

Promotions process

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1. Principles

The University’s strategic plan is to invest in knowledge and opportunity; attracting, retaining and developing all of its employees. The University’s approach to promotions supports this strategy by allowing us to reward and recognise our staff for the work that they do in an inclusive, transparent and timely way, which aligns to our strategic objectives and values and recognises excellence across all academic activities.

2. Criteria

All the criteria are set at 'entry level' to the grade and are designed to reflect the level of activities within the grade, rather than the volume of work. They will be equitably applied to all staff, taking account of individual circumstances such as hours of work.

Each route to promotion has a number of criteria (section A) which all staff should complete. These are criteria that are typically found in all roles at that grade. The remaining criteria can be chosen to reflect the kind of activity you undertake in your specific role.

If you and/or your manager believe that the criteria do not reflect your role, or that you may not meet all criteria in section A but can meet additional criteria reflecting activity within your specific role, you should contact your HR Manager in the first instance.

Guidance is available for each route to promotion to clarify what is meant by each of the criteria and to help ensure consistent interpretation by applicants and panels.

The academic promotion criteria for grades 8, 9 and 10 refer to local benchmarks. These are faculty specific and give an indication of how the criteria will be judged in a discipline or subject specific context.

The criteria, guidance and local benchmarks are available on the HR website.

3. When should you apply?

Academic staff

You should consider the criteria, guidance and your Faculty's local benchmarks to consider whether you can demonstrate the requirements for promotion. In doing this, you can access advice from a number of sources including your Head of School and/or manager, SRDS reviewer, an existing mentor or a Promotions Advisor who can help you make a judgement on the best time for you to apply.

Support, Professional and Managerial staff

The first step is for your manager to confirm that the role you are in is needed at a higher grade on an ongoing basis. This may be as part of an annual planning exercise when your Dean/Head of Service, alongside your HR Manager, will consider what is needed in line with the faculty/service plan. Where this suggests that there is a need for a role to grow further, work will be undertaken by your manager to describe the key requirements within a business case for authorisation by the Dean/Head of Service in the normal way. Where a need is identified outside the annual planning process, a business case can be put forward for approval in the same way.

If you think your role is needed at the higher grade on an ongoing basis, you should discuss this in the first instance with your manager. Your SRDS review may be a good time to do this.

Once it is agreed that your role is needed at a higher level, your manager and HR team can support you in deciding when to apply. You can do this as soon as you feel you can demonstrate that you meet the criteria. Your manager will also work with you and your HR team to agree a revised job description at the higher grade. This job description will apply once you have been promoted.

There is detailed guidance on this on the HR website.

Section 6 of this document outlines some other sources of support that you may find useful when considering promotion and making an application.

4. Application

Step 1 - Completing an application

Your application is made up of:

- a completed application form. Further guidance about completing your form can be found on the HR website;
- for academic staff applying for promotion to grades 8, 9 and 10, an academic CV. You can use the CV template or submit your own CV. If you submit your own CV, please refer to the guidance about the content required. For academic grade 10 promotions only, you will need to provide six referees (including a minimum of three¹ international) on your CV. Your School will also provide six referees, which should be different to the ones that you have provided;
- for professional or managerial staff applying to grade 10, your CV.

Please sign and date your application form and email to your local HR team, who will forward it for verification.

Step 2 - Verification

Your local HR team will forward your application to your Head of School/Service, or nominee, for verification. Your verifier will not make any judgement of your application but will confirm a number of points which are set out within the application form. In doing so, they may consult other relevant people.

For academic staff, this may involve confirming any workload model information or any other workload agreements that may be relevant, such as in relation to part-time staff or staff returning from career breaks and for whom it may have been agreed to prioritise specific areas of activity.

The verification would normally be completed within four weeks². If there is an issue at this stage which cannot be resolved, a Faculty/Service HR Manager or trade union representative may be asked to facilitate an agreement. If it still cannot be resolved, it would be referred to the next appropriate management level.

Once your application is verified, it will be returned to your local HR team.

Step 3 - Decision making

Central HR will arrange a panel and send an email to acknowledge that they have received your application and to let you know the planned date of your panel.

The panel can take between two to six weeks to organise depending on the availability of the panel members. The panel will be arranged to ensure that there is appropriate knowledge of your role and your area, and that a consistent approach is maintained across the University.

¹ For staff taking the Academic Leadership route, at least **one** referee should be international.

² Whilst every effort will be made to meet these timescales, there may be occasions when these will vary.

If you are applying to grade 10, as part of the assessment of your application, you will be required to attend a 45 minute interview with the panel. For all other grades no interview is required.

The table below outlines who will sit on promotions panels and an outline of roles within the panel can be found on the HR website:

Grade	Panel constitution
3 - 6	Head of School/Service or nominee (Chair) School/Service representative Independent representative (external to the Faculty/Service) Human Resources Manager or Officer
7 - 9	Dean of Faculty/Head of Service or nominee (Chair) School/Service representative 2 independent representatives (at least 1 must be external to the Faculty/Service) Human Resources Manager or Officer
10	<p>Promotional Chairs*</p> <p>Faculty Dean (Chair) – external to applicant’s faculty Dean of Faculty Head of School (or nominee where appropriate) Independent representative – external to applicant’s faculty Human Resources Manager or Officer</p> <p>Professional & Managerial</p> <p>UEG member (Chair) – external to applicant’s service UEG lead Grade 10 Head of Service/Faculty Dean Another Head of Service/School or UEG member or nominee HR Director/Deputy HR Director or nominee</p> <p>*Grade 10 applications include an interview of the applicant - academic applications will also be informed by external references both from the candidate and the School. Listed principal publications should be made available to referees electronically on request to a referee.</p>

Panels will be arranged by Central HR ensuring an appropriate gender balance, wherever possible, and taking into account the type of role you have. Sometimes, additional members may sit on the panels, e.g. for clinical roles.

Your panel will assess your application, as well as evidence gained from interview for grade 10 applications, against the criteria for the grade. The panel may refer the application back to you, your verifier or other appropriate person, for additional information or clarification.

A pro-forma will be completed by the panel recording discussions and outcomes and will form the basis of feedback to unsuccessful applicants.

Step 4 - Outcome

The Chair (or nominee) of your panel will let you know whether your application was successful or not and the HR Service will also confirm the outcome in a formal letter.

Successful applications

Successful applications will take effect from the 1st of the month following submission of the application. In exceptional cases, an alternative date may be agreed by Chair in consultation with Human Resources.

The normal salary upon promotion is to move to the bottom point of the grade³, or in instances where your current salary is the same as the bottom/subsequent point on the grade, to the next point up on the salary scale. A higher salary point will only be considered where there is a significantly overdue application and the decision to award a higher salary point will be made by the panel Chair (and for grade 10 promotions, in conjunction with the Dean of Faculty) and is subject to the confirmation of the Deputy Director of HR.

Your increment date will change to the anniversary of the promotion. For example, if your promotion is effective from the 1st of September, you will receive your next normal increment on 1st September the following year. These arrangements will supersede the current increment dates in place.

Unsuccessful applications

You will be offered feedback on your application which will normally be given by the Chair of the panel. You can appeal against this outcome if you believe that an incorrect decision was made due to a fault in procedure or incorrect interpretation of the information you provided.

You would not normally be able to submit a further application within 12 months of the date of this unsuccessful application submission. This is to allow you time to demonstrate how you have addressed the areas that you did not meet. In exceptional cases, where there is a specific School, Service or Faculty need, and where it has been discussed with the Faculty/Service HR Manager), earlier resubmissions may be allowed.

5. Promotions appeals process

If you wish to appeal, you must submit your appeal within 21 days of the date of the letter informing you that your promotion application was unsuccessful.

Step 1 – Completing an appeals form

You will need to complete an appeals form and provide a written statement (of no more than two sides of A4) outlining why you feel the outcome of the promotion is incorrect. This may be that you believe:

- the way in which your application was considered led to an incorrect decision (grounds of procedural defect) and/or
- that the information you provided was not correctly interpreted (substantive reasons) and that this led to the wrong decision.

You may find it helpful to discuss your appeal with your HR Manager or Officer before completing the form. Once completed, you should forward it to your Faculty/Service HR

³ The Professorial minimum salary is point 52 on the scale

Manager, who will acknowledge receipt and forward it to your Head of School/Service (or nominee) for verification.

Step 2 - Verification

Your statement should be verified and agreed as before by the same Head of School/Service (or nominee) who verified your initial application. This may be in consultation with other relevant people.

This will normally be within 2 weeks of receipt. They will then forward your verified appeal form to your local HR team and an appeals panel will be arranged by Central HR, constituted as below:

Grade	Panel constitution
3 - 7	Independent Chair (external to Faculty/Service) 1 trained HR role analyst (external to the Faculty/Service) 1 trade union officer (external to the Faculty/Service)
8 - 9	Faculty Dean or Head of Service (external to Faculty/Service) 2 independent representatives (at least 1 must be external to the Faculty/Service) 1 trained HR role analyst (external to the Faculty/Service) 1 trade union officer (external to the Faculty/Service)
10	PVC or nominee 2 x external representatives (external to the Faculty/Service) 1 trained HR role analyst (external to the Faculty/Service) 1 trade union officer (external to the Faculty/Service)

Normally, no member of the appeals panel will have had any previous involvement in the application.

The appeals panel will assess the information provided in your application and will decide whether there are grounds for an appeal. A pro-forma will be completed by the panel recording key points of the discussion and this will form the basis of feedback if your appeal is unsuccessful.

Step 3 - Appeal panel decision

If the appeal panel decide that there are no grounds for appeal, you will be informed of their decision by the Chair (or nominee) and HR Manager. This decision is final and there is no further right of appeal.

If the appeal panel agree that there are grounds for appeal, they will refer the case back to a promotions panel (with membership as outlined in section 4) which will include a member of the appeals panel and at least two members of the original promotions panel.

Your new promotion panel will consider your case, taking account of the original evidence provided, your appeal documentation and the key points of the appeal panel discussion.

The Chair of the promotion panel (or nominee) and HR Manager will let you know about the panel's decision and central HR will write to you to confirm the decision in a formal letter.

Step 4 - Outcome

Successful appeals

Successful appeals will take effect from the 1st of the month following submission of the original application. In exceptional cases an alternative date may be agreed in consultation with the Dean/Head of Service and Human Resources. Increment dates will be the anniversary of the promotion. These arrangements will supersede the current increment dates in place.

Unsuccessful appeals

You will be offered feedback on your appeal which will normally be given by the Chair of your promotion panel. The decision of the panel will be final and there will be no further right of appeal.

Normally, you will only be able to submit another application after 12 months of the date of the original submission. This is to allow you time to demonstrate how you have addressed the areas that you did not meet. In exceptional cases, where there is a specific School, Service or Faculty need, and where it has been discussed with the Faculty/Service HR Manager, earlier resubmissions may be allowed.

6. Sources of support

There are several sources of support to help you with your application:

- Line manager/SRDS reviewer – who can discuss how your role may meet the promotion criteria and help you to complete your application.
- HR Manager/Officer – can give advice on how to interpret the criteria and all aspects of the promotions process, as well as directing you to individuals within your Faculty, School or Service who sit on promotion panels or have recently been through the process themselves; they can also provide guidance on the drafting of your application.
- Mentor - SDDU run a mentoring programme where you are matched to a mentor, <http://www.sdduonline.leeds.ac.uk/mentoring/>.
- Trade union representative – members of a campus trade union may wish to seek advice from a TU representative.
- HR website – the website has a lot of information that will help you with your application <http://hr.leeds.ac.uk/>.

7. Other key points

Promotions to grade 7

If your application is successful, you will move to a no fixed hours⁴ role and you will be expected to work the hours required to undertake your duties.

If you are currently in the PAS pension scheme, please contact your HR Manager, in the first instance, for information about your options.

⁴ For calculation purposes, the full-time notional hours are 37.5 per week.

Staff on probation

Normally, you would complete your probation before you apply for promotion. Your probation advisor can recommend to your Faculty Dean/Head of Service that you complete your probation early. The probation policy can be found at on the HR website.

However, in exceptional cases, it may be appropriate to apply for promotion before the end of your probationary period. If your application is successful, you will be deemed to have completed your probation in your previous grade.