Guide to Promotions Processes
2016/17
As Dean of the Faculty of Population Health Sciences, I believe that personal and career development for our staff are of the upmost importance to our, and your, success. All members of staff should be supported in their development, provided with the opportunity to undertake appropriate training, encouraged to think about potential career trajectories, and given appropriate guidance to make their own choices.

One aspect of career development is promotion: this guide and the associated Faculty processes are designed to provide clarity and understanding and, where it is appropriate, to support staff in applying for both promotion and incremental progression.

In August 2013 the Faculty introduced a new system whereby applications for promotion of teaching and research staff up to grade 8 and incremental progression are reviewed by a panel at fixed points of the year. The purpose was to ensure equitable treatment across the Faculty, and I believe it is working.

The pages that follow contain guidance about the relevant promotions processes for all staff groups within the Faculty of Population Health Sciences. If you cannot find what you’re looking for, please contact my office (fphs.pa@ucl.ac.uk) and they will be happy to point you in the right direction.

Graham Hart,
Dean, Faculty of Population Health Sciences

**Key Faculty dates 2016/17**

These dates are the absolute deadlines for the Faculty office to receive promotions paperwork. Each Institute will have local deadlines for the receipt and review of applications. Please check with your Institute Manager and/or HR officer for the correct deadline for your Institute.

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1. Accelerated Incremental Progression

Applies to: All staff on non-clinical grades 1 – 9
Facility Deadlines: 1 December, 1 June each year *Applicants must also check their Institute deadlines*
Awards implemented: Awards approved in December are implemented the following February. Those approved in June are implemented the following August.
Paperwork: Request for Accelerated Incremental Progression or Award of Contribution Point form: http://www.ucl.ac.uk/hr/docs/accelerated_and_contribution_points.php
Criteria: Sustained outstanding performance against stretching objectives

Details

Staff may be awarded an additional increment only in circumstances where the following criteria have been met:

- Outstanding performance has been achieved and maintained*.
- The employee has been formally appraised in the previous six months.
- The objectives set have been stretching, have exceeded expectations and were fully achieved (unless circumstances beyond the member of staff’s control have prevented this).

*Outstanding performance will have been demonstrated in terms of their achievements in the context of work undertaken, efficiency, resourcefulness, dependability and judgment. This performance will have been sustained over a period of at least six to twelve months.

If it is felt that the employee in question has achieved the above criteria then consideration may also be given to awarding two increment points. This must be in recognition of performance that is greatly and exceptionally exceeding expectations

Process

- Managers to complete the Request for Accelerated Incremental Progression or Award of Contribution Point form within 12 months of the individual’s appraisal and Institute Directors to sign the form signalling Institute approval.
- Institute Managers should complete and sign “Request Approved by Finance” section on final page of award to signal the cost code from which the award will be paid.
- Once signed, forms should be submitted electronically to the Faculty Office: fphs.pa@ucl.ac.uk
- Applications are reviewed by a panel nominated by the Faculty Executive Committee; this usually includes Institute Managers and HR representation.
- The applicant will receive a letter from the Dean notifying them of the outcome of the review meeting.
- The Faculty Office will process the awards; those approved in December will be implemented in February, those approved in June will be implemented in August. In exceptional circumstances the panel will consider cases to backdate award.
- Unsuccessful applicants can appeal the decision of the panel. The application and panel decision will be submitted to the Dean of the Faculty of Medical Sciences (FMS) for review: as chair of an equivalent FMS panel, it is intended that they can provide an impartial judgement based on comparative treatment elsewhere in SLMS.

Guidance

- It should be clear from section B of the application form that stretching objectives have been met. UCL guidance on setting SMARTer stretching objectives in appraisals.
- Applications should demonstrate sustained on-going performance. Where an acting-up allowance or one off payment is more appropriate applications are rejected, with the alternative process recommended.

Panel Membership

- The panel reviewing applications includes representatives from each Institute, each UCL job family (Academic, Research, Professional Service staff), HR and the Faculty;
- Members are proposed by Institutes and normally serve on their local Institute review panels;

1 Clinical scales are linked to NHS salary points and so the accelerated increment point process does not apply to clinical staff
• A list of members is available on the Faculty website and Institute members normally serve for 2 or 3 years as a maximum, to promote understanding and transparency.

2. Award of Contribution Points

Applies to: All staff on non-clinical grades 1 – 9², clinical staff on grades CL7, 8, 9 and StR Scales³

Deadlines: 1 December, 1 June each year *Applicants must also check their Institute deadlines*

Awards implemented: Awards approved in December are implemented the following February. Those approved in June are implemented the following August.

Paperwork: Request for Accelerated Incremental Progression or Award of Contribution Point form: http://www.ucl.ac.uk/hr/docs/accelerated_and_contribution_points.php

Criteria: Sustained outstanding performance against stretching objectives

Details
Staff may be awarded an additional contribution point only in circumstances where the following criteria have been met:

• Outstanding performance has been achieved and maintained*.
• The employee has been formally appraised in the previous six months.
• The objectives set have been stretching, have exceeded expectations and were fully achieved (unless circumstances beyond the member of staff’s control have prevented this).

*Outstanding performance will have been demonstrated in terms of their achievements in the context of work undertaken, efficiency, resourcefulness, dependability and judgment. This performance will have been sustained over a period of at least six to twelve months.

If it is felt that the employee in question has achieved the above criteria then consideration may also be given to awarding two contribution points. This must be in recognition of performance that is greatly and exceptionally exceeding expectations

Process
• Managers to complete the Request for Accelerated Incremental Progression or Award of Contribution Point form within 12 months of the individual’s appraisal and Institute Directors to sign the form signalling Institute approval.
• Institute Managers should complete and sign “Request Approved by Finance” section on final page of award to signal the cost code from which the award will be paid.
• Once signed, forms should be submitted electronically to the Faculty Office: fphs.pa@ucl.ac.uk
• Applications are reviewed by a panel nominated by the Faculty Executive Committee; this usually includes Institute Managers and HR representation.
• The applicant will receive a letter from the Dean notifying them of the outcome of the review meeting.
• The Faculty Office will process the awards; those approved in December will be implemented in February, those approved in June will be implemented in August. In exceptional circumstances the panel will consider cases to backdate award.
• Unsuccessful applicants can appeal the decision of the panel. The application and panel decision will be submitted to the Dean of the Faculty of Medical Sciences (FMS) for review: as chair of an equivalent FMS panel, it is intended that they can provide an impartial judgement based on comparative treatment elsewhere in SLMS.

Guidance
• It should be clear from section B of the application form that stretching objectives have been met. UCL guidance on setting SMARTer stretching objectives in appraisals.
• Applications should demonstrate sustained on-going performance. Where an acting-up allowance or one off payment is more appropriate applications are rejected, with the alternative process recommended.

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² Please note that Research Assistants are on Grade 6B, not 6: this only has three points (24-26): there are no contribution points on this scale.

³ For details of the contribution point ranges for Clinical Scales CL7-9 and the StR grades see: http://www.ucl.ac.uk/hr/ca/clin_acad1.php
Panel Membership

- The panel reviewing applications includes representatives from each Institute, each UCL job family (Academic, Research, Professional Service staff), HR and the Faculty;
- Members are proposed by Institutes and normally serve on their local Institute review panels;
- A list of members is available on the Faculty website and Institute members normally serve for 2 or 3 years as a maximum, to promote understanding and transparency.
3. Research and Teaching Promotions

Applies to: UCL Research and Teaching staff, for promotion from grades 6-7 and 7-8<sup>4</sup>
Deadline: 13 January 2017 *Applicants must also check their Institute deadlines*
Awards implemented: Awards implemented the following August
Paperwork: Criteria and Application form for Research Staff: [http://www.ucl.ac.uk/hr/docs/proms/research.php](http://www.ucl.ac.uk/hr/docs/proms/research.php)
Criteria and Application form for Teaching Staff: [http://www.ucl.ac.uk/hr/docs/proms/teaching.php](http://www.ucl.ac.uk/hr/docs/proms/teaching.php)

Details
Applications for promotion under the research and teaching promotions exercise (from staff in teaching and research posts grades 6 and 7) are reviewed by a Faculty panel at one point each year. Institute Managers and Directors receive a list of all eligible staff on their departments’ payroll at the start of the autumn term. They are invited to consider every member of eligible staff and to encourage applications as appropriate.

Awards may be proposed under the following criteria:

- **Research Staff** (promotion to Research Associate and Senior Research Associate) involves primarily assessing achievement in research, i.e. contribution to the advancement of a subject by research and scholarship, or by equivalent creative and/or knowledge transfer/exchange activity. The criteria and application are available on the HR website: [http://www.ucl.ac.uk/hr/docs/proms/research_criteria.php](http://www.ucl.ac.uk/hr/docs/proms/research_criteria.php)

- **Teaching Staff** (promotion to Senior Teaching Fellow) involves primarily assessing achievement in teaching, i.e. contribution to, or leadership of the strategic development, management of a subject and/or teaching programme. The criteria and application are available on the HR website: [http://www.ucl.ac.uk/hr/docs/proms/teaching_criteria.php](http://www.ucl.ac.uk/hr/docs/proms/teaching_criteria.php)

Process
- Head of Department or nominated line manager to complete either the teaching or research re-grading request form and Institute Directors to sign the form signalling Institute approval.
- Once signed, forms should be submitted electronically to the Faculty office: fphs.pa@ucl.ac.uk
- Applications are reviewed by a panel in March, nominated by the Faculty Executive Committee; each Institute and each of the relevant staff groups are represented on the review panel.
- The applicant will receive a letter from the Dean notifying them of the outcome of the review meeting.
- The Faculty Office will process the awards; subject to financial approval, awards will be implemented the following August. In exceptional circumstances the panel will consider cases to backdate awards.

Additional considerations for research staff only
- **PhD award**: Researchers on Grade 6B may apply for promotion to grade 7 upon award of their PhD. The Institute Manager or Director will write at any time of the year to the Faculty Manager: p.phibbs@ucl.ac.uk to request a regrade, confirming respective dates of submission and award, and supplying appropriate supporting paperwork.
- **Top of Grade Progression**: Research Staff on grade 6b for four or more years will be regraded to grade 7 automatically unless the duties undertaken do not fulfil the criteria for grade 7, or when in exceptional circumstances a recommendation to the contrary is made. Research Staff at the top of grade 7 for 12 months may be considered for promotion. Institute Directors and Managers are invited to consider the list of eligible staff and to indicate to HR whether the criteria for progression has been met.

Panel Membership
- The panel reviewing all applications includes representatives from each Institute, each UCL job family (Academic, Research, Professional Service staff) HR and the Faculty;
- Members are proposed by each Institute and normally serve on their local Institute review panels. [A list of members is available on the Faculty website](http://www.ucl.ac.uk/hr/docs/proms/teaching_criteria.php) and Institute members normally serve for 2 or 3 years as a maximum, to promote understanding and transparency.

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<sup>4</sup> Staff who have TUPEd from other organisations will be entitled to apply for promotion through the above route on the understanding that a successful application will mean they move to UCL terms and condition on their new employment contract.
4. Senior Promotions

**Applies to:** Academic, Research and Teaching Staff, for promotion to grades 9 - 10

**UCL Deadline:** Candidates to apply online by close of business 31st October 2016 *Applicants must check their Institute deadlines*

**Awards implemented:** The following 1 October

**Paperwork:** Guidance, Criteria and Application Documentation: [http://www.ucl.ac.uk/hr/docs/proms/process.php](http://www.ucl.ac.uk/hr/docs/proms/process.php)

**Details**

All proposals for promotion (including direct route cases) to the senior staff grades 9 & 10 (Senior Lecturer, Reader, Professor, Principal Research Associate/Fellow, Professorial Research Associate/Fellow and Principal Teaching Fellow) are considered en bloc by the Academic Promotions Committee annually, following the meetings and recommendations of three School Promotion Sub-Committees (SchComs).

Timeframes for the process and information about eligibility is available on the HR website: [http://www.ucl.ac.uk/hr/docs/proms/process.php](http://www.ucl.ac.uk/hr/docs/proms/process.php)

Institutes usually have their own internal processes for the initial review of applications.

Queries should be directed to the Institute Manager or HR Lead as appropriate. Contact details are below:

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<thead>
<tr>
<th>Institute</th>
<th>Contact Person</th>
<th>Email</th>
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<tbody>
<tr>
<td>Institute of Cardiovascular Sciences</td>
<td>Elaine McDonald</td>
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**Guidance**

The UCL Equalities, Diversity and Inclusion team have produced a webpage which contains some useful guidance about the process, including a lecturecast of a workshop facilitated by the UCL HR Director and audio files from previous applicants discussing their perspectives on the process: [http://www.ucl.ac.uk/hr/equalities/race/promotions.php](http://www.ucl.ac.uk/hr/equalities/race/promotions.php)

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3 Staff who have TUPEd from other organisations will be entitled to apply for promotion through the above route on the understanding that a successful application will mean they move to UCL terms and condition on their new employment contract.
5. Re-banding of Non-Clinical Professorial Staff

**Applies to:** Non-Clinical Professorial Staff

**Deadline:** TBA by UCL HR (to be aligned with Senior Promotions exercise)

**Awards implemented:** The following 1 October

**Paperwork:** Guidance, criteria and banding form: [https://www.ucl.ac.uk/hr/docs/professorial_pay/banding.php](https://www.ucl.ac.uk/hr/docs/professorial_pay/banding.php)

**Details**

Professorial salary bands were introduced in 2008 in order to promote greater consistency in decisions about base salaries of individual academic staff across all UCL disciplines. Banding provides a framework for evidence based decision making in relation to the salary levels of Professorial staff.

All non-clinical professors at UCL are placed into one of four Professorial Pay Bands, each of which has an agreed base academic salary range. The base salary range excludes any other allowances which may also apply to a post or post holder.

Movement into the next band is determined by agreement of School Deans that a Professor has demonstrated that they have met the relevant criteria. Any initial discussion about re-banding should normally take place at the appraisal meeting between a professor and their appraiser.

Under the re-banding exercise, individuals submit a re-banding form and CV for review by a panel of the SLMS Deans.

Timeframes for the process and the relevant documents are released by UCL HR early in the Autumn term.
6. Professorial Appraisal Review: Movement within Salary Bands for Non-Clinical Professorial Staff

**Applies to:** Non-Clinical Professorial Staff  
**Deadline:** 31 August 2017 *Applicants must also check their Institute deadlines*  
**Awards implemented:** The following 1 October  
**Paperwork:** Guidance on the UCL HR website: [https://www.ucl.ac.uk/hr/docs/professorial_pay/non_clinical_par.php](https://www.ucl.ac.uk/hr/docs/professorial_pay/non_clinical_par.php)

**Details**
Salary progression within professorial pay bands is subject to individual performance and specifically, the achievement of stretching objectives agreed through the appraisal process. Each year, the performance of professors scheduled to be appraised in the previous period 1 August - 31 July, will be reviewed by the Head of Department and the Dean and rated as either:

- **A** - those who demonstrate that a stretching set of objectives have been achieved and expectations exceeded. These individuals will be considered for a pay increase or a lump sum bonus in addition to receiving the annual nationally negotiated cost of living award.
- **B** - those who meet expectations. These individuals will receive the nationally negotiated cost of living award.
- **C** – anyone whose achievements do not meet expectations. These individuals will move to an annual appraisal cycle and will not receive the nationally negotiated cost of living award until the year in which they meet their agreed objectives.

UCL HR will announce in the autumn term the level of pay award the Dean is eligible to make when considering cases for re-banding. This is subject to institutional financial constraints and agreed across UCL.

**Process**
- Institute Directors will receive a template from the Faculty listing their non-clinical professorial staff
- The template should be completed, indicating which professorial review rating each member of staff was awarded in their last review (A, B, or C) and providing full justification of that assessment. Forms should be returned electronically to the Faculty Office: fphs.pa@ucl.ac.uk
- The Dean will review the list of ratings, discussing cases with the Institute Director as appropriate.
- In cases where a pay award is agreed, this is usually implemented from the following October. HR will write to individuals who are being awarded a pay increase, cc’d to their Institute Director.
7. Salary Review for Grade 10 Non-Professorial Staff

Applies to: Non-Professorial Staff on Grade 10
Deadline: 31 August 2017: FPHS considers all grade 10 staff, whether professorial, research or professional service staff, at one point in the year, in early September for pay awards from 1 October
Paperwork: Institute Directors are asked to comment on non-professorial performance in exactly the same way as for non-clinical professors (see section 6)

Details
Grade 10 non-professorial staff may be awarded a percentage salary uplift in recognition of outstanding performance. The maximum sum is agreed across UCL; in 2016/17 awards of up to 3% may be awarded at the discretion of the Dean.

Process
- Institute Directors will receive a template from the Faculty listing all non-clinical grade 10 staff in August 2017;
- The template should be completed, indicating a rating for each member of staff based on their last appraisal (A, B, or C: see section 6 above) and providing full justification for that assessment. Forms should be returned electronically to the Faculty Office: fphs.pa@ucl.ac.uk
- The Dean will review the list of ratings, discussing cases with the Institute Director as appropriate.
- In cases where a pay award is agreed, this will take effect from the following October. HR will write to individuals who are being awarded a pay increase, cc’d to their Institute Director.