



Guide to Promotions & Reward Processes 2020/21

Version 1.3



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, given appropriate guidance to make personal choices and are recognised and rewarded for contributions.

Two aspects of career development are promotion and recognition through incremental progression: 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.

It is now seven academic years since, 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. As a Faculty we have been repeatedly commended for helping lead in initiatives to support our staff. Alongside that I have been delighted to see broader, institutional wide, initiatives that deliver on this agenda: this years' brochure acknowledges and cross references that work.

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 2020/21

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.

Type of Process	Deadline	Page
Accelerated Incremental Progression or Award of Contribution Point	1 December 2020 1 June 2021	3 - 4
Research and Teaching Promotion to Grades 7 and 8	1 April 2021	5 - 6
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1. Accelerated Incremental Progression or Award of Contribution Point

Accelerated Incremental Progression applies to: All staff on non-clinical grades 1 – 9¹

Award of Contribution Point applies to: All staff on non-clinical grades 1 – 9², clinical staff on grades CL7, CL8, CL9 and StR grades³

Deadlines: Institute Managers submit applications to the [Faculty Office](#) by 1 December 2020 and 1 June 2021

Applicants must also check their Institute deadlines

Awards implemented: Awards approved in December are implemented the following 1 February. Those approved in June are implemented the following 1 August.

Paperwork: [Request for Accelerated Incremental Progression or Award of Contribution Point form](#)

Criteria: Sustained outstanding performance against stretching objectives. For Professional Service Staff evidence of performance in line with UCL's [Ways of Working](#) can be used to evidence cases.

Details

Staff may be awarded an accelerated increment only when the following criteria have been met:

- Outstanding performance has been achieved and maintained⁴.
- The employee has been formally appraised in the previous twelve months.
- The objectives set have been stretching, relative to the grade of the staff member, have exceeded expectations and were fully achieved (unless circumstances beyond the member of staff's control have prevented this).

Staff may be awarded a contribution point when they are at the top of their salary scale and where the above mentioned criteria have been met.

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

Please note that the annual incremental progression received by staff at UCL is to reward performance and development in a role, so development and improved performance is expected but would not provide a rationale for an accelerated increment.

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. Applications from clinical staff on grades CL7, CL8, CL9 and StR scales must also include supportive statement from their clinical manager.
- Once signed, forms should be submitted electronically to the Faculty Office: fphs.pa@ucl.ac.uk. All relevant information should be contained within the application form and no additional attachments will be accepted.
- Applications are reviewed by a panel which includes one representative nominated by each Institute who normally sits on the local review panel, alongside HR representation.
- The applicant will receive a letter from the Dean notifying them of the outcome of the review meeting.
- Successful applications will be returned to Institute Managers to process via MyHR Assignment Changes; those approved in December will be implemented in February, those approved in June will be implemented in August.
- Unsuccessful applicants can appeal the decision of the panel within 10 working days of the date of the outcome letter via email to fphs.pa@ucl.ac.uk. 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 faculty panel, it is intended that they can provide an impartial judgement based on comparative treatment elsewhere in SLMS. The appeal process is to evaluate whether the original application has been judged fairly on the basis of the

¹ Clinical scales are linked to NHS salary points and so the accelerated increment point process does not apply to clinical staff.

² Please note that Research Assistants are on Grade 6B, not 6: this only has three points (24-26). Please note that 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 [Non-Consultant Clinical Academic Pay Scale](#).

⁴ 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.

information supplied and to ensure there is equivalency of treatment across Faculties – so, as Chair of the FMS panel, would the Dean have ruled differently on the case on the basis of information submitted: it is not to allow applicants to supply additional information not previously judged. Appeal letters should therefore address why the applicant feels the submission has been unfairly judged.

Guidance

- The application must include full list of applicant's objectives as set at their last appraisal.
- It should be clear and evidenced in the application that stretching objectives have been fully achieved and that, where possible, these are in line with UCL Ways of Working for the grade.
- In exceptional circumstances, the panel will consider cases to backdate an award, however this needs to be clearly stated within the request with details of the circumstances.
- 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.

2. Research and Teaching Promotion to Grades 7 and 8

Applies to: UCL Research and Teaching staff, for promotions to grades 7 and 8⁵

Deadline: Institute Managers to submit applications to the [Faculty Office](#) by 1 April 2021

Applicants must also check their Institute deadlines

Awards implemented: The following 1 October (in line with UCL policy)

Paperwork: [Research, Teaching Staff Promotion to Grade 7 or Grade 8 request](#), a Curriculum Vitae which must contain at least the required elements specified in the [CV template](#), and a brief self-assessment

Details

Applications for promotion under the research and teaching promotion exercise (from staff in teaching and research posts below grade 9) 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.

Following local approval, applications are submitted by the Institute to the Faculty panel, this includes top of grade progression for research staff on 6b grade. Please note the change in the processing of successful applications by local administrators comparing to previous years; see Guidance section for details.

Staff should build their own case for promotion based on their personal achievements and impact and should use the criteria set out in the [UCL Academic Career Framework](#) following the [Academic Promotions Guidance](#)

[Please note UCL's No Detriment Principle for Staff \(Covid-19\).](#)

Process

- Applicants to submit the required paperwork to their Institute review panel
- Institute Managers to submit approved applications electronically (please compile the paperwork into one file per applicant) to the Faculty office: fphs.pa@ucl.ac.uk.
- Applications will be reviewed by a panel in June; 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.
- Successful applications will be returned to Institute Managers. Local HR officer need to submit the [regrade form](#) together with the application paperwork, requesting formal confirmation of the promotion. HR Services will send a new contract variation letter to the individual and arrange for payroll action to be taken.
- As per current UCL practice, successful applicants will be regraded to the bottom of the new grade or one point above their current point (whichever is the lower).
- Unsuccessful applicants can appeal the decision of the panel within 10 working days of the date of the outcome letter via email to fphs.pa@ucl.ac.uk. 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 faculty panel, it is intended that they can provide an impartial judgement based on comparative treatment elsewhere in SLMS. The appeal process is to evaluate whether the original application has been judged fairly on the basis of the information supplied and to ensure there is equivalency of treatment across Faculties – so, as Chair of the FMS panel, would the Dean have ruled differently on the case on the basis of information submitted: it is not to allow applicants to supply additional information not previously judged. Appeal letters should therefore address why the applicant feels the submission has been unfairly judged.

Guidance

- The materials to be provided by the candidate to the panel are listed below:
 - [Research, Teaching Staff Promotion to Grade 7 or Grade 8 request form](#)
 - a CV which must contain at least the required elements specified in the [CV template](#),
 - a brief self-assessment indicating how the candidate's activity matches the criteria for promotion contained within the [Academic Career Framework](#). This should be no longer than one side of A4; a detailed description is not required in this statement, but the candidate may wish to indicate the impact of their work and their future direction.

⁵ 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.

- Please combine all documents into one file.
- Applications should:
 - be clearly structured with appropriate justification and evidence to demonstrate how the applicant meets the promotion criteria under each of the four headings (Research, Education, Enterprise and External Engagement, and Institutional Citizenship);
 - demonstrate evidence of working at the appropriate level for the grade in terms of research and/or education as outlined within the [UCL Academic Careers Framework](#);
 - provide clear evidence of the level of educational involvement. The vast majority of funders allow research staff to undertake 30 hours of contact time with students, which supports both personal development and institutional educational requirements. The expectation is, therefore, that where appropriate and possible this would be the level of engagement expected;
 - provide evidence of the quality of teaching to support any statement in relation to education;
 - include a statement within the research heading to confirm that – where possible - publications are Open Access, as this is an absolute requirement for consideration of such outputs.
- In exceptional circumstances, the panel will consider cases to backdate an award, however this needs to be clearly stated within the request with details of the exceptional circumstances.

Additional considerations for research staff on grade 6b only

- **PhD award:** Automatic Promotion from Research Assistant (grade 6b) to Research Fellow (grade 7) will take place when the member of staff obtains a PhD relevant to their employment at UCL. The promotion will be effected once the PhD has been awarded, and will be backdated to the date the PhD thesis was finally submitted (including corrections). The Institute Manager or Director will write at any time of the year to the Faculty Director of Operations (DOO) via fphs.pa@ucl.ac.uk to request a regrade, confirming respective dates of submission and award, and supplying appropriate supporting paperwork from the awarding body.

Following DOO's approval, the department must complete the [regrade form](#), to submit the request to UCL HR Services requesting a regrading on this basis, confirming respective dates of submission and award, and supplying appropriate supporting paperwork from the awarding body.

- **Top of grade progression for research staff on grade 6b:** Staff on Research Assistant (grade 6) 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. A submission on the appropriate form and within the required deadline should still be made for consideration by the promotions panel, to ensure equity across FPHS.

Where the promotion is not supported, the individual should be informed of the reason for remaining on grade 6 and a written report should be forwarded to UCL HR (the relevant HR Advisory Services contact).

- A review of all staff who have served for 12 (or more) months on the highest point of grade 6b for Research Staff (which is point 26) will be undertaken by each Institute Director using the Academic Careers Framework to assess whether they should be regraded to Research Fellow (grade 7). A submission on the appropriate form and within the required deadline should still be made for consideration by the promotions panel, to ensure equity across FPHS.

3. Senior Promotion

Applies to: Academic, Research and Teaching Staff, for promotion to grades 9 and 10⁶

UCL Deadline: 15 December 2020

Applicants must check their Institute deadlines

Awards implemented: The following 1 October

Paperwork: Guidance is provided at [UCL Academic Career Framework and Promotions Processes](#)

Details

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

Timeframe for the process and information about eligibility is available on the HR website: [Process for Senior Academic Promotion](#).

[Please note UCL's No Detriment Principle for Staff \(Covid-19\)](#).

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:

EGA Institute for Women's Health	Christina Ahlfors c.ahlfors@ucl.ac.uk
GOS Institute of Child Health	Ludi Capelan l.capelan@ucl.ac.uk
Institute for Global Health	Jane Cavanagh j.cavanagh@ucl.ac.uk
Institute of Cardiovascular Sciences	Simon Galloway s.galloway@ucl.ac.uk
Institute of Clinical Trials & Methodology	Carole Booth carole.booth@ucl.ac.uk
Institute of Epidemiology and Health Care	Sydonnie Hyman sydonnie.hyman@ucl.ac.uk
Institute of Health Informatics	Pablo Medina p.medina@ucl.ac.uk

Institute Directors should discuss applications with the Dean ahead of the UCL submission deadline.

⁶ 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. Re-banding of Non-Clinical Professorial Staff

Applies to: Non-Clinical Professorial Staff

Deadline: Institute Directors submit applications to the [Faculty Office](#) by 4 May 2021 (date coordinated by SLMS)

Awards implemented: The following 1 October

Paperwork: [Criteria, CV template and banding form](#)

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. Please note the professorial banding criteria have been updated, effective from January 2020.

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.

Eligibility

It is a normal prerequisite that:

- professors seeking re-banding are A rated following their 2019/20 appraisal, which would usually have been completed on PAR between 31 July 2019 and 31 July 2020;
- a 2020/21 appraisal is completed on PAR no later than 31 July 2021 with the expectation of an A rating.

Process

1. Where it has not already been discussed in the latest appraisal, any professor who believes that they clearly meet the criteria of a higher band should discuss this with their appraiser in the first instance.

By: **31 March 2021**

2. If the appraiser believes the professor meets the criteria of a higher band the professor requesting re-banding should ensure their CV is up to date using the UCL template and submit this to their appraiser. The date that the current UCL professorial band was obtained should be included in the CV and it should be clearly indicated.

By: **16 April 2021**

3. The appraiser/line manager should complete the banding form, demonstrating how the criteria are met, and submit it along with the CV to their Institute Director/Manager for review in accordance with local procedures.

By: **26 April 2021**

4. A letter from the Director or HoRD, indicating the level of support for the application should also be provided when the CV and completed re-banding form are submitted.
5. Once finalised the Director should email the CV, support letter and banding form to the respective Dean and Director of Operations, cc'd to the Faculty Executive Assistant (fsh.pa@ucl.ac.uk).

By: **4 May 2021**

6. The four School Deans will consider cases collectively at a meeting in mid-May.
7. Any exceptional cases for Band 4 agreed by the School Deans at their May meeting will be submitted to the Provost for consideration.

By: **30 June 2021**

8. Outcomes will be confirmed to individual professors.

By: **early September 2021**

9. Successful re-banding applications and pay awards will take effect on 1 October 2021.

5. Professorial and Other Grade 10 Staff Appraisal Ratings

Applies to: All grade 10 staff

Deadline: Institute Directors submit ratings to the [Faculty Office](#) by TBC (date coordinated by SLMS)

Awards implemented: The following 1 October

Guidance: [Guidance on Professorial Appraisal Review](#), [UCL's Senior Pay Arrangements](#)

Details

This process applies to all grade 10 staff within the Faculty to record and recognise performance in the previous period. Performance pay awards to grade 10 staff may be considered for those in post at 01/10/2020 with a completed appraisal in year. As FPHS has an appraisal season of January – March it is anticipated that all appraisals should be completed by 31st March, with documentation completed on [PAR](#) (for non-clinical professors) and the date of appraisal completion confirmed to local HR.

There is no guarantee that awards will be paid in any year to all or any A-rated professors. This decision will take account of UCL budgetary and equal pay considerations.

In prior years the Dean has been permitted to recommend pay awards of up to 3% for those with an A rating, although it is important to note that an A rating does not guarantee a performance award. For non-professorial grade 10 staff, the Director and Dean will need to have sight of appraisal information that supports a case for rating as indicated below.

The Dean will discuss and agree ratings with the respective Institute Directors in September 2021. Any increase has previously been consolidated into on-going basic salary or paid as a one-off lump sum depending on the circumstances.

An A rating must demonstrate that appropriate stretching objectives in all areas relative to the individual's area of work (as listed in the [Faculty Appraisal Checklist](#): research, education, enterprise and external engagement, leadership and enabling, and institutional citizenship) have been set and exceeded.

Achievement of an A rating is not a guarantee of a pay award⁷

Any award is funded from within Institute budgets and will take effect from 1st October 2021. The Dean will write to all grade 10 staff confirming the outcome of the process.

Any C rated staff will have their performance monitored annually and will not receive the nationally negotiated cost of living award until the year in which they meet their agreed objectives. Consideration should also be given to whether the capability procedure for academic staff should be instigated for any Professor who is C rated.

Process

1. Institute Directors will receive a template from the Faculty Office listing their grade 10 staff in June. The template should be completed, indicating which review rating each member of staff was awarded (A, B or C) together with clear rationale for the rating given.
2. Institute Directors will meet their Dean in September 2020 to discuss the performance of all grade 10 staff. All staff will be rated at this meeting as either:
 - Staff receiving an [A rating](#) - those who have demonstrated sustained outstanding performance against a **stretching** set of objectives set at a prior appraisal. Individuals may be considered for a pay award⁷, depending on UCL-wide budgetary constraints, in addition to receiving any nationally negotiated cost of living award.

⁷ There is no guarantee that awards will be paid in any year to all or any A-rated professors. This decision will take account of UCL budgetary and equal pay considerations.

- Staff receiving a B rating - those who meet **stretching** objectives and expectations. These individuals will receive any nationally negotiated cost of living award.
- Staff receiving a C rating - anyone whose achievements do not meet expectations. These individuals will be appraised annually and will not receive the next nationally negotiated cost of living award. Consideration should also be given to whether the capability procedure for academic staff should be instigated for any Professor who is C rated.

Note: Clinical Professorial staff and staff on MRC T&C should also be included in the rating exercise for equity and consistency reasons, to ensure that the contribution and performance of all grade 10 staff is considered. That rating will not result in a pay award for Clinical staff.

Version control:

Version	Date	Changed by	Summary of changes
v.1.0	26.10.20	Kate Fernandes	<ul style="list-style-type: none"> • Deadlines for individual promotions processes were updated (where known). • The award implementation date of Research and Teaching Promotion to Grades 7 and 8 was changed to 1st October to align with UCL's policy. • New UCL process for processing successful applications for Research and Teaching Promotion to Grades 7 and 8 was outlined.
v.1.1.	04.12.20	Kate Fernandes	<ul style="list-style-type: none"> • The deadline for senior promotions was corrected from 8 December 2020 to 15 December 2020 as per UCL website.
v.1.2.	14.01.20	Kate Fernandes	<ul style="list-style-type: none"> • The Research, Teaching Staff Promotion to Grade 7 or Grade 8 request for was added to the required paperwork for promotion to Grades 7 and 3 [pp 5 – 6] • The Process and Guidance sections were updated accordingly.
v.1.3.	22.03.21	Kate Fernandes	<ul style="list-style-type: none"> • The deadlines for the non-clinical professorial rebanding process were inserted [p 8]