



## **PROGRESSION PROCEDURE**

### **1. INTRODUCTION**

The University recognises the contribution of all staff to its effective operation and has adopted pay and grading structures which appropriately reward knowledge, experience and responsibilities. These structures also provide for salary and career progression.

#### **1.1 Purpose**

These procedures set out the process for grade progression and are designed to ensure fairness and consistency.

#### **1.2 Scope**

These procedures apply to all Keele University staff on progressional grades (see paragraph 2.2) within the Keele University grading structure.

### **2. PROCEDURE**

#### **2.1 Principles**

2.1.1 Each grade in the grading structure is made up of a number of points on the pay spine with a progression range and a contribution element.

2.1.2 With the exceptions detailed in Section 2.2, progression within the grades will be as follows:-

- Progression range – the expectation is that staff will progress through the increments on an annual basis.
- Contribution point – in seven of the eight grades there is one contribution point at the top of the grade. For details of progression to this point and for the application for the award of additional increments, please see the University's Rewarding Excellence Framework.

2.1.3 With the exception of internal recruitment and selection, moving from grade to grade will be achieved either via progression, promotion, or re-evaluation of the job grade. Please see the relevant procedures for Academic Promotion and Job Grade Review.

## **2.2 Progression from grade to grade**

### **2.2.1 Progressional grades are:-**

- a) Administrative and Technical Staff, Grade 6b to Managerial and Specialist Grade 7
- b) Lecturer Grade 7a to 8
- c) Teaching Fellow Grade 6b to 7 and Grade 7 to 8
- d) Research Grade 6a to 7 and Grade 7 to 8

2.2.2 It is recognised that within the grades identified in 2.2.1 above there is often a need for initial training and development at the lower grade, to facilitate progression to the next grade. Progression will be based on a genuine business need, established at the point of recruitment, for future higher-level contribution commensurate with the higher grade. Subject to satisfactory performance, the business requirement for higher level contribution as established at the point of recruitment, and completion of a probationary period, staff on progressional grades may progress to the next grade.

2.2.3 However, exceptionally, there may be roles within the grades in paragraph 2.2.1 above where it is identified at the outset of the recruitment process that there is no such requirement for eventual operation at a higher grade. This will be made clear in all recruitment material. In such cases there will be no progression route to the next grade unless circumstances change, and the Line Manager identifies that the role has significantly changed at which point progression will be considered.

2.2.4 Progression between grades will only take place with the authorisation of the Line Manager.

2.2.5 Progression between grades cannot take place until the probationary period has ended and appointment confirmed (see the University's Probationary Period Procedure).

2.2.6 Whilst on progressional grades, staff should have regular performance reviews with their line manager and any performance issues should be highlighted and managed as they arise.

2.2.7 As detailed in section 2.4, it is usual for individuals to have reached a specific salary point before being considered for progression, however, in exceptional cases, early progression may be agreed. Line Managers are asked not to agree early progression without first discussing the case with the relevant team in People and Organisational Development.

## **2.3 Procedure**

2.3.1. When a member of staff reaches the grade point where they are eligible to progress to the next grade, the Line Manager should meet with the individual to discuss role, performance, and proposed progression.

2.3.2 The Line Manager should then compile a short note providing the rationale and request for progression to the next grade. Once signed by the Line Manager, staff member and the Dean/Director the note should be sent to the Operations team in People and Organisational Development.

2.3.3 Progression should be requested where:–

- a) Probation has been successfully completed and;
- b) Performance is satisfactory (see 2.3.4 below) and;
- c) The Line Manager is satisfied that the role has developed in line with the requirements set out in the relevant role profile. Should it be identified, after the point of recruitment that a role is not developing as envisaged, the line manager should not wait until progression is imminent but should take appropriate action. A member of the Employee Relations Team (People and Organisational Development) may be contacted for advice.

2.3.4 Performance is deemed to be satisfactory for the purposes of this procedure where it can be demonstrated that:–

- a) The member of staff is clearly meeting the Academic Role Expectations for their current grade and;
- b) The staff member's performance in all aspects of the current role is satisfactory and;
- c) The staff member is considered to have the ability to satisfactorily fulfil the requirements of the role profile for the next, more senior grade.

2.3.5 In exceptional circumstances, early progression may be considered where individuals are meeting the required expectations and demonstrating exceptional performance. In such cases, the line manager should prepare a case for approval by the Faculty Executive Dean and Deputy Vice Chancellor. The case should clearly outline how the individual is exceeding the role expectations and why early progression is being requested.

2.3.6 Where any of the requirements set out in 2.3.3 above have not been met the member of staff will not be permitted to progress. In such cases, they will either remain on, and continue to progress up their current scale, or be held back at the top of their current scale as appropriate.

2.3.7 It is particularly important that consideration is given to any special circumstances that may have resulted in a lack of opportunity for individuals to perform to their full potential and met the requirements set out in 2.3.3 above. For example, due to time away from work because of family responsibilities, ill-health or disability. Advice and guidance on such cases must be sought from the Employee Relations team (People and Organisational Development).

2.3.8 Incapability is when, despite receiving appropriate support and training, a member of staff still cannot achieve a satisfactory level of performance. In such cases the University Performance Capability Procedure will apply.

2.3.9 Misconduct is when the member of staff is capable of achieving a satisfactory level of performance but, for reasons other than lack of appropriate training and support, has not done so. The definition of misconduct is any type of behaviour or conduct that falls below the standard required by the University or is in breach of any University policy, procedure, regulation or rule. In such cases the University Disciplinary and Appeals Procedure (Staff) will apply.

## **2.4 Details of Grade Progression**

It is expected that in addition to any requirements set out in this section, progression will only be recommended where the requirements set out in paragraph 2.3.3 above have also been met.

### **2.4.1 Administrative and Technical Grade 6b to Managerial and Specialist Grade 7**

2.4.1.1 It is expected that members of staff appointed to Grade 6b (point 29) will progress to Grade 7 (point 30) following successful completion of their probationary period (of six months) and twelve months on point 29.

2.4.1.2 Individuals appointed to this grade point 29 must be given a 6 month probationary period.

2.4.1.3 Progression to Grade 7 may take place at any time of the year; however, incremental progression within Grade 7 will only take place on the 1st of August following six months at point 30.

### **2.4.2 Research Grades**

#### **2.4.2.1 Grade 6a to 7**

2.4.2.1.1 Researchers without PhDs should be appointed to Grade 6a point 27.

2.4.2.1.2 It is then expected that they will have completed their PhDs (or have gained equivalent research experience) by the time they reach point 29. Providing this is the case and, after twelve months at point 29, they should progress to Grade 7 point 30.

2.4.2.1.3 Individuals appointed to this grade point 27 must be given a 6 month probationary period.

2.4.2.1.4 Progression to Grade 7 may take place at any time of the year; however, incremental progression within Grade 7 will only take place on the 1st of October following six months at point 30.

2.4.2.1.5 Early progression to Grade 7 may be considered on early completion of PhD.

### **2.4.2.2 Grade 7 to 8**

2.4.2.2.1 Researchers with PhDs (or equivalent research experience) appointed to Grade 7 will receive annual increments within this grade to the top of scale (point 37). Subject to twelve months at point 37 they will then progress to Grade 8 point 38.

2.4.2.2.2 Progression to Grade 8 may take place at any time of the year; however, incremental progression within Grade 8 will only take place on the 1st of October following six months at point 38.

### **2.4.3 Teaching Fellows**

#### **2.4.3.1 Grade 6b to 7**

2.4.3.1.1 It is expected that members of staff appointed to Grade 6b (point 29) will progress to Grade 7 (point 30) following successful completion of their probationary period and twelve months on point 29.

2.4.3.1.2 Individuals appointed to this grade point 29 must be given a 9 month probationary period.

2.4.3.1.3 Progression to Grade 7 may take place at any time of the year, however, incremental progression within Grade 7 will take place on the 1st of August following six months at point 30.

#### **2.4.3.2 Grade 7 to 8**

2.4.3.2.1 It is expected that staff on Grade 7 will receive annual increments to the top of that scale (point 37). Subject to twelve months at point 37, they will then progress to Grade 8 point 38.

2.4.3.2.2 Progression to Grade 8 may take place at any time of the year, however, incremental progression within Grade 8 will only take place on the 1st of August following six months at point 38.

### **2.4.4 Lecturers**

#### **2.4.4.1 Grade 7a to 8**

2.4.4.1.1 Lecturers appointed to Grade 7a will receive annual increments on the scale. Progression to Grade 8 will normally be considered no later than 3 years from the individual's appointment. In exceptional circumstances, progression to Grade 8 may be considered before the individual's 3 year anniversary, providing that at least 12 months has been completed at Grade 7a

2.4.4.1.2 Progression to Grade 8 may take place at any time of the year, however, incremental progression within Grade 8 will only take place on the 1st of October following six months at point 38.

2.4.4.1.3 The employment of academic staff is governed by Statute, however until an individual progressed to Grade 8, they will not be subject to the provisions set out as part of the existing University Statute 31.

## **2.5 Appeals**

2.5.1 Any member of staff who has reached the grade point where the individual is eligible to progress to the next grade, but progression is not recommended by their Line Manager, may exercise a right to appeal.

2.5.2 Appeals should be submitted in writing to the next more senior manager within 10 working days of the staff member being advised that they will not progress. The letter should clearly set out the grounds on which the appeal is based. Any member of staff who is unclear as to whom to address a letter of appeal should contact People and Organisational Development for advice.

2.5.3 The member of staff will be notified of the date of the appeal meeting within 10 working days of the submission of the appeal (the meeting itself may not take place within this timescale although every effort will be made to hold the meeting as soon as possible).

## **3 ROLES AND RESPONSIBILITIES**

3.1 For the avoidance of doubt, where a role title, department, faculty or professional service area is named and it is no longer in existence, it should be read as the equivalent role, department, faculty or professional service area. Should individuals remain uncertain, clarification can be sought from a senior member of staff within the management line.

## **4. RELATED POLICIES AND PROCEDURES**

- Rewarding Excellence Framework
- Academic Promotion Procedures
- Job Grade Review Procedure
- Probationary Procedure
- Performance Capability Procedure
- Disciplinary and Appeals Procedure

## **5. REVIEW, APPROVAL & PUBLICATION**

4.1 As a general principle, the Procedure will be reviewed by People & Organisational Development, in consultation with recognised Trade Unions after three years or where operational and/or legislative requirements change. Any revisions will be approved in accordance with UEC and Council procedures, where applicable.

4.2 This Procedure is not contractual and is not intended to be incorporated into individual terms and conditions of employment. It may be subject to review, amendment or withdrawal.

4.3 This Procedure will be published on the University policy zone web page and will also be accessible via People and Organisational Development web pages.

4.4 Equality issues have been taken into account during the development of the Procedure and all protected characteristics have been considered as part of the Equality Analysis undertaken.

## 5. ANNEXES

Not applicable

## 6. DOCUMENT CONTROL INFORMATION

<b>Document Name</b>	Progression Procedure
<b>Owner</b>	Chief People Officer, People and Organisational Development
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<b>Related University Policy Documents</b>	<ul style="list-style-type: none"><li>• Rewarding Excellence Framework</li><li>• Academic Promotion Procedures</li><li>• Job Grade Review Procedure</li><li>• Probationary Procedure</li><li>• Performance Capability Procedure</li><li>• Disciplinary and Appeals Procedure</li></ul>
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