



Academic Promotion Scheme 2022

Applications for promotion from Senior Lecturer (AC3) to Principal Lecturer (AC4)

These guidelines are for staff on Standard Academic Contracts and on Teaching-Focused Contracts.

1. Guidance for applicants

- 1.1. Principal Lecturers provide leadership across both their School and the wider University in the areas of teaching and learning, research, scholarship and professional practice, and management and academic leadership.
- 1.2. They play a key role in inspiring and motivating colleagues and students and promote innovation, collaboration, quality enhancement and external recognition. In addition, Principal Lecturers may provide professional leadership, play an active role in professional bodies and represent the university at regional and national levels.
- 1.3. Promotion to Principal Lecturer recognises the contribution made by colleagues in their career at the University of Worcester to date, but more importantly identifies an ongoing and appropriate responsibility at Principal Lecturer level for successful applicants.
- 1.4. When assessing applications under this scheme, the Promotion Panel (see below) will be looking for high quality applications with clear supporting evidence that the applicant has met the criteria described below.
- 1.5. For staff on a Standard Academic Contract, the three categories for evidence are:
 - Learning and Teaching
 - Research and Scholarship
 - Management and Leadership
- 1.6. For staff on a Teaching-Focused Contract, the three categories for evidence are:
 - Learning and Teaching
 - Scholarship and Professional Practice (including the Scholarship of Learning and Teaching)
 - Management and Leadership
- 1.7. Details of the evidence expected for each of these categories and associated indicators of quality, esteem or impact are set out in Appendix 1 (Standard Academic Contract) and Appendix 2 (Teaching-Focused Contract).
- 1.8. Applications must be made on the relevant Application Form (Standard Academic Contract or Teaching Focused Contract). Section 2 is where the applicant makes their case for promotion. This section **must not** exceed 5 pages. Applicants are encouraged, where possible, to provide weblinks to supporting evidence, such as publications lists on WRAP, or to include the evidence in the body of the text. Applicants may append documents as evidence where these are not available online and where this evidence is important to making their case. Appended documents will not count towards the 5-page maximum.

- 1.9. All outputs from research and scholarship (including conference presentations) referenced in the application must have been uploaded to WRAP by the time the application is submitted or they will not be considered as part of the evidence.
- 1.10. The applicant must demonstrate that:-
- as a minimum they have consistently performed at the expected level for a Senior Lecturer across **all three** relevant categories for their contract type; and
 - that **in two of the three** relevant categories, their performance and achievement has been **consistently and significantly beyond** the normal expectations for a Senior Lecturer over a **sustained period of time**.
- This will normally be for at-least a 3-year period immediately preceding the application. Factors, such as periods of sickness or other absence, will be taken into account when considering this timeframe.
- 1.11. In addition, applicants should identify how, if promoted to Principal Lecturer, they will be able to make an ongoing, positive contribution to the School and the University as a Principal Lecturer. A Principal Lecturer is expected to provide added value to the School and University, both in terms of leadership and motivation of more junior colleagues as well as professional leadership and networking, and therefore Heads of School and the Promotion Panel will apply extra weight to this section when assessing applications. Applicants are therefore encouraged to seriously consider the information they can include within this section of their application, rather than just focusing on their past achievements.
- 1.12. If a Senior Lecturer is currently employed on a standard academic contract and wishes to be considered for promotion but does not meet the standard academic research and scholarship criterion, they may speak to their Head of School about the possibility of still applying for promotion, subject to them meeting the eligibility criteria for a Principal Lecturer (Teaching) contract instead. If their Head of School would be supportive of such an application, the Teaching-focused application form should be completed instead. Please note that if a successful application for promotion is made against the Principal Lecturer (Teaching) criteria, rather than the standard academic Principal Lecturer criteria, this would result in a change of terms and conditions of employment for the individual concerned. The individual concerned and/or the Head of School are therefore advised to seek further advice from their designated HR Business Partner about the precise nature of the contractual changes, before submitting such a promotion application.
- 1.13. Likewise, if a Senior Lecturer (Teaching) wishes to be considered for promotion against the standard academic Principal Lecturer criteria, rather than the Principal Lecturer (Teaching) criteria, then they would be permitted to do so providing that: 1) they can provide sufficient evidence of their research and scholarship activity, and 2) their Head of School is willing to support their application for promotion on that basis. Such an application should be submitted by completing the Standard Academic Contract application form instead. Please note that if a successful application for promotion is made against the standard academic Principal Lecturer criteria, rather than the Principal Lecturer (Teaching) criteria, this would also result in a change of terms and conditions of employment for the individual concerned. The individual concerned and/or the Head of School are therefore advised to seek further advice from their designated HR Business Partner about the precise nature of the contractual changes, before submitting such a promotion application.
- 1.14. As part of the University's commitment to supporting equality and diversity, we recognise the effect that equality-related circumstances can have on an individual's ability to meet the criteria. Where appropriate therefore, we encourage staff to declare information about any equality-related circumstances which they believe may have

affected their ability to meet the criteria. Completion of the equality-related circumstances form is voluntary. This form is the only means by which the University will be gathering this information. The following circumstances may be taken into consideration:

- Part time employment – please indicate FTE and the dates of any changes, and how this has had an impact on your work
- Career break or secondment outside of the higher education sector – please provide dates and duration
- Maternity leave, statutory adoption leave, additional paternity leave (taken by partners of new mothers or co-adopters) and shared parental leave – please provide dates and duration
- Disability (including conditions such as cancer and chronic fatigue) – please indicate how this has had an impact on your work, including dates of any periods of leave
- Ill health or injury - please indicate how this has had an impact on your work, including dates of any periods of leave
- Mental health conditions - please indicate how this has had an impact on your work, including dates of any periods of leave
- Constraints relating to pregnancy, maternity, breastfeeding, adoption, paternity or childcare in addition to periods of maternity, statutory adoption, additional paternity leave or shared parental leave taken. This could include for example, pregnancy related illness and health and safety restrictions in laboratory and field work.
- Other caring responsibilities (including caring for an elderly or disabled person)
- Gender reassignment

The form should be submitted to PLPromotion@worc.ac.uk by the Head of School at the same time as the main application, but as a separate document. The form will be retained by HR in the first instance and the information disclosed will not be shared with the assessment panel. If the initial assessment by the panel is that the application is not successful, HR will share the disclosure of equality related circumstances with the Chair of the panel, who will consider whether the equality related circumstances may have affected the applicant's ability to meet the criteria. The Chair may share the information with panel members if they consider it appropriate and relevant to the decision-making process. All panel members are required to treat the disclosure as confidential.

2. Eligibility

2.1. Applicants may apply for promotion regardless of where they are on the AC3 pay spine.

2.2. Applicants **must have** successfully completed their probationary period at the point of application.

2.3. Applicants are **expected to have** an appropriate teaching qualification (e.g. a PG Cert. in LTHE) or Fellowship of the HEA. An application will still be considered if the applicant is unable to meet this criterion, however they are required to provide details of why this has not been possible to date and to provide an expected timescale for completion which has been discussed with their Head of School.

2.4. Applications **will not** be considered by the Promotion Panel where:

- Section 2 of the application exceeds the maximum length of 5 pages
- The details requested in Section 1 of the application are incomplete

2.5. Applicants **must not** currently be subject to the University's formal performance improvement procedures

3. Process

3.1. Eligible staff interested in making an application should arrange to meet with their Head of School in advance of their submission. This meeting will provide an opportunity to discuss the application process with consideration of the assessment criteria and to explore how promotion to a Principal Lecturer role could support the future needs of the School and the wider University.

3.2. Applicants should submit their application form having completed Sections 1 and 2 to their Head of School by a stated deadline (and in advance of the final closing date for the scheme). Heads of School will decide on the most appropriate deadline for their School, ensuring when doing so that they will be allowing themselves sufficient time to fully review and consider each application. It is the responsibility of the applicant to ensure that their application is received by the Head of School by the given deadline. A Head of School will have the right to decline to consider an application if the given deadline is not met.

3.3. The Head of School will assess each application against the published criteria and will decide whether the application should be submitted for the Promotion Panel to consider for promotion and therefore progressed to the next stage of the process. In relation to any cases where there are concerns about the strength of the application against the promotion criteria, and therefore there is the potential that such an application may not be recommended for submission to the Promotion Panel, the Head of School is encouraged to seek advice from their designated HR Business Partner before confirming their decision either way.

3.4. Once a decision has been made, the Head of School will complete the relevant section of the application form. At the end of the assessment process, they will write to the applicant to advise whether they support submission to the Promotion Panel for consideration for promotion or not. If they do not support submission to the Promotion Panel at this stage, they will provide written feedback to the applicant to explain their assessment.

3.5. The possible outcomes of the Head of School's assessment will be:

- Not recommended for submission for the Promotion Panel to consider for promotion – the Head of School will return the completed application form and provide feedback to the staff member in advance of the closing date for applications. The application will cease at this stage.
- Approved for submission to the Promotion Panel to consider for promotion – The Head of School will submit the completed application form for consideration by the Promotion Panel in advance of the closing date for applications.

3.6. Heads of School are required to submit applications from their School to plpromotion@worc.ac.uk by 5pm on Thursday 23rd June 2022. No applications received after this time will be considered.

3.7. The applications will be considered by the Promotion Panel consisting of:

- Acting Provost (Chair)
- Deputy HR Director (Employee Relations) (Secretary)
- Deputy Pro Vice Chancellor Research
- Director of Quality and Educational Development
- 2 x Heads of School

- 3.8. The Promotion Panel will meet to assess the applications and make recommendations to the Vice Chancellor. Heads of School on the panel will play no part in the assessment of applications from their own School.
- 3.9. The recommendations from the Promotion Panel are subject to final approval by the Vice Chancellor.
- 3.10. A summary of the agreed outcomes will be provided to the Head of School (to include reasons for non-successful applicants) and the Head of School will advise each applicant of the outcome of the Promotion Panel process.
- 3.11. The Head of School will be responsible for providing confidential feedback to unsuccessful applicants within 4 weeks of the decision date, based on the summary feedback provided by the Promotion Panel. This may include advice on areas for development for any future promotion application.
- 3.12. All applicants considered by the Promotion Panel will receive written confirmation of the outcome of their application from the HR department.
- 3.13. Successful applicants will move from salary band AC3 to AC4, with one incremental salary point increase. Successful applicants will not be permitted to make an application for further incremental progression through the Staff Reward Scheme in the same (academic) year.
- 3.14. Promotions will be effective from 1st August 2022.

4. Appeal process

- 4.1. An appeal can be made only if the applicant believes that the procedure outlined above has not been followed correctly. There is no appeal on the grounds that an individual disagrees with the decision of the Promotion Panel, or that of their Head of School should it be the case that their application was not progressed to the Panel at all. Therefore, disagreement with the outcome of an application at any stage of the process is not in itself grounds for an appeal.
- 4.2. The appeal should be made in writing to Adele Cope, Director of HR, explaining clearly the grounds for the appeal, within ten working days of the outcome being notified to them. No appeals will be considered after this period.
- 4.3. If the Director of HR finds that there is the ground for an appeal, she will refer the matter to the VC or nominated person who will reassess the original documentation.

Appendix 1 Evidence (Standard Academic Contract)

Set out below are the range of activities the University would expect staff to undertake on a Standard Academic Contract. It is not required that staff are engaged in all the activities listed here and they may be engaged in other activities not highlighted below which are expected of their specific role. In your application, you must supply evidence of any activities you highlight *and* indicators of the quality or impact of the activities. The tables below provide examples of the kinds of evidence the Panel would expect to see for each activity and of associated quality or impact indicators. This is not necessarily an exhaustive list and the Promotion Panel will take into account other evidence and other indicators where these are deemed appropriate.

Category 1: Learning and Teaching

| Activity | Evidence | Quality and/or Impact Indicators |
|--|---|---|
| Lead on the design and delivery of teaching across a range of modules or within a subject area, using appropriate teaching, learning support and assessment methods | Details of modules taught and of leadership on these modules | Student satisfaction data; student evaluation and feedback; specific external examiner or advisor or peer feedback; awards or recognition. When citing student survey data or module evaluation results, please provide the % response rate |
| Leading student projects, field trips and where appropriate, placements and extra-curriculum activities. | Details of activity such as number and specifics of projects, placement providers with whom you work (and perhaps how you have established and developed those relationships) | Student evaluation and feedback; peer feedback; feedback from placement or work-based learning providers; awards or recognition; student-led publications resulting from projects |
| Lead on the planning, design and development of existing and new courses which meet School or University strategic objectives, including in relation to collaborative partnerships, transnational education and widening participation | Details of course developments on which you have led and the nature of this development, including strategic focus | Student numbers on new and existing courses which the applicant has led on; feedback from course development process; examiner feedback; |
| Constantly improve performance by reflecting on teaching design and delivery and through engaging in professional development | Details of reflective practice and CPD and how these were designed to improve performance | Awards and recognition, specifically HEA Senior Fellowship and/or University Learning and Teaching Fellow award; student achievement data over time at course level |
| Lead on educational innovation, including the use of learning technologies, which have | Details of innovations, how and in what contexts they have been implemented (e.g. | Student evaluation and feedback; student achievement data; examiner feedback; |

| | | |
|---|--|---|
| positive impacts on student engagement and outcomes and/or are recognised in the discipline or more widely | individual modules, course level, across difference courses, outside the university) | specific peer or external feedback; acting as an external examiner of advisor |
| Make a significant contribution to pedagogic practice and debate generally and/or in a relevant discipline area beyond the School | Dissemination of pedagogic practice through outputs, conference presentations, publications, case studies or other media | Output metrics such as citations, downloads, page views, etc; |

Category 2: Research and Scholarship

| Activity | Evidence | Quality and/or Impact Indicators |
|--|--|--|
| Act as a Principal or Co-Investigator on a funded project | Details of project(s) to include information on project timescales, role on the project, partners (internal and external), funding, and progress (e.g. data collected, data analysed, conference presentations, publications) | Output metrics (see below); value of funding; impact of research on policy or practice (see below); positive external coverage of the project through media, social media, etc.; awards or recognition for project |
| Disseminate outputs from research and scholarship where you have made a significant contribution to the output which are of at least “internationally recognised” standard | Details of outputs such as conference presentations, journal articles, books (including text books), book chapters, exhibitions, performances, software, datasets, etc. Where an output is co-authored please provide details of your contribution | Peer review scores from e.g. REF 2021 review process; REF 2021 contribution; output metrics such as citations, policy mentions, social media mentions, downloads; reviews; journal or other awards; conference metrics such as number of attendees. Please note, we do not make use of data such as journal impact factors or journal quartiles in any assessment. |
| Act as a Director of Studies for doctoral students | Details of doctoral supervision past and present; evidence of eligibility | Details of completions; funding for doctoral supervision; evidence of student progress (e.g. publication, timely completion of key stages such as transfer) |
| Regularly bid for external funding for Research and KE | External and internal bid details (funder, value, partners) | Successful bids; feedback from reviewers |
| Lead on the development of networks and collaborations with academic and non-academic partners outside of the University | Organising conferences and seminars; collaborative research projects; collaborative outputs | Output metrics as above; joint bids; conference metrics |

| | | |
|---|---|--|
| Deliver significant impact from research | Details of mechanisms used to deliver impact such as user-engagement activities; engagement with policymakers; training delivery; public engagement | Changes in policy or practice; changes in outcomes for groups or individuals; contribution to REF Impact Case Studies; public engagement data including feedback on what has changed as a result of the engagement |
| Make a significant contribution to the infrastructure of the discipline | Act as a panel member for a funding body; engage in editorial work for a publisher or journal; make a significant contribution to a learned society, subject association, professional body through committee chairing or membership, leading a SIG, etc. | Frequency of activity; breadth of activity; nature of funder, publisher, learned society, etc. |

Category 3: Management and Leadership

| Activity | Evidence | Quality and/or Impact Indicators |
|---|---|---|
| Leading on a specified area of strategic priority for the School, e.g. admissions, examinations, research, quality assurance, teaching, specific committees or working groups | Details of role to include period for which the role was undertaken | Examiner feedback; manager or peer feedback; details of how your time in the role has led to changes in your sphere of influence |
| Playing a significant role in cross-University working groups, committees or other initiatives, including acting as Chair or lead | Details of contribution to include period of this contribution and the specific of your role | Details of how your contribution in the role has led to changes and developments; statement from chair/lead of group, committee, etc. |
| Leading a staff team, department or research group, including responsibility for staff appraisal, managing budgets, chairing departmental/team meetings | Details of role to include period for which the role was undertaken and what was required of the role | Peer or manager feedback, details of positive changes implemented during the period undertaking the role |
| Leading quality enhancement initiatives to improve learning and teaching at School and/or University levels. | Details of contribution such as dates of validation meetings, specifics of QA role | Peer feedback; feedback from chair of panels or externals |
| An active role in ensuring that there is compliance with professional obligations | Details of role such as courses for which responsible | Peer and manager feedback; details of obligations met and external recognition |

| | | |
|--|--|---|
| relevant to the discipline, including securing external recognition of courses where relevant | | |
| External roles for professional bodies and other organisations at regional and national level, such as sitting on executives, committees or working groups | Details of the roles including time periods and organisation details | Feedback from organisations; changes that were initiated through that role, including to how they have impacted on a discipline or profession |

Appendix 2 Evidence (Teaching Focused)

Set out below are the range of activities the University would expect staff to undertake on a Teaching Focused Contract. It is not required that staff are engaged in all the activities listed here and they may be engaged in other activities not highlighted below which are expected of their specific role. In your application, you must supply evidence of any activities you highlight *and* indicators of the quality or impact of the activities. The tables below provide examples of the kinds of evidence the Panel would expect to see for each activity and of associated quality or impact indicators. This is not necessarily an exhaustive list and the Promotion Panel will take into account other evidence and other indicators where these are deemed appropriate.

Category 1: Learning and Teaching

| Activity | Evidence | Quality and/or Impact Indicators |
|--|---|---|
| Lead on the design and delivery of teaching across a range of modules or within a subject area, using appropriate teaching, learning support and assessment methods | Details of modules taught and of leadership on these modules | Student satisfaction data; student evaluation and feedback; specific external examiner or advisor or peer feedback; awards or recognition. When citing student survey data or module evaluation results, please provide the % response rate |
| Leading student projects, field trips and where appropriate, placements and extra-curriculum activities. | Details of activity such as number and specifics of projects, placement providers with whom you work (and perhaps how you have established and developed those relationships) | Student evaluation and feedback; peer feedback; feedback from placement or work-based learning providers; awards or recognition; student-led publications resulting from projects |
| Lead on the planning, design and development of existing and new courses which meet School or University strategic objectives, including in relation to collaborative partnerships, transnational education and widening participation | Details of course developments on which you have led and the nature of this development, including strategic focus | Student numbers on new and existing courses which the applicant has led on; feedback from course development process; examiner feedback; |
| Constantly improve performance by reflecting on teaching design and delivery and through engaging in professional development | Details of reflective practice and CPD and how these were designed to improve performance | Awards and recognition, specifically HEA Senior Fellowship and/or University Learning and Teaching Fellow award; student achievement data over time at course level |
| Lead on educational innovation, including the use of learning technologies, which have | Details of innovations, how and in what contexts they have been implemented (e.g. | Student evaluation and feedback; student achievement data; examiner feedback; |

| | | |
|--|--|---|
| positive impacts on student engagement and outcomes and/or are recognised in the discipline or more widely | individual modules, course level, across difference courses, outside the university) | specific peer or external feedback; acting as an external examiner of advisor |
|--|--|---|

Category 2: Scholarship and Professional Practice (including the Scholarship of Learning and Teaching)

| Activity | Evidence | Quality and/or Impact Indicators |
|--|---|---|
| Lead on learning and teaching projects which seek to improve teaching practice and student experience within and beyond the University | Details of projects including role in the project, timeframes, outcomes and recommendations, outputs (such as conference presentations, journal articles, case studies, websites) | Funding for project; output metrics such as citations, downloads, page views; project awards and recognition; impact of implemented recommendations on student experience as shown by, for example, student satisfaction and achievement data |
| Disseminate outputs from research, scholarly activity and professional practice where you have made a significant contribution to the output | Details of outputs such as conference presentations, journal articles in academic and professional journals, books (including text books), book chapters, blogs, websites, etc. Where an output is co-authored please provide details of your contribution. | Output metrics such as citations, downloads, page views, etc. |
| Act in a leadership role for networks and communities of practice around Scholarship of Learning and Teaching beyond the University | Details of network/community | Outputs from network/community; reach of network/community (i.e. how many individuals, institutions, disciplines are involved); qualitative account of impact with testimony or feedback where possible |
| Make a significant contribution to the infrastructure of the discipline or professional area | Act as a panel member for a funding body; engage in editorial work for a publisher or journal; make a significant contribution to a learned society, subject association, | Frequency of activity; breadth of activity; nature of funder, publisher, learned society, etc. |

| | | |
|---|--|---|
| | professional body through committee chairing or membership, leading a SIG, etc | |
| Make a significant contribution to pedagogic practice and debate generally and/or in a relevant discipline area beyond the School | Dissemination of pedagogic practice through outputs, conference presentations, publications, case studies or other media | Output metrics such as citations, downloads, page views, etc; |

Category 3: Management and Leadership

| Activity | Evidence | Quality and/or Impact Indicators |
|---|---|---|
| Leading on a specified area of strategic priority for the School, e.g. admissions, examinations, research, quality assurance, teaching, specific committees or working groups | Details of role to include period for which the role was undertaken | Examiner feedback; manager or peer feedback; details of how your time in the role has led to changes in your sphere of influence |
| Playing a significant role in cross-University working groups, committees or other initiatives, including acting as Chair or lead | Details of contribution to include period of this contribution and the specific of your role | Details of how your contribution in the role has led to changes and developments; statement from chair/lead of group, committee, etc. |
| Leading a staff team, department or research group, including responsibility for staff appraisal, managing budgets, chairing departmental/team meetings | Details of role to include period for which the role was undertaken and what was required of the role | Peer or manager feedback, details of positive changes implemented during the period undertaking the role |
| Leading quality enhancement initiatives to improve learning and teaching at School and/or University levels. | Details of contribution such as dates of validation meetings, specifics of QA role | Peer feedback; feedback from chair of panels or externals |
| An active role in ensuring that there is compliance with professional obligations relevant to the discipline, including securing external recognition of courses where relevant | Details of role such as courses for which responsible | Peer and manager feedback; details of obligations met and external recognition |
| External roles for professional bodies and other organisations at regional and national | Details of the roles including time periods and organisation details | Feedback from organisations; changes that were initiated through that role, including to |

| | | |
|--|--|--|
| level, such as sitting on executives, committees or working groups | | how they have impacted on a discipline or profession |
|--|--|--|