



The
University
Of
Sheffield.

Department
Of
Human
Resources

University of Sheffield Professorial Pay Scheme.

February 2009

Letter from the Vice-Chancellor

I am pleased to be able to present to you our finalised plans for the new professorial pay scheme. We had a tremendous response to our consultation exercise and received many useful comments and suggestions from colleagues. You can find a summary of some of the feedback we received and our responses to it in this booklet.

We will be going ahead to introduce the new structure and review processes in the coming months, in line with the timetable at the end of this booklet. I recognise that this will require efforts from colleagues, and some may even have some residual uneasiness about this work. I can assure you that the University Executive Board is fully in support of the scheme and I firmly believe that the changes will be an improvement for professorial colleagues.

I invite you to read through the information in this booklet and I am sure I can look forward to your support in the forthcoming banding exercise.

Professor Keith Burnett
Vice-Chancellor

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Review of professorial salary structures

Over the past year, a group chaired by the Vice-Chancellor has been conducting a review of the University's professorial salary structures. The aims of this review were to:

- Reflect on the role of Professors in the new University structure
- Be able to attract, retain and reward the best academic talent
- Link the reward structure to our aims and vision as a University
- Increase transparency
- Ensure equality:
 - Of opportunity
 - Equal pay for work of equal value
- Ensure fair reward for contribution

We believe we have produced a structure and associated processes that meet these aims. The details of these are set out in this booklet.

Reward for Heads of Departments and Schools

Also: Faculty Directors of Learning and Teaching
Faculty Directors of Research and Innovation

In addition to the new professorial pay scheme, professors will be rewarded separately for their contribution as Heads of Department or School and as Faculty research and teaching directors, through the new Heads' Contribution Scheme. For this reason, these roles are not referred to specifically in the band summaries and example activities given later in this booklet. It remains the case, however, that leadership and management continues to contribute to assessment of overall academic achievement in the annual review.

Details of the Heads' Contribution Scheme are being announced separately.

A three-band structure

Our professors will be banded according to the level at which they are working and their contribution to the University.

The band summaries are below:

Band I

Individuals have an international reputation in their field and demonstrate academic leadership in their discipline both within the University – through guidance of postdoctoral researchers, management of staff, research projects and contracts, and departmental/University contribution – and externally, where recognition often extends beyond academia, through advising or giving expert opinion. The role is in some cases focussed mainly on either teaching or research, but in the majority of cases combines significant high-impact research with consistently effective teaching, particularly of postgraduate students.

Band I is the normal entry band for newly promoted or appointed professors. It is also sufficiently broad to allow progression within the band as professors develop their career and standing.

Band II

Professors who reach this band are working at a level significantly higher than the entry level for a Sheffield professor. Individuals have a sustained record of internationally-recognised achievement in their field; their expertise is in significant demand from partners within or beyond academia and/or they are asked to fulfil major international roles within the discipline.

Some professors may progress from Band I, their role having grown sufficiently to be recognised in this way. Senior lecturers or readers are not promoted directly to Band II. External appointments are only made

to Band II where the professor is already well established at another institution, or working at a comparable level outside academia.

Band III

This band is reserved for a small number of professors who bring great prestige to the University through their sustained record of academic achievement at the highest international level. This may take the form of leadership of world-leading research, election to the most prestigious learned societies, a leading role in high-impact interdisciplinary collaborations with a broad range of academic, industrial or governmental partners, or a position of unequivocal international authority.

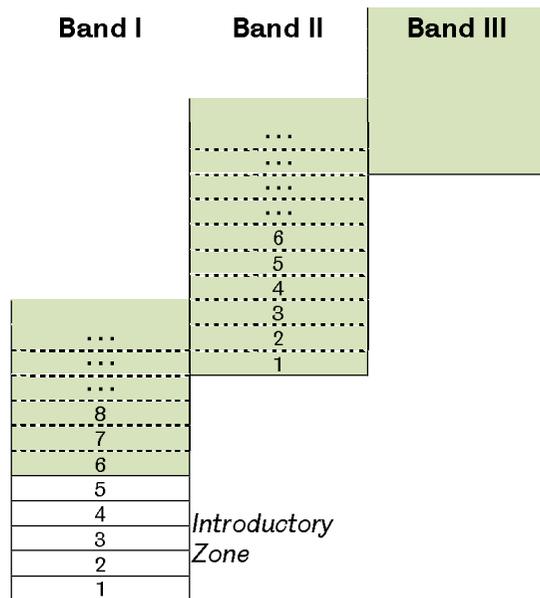
Band III professors may have progressed from Band II, or in exceptional circumstances may have been appointed directly to this band. External appointments are only made to Band III where the professor has international status of the highest level. Authority from the Senior Remuneration Committee is required to appoint to Band III.

Structure within bands

Bands I and II are both composed of points at 3% intervals. Professors are placed on one of these points and any consolidated increases in salary are awarded in the form of one or more points. Band III has a defined minimum.

Band I includes an Introductory Zone: these five points are those to which a new professor would normally be promoted or appointed, if he or she had not been a professor before. Within this zone, professors may be awarded an increase of one point per year at the discretion of the Faculty Pro-Vice-Chancellor. Awards in excess of this would need to be made through the normal annual salary review.

Below is an example illustration of the three-band structure, including the Introductory Zone.



Example activities by band and theme

In most cases it is expected that a professor will be contributing in each of the four areas:

- Research
- Teaching
- Leadership & Management
- Knowledge Transfer & Professional Standing

The following are examples of activities that would be expected in the given band. An individual professor is not expected to carry out all the activities in the band. The band of a professor reflects the overall level at which he or she is working.

Professors whose promotions or appointments have been based predominantly on teaching (or predominantly on research) are expected to be working at a higher level in teaching (or research) than professors in the same band whose role balances both teaching and research.

	Band I
Research	<p>Innovative research and scholarship that is recognised internationally in terms of originality, significance and rigour, as evidenced by a sustained level of publication in high-impact journals, high numbers of citations and/or through influential monographs, highly-regarded books, conference proceedings or other works e.g. musical composition, architecture; and by attested knowledge, excellence, and contribution to the advancement of knowledge in the discipline field.</p> <p>Income generation through winning research grants in excess of the UK median for the discipline and/or success in increasing research student numbers.</p>

Band II	Band III
Building on the previous band	Building on the previous bands
<p>Publication of highly-regarded books, papers as evidenced by, for example, being short-listed for international prizes.</p> <p>Delivery of plenary and key note addresses at esteemed international conferences.</p> <p>Generation of research income consistently in the UK upper quartile for the discipline.</p>	<p>Research and scholarship recognised as world-leading within the discipline in terms of originality, significance and rigour, as evidenced by a significant number of high-impact citations, election to the most prestigious learned societies, and/or the award of the most prestigious prizes.</p> <p>Generation of research income consistently in the UK upper decile for the discipline.</p>

	Band I
Teaching	<p>Contribution to development of teaching policy at University/national level, evidenced, for example, by a Senate Award; dissemination through publications, networks and conferences.</p> <p>Leading the implementation of new pedagogies/ innovative approaches at the University. Authorship of standard texts. External examiner for prestigious institutions.</p> <p>Consistently high student satisfaction; consistent number of successful PhD completions and Masters students. Developing major PGT programmes; lead supervisor for doctoral students.</p>

Band II	Band III
Building on the previous band	Building on the previous bands
<p>Leading, shaping and influencing teaching policy at a national/ international level.</p> <p>Significant contribution to the scholarship of learning and teaching.</p> <p>Leadership of teaching innovation recognised by the relevant organisations, evidenced, for example, by the award of significant national prizes.</p>	<p>World-leading figure in teaching for the discipline.</p>

	Band I
Leadership & Management	<p>High contribution to academic leadership within the University of Sheffield, and/or within the discipline field. Sustained contribution to shaping and influencing University academic strategy.</p> <p>Pro-active support for the implementation of teaching policy. Acting as a role model for colleagues and helping their development with regard to teaching quality.</p> <p>Setting up and driving forward innovative research or pedagogies.</p> <p>Guidance to postdoctoral researchers, management of staff, research projects and contracts. Managing change or leading initiatives such as major restructuring.</p> <p>Contribution to leadership within the department through support for the Head and major contributions to departmental planning.</p> <p>Membership of senior University Committees. Contribution to planning at a University level.</p>

Band II	Band III
Building on the previous band	Building on the previous bands
<p>Initiating and driving major academic initiatives, e.g. new facilities or creating partnerships.</p> <p>Recognised position of leadership at national level in discipline, as evidenced by e.g. advising a major funding council.</p> <p>Leadership of ongoing complex inter-disciplinary large-scale projects.</p>	<p>Recognised position of leadership at national and international level in discipline, as evidenced by e.g. frequently advising Government, acting as chief adviser to a major funding council, elected to chair of major international body.</p> <p>Initiating and leading complex inter-disciplinary large-scale projects across institutions and national boundaries.</p>

	Band I
Knowledge Transfer & Professional Standing	<p>Managing a significant portfolio of knowledge transfer activities, with demonstrable social and/or economic impact and benefit to the University. This might include applied and collaborative research, consultancy, development and delivery of CPD programmes for external clients, licensing of IP, the creation of spin out companies, and nationally-significant collaborations with public, private and/or third sector partners.</p> <p>High and unique standing outside academia including major contributions to the area/field through academic achievement; recognised expertise as evidenced by reviewing of books, research grant applications, others' research and acting as an external adviser</p> <p>Called upon as one of a small number in the country able to give expert opinion in the particular field. Frequently invited to conferences and to give lecture series by international colleagues. Organisation of international conferences.</p> <p>Major contribution to widening participation, schools outreach or public understanding of the discipline. Bringing prestige to the University through membership of significant regional/national organisations, charitable boards, governing bodies, trusts. Advisory role to public bodies.</p>

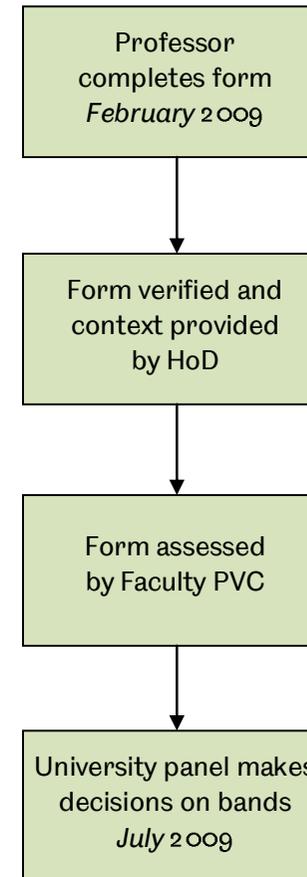
Band II	Band III
Building on the previous band	Building on the previous bands
<p>Achieving recognition both personally and for the University, through leadership of high-prestige collaborations of national and international significance with public, private and/or third-sector partners.</p> <p>Expertise is in significant demand from international partners within and beyond academia, influencing policy and/or driving innovation.</p> <p>Editor of leading international journal for the discipline. High level association with an internationally prestigious University.</p> <p>Chairing of significant regional/national organisations, charitable boards, governing bodies, trusts. Called upon to give evidence to parliamentary select committees.</p>	<p>One of a very small number of world-leading experts in the field, leading high-prestige international collaborations with multiple partners.</p> <p>Achievement of economic and/or social impacts of national/international significance.</p> <p>An international profile of unequivocal authority as evidenced by being frequently called upon to advise agenda-setting international bodies, or at the inter-governmental level. Chairing independent national-level reviews and inquiries.</p> <p>Regarded at the highest level by international peers, as evidenced by awards and prizes from major learned societies, invitations to give the most prestigious international lectures, election to chair of a major international academic institute, or chairing the leading world conference for the discipline.</p>

2009 Banding process

Professors will be asked to complete a proforma detailing their achievements against the four headings used in the banding criteria: Research, Teaching, Leadership & Management, and Knowledge Transfer & Professional Standing. An up-to-date CV will also be required as evidence for what is included on the form.

Submissions will be invited in February 2009, with a deadline in April. To ensure fairness in the process, all professors will be required to make a submission. Submissions will be verified by the Professor's Head of Department, who will also provide context, before being sent to the Faculty Pro-Vice-Chancellor. The Faculty PVC will then submit a final recommendation to a University panel, including cases from Heads themselves.

The University panel, chaired by the Director of Human Resources, composed of the eight Pro-Vice-Chancellors, will make the decision on the band for each professor. They will consider the submission against the band summaries and example activities for each band; the professor will be placed into the band that most closely matches the level at which he or she is currently working.



Professors will be informed of their band in July 2009. There will be no immediate changes of salary, although the outcomes of the banding exercise will influence the 2009 Annual Salary Review.

Any appeals will be heard by the Vice-Chancellor.

Annual salary review and re-banding

The new annual salary review process, along with a parallel process to consider cases for re-banding, will be linked to the Staff Review and Development Scheme (SRDS).

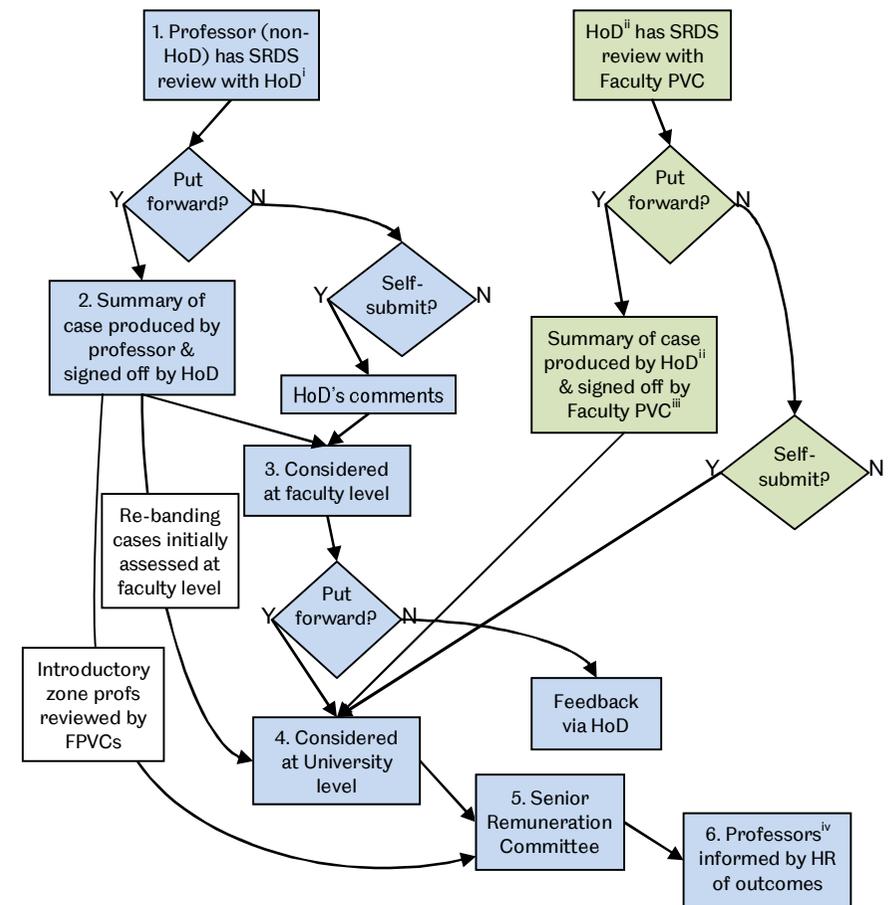
A diagram illustrating how these processes will work is given opposite, with a description over the page.

The faculty panel, at stage 3, will consist of the Faculty Pro-Vice-Chancellor, the Faculty Directors of Operations, Research & Innovation and Learning & Teaching, and the Heads of Department/School. These panels will meet in October/November each year.

The cases for professors in the Introductory Zone of Band I will bypass both the faculty and University panels. Re-banding cases will be initially assessed at faculty level with the decision made by the University panel.

The University panel, at stage 4, will consist of the Vice-Chancellor and the Pro-Vice-Chancellors (faculty and university-wide). This panel will meet in November/December.

With the exception of the Introductory Zone, salary and banding decisions will not be made one-on-one, but will be made by the University panel. As now, final approval for any changes to professorial salaries will rest with the Senior Remuneration Committee.



ⁱ Where there are more than 10 professors in a department/school, the Head of Department/School (HoD) may delegate some reviews to a chosen deputy

ⁱⁱ Also applies to the Faculty Directors of Research & Innovation and Learning & Teaching (FDRIs and FDLTs)

ⁱⁱⁱ Re-banding cases for HoDs/FDRIs/FDLTs will also follow this route

^{iv} Only professors whose cases go beyond faculty level

Annual salary review and re-banding *continued*

1. The process begins with the professor having a normal SRDS meeting with the Head of Department/School (or perhaps a nominated senior substitute in large departments).
 - The reviewer knows when the professor last received an increase or a bonus, so not only can achievements in the last 12 months be discussed and reviewed, but also any going further back, since the last award.
 - The reviewer makes an assessment of contribution as with every SRDS, and is able to tell the professor whether he or she would support an application for a salary increase or contribution bonus (a one-off lump sum). The reviewer can also advise on which achievements to highlight, and whether a bonus or salary increase would be the better route.
 - The reviewer will also identify if there is a potential case for re-banding.
2. The professor writes his or her own case, the Head writes a statement of support (including for those professors reviewed by a nominated senior colleague), and the two are submitted to the Faculty Pro-Vice-Chancellor.
 - The case consists of a summary form, an up-to-date CV and a statement from the Head.
 - A professor may self-submit if his or her reviewer does not support the case; in this situation the Head is asked to comment on why the case is not supported.
3. Submissions are assessed at Faculty level.
 - Cases are either supported and put forward to University level, or declined in which case the Head is able to feed back to the professor on why the case was not successful (feedback that is not present in the current system). An HR Adviser is present at the Faculty meeting to keep records.

- Re-banding cases are also initially assessed at this stage.
4. The cases supported at Faculty level are then considered at University level by the Vice-Chancellor and the eight Pro-VCs. This University panel may also make awards to professors who have not submitted a case, where they know of evidence that particularly justifies an award. All re-banding cases are also considered at this stage.
 - The work of this panel ensures consistency in standards between faculties; the University meeting is also supported by an HR Adviser who keeps records.
 5. The process is completed by a meeting of the Senior Remuneration Committee to give its approval to the award of salary increases and bonuses, including those to Introductory Zone professors approved by the Faculty Pro-VCs.
 6. Professors whose cases progressed beyond the Faculty panel are then informed by HR of the outcome.
 7. HR monitors success patterns to check for discrepancies between departments or faculties, or on equality lines.

We were pleased to hear your comments

Your comments	Our response
<p>Current structure is unsatisfactory.</p> <p>Why change the current system? Staff are rewarded for good performance. Only performance from the last year or two is rewarded in the current system, so staff do not live off past glories.</p> <p>It is not clear what the intention of making these changes are. How will we judge if the new system is a success?</p> <p>Staff are already in bands.</p> <p>Stratifying professors is thoroughly objectionable.</p> <p>Senior University staff already know who the stars are and so can recognise them accordingly.</p>	<p>There was a range of opinion about the current system. The current system has some good points: increases in salary are only awarded when professors can demonstrate good contribution rather than being automatic; there is the opportunity for one-off bonuses to be paid.</p> <p>However, there are problems with the current system. There is little structure to the pay points, little transparency for professors to see how their own salary fits into the structure and a review mechanism that can seem distant from the individual professor.</p> <p>The objective of these changes is to achieve a structure that professors feel is fairer and more transparent, and the University is able to use to attract and retain the best staff. We will review after implementation to see if this has been achieved.</p> <p>The current professorial pay points are banded, but there are no written expectations directly associated with these bands of points.</p> <p>We do need some way of objectively differentiating between professors. This is a large group of staff, nearly 400, much larger than when the current system was set up, spanning a wide range of salaries. We need a system with clearer criteria in order to ensure fair reward.</p>

<p>The suggested number of bands is right.</p> <p>There should be 4 or 5 bands.</p> <p>There should be only 2 bands.</p> <p>There should be no banding.</p>	<p>Arguments have been made in favour of both reducing or increasing the number of bands in the structure.</p> <p>A greater number of bands has the advantage of better justifying salary differences, as opposed to large ranges within a band. However, with more bands it becomes harder to define the differences between the bands by distinctive and objective criteria.</p> <p>Therefore we have chosen the maximum number of bands for which we feel we can define defensible, robust criteria.</p>
<p>The timetable is too rushed; more time should be taken to develop proposals.</p>	<p>This point was fully accepted. The 2008–09 annual salary review took place under the previous arrangements as a result.</p>
<p>I am concerned that too much responsibility will rest with the HoD.</p> <p>In large departments, a HoD can't be expected to carry out every professor's SRDS.</p>	<p>The HoD will not make decisions on salary levels or whether an increase or bonus will be awarded. The HoD will carry out the SRDS; one of the topics of discussion will be whether either party thinks that in that year there is a case for a salary review or bonus. If so, the professor will write a case to be considered at faculty level. The professor may also self-submit if the HoD does not support the case.</p> <p>The faculty panel will then decide which cases should be considered at University level, where the actual decisions to make awards will be made.</p> <p>In large departments the HoD will be able to appoint a deputy to carry out some of the SRDS reviews.</p>

<p>Giving titles to the bands is unhelpful.</p>	<p>There were descriptions on the bands in the consultation document to assist understanding. These were not intended as titles that would be awarded to staff. They will not appear on any further documentation.</p>
<p>There needs to be much more detail in the criteria.</p> <p>The criteria are too prescriptive and should be made more general.</p> <p>The banding criteria do not reflect a broad enough range of academic disciplines.</p> <p>Some elements of the criteria are not appropriate in my discipline.</p>	<p>There needs to be sufficient detail in the criteria so that professors from all disciplines can be banded and that each professor can feel comfortable that his or her band is appropriate.</p> <p>However, we are concerned that including too many precise activities or accomplishments may exclude other kinds of equally valid contribution and we also need to be able to accommodate future new activities.</p> <p>We have received very helpful suggestions of how criteria can be adapted to cover a wider range of disciplines, and we have included these where we can. Some elements have also been removed where there is a consensus of opinion that they were not helpful.</p>
<p>Some of the elements in the banding criteria are below professor level.</p> <p>Some elements are unobtainable for the vast majority of</p>	<p>The band summaries and example activities are written to be expectations of contribution as well as a method to distinguish between professors. Therefore there are activities in Band I in particular that may also be carried out by non-professorial staff. This is part of our aim to encourage professors to play a full role within their department.</p>

<p>professors. Even Band I is unachievable.</p>	<p>It is accepted that there will be discipline differences. For example, in some disciplines, there are greater opportunities for grant income or to be on an advisory panel. We are aware of this and have tried to create criteria that will be relevant to all, recognising that parts will not be applicable in some cases.</p>
<p>There is too much expected at each band / it is not possible to achieve everything listed.</p> <p>How many of the elements at each band do you have to meet?</p>	<p>The descriptors for each band are intended as example activities, they should not be seen as a complete list of what needs to be achieved to reach the band. The elements listed should give a good indication of the level of contribution that is expected from professors in that band.</p> <p>There is no fixed number or proportion of elements a professor would have to meet in a band. Consideration will be given to which are the most important parts of a professor's job and the level of contribution for these will determine the band.</p>
<p>Linking to SRDS is an obvious and necessary step.</p> <p>Linking to SRDS is wholly inappropriate. SRDS is about development, not performance.</p> <p>Is SRDS appropriate for use in banding?</p>	<p>SRDS has evolved over the years. All staff now receive an assessment of 1, 2 or 3 from their reviewer; staff in grades 1 to 9 are identified for possible Exceptional Contribution Awards through SRDS.</p> <p>Under the new SRDS arrangements for professors, the main new aspect is that the reviewer will advise whether he or she considers that the contribution of the professor would warrant being considered in the Annual Salary Review for a bonus or salary increase. There will also be a new opportunity for feedback to professors from the Review via the Head and Faculty PVC.</p>

	SRDS will not be used in the initial banding exercise. In future years, possible cases for re-banding may be identified through SRDS, but the decision-making process for the actual banding would be separate.
What happens if professors do not meet the criteria for Band I? In future, can professors be moved down the Bands as well as up?	We have consulted widely with the aim of creating a description for Band I that everyone can agree sets the minimum standard for what is expected of a professor at Sheffield. We do not anticipate that any professor would be unable to meet this standard. We do not plan to move professors down bands, unless there is a wish from a professor to reduce the size or scope of his or her role. Professors will be expected to continue to contribute at the level of their band.
How will the new system ensure equal opportunities and fair treatment?	The increased openness and transparency of the new structure will mean that salary levels are justifiable. Review processes will also be more open. Any professor who can demonstrate that he or she is contributing at the appropriate level for a band will move to that band.
Flexibility in salary is needed for recruiting excellent professors.	There will be a range of salaries for each band, so we believe there will be sufficient flexibility in the system without impacting on fairness or coherence.
There appears at present to be great	We understand that there is concern regarding this issue. It is a complicated

variation in salary between those appointed from outside the University and those internally promoted or appointed.	picture as promoted professors will be at the beginning of their professorial careers whereas those brought in from outside may have been a professor for many years already. The new structure should help to address this issue. Level of contribution will determine band and band will determine salary – the same for professors who have come from either an internal or external route.
How does this proposal compare to what other Universities are doing?	Many other universities are developing banded structures, to help bring greater transparency into the way salaries are determined. These also have written descriptors to define their bands. In the same way that our structure for Grades 1 to 9 is similar but not identical to other comparable universities, we are not aware of a structure for professorial pay elsewhere that is exactly like ours. The University will continue to monitor the salary market at comparator institutions.
Professors should be rewarded for making a good contribution to the department and the University, rather than just externally.	We completely agree and have added elements to the example activities to reflect this.
How will Faculty panels be constituted?	We envisage that faculty panels will be chaired by the Faculty PVC, and will be constituted of the Faculty Directors (Operations, Learning & Teaching, Research

	& Innovation) and the Heads of Department/School in that Faculty.
How will Heads of Department be recognised in this system?	A new contribution scheme will be introduced to reward those with Headships and equivalent roles. Their academic work will continue to be assessed through the annual salary review.
Does the link to SRDS mean that salary increases will only be awarded in the case of two consecutive exceptional awards, as for ECAs for Grade 1 to 9 staff?	No, the rewards for professors are not exceptional contribution awards and so the two-year consolidation rule does not apply. Grades 1 to 9 are grades with a normal range where there is an expectation of annual progression; this is not the case for professors so arrangements are different.
The salary increase awarded at present on being promoted from SL/Reader to Professor may not be very significant.	A new feature that has been added to the design of the structure is an Introductory Zone at the bottom of Band I. This will allow newly-promoted or appointed professors (who are contributing well) to move more swiftly up the salary range until they reach a level greater than the top of the exceptional range of Grade 9. Increases in the Introductory Zone can be awarded at Faculty level, enabling new professors to establish themselves in the grade and progress beyond the salaries available to non-professorial staff, while maintaining the principle that increases in salary at professorial level are only awarded on merit.

Timetable

2009 Banding process	
February 2009	Launch of the scheme
February–April	Professors submit their banding forms
May–June	Banding panel meetings
July	Professors informed of their band

Annual salary review 2009–10	
April to Sept 2009	SRDS meetings in departments
October–November	Faculty panel meetings
November–December	University panel meetings
January 2010	Professors informed of and receive any adjustments to salary

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February 2009