in relation to such evidence, aiming for quality and relevance rather than quantity.**
- 1.4 The panel's report must set the applicant's achievement in the context of his/her length of service, opportunity to undertake duties, experience, achievement and effective performance in previous HE and non-HE careers and the likely impact of any breaks in career continuity. Such factors may be used to explain a relative lack of depth in a particular profile, but not to explain any perceived qualitative weaknesses.
- 1.5 The Director/Head of Department will be required to submit to the Senior Management Group, via the Principal, the applicant's **Form 1** and **Form 2** and the Head's completed **Form 3** by **31 December** of the relevant year.
- 1.6 **There is no written or any other form of communication to applicants at this stage, as the final decision lies with the Board of Governors.**

STRANMILLIS UNIVERSITY COLLEGE

PROMOTIONS SCHEME FOR LECTURING STAFF (PRINCIPAL LECTURESHIPS OR EQUIVALENT)

Guidelines for the Principal

- 1.1 The paperwork prepared by the applicant and the Directors/ Heads of Department will be considered in the first instance by a Senior Management Group, composed of the Principal, the four academic Directors and an external assessor from a comparable HE institution.
- 1.2 The Principal will be responsible for ensuring by co-option of senior staff if necessary, that the Senior Management Group is representative in terms of gender and community background. The Human Resources Manager will be present in an advisory capacity at the meeting.
- 1.3 The Principal is responsible for calling in referees' reports.
- 1.4 The Senior Management Group must be satisfied as to the factual accuracy of each application and that the Directors/Heads of Departments' reports have been consistent in the treatment of career events, for example, career breaks, secondments and previous employments.
- 1.5 Directors who have forwarded recommendations to this committee will be available in case clarification is sought on any comments made in submitted reports. Directors will take no other part in deliberations about applications from members of staff based in their department.
- 1.6 At the conclusion of the meeting, the Principal will prepare and agree with members a written report on the appropriate pro-forma, i.e. **Form 4**, of the committee's assessment of each applicant and band the applicants into five categories:

- (i) recommended for promotion;
- (ii) recommended for further consideration at the next stage;
- (iii) not recommended for promotion;
- (iv) recommended for discretionary payment;
- (v) not recommended for discretionary payment.

There is no written or any other form of communication to applicants at this stage, as the final decision lies with the Board of Governors.

- 1.7 The Directors/Heads of Departments' statements, the referees' reports, the Principal's reports and recommendations should be completed by **1 March**. The Principal will forward them, together with the applicants' initial documentation, to the Establishment and Development Committee of the Board of Governors.

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PROMOTIONS SCHEME FOR LECTURING STAFF (PRINCIPAL LECTURESHIPS OR EQUIVALENT)

Guidelines for Board of Governors Establishment and Development Committee

- 1.1 A meeting of the Establishment and Development Committee, excluding the Chair and Vice Chair of the Board and the staff representative, will be convened in March/April, with the Human Resources Manager in attendance.
- 1.2 The Establishment and Development Committee will make an assessment of each applicant on the basis of all the available evidence.
- 1.3 The Committee will band applicants into (i) recommended for promotion (ii) not recommended for promotion (iii) recommended for discretionary payment (iv) not recommended for discretionary payment. The Chair of the Committee will provide a written justification on the appropriate pro-forma, i.e. **Form 5**, for the banding. He/she will also be responsible, through the Principal who will be assisted by the Human Resources Manager, for providing written and oral feedback to applicants. On receipt of this feedback, dissatisfied applicants may write, via the Principal's Office, to the Chair of Governors, setting out the precise grounds of their appeal. Appeals must be lodged within ten working days of the receipt of written feedback. Such applicants may also seek further advice from the Human Resources Manager on the appeal process.
- 1.4 In any case where the Committee votes to determine the outcome of an individual application for promotion, the Principal may not vote. A written record of such a voting process will be retained for three years.
- 1.5 Any appeals will be considered by the Chair and Vice Chair of the Board of Governors, with the assistance of a different external assessor. They will have available to them applicant's **Form 1** and **Form 2**, Director/Head of Department's report **Form 3**, Principal's report **Form 4**, Establishment and

Development Committee's report **Form 5** and external references where appropriate. Final decisions will be taken in the light of evidence provided in internal and external reports. This process, if required, will be completed by **April/May** of the relevant year.

1.6 Promotions will be effective from 1 September following.

STRANMILLIS UNIVERSITY COLLEGE

PROMOTIONS SCHEME FOR LECTURING STAFF

Guidelines on Discretionary Pay

- 1.1 Members of staff on the SL and PL scales may apply for discretionary payments in any given year. However, for those who are successful in a given year, awards will not be considered in subsequent years under the present scheme.
- 1.2 An individual will be eligible for consideration for discretionary pay only where it can be shown that he/she is making an outstanding contribution in a current role. For an SL, this is defined as matching the profile of the level above his/her current level in at least two of the four generic categories and where performance in the other two is at the level of the grade currently held. In the case of an existing PL on a personal-to-holder basis, this is defined as matching the requirements of the new PL profile in both teaching and research/ scholarship, and in at least one of the other two categories of generic activity.
- 1.3 Candidates will follow the same application process as for promotion to Principal Lecturer but only need to complete Form 2. **Input from external referees will not in this instance be required.**
- 1.4 Individuals will not be eligible to receive a promotion to a Principal Lecturer grade and a discretionary pay award in a single promotion cycle.
- 1.5 All applications will be considered initially by the Senior Management Group, with the Human Resources Manager in attendance, along with the external assessor. All recommendations, including those relating to unsuccessful applicants, will proceed to the Establishment and Development Committee of the Board of Governors, whose verdicts will be final, subject only to an appeal to the Chair and Vice Chair of Governors, assisted by an external assessor. These processes will operate as in the case of applications for Principal Lecturer grade.

- 1.6 Written and oral feedback will be provided by the Chair of the Establishment and Development Committee through the Principal.

- 1.7 As with promotion, the University College will make it clear that financial reward carries with it an expectation that the recipient will continue to perform at the same or higher level in future.

STRANMILLIS UNIVERSITY COLLEGE

PROMOTIONS PROFILE

Please note the content of each box are not checklists, they are exemplars.

LECTURER/SENIOR LECTURER PROFILE (E.G., TO PASS PROBATION)	
1. Teaching	<ul style="list-style-type: none"> • Start PGCHET, if not in possession of a teacher education qualification • Evidence of successful teaching • Attendance at relevant development courses • Evidence of effective placement supervision • Contributes appropriately to the teaching load of the unit.
2. Administration	<ul style="list-style-type: none"> • Routine College administration • Interviewing of student applicants
3. Community Service Contribution to the community involves a staff member's efforts to generate, transmit, apply or preserve knowledge and/or expertise for the direct benefit of external audiences in ways that are consistent with the University College's mission. This includes work for government, local authority, professional, community and commercial bodies. It may also include work undertaken for the University College in the external community.	<ul style="list-style-type: none"> • Professional activity
4. Research	<ul style="list-style-type: none"> • RAE quality publications since appointment • Evidence of potential to publish, e.g. publications at planning stage • Completed, or ongoing, PhD • Conference papers presented or in preparation

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PROMOTIONS PROFILE – PRINCIPAL LECTURER OR EQUIVALENT

Please note the content of each box are not checklists, they are exemplars.

1. Teaching	
	<ul style="list-style-type: none"> • Development of new modules/ pathways • Complimentary student evaluations • HEA membership • Support from externals • Innovative methodologies/ pedagogy • Subject text book • Positive Peer Review • Contributes significantly to the teaching load of the unit • Attendance at relevant management training courses • Curriculum/Module/ Pathway Review • Module/Year/Programme Co-ordinator • Significant role in CETLs activities • Evidence of significant innovation in teaching • Evidence of significant innovation in working with schools/organisations hosting placements • Pastoral roles with students • University subject review responsibility • Active role in College committees • Mentoring of junior colleagues • Training and supervision of teaching assistants • Academic leadership role • Successful work as a school tutor or placement supervisor • Liaison work with placement providers • Organisation of placements
2. Administration	
	<ul style="list-style-type: none"> • College Management responsibility or cross-College role • College Budgetary responsibility • Adviser of Studies • College representative at Faculty level • Responsibility for overseas students • Contributes to relevant STDU or College training courses • Supervision of support staff • Recognised University roles • College recruitment panels • Expert work for College
3. Community Service	
<p>Contribution to the community involves a staff member's efforts to generate, transmit, apply or preserve knowledge and/or expertise for the direct benefit of external audiences in ways that are consistent with and relevant to the University College's mission. This includes work for government, local authority, professional, community and commercial bodies. It may also include work undertaken for the University College in the external community</p>	<ul style="list-style-type: none"> • International outreach activity • FE/Schools Access activity • Work at Outreach Centres • Schools liaison re student recruitment • Official College representative on external bodies • Professional contributions relevant to College activities • Membership of Boards of Governors/Management • Entrepreneurial activity of a professional nature which contributes to College's activities
4. Research/ Scholarship (as reflected in current contractual requirement). Research/ Scholarship involves peer-referenced, published outcomes, the precise nature of which will reflect the academic discipline involved, e.g. journal articles, books, peer-referenced creative artefacts. It is recommended that applicants include evidence of their best publications or comparable pieces of recent years, indicative of the quality of the work.	
	<ul style="list-style-type: none"> • High rate and quality of publications since appointment • Significant refereed publications over career and/or since last promotion if applicable • Publication of professional materials e.g. artistic artefacts (with peer review evidence of quality) • RAE returnable, including last three years and since last promotion where appropriate • Successful external funding applications • Invited/refereed national conference papers • Productive external research collaboration • Book reviews published • Participation in national societies • External consultancy or contract work • Completion of PhD

	<ul style="list-style-type: none">• External referees' support• Successful postgraduate supervision• National/ international conference organisation• Mentoring of junior colleagues• Referee for external research applications or publications• Journal editorship• Member editorial board• Evidence of future plans, allied to existing achievements
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