



Keele University

Policy and Procedure for Professorial and Managerial and Specialist Grade 10 Salaries

Human Resources Department

Lead Director: Director of Human Resources
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Policy to be reviewed every 2 years. Date of next review: Academic year 2019/20

Professorial and Managerial and Specialist Grade 10 Salaries

1. Introduction

This policy sets out arrangements governing the pay and pay progression of professorial and managerial and specialist grade 10 salaries. The policy is effective from 1 August 2012 and replaces the arrangements set out in the Policy and Procedure relating to the *Annual Review of Professorial and Managerial and Specialist Grade 10 Salaries*.

These arrangements do not apply to clinical professorial staff.

2. Pay and Contribution Frameworks

2.1. Professors

Professorial grade 10 will comprise 5 zones – zones A to E.

Each zone is underpinned by a number of indicators across four contribution categories and the full contribution framework for this group can be found in Annex A. The contribution categories are:

- Excellence in Research
- Excellence in Learning and Teaching
- Impact on the Economy and Society through Enterprise and Advisory Activity
- Institutional Leadership/Citizenship

2.2. Senior Managerial and Specialist Staff

Managerial and specialist grade 10 will comprise 3 zones – zones A to C.

Each zone is underpinned by a number of indicators across three contribution categories and the full contribution framework for this group as at Annex B. The contribution categories are:

- Strategic Responsibility
- Size and Scope of Responsibility
- Institutional Leadership

3. Pay Structure

Each contribution zone is linked to a defined pay range in order to ensure consistency in *pay levels* and in any pay increases across and within the group. The structure will be updated annually based on cost of living awards agreed within the relevant bargaining forum.

These salary points do not constitute increments and incremental progression is not a feature of this reward system. There will be no automatic pay awards; all pay awards will be based upon exceptional performance, with assessments linked to the relevant contribution framework, thereby ensuring fairness and consistency.

4. Pay Awards

4.1. Pay Review Process

Pay progression will be considered only on the basis of exceptional performance.

Professorial performance will be assessed in accordance with the arrangements governing the *Professorial Performance Review and Enhancement (PPRE)* and senior managers in accordance with arrangements relating to *Performance Review and Enhancement (PRE)*.

PPRE and PRE will inform the annual pay review process and all meetings and assessments should be completed by no later than June of each year.

Professors appointed through the internal Professorial promotions procedure will not normally be assigned a PPRE rating as part of the appraisal process in the year following their promotion. However, they will take part in the PPRE discussion, including the setting of clear objectives for the following year.

Professors and senior managers receiving a level 1 performance rating and zone A professors receiving either a level 1 or level 2 performance rating will be put forward for consideration for a pay award in accordance with the arrangements set out below.

Professors or senior managers who are not put forward based on their performance rating may nominate themselves for consideration of a pay award.

4.2. Decision Making

All nominations for a pay award will be considered by the Senior Pay Review Panel. The panel is chaired by the Vice-Chancellor and comprises the Deputy Vice-Chancellor and Provost, the Faculty Deans, the Director of Finance, and the Director of Human Resources.

Awards will at all times be subject to affordability. Where funds are limited, awards will be prioritised based on merit.

Based on the considerations of this group, the Vice-Chancellor shall recommend to Senior Remuneration Committee those members of staff to whom pay awards may be made and the level of any award.

Revised salaries inclusive of awards will correspond to an appropriate point on the pay range for the zone to which the professor or senior manager is assigned.

Exceptionally, one-off lump sum payments may be made up to the value of £2,500 and are not superannuable. Such payments may be made to recognise one-off exceptional contributions where ongoing sustainability is not fully demonstrated.

Any such recommendations will be submitted to Senior Remuneration Committee which will authorise any awards on behalf of University Council.

5. Re-Zoning for Professors

Re-zoning will be considered by the Head of School and/or Research Institute Director (or the Dean in the case of a Head of School or Research Institute Director), who will consider the case for re-zoning in accordance with the contribution criteria for the higher zone and must be satisfied that the contribution of the individual concerned would be consistent with the contribution of those already zoned at the higher level. The Head of School and/or Research Institute Director will detail

the case for re-zoning using section 5 of the PPRE Summary Form.

The Head of School and/or Research Institute Director will advise the Dean that they wish to support an application for re-zoning.

The University reserves the right to take external advice and request references for re-zoning cases to zone C or above. Where references are sought, the individual will be asked to nominate up to two and the Head of School/Research Institute Director, up to three.

Re-zoning cases will be considered by the Senior Pay Review Panel at their annual meeting.

Any member of staff reassigned to a higher zone will be transferred to the minimum point of the new spine or to the spine point immediately above their current spine point.

Newly promoted and appointed zone A professors will be assessed for re-zoning to zone B after 2 years and thereafter on an annual basis for a further 4 years. If, after this period the individual has not met the zone B criteria, re-zoning will be considered as outlined above.

Re-zoning for senior managerial and specialist staff will be based on material changes to their role, in the context of the contribution framework and any re-zoning will be effected at such time as these changes in role take place.

6. Self nomination

Staff who elect to put themselves forward for consideration of a pay award or for re-zoning should set out in writing direct to the Vice-Chancellor, their case for a pay award based on exceptional performance. Staff should evidence their case with clear reference to the contribution criteria relevant to the zone to which they are assigned.

Dates for submission of self nominations will be notified to all members of the group on an annual basis.

7. Salaries on Appointment and Promotion

The starting salaries of professors or senior managers will be determined by the Vice-Chancellor or Deputy Vice-Chancellor and Provost based on the pay range for the relevant contribution zone. Under normal circumstances starting salaries will accord to the minimum of the zone. Starting salaries higher than the minimum point of the zone will be supported by a justifiable business reason to ensure that the higher salary will not compromise the University's commitment to equality and diversity. Advice on starting salaries and market considerations will be provided by the Director of Human Resources.

List of Annexes

A – Professorial Contribution Framework

B – Grade 10 Managerial & Specialist Contribution Framework

PROFESSORIAL CONTRIBUTION FRAMEWORK

ANNEX A

	Zone A	Zone B	Zone C	Zone D	Zone E
Descriptor	An academic recently promoted to professor from within or externally, with evidence of established academic excellence in accordance with the standards set out in the University's promotions criteria	An academic who has demonstrated sustained impact at international and/or national level and/or has significant indicators of international esteem	An academic who has maintained strong outputs, is nationally leading and has achieved significant and sustained international reputation	An academic whose work at national and/or international level makes them an acknowledged leader, shaping the future of their discipline	An academic who is recognised as one of a group of world leaders in their discipline

	Zone A	Zone B	Zone C	Zone D	Zone E
Excellence in research	<ul style="list-style-type: none"> ▪ Sustained high level output with high performance on key indicators (e.g. research income, research students, citations, prestige publishers) ▪ Leading and co-ordinating research activity across the subject area ▪ Leading research and collaborative partnerships with other external bodies ▪ Invited to speak at national and international conferences and similar events 	<ul style="list-style-type: none"> ▪ Sustained track record of successful Doctoral supervision ▪ Leading significant research programmes ▪ Editorial board member of prestigious journals ▪ Invitations from grant awarding bodies to act as project assessor ▪ Elected to the executive committee of a major professional body ▪ Regular invitations to speak at major international conferences ▪ Record of attracting major research funding ▪ Record of sustained commitment and strategic leadership across key areas of research 	<ul style="list-style-type: none"> ▪ Editorship of prestigious journals ▪ Leading research centre(s) of national importance ▪ Visiting positions at leading universities ▪ Membership of national research committee(s) ▪ Sustained record of attracting major external funding ▪ Significant contribution to development and achievement of the University's research strategy 	<ul style="list-style-type: none"> ▪ Award of prizes of national distinction ▪ Leading research centres of international importance ▪ Fellowship of prestigious scholarly societies, eg Royal Society, British Academy ▪ Regular invitations to deliver prestigious/named lectures on an international basis ▪ Chair of national research committee(s) ▪ Honorary degrees from distinguished universities 	<ul style="list-style-type: none"> ▪ Award of prizes of international distinction ▪ Election to key posts in prestigious scholarly societies ▪ World leading, paradigm shifting research which is acknowledged globally as such

	Zone A	Zone B	Zone C	Zone D	Zone E
Excellence in learning & teaching	<ul style="list-style-type: none"> ▪ Sustained and continuing record of excellence in teaching ▪ Esteem indicators such as awards, grants or prizes for teaching or educational development ▪ External recognition of published text books or other teaching materials ▪ Invitations to join prestigious national/international bodies related to teaching and learning ▪ Publication of peer-reviewed books or articles on education and teaching ▪ Invitations to address or organise prestigious conferences ▪ Editorship or refereeing for pedagogic journals ▪ Record of sustained commitment and contribution to strategic areas (including Widening Participation, public engagement, student recruitment and retention) 	<ul style="list-style-type: none"> ▪ External examiner for degree programmes at prestigious universities ▪ Sustained publication of books and articles with an impact on teaching & learning practice ▪ Record of sustained commitment and strategic leadership across key learning and teaching activities, evidencing faculty or broader impact 	<ul style="list-style-type: none"> ▪ Record of leading teaching and learning development which transforms practice across the institution ▪ Senior membership of distinguished learned society with evidence of consequential impact at national level ▪ Evidence, appropriate to discipline, of national leadership and impact in learning and teaching 	<ul style="list-style-type: none"> ▪ Leading adviser with an impact on national policy ▪ Significant record of leading external CPD activities at a national level ▪ Executive role in distinguished learned society 	<ul style="list-style-type: none"> ▪ World leading figure in pedagogy and the practice of learning and teaching ▪ Leading, shaping and influencing education policy at a national/international level ▪ Advancing and broadening the public understanding of the discipline in significant and highly public ways, for example invited to speak in major national/international fora

	Zone A	Zone B	Zone C	Zone D	Zone E
	<ul style="list-style-type: none"> ▪ Record of substantial contribution to the development of the quality assurance framework at school/programme level e.g. pedagogic innovations ▪ External examining of degree programmes, evidencing cross programme/school impact or moderation ▪ Record of leading teaching and learning development which transforms practice at school/programme level 				

	Zone A	Zone B	Zone C	Zone D	Zone E
Impact on the economy and society through enterprise and advisory activity	<ul style="list-style-type: none"> ▪ Appointment to or involvement with government/national advisory body, research council or similar body ▪ Record of provision of consultancy/professional advice and major contribution to raising of standards of practice ▪ Record of transferring new ideas, products and process to other organisations and users of research ▪ Sustained track record of leading and coordinating consultancy and developing networks to foster collaboration and promote the University ▪ Record of influencing public policy developments and/or professional practice 	<ul style="list-style-type: none"> ▪ Appointment to a significant non executive role and/or a government /national advisory body ▪ Sustained track record of income generation and impact on industry through consultancy ▪ Track record of creating IP of value to industry and the institution ▪ Record of sustained commitment and strategic leadership in relation to enterprise and advisory activity 	<ul style="list-style-type: none"> ▪ Adviser to national governmental or non governmental bodies ▪ Acknowledged national expert in a major field of policy/consultancy advice ▪ Sustained record of repeated innovation creating high value IP 	<ul style="list-style-type: none"> ▪ Adviser to international governmental or non-governmental bodies ▪ Appointment to lead major national or international inquiries 	<ul style="list-style-type: none"> ▪ Significant international impact on shaping of professional practice in and beyond the UK ▪ Discovery, development and exploitation that leads to national/international recognition and the generation of significant resource for the institution ▪ Chairing of governmental or international agencies or acting as a lead advisor on global issues for major organisations such as the EU, the UN, UNESCO, WHO.

	Zone A	Zone B	Zone C	Zone D	Zone E
Institutional leadership /Citizenship	<ul style="list-style-type: none"> ▪ Significant and sustained record of exercising academic leadership (in subject area activities, through research or through formal leadership roles) ▪ Record of organising resources within area of responsibility ▪ Promote the work of the University nationally and internationally ▪ Contribution to the development, mentoring and career management of significant numbers of colleagues and students ▪ Significant contribution to shaping the institution's approach to priority developments, disciplinary areas, schools or major investment. ▪ Sustainable contribution to University planning and strategic development 	<ul style="list-style-type: none"> ▪ Major role in shaping the institution's approach to priority developments, disciplinary areas, schools or major investment. ▪ Significant contribution to the development, mentoring and career management of significant number of colleagues and students ▪ Significant contribution to University planning and strategic development ▪ Sustained record of delivering successful outcomes through cross functional working 	<ul style="list-style-type: none"> ▪ Major role in developing a significant part of the institution and/or its national standing ▪ Outstanding contribution to the development, mentoring and career management of significant number of colleagues ▪ Outstanding contribution to University planning and strategic development ▪ Significant contribution to promoting and facilitating cross functional working 	<ul style="list-style-type: none"> ▪ Major impact on the future of the institution as a whole and/or its international standing ▪ Outstanding contribution to promoting and facilitating cross functional working 	

GRADE 10 MANAGERIAL AND SPECIALIST CONTRIBUTION FRAMEWORK

ANNEX B

	Zone A	Zone B	Zone C
Descriptor	<ul style="list-style-type: none"> ▪ A senior manager who has responsibility for a small service area within the University 	<ul style="list-style-type: none"> ▪ A senior manager who is responsible for a small to medium sized area and who shapes strategy for that area 	<ul style="list-style-type: none"> ▪ A senior manager who is responsible for a medium sized specialist area of service within the University and who is responsible for strategy development for that area
Strategic Responsibility	<ul style="list-style-type: none"> ▪ Informs and implements strategy for area of responsibility and ensures all activities are aligned to the strategic plan ▪ Contributes to creating a corporate culture which is properly aware and focused on University strategy ▪ Builds a culture of customer excellence by setting high standards of service across the directorate/faculty and supporting individuals to achieve and build upon them ▪ Maintains a strategic overview by anticipating future requirements and leading the development of solutions to meet them 	<ul style="list-style-type: none"> ▪ Shapes strategy for the directorate/faculty and ensures activities for area of responsibility are fully aligned ▪ Sustained record of considering wider University context and external environment when planning for the future ▪ Develops strategic relationships/partnerships within and outside the University ▪ Promotes a culture of continuous improvement and quality enhancement within directorate/faculty 	<ul style="list-style-type: none"> ▪ Develops strategy for area of responsibility ▪ Sustained record of setting standards of best practice and ensures that current methods, systems and processes support the University's objectives ▪ Has prime responsibility for innovative service development which is properly informed by sector best practice

	Zone A	Zone B	Zone C
Size and Scope of Responsibility	<ul style="list-style-type: none"> ▪ Management responsibility for a team of staff. Strives to develop individuals capability in innovative ways ▪ Sustained record of applying excellent financial management, demonstrating effective budget management. ▪ Ensures the financial position of the University is safeguarded, contributes to efficiency and cost saving measures and income generation ▪ Sustained record of effective stakeholder engagement across the University ▪ Brings operational management experience ▪ Work impacts on effectiveness and reputation of wider operating area ▪ Risk impact¹: low-medium 	<ul style="list-style-type: none"> ▪ Management responsibility for a large group of staff or specialist team(s). Sustained evidence of commitment to enabling staff to develop their managerial and specialist capability ▪ Effective and efficient management of a large or complex budget ▪ Drives efficiency, cost saving measures and income generation ▪ Sustained record of effective external stakeholder engagement ▪ Brings significant specialist/management expertise ▪ Work impacts on effectiveness and reputation of wider University ▪ Risk impact: medium-high 	<ul style="list-style-type: none"> ▪ Management responsibility for a significant number of staff or specialist teams(s). Develops communication systems and internal structures which facilitate integrated development opportunities in order to ensure that teams contribute positively to the University ▪ Effective and efficient management of a large and complex budget ▪ Develops and implements creative and innovative financial solutions ▪ Brings strategic management expertise ▪ Risk impact: high

¹ Risk impact is based on the autonomy of decision making balanced against the consequence of error

	Zone A	Zone B	Zone C
Institutional Leadership	<ul style="list-style-type: none"> ▪ Sustained record of leading by example, focusing activity on strategic drivers ▪ Always leads the implementation of University policy and decisions with commitment ▪ Significant contribution to shaping the institution's approach to priority developments ▪ Contribution to University planning and strategic development ▪ Ensures personal adherence to the principles of quality, health and safety, equality and diversity and environmental sustainability and promotes commitment across area of responsibility. ▪ Fosters commitment within the wider University 	<ul style="list-style-type: none"> ▪ Major role in shaping the institution's approach to priority developments ▪ Significant contribution to University planning and strategic development ▪ Sustained record of delivering successful outcomes through cross functional working ▪ Promotes culture of collaboration inspiring others to adopt a unified approach to increase effectiveness 	<ul style="list-style-type: none"> ▪ Major role in developing a significant part of the institution and/or its regional or national standing ▪ Outstanding contribution to University planning and strategic development ▪ Significant contribution to promoting and facilitating cross functional working