

Procedure for Progression between Professorial Zones

1. Background

During 2016/17, the University implemented a zoning system for professorial staff that delivered:

- A fair and transparent system that recognised the relative contribution of Strathclyde Professors and provided a clear pathway for career development and succession planning;
- A framework that identified and differentiated professorial performance levels and expectations;
- A focus on professorial contributions, activities and behaviours that reflected University strategy.

The system resulted in Strathclyde Professors being mapped, following a detailed Faculty led assessment, to one of four zones, which can be summarised as follows:

Zone 1 – International reputation and established track record of achievement.

Zone 2 – Established international reputation and sustained record of academic achievement and leadership.

Zone 3 – Internationally leading reputation and highly distinguished continuing track record of achievement and leadership.

Zone 4 – Recognised as globally leading with an esteemed record of academic excellence and leadership at the highest international level.

The high level zone descriptors and expected distribution of Professors within Zones is summarised in Appendix A.

The University recognises that, over time, Strathclyde Professors may increase their level of contribution and performance and that this may result in consideration for progression between zones. This process outlines how such a move to a higher zone will be considered.

2. Equal Opportunities

The University of Strathclyde is committed to achieving and promoting equality of opportunity in its learning, teaching, research and working environments. We also seek to create a culture of respect and an environment which supports positive relations between our staff. We are fully committed to the principle of equal pay for equal work for all of our staff and monitor and report on equal pay matters in a manner which exceeds statutory minimums.

In the same spirit as the original zoning process, future movement between professorial zones will be fair, transparent and consistent with the University's Equal Opportunities Policies. In considering zone progression, the Senior Academic Review and Development Panel will take account of employment or contractual status and personal circumstances that

may have impacted on an individual professor's performance and output, including part-time working, career breaks, sabbaticals and other periods of absence.

3. Principles

The Procedure incorporates the following principles:

- Applications for progression between zones will be considered annually by the Senior Academic Review and Development Panel (SARD);
- Applicants should evidence a clear upwards trajectory of contribution since their previous zone allocations / promotion and the date of their zone progression application;
- Professorial staff may be considered for movement into the next zone, subject to satisfying the relevant zone descriptor through the provision of specific evidence (by completing a Professorial Zone Progression Submission Form) demonstrating that the level of performance and associated outputs are sustained and match the zone descriptors at the higher level;
- Each professorial profile will be considered with reference to the professorial zoning descriptors and zone allocation principles and will be judged on its merits in accordance with the relevant criteria applicable to the zone into which movement is sought;
- Consistent with the initial zone matching process, each professor's contribution over the six years prior to their zone progression application will be considered.

4. Application Process and Criteria

A Professor wishing to be considered for Zone Progression should complete the [submission template](#). Prior to seeking zone progression, Professors should discuss this with their Head of Department/School as part of the annual Accountability and Development Review process. Normally, it would be expected that cases for zone progression would be supported by both the Head of Department/School and the Executive Dean. Exceptionally, where the professor's application for zone progression is not supported by their Head of Department/School and/or the Executive Dean, the individual may submit their Zone Progression Form to the Director of Human Resources for consideration by the SARD Panel. Even in cases which are not supported, both the Head of Department/Executive Dean will be required to 'sign off' the Application form as being factually accurate, as outlined below.

Zone progression submissions will consist of:-

- Professorial Zone Progression Submission Form;
- An up to date PURE report;
- The individual's completed ADR form.

The Zone Progression Submission Form will be reviewed by the Head of Department/School for completeness, consistency and quality. They will then confirm that the details outlined within the Submission Form are an accurate reflection of contribution. Submission made by Heads of Department/School will be reviewed by the Executive Dean.

Prior to consideration by the SARD panel, there will be first stage consideration of the submission by a Faculty Panel comprising the Executive Dean, a Vice Dean and an HR Manager. This Panel will undertake an initial assessment of the case and provisionally assess the application against the relevant criteria. This panel will then determine whether or not the case should be referred to SARD. In particular, the Panel will ensure that there is

evidence of a clear performance trajectory since the professorial zoning process. The Executive Dean shall provide developmental feedback to the Applicant if their zone progression application is not being supported and remind the applicant that they can make a personal submission to SARD.

The SARD panel will assess each submission against the University of Strathclyde [Professorial Zoning Descriptors](#). Overall zone placement will be determined following consideration of evidence against the 4 primary indicators criteria and the 2 selected Key Contribution areas selected by the Professor. More generally, the panel will also consider the contribution made more generally across all 4 themes of research, learning & teaching, knowledge exchange and citizenship.

The SARD panel will recognise that professors may not be active in all of the 10 criteria continuously and that the balance of activity remains as agreed with the relevant Head of Department/School or Executive Dean.

Applications for zone movement will be assessed and subsequent decisions normally taken on the basis of best-fit with the zone criteria into which movement is sought.

5. Constitution of the Senior Academic Review and Development Panel

SARD is constituted as follows:-

5.1 Members

- The Principal
- A Lay Member of Court (Chair)
- The Vice-Principal

5.2 In attendance

- The Executive Deans
- The Director of Human Resources
- Additional Human Resources support

6. Two-year resubmission rule

If SARD does not support an application for zone progression, the Applicant cannot normally resubmit a case until at least two years have elapsed.

7. Successful Applications

Where an application for movement between zones is successful, the salary placement level of the applicant will be amended to the bottom of the pay band into which movement is sought (normally the next zone) unless the current salary level of the professor is within the overlap between zone boundaries. In this event, salary placement will be adjusted accordingly to ensure at least two salary points between the individual's current and new salary.

Successful cases for zone progression will be backdated to and effective from the beginning of the month following the SARD meeting.

8. Appeals

The decision of SARD is final and there is no right of appeal against a decision not to grant zone progression.

Appendix A – Professorial Zoning Descriptors

High Level Zone Descriptors		
	Descriptors	Distribution
Zone 1	Professors will have a recognised international reputation for their contribution to their field of study and can demonstrate an established record of academic achievement.	Normal entry point for those newly promoted or appointed externally as a Professor. Zone 1 allows for new professors to develop their academic standing. 22% of Strathclyde professors were matched to Zone 1 at implementation.
Zone 2	Professors will have an established international reputation in their field of study and a sustained track record of academic achievement and leadership.	Core zone where most Professors will spend the majority of their career with the goal of progressing to zone 3. External appointments can only be made where the appointee is able to demonstrate a sustained track record of high performance within another institution. 53% of professors were matched to Zone 2 at implementation.
Zone 3	Professors will have an internationally leading reputation for shaping and developing their field of study and can demonstrate a highly distinguished continuing track record of academic achievement and leadership.	The step difference in contribution between zones 2 and 3 is assumed to be significantly higher than the difference between zones 1 and 2. External appointments to this zone will only be made where a Professor can demonstrate a sustained track record at the highest international level. 22% of professors were matched to Zone 3 at implementation.
Zone 4	Professors will bring significant prestige to the University as recognised world leaders in shaping and developing their field of study. Professors can demonstrate an esteemed record of academic excellence and leadership at the highest international level.	It is expected that only a small number of Professors will meet the criteria for zone 4. 3% of professors were matched to Zone 4 at implementation.

The full zoning criteria can be found at:

http://www.strath.ac.uk/media/ps/humanresources/careerpathways/Professorial_Zoning_Descriptors.pdf