

1. INTRODUCTION

The grade of Lecturer is the entry grade into an academic career. Any case for promotion to Senior Lecturer must be based on quality in terms of achievement and outcomes. Current contribution to the work of the School/University beyond that expected for the fully satisfactory performance of a Lecturer's duties may also be demonstrated.

2. ELIGIBILITY

- 2.1 All Lecturers are automatically eligible to apply for promotion where they have reached the top of the Lecturer band¹.
- 2.2 For accelerated progression to Senior Lecturer, normally Lecturers will:
 - a) have had a minimum of two years' employment as a Lecturer at York St John;
 - b) be on at least Point 33 of the pay spine; and
 - c) have successfully completed their probation period
- 2.3 All applicants must have discussed their intention to apply for progression and any associated development needs at their PDR in the preceding 12 months².

3. THE PROCEDURE

- 3.1 The Senior Lecturer Promotions Panel will meet annually to consider applications for progression from Lecturer to Senior Lecturer. Members of staff will be advised of the timetable by the Human Resources Department.
- 3.2 The promotions process is evidence-based and applicants should be prepared to make available that evidence as part of their submission for promotion. The following documents are required to be submitted in accordance with the published timetable. Section 3 provides further guidance to applicants.
 - a) A formal statement of the case for promotion, making clear the promotion criteria on which the candidate wishes to be judged, and referring, where appropriate to the objective evidence supporting the claim;
 - b) An up-to-date CV including a list of publications/research outputs where appropriate;
 - c) A report by the Head of School on the activities of the candidate in each area relevant to promotion, including a statement of the opportunities that have been made available to the applicant for their involvement in each of the areas. The report should also include explicit reference to the individual's remit within the School and to the responsibilities allocated to the applicant.
- 3.3 Applicants must discuss their wish to apply for promotion with their line manager during their Performance Development Review 12 months ahead of their application. This will allow for a development plan and appropriate support to be put in place as necessary to maximise the applicant's potential for success³.
- 3.4 Schools should proactively identify and speak to colleagues who are worthy of promotion but who do not initially put themselves forward to encourage them to do so.

¹ For 2016-17 the procedure will only apply for those seeking accelerated progression. Those at the top of the Lecturer pay band will be considered for progression to Senior Lecturer under existing procedures.

² This does not apply for applications made in 2016-17 due to the timing of the introduction of these Procedures.

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3.5 Head of School Assessment⁴

The relevant Head of School will be requested to submit a confidential assessment on each candidate. All applicants are therefore expected to have discussions with their Head of School prior to submission of their application. A template for the assessment report is available for these purposes.

In the report the Head of School will provide an assessment of the suitability of the applicant for promotion and will draw out information about prior support and advice received by the applicant within and outside of their PDR⁵, confirm the factual accuracy of the application and provide details of the activities that the applicant has engaged in relevant to their application for promotion to Senior Lecturer.

To ensure the assessment is comprehensive and accurate, the Head of School may seek advice from a colleague in the applicant's discipline or their line manager (i.e. where this is the Deputy Head of School). The appropriate Head of Research should be consulted in relation to research performance. Where advice is sought, this must be detailed in the report.

It is important to note that applications based primarily on promise will be rejected. Evidence of actual performance is the primary criterion for promotion.

Members of the Senior Lecturer Promotions Panel will give significant weighting to the Head of School's assessment as a key part of the evidence used to reach their decision. In the event that the application is not supported, the Head of School will be required to provide evidence to substantiate their assessment so the Panel can make an informed assessment. The Panel will not consider an application that is not accompanied by a signed and dated assessment report from the Head of School, which will be regarded as confidential.

In the unlikely event of an applicant being concerned about the ability of their Head of School to provide an objective and fair assessment (e.g. where there is a very poor working relationship), the applicant should speak to the Head of Human Resources for advice.

3.6 Senior Lecturer Promotions Panel

The Panel will comprise⁶:

- Deputy Vice Chancellor (Chair)
- One Executive Dean
- One Head of School or Pro Dean to be selected following receipt of applications.
- Director of Academic Development
- Executive Director of Student and Staff Services

The Panel will include representatives from both genders.

The Head of Human Resources will act as secretary to the panel.

Declarations of Interest: Members of the panel are required to declare an interest if they have any close personal or professional association with an applicant. The Chair will decide whether this is sufficient to disbar them from consideration of the case.

Absence of members: Where a Panel member is unable to attend a meeting it will continue in their absence. The individual will be asked to submit comments prior to the meeting so they can be considered by the other Panel members. In the absence of more than one member, the Chair will decide whether it is appropriate to continue.

⁴ Where the academic member of staff is based in a service Directorate then the report will be prepared by the Director of that service.

⁵ Where the line manager is the Deputy Head of School, the Head of School will seek their contribution

⁶ In comprising the Panel, due attention will be given to ensuring a gender balance

Referees

Referees play an important role in verifying the standing of individual applicants in relation to the criteria for appointment. Each applicant is required to nominate **one external referee** who can comment on their growing national standing and is responsible for contacting them in advance to ensure they are available.

The Head of School must nominate **an internal referee** and include their details in their assessment report to the Panel.

Referees must be selected carefully as they must have relevant expertise and be able to comment on the quality of the work of the candidate and what they know of their external reputation. The internal referee should be able to provide evidence to support their evaluation of the performance of the applicant (e.g. teaching observation, questionnaire responses, external examiner's comments etc.)

All references will be assessed in the strictest confidence.

3.7 Notification of Outcome

All applicants will be informed in writing by the Human Resources department of the decision of the promotions panel. Should applicants be successful, then their Head of School will arrange to meet with them to explore and agree their contribution as a Senior Lecturer in the School.

Unsuccessful applicants can arrange to meet with a member of the Promotions Panel to receive feedback on their application should they so wish. In any event, their Head of School will meet with them to provide feedback and discuss developmental activities and School/University opportunities that the individual should undertake to help them be better placed for promotion when next they apply. A written development plan will be agreed and monitored through PDR.

4. PERSONAL CIRCUMSTANCES

4.1 In order that due account can be taken of any personal, familial or other non-academic circumstances that may have had an impact on the development of an applicant's career, applicants have the opportunity to draw to the attention of the Head of Human Resources any specific issues which they consider relevant, especially those which – since appointment – they consider have had an effect on their career profile and on the volume of their contributions. By this means, the University seeks to ensure that no candidate is placed at a disadvantage in consequence of particular conditions or circumstances.

4.2 This can relate to

- a) Time away from work, e.g. maternity, paternity, parental or adoption leave (with dates and details of arrangements for return to work following these period); and/or
- b) Part-time work (stating FTE) or other flexible working arrangements
- c) Periods of absence (with dates), flexible working arrangements or working limitations arising from caring responsibilities, a disability, ill-health or injury;
- d) Periods of absence (with dates) or flexible working arrangements arising from the impact and consequences of gender re-assignment;
- e) Personal, familial or other non-academic circumstances (with details) that have interrupted, restricted or delayed their career

In discussion with the Head of Human Resources the candidate may choose to share such information in their application or the Head of Human Resources will report orally to the panel the impact that the circumstances have had on the applicant's career. Personal circumstances will be evidence-based and verifiable, although the applicant is not required to supply actual evidence unless asked to do so.

5. EQUALITY OF OPPORTUNITY

The University will monitor the fair and equal application of the Senior Lecturer Promotions Procedure through the annual report on promotions to the Academic Board. The Board will receive an annual report from the Head of Human Resources detailing the successful applications, an equality profile of the Senior Lecturers at the University together with a profile analysis of the members of staff eligible to apply compared to successful candidates. The Panel will ensure that equal treatment is being applied by monitoring the characteristics of academics promoted and will identify any proactive steps needed to encourage applications from under-represented groups or to remove any perceived barriers to application. This monitoring function will be complemented by York St John's Equal Pay Review, undertaken every 2 years.

6 SENIOR LECTURER APPOINTMENTS

6.1 General

The primary role of academic staff is to engage in the core activities of teaching and research. The performance of these duties will constitute the basic case for promotion in the overwhelming number of cases. Relevant evidence will include any impact arising from the candidate's work; this might include (e.g.) impact on student outcomes/achievement, influence on professional practice, and/or research impact as defined within the Research Excellence Framework (REF).

The University expects that all academic staff contribute to the common good and play their part in the running and development of their School and if appropriate, the University.

By the time that a member of academic staff has reached the top of the Lecturer grade it is expected that they will have grown in their role, made a positive contribution to the School/University, and have a sufficiently growing national standing and reputation in their discipline so that they will be successful in progressing to Senior Lecturer.

6.2 Role Requirements

When an individual progresses to the role of Senior Lecturer at York St John it is in recognition of their academic achievements and their potential to fulfil the increased expectations of the role beyond that of lecturer, and to continue to develop and contribute to the success of the University. Once promoted to Senior Lecturer there is an expectation for continued contribution to the development of the School and the wider University.

A successful Senior Lecturer will be expected to demonstrate increasing leadership responsibilities, contribute to the development of their subject discipline and the quality of the student experience, and build a growing national and international reputation as an academic. The expectation is that Senior Lecturers will continue to develop within the role in preparation for the next step in their academic career; it should not be seen as an 'end point' in itself.

It is recognised that some applicants for promotion may already be undertaking some of the roles expected of a Senior Lecturer and this will be taken into account when evaluating the case for promotion; it will not, in itself, be the sole criterion for promotion and candidates must provide a case based on performance and outcomes and not only on roles undertaken.

6.3 Criteria for Promotion

To be eligible for consideration for promotion, applicants should demonstrate:

- a) contributions to the development and enhancement of teaching/learning in the School and/or University and/or in a wider context;
- b) achievements in research with reference to the definitions for 'research active' and 'research engaged' as set out in Section 2.4;
- c) contributions to the management and leadership of the School and/or University and/or external engagement activities normally derived from research and/or teaching activities; and
- d) evidence of behaviours consistent with the University's Contribution Framework.

For those applicants who are applying for promotion within 2 years of appointment to York St John (e.g. were placed high up the Lecturer scale on appointment), they can provide examples of activity in their previous institution as evidence in support of their promotions application. This is in addition to showing their contributions whilst at York St John.

Promotion will be possible based on wholly exceptional performance in one of the areas a) to c) but excellence in more than one will constitute a stronger case. Applicants are not expected to achieve excellence in all areas.

Detailed Promotion Criteria:

Teaching & Learning	Research	Leadership and Externality	Development
<p>At least the level of Fellow of the HEA</p> <p>Evidence of growing national standing and recognition in a discipline or field of study.</p> <p>Demonstrable record of incorporating best, and inclusive, practice in learning, teaching and assessment</p> <p>Engagement in and/or taking forward School and/or University initiatives to enhance student learning.</p>	<p><u>Essential</u> requirements:</p> <p><i>a) evidence of achievement (consistent with disciplinary norms) of a number of research or professional practice outputs as defined in the 'research active' list; and</i></p> <p><i>b) evidence of engagement in research as defined in the 'research engaged' list⁷</i></p> <p>The following more general categories of achievement may supplement the case for promotion:</p>	<p>Demonstrable record of contributing to the collegiality of the School and/or University by assuming and effectively discharging leadership responsibilities, e.g. Contributing to course leadership, module organisation, supporting validation processes, supporting Subject Directors in teaching organisation</p> <p>Evidence of development of subject discipline in terms of scholarly activity, external commitments, leadership or positions of responsibility</p>	<p>Evidence of engagement in professional development activities, e.g. supervisory training for PGR, professional body recognition, accredited practitioner qualifications, working towards senior fellowship of the HEA</p>

⁷ Note that staff who are research engaged, rather than research active, must demonstrate higher levels of achievement in 'leadership and externality' as well as providing evidence of how they plan to become research active if promoted to SL. These requirements will be adjusted as the University develops its approach to research and the subsequent expectations of staff. The criteria will be reviewed annually.

<p>Contribution to the development of a significant component of a teaching programme or co-curricular activities.</p> <p>Evidence of high quality contribution to the student experience as recognised by, e.g. student evaluation, NSS, student outcomes (retention, performance), external examiner reports.</p> <p>Evidence of contributing to the development of academic staff within or outside the School.</p> <p>Evidence of the ability to manage the interface between research and teaching.</p> <p>Evidence of establishing internal and external contacts to facilitate the exchange of ideas on an ongoing basis.</p>	<ul style="list-style-type: none"> • <i>Evidence of a growing reputation for research or for the application and impact of your research beyond the academic arena.</i> • <i>Evidence of collaborative research work with colleagues inside the University and elsewhere</i> • <i>Clear plan for research which reflects the University Strategy</i> • <i>As part of the wider academic or professional community, evidence of making a contribution to groups and networks to facilitate discussion or application of research developments.</i> 	<p>Evidence of engagement beyond the University including public/business engagement⁸.</p>	
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NB: applicants are encouraged to provide any other information that may support their application, such as details of external examining, refereeing grants or papers, sitting on editorial boards etc. even if not specified in the criteria above.

Contribution Framework		
Valuing People	Achieving the Vision	Creating Our Future
<p><i>Leading self and others:</i> Evidence of inspiring others with your energy and valuing their differences</p> <p><i>Working together as a team:</i> Evidence of collaborating with others to promote a positive, productive University.</p>	<p><i>Delivering great service</i> Evidence of commitment to working alongside others to create an exceptional student experience.</p> <p><i>Taking a Professional Approach</i> Evidence of being professional and fully committed to developing yourself and others.</p>	<p><i>Embracing Change</i> Evidence of welcoming change, contributing ideas and putting them into action.</p> <p><i>Focusing on our Strategy</i> Commitment to creating a forward-thinking culture full of open, honest dialogue.</p>

⁸ If you have served on an external Committee, applicants may wish to submit a report from the Chair of that Committee as supporting information

6.4 Research Active/Research Engaged - Definitions

a) Research Active

It is the sustained production of assessable research outputs that define a member of staff as “research active”. At York St John University a full-time member of staff is considered to be research active if, over a rolling three-year period, s/he has produced a minimum of **two** outputs from this list. (Note that for part-time staff these targets should be adjusted and agreed with the line-manager on a pro-rata basis e.g. 0.5fte, 1 output over three years; 0.4fte, 1 over four years):

- Research monograph (e.g. Critical, scholarly / research book, published by a commercial publisher, allocated an International Standard Book Number (ISBN)).
- Creative text (e.g. novel, collection of short stories, poetry collection published by a commercial publisher, allocated an International Standard Book Number (ISBN)).
- Chapter in edited research book or handbook (published by a commercial publisher, and allocated an International Standard Book Number (ISBN)).
- Refereed Journal article (Peer reviewed, Journal must have an International Standard Serial Number (ISSN)).
- Published Policy paper.
- Full paper in peer-reviewed published Conference Proceedings.
- Commissioned research report (e.g. for public sector, industry, not for profit sector).
- Successfully bidding for a substantial research council grant (>£50,000) as the lead-PI or co-PI

The following discipline-related criteria may be used providing they are agreed by a subject specialist (normally a YSJ Professor) as being of equivalent standing to the above definitions:

The following reflect *creative* research outputs, the production of which counts toward being research active.

- Original creative work / performance in the public domain (single item or a portfolio exhibited as a cohesive collection) demonstrating a clear research imperative.
- Curated or produced public exhibition (Web based exhibition, festival etc.).
- Practice based recital as part of a clearly defined research project.
- Recorded works / broadcasts/audio-visual recordings / digital creative works / web exhibition / online resource demonstrating a clear research imperative.
- Research-led compositions commercially published and / recorded.
- Live performance of creative works (representing new work or innovative interpretation, or production of an existing work).

The following reflect *professional practice* outputs, the production of which counts toward being research active.

- Published output in refereed journal from audit of clinical / pedagogical / professional practice.
- Published output in refereed journal of service improvement.
- Published critical review or commentary on professional practice in refereed journal.

b) Research Engaged

Engagement with research may include scholarly and other activities (e.g. keeping up to date with one’s discipline and critically assessing current trends in the discipline) that are fundamental for all academic staff at all grades. Systematic engagement in the research process will help staff to become “research active”. It is also recognised that in order to become “research active” staff will require support that both encourages and facilitates their engagement with *all* aspects of the research process, not just with the production of peer-reviewed outputs. For colleagues not yet demonstrating the indicators of being research active, the development of research skills, over time and with proactive planning, will contribute to the production of research outputs that meet the threshold.

As a development aid, and to assist in discussions around professional development (including the PDR process) the following list covers activities that are recognised as 'Research Engaged'. These are integral to the research process and may accompany the production of research outputs. It is recommended that they are included in PDRs as evidence of being 'research engaged' so that consideration can be given to how individual progress towards becoming research active can be supported. They should not be seen as an end in themselves, but as a stepping point towards becoming research active over an agreed period of time:

- Conference presentation.
- Keynote lectures.
- Invited external seminars and workshops.
- Public engagement activities (talks, popular articles) relating to own research.
- Enrolment on a PhD/professional doctorate and maintaining satisfactory progress.
- Writing or contributing to a research funding bid.
- Supervising PGR students to successful completion.
- Successfully obtaining research funding (unless it falls into the 'substantial funding' category above).

Other research activities that do not reach the threshold of 'research engagement' but are nevertheless valued as academic activities and should be discussed and recorded at PDR:

- Sharing and discussing research with colleagues.
- Critically appraising the current literature.
- Research-related CPD.
- Conference attendance and research networking.
- Engagement with external end users of research.
- Engagement with collaborators or other researchers with complementary expertise.
- Reviewing research submissions for external/professional bodies.

7. APPLICATION PROCESS

Applications are invited annually in accordance with the published timetable. Candidates are invited to submit applications, making the case for promotion, by the published deadline. Completed applications should be sent to Jane Holmes, PA to the Executive Director of Student and Staff Services. E: j.holmes4@yorksj.ac.uk.

Each application must comprise:

- (a) A written application of no longer than 1000 words making the case for promotion, stating clearly and evidencing the criteria on which the application is based. It must provide explicit reference to how past achievements have contributed to relevant institutional and local strategic objectives and how the applicant expects to maintain and enhance that contribution in the future as a Senior Lecturer within the School and University should their application be successful. In particular, the applicant should make specific reference to how they have demonstrated the behaviours set out in the University's Contribution Framework and how they will contribute to the academic leadership within the School.

If the application is a re-submission following a previously unsuccessful application, the applicant will need to clearly define their achievements since their previous submission.

- (b) The name, title and workplace (including email) of one external referee. Applicants must confirm their relationship with the referee and why they have been nominated. Referees must be selected carefully as they will be required to have relevant expertise and be able to comment on the quality of the work of the candidate and what they know of their external reputation.

- (c) Evidence of teaching quality, including peer observation, module/programme evaluation, NSS and other student evaluations relating to your teaching contribution.
- (d) Curriculum vitae (of no more than 4 sides of A4) including usual biographical, education and career details, and including a complete list of publications as appropriate in chronological order and evidence of outputs relating to research activity as defined above. Full publication details must be included i.e. page and chapter numbers but copies of publications are not needed. Additional guidance is available on the HR website.
- (e) A complete list of research grants, awards and/or prizes or other relevant outputs.