



## RESEARCH STAFF PROMOTIONS TO

### RESEARCH OFFICER AND RESEARCH FELLOW GUIDANCE 2018-2019

This document provides guidance for promotion to Band 6 (research officer) and Band 7 (research fellow) research roles only. For promotion to Assistant Professorial Research Fellow, Associate Professorial Research Fellow and Professorial Research Fellow, see the Guidelines for Promotion to and within the New Research Staff Career [here](#).

#### 1. Grade structure and outline of level of responsibility for Research Staff

- 1.1 From 1 August 2016 there will no longer be promotions to the roles of Senior Research Fellow (Band 8), Principal Research Fellow (Band 9) and Professorial Research Fellow (Band 10). Those who are currently employed under these role profiles may still be promoted, but this will need to be *across and/or up* via the New Research Staff Career (NRSC) track or to the Policy Fellow Career track. Please find the NRSC Guidelines [here](#), and the Guidelines for promotion to and within the Policy Fellow Career track [here](#).
- 1.2 The roles of *Research Officer* (Band 6) and *Research Fellow* (Band 7) will remain open for promotion purposes. The LSE Research staff role profiles are available on the Human Resources website [here](#).

This guidance provides information on Research Staff Promotions to the following roles:

- Band 6 - Research Officer
- Band 7 – Research Fellow

- 1.3 When proposing a Promotion to the new grade, managers will be required:

**either**

- to demonstrate how the employee is already fulfilling the requirements of the new grade;

**or**

- to make a case for promotion on the grounds that employment at the higher grade is necessary and/or appropriate, that funding is available, and that the employee is suitably qualified and competent. Promotion to the new grade will take into account the role profile of the post, and the individual's qualifications and experience.

- 1.4 All promotions of research staff are contingent on the availability of funding and entitlement to work in the UK.
- 1.5 Requests for the promotion of research staff may be made at any time during the academic year.
- 1.6 In instances where a researcher is employed on more than one project, the promotion would only be applicable on the project where the promotion case was initiated. For further advice please contact the Human Resources Division.
- 1.7 The effective date of the promotion will be in the month following the submission, and will be backdated to that time should the process of reaching the decision extend past that time.



1.8 In exceptional circumstances, a case for backdated pay for no more than 6 months before the original effective date can be made. A separate statement summarising the circumstances should be provided with the application. Funding confirmation should also support the case for backdating.

## 2. Promotion procedures to Band 6 (Research Officer)

2.1 Promotions of research assistants to research officer are subject to confirmation by the Vice Chair of the Appointments Committee (VCAC).

2.2 Promotions require the following information to be submitted to Human Resources via email by the Line Manager/Principal Investigator:

- i. A formal letter of justification from the Line Manager/Principal Investigator, explaining the reasons for the promotion, giving evidence to demonstrate how the individual is performing at the higher level, or would be capable of performing at the higher level.
- ii. A full job description. (Please see the [role profiles](#) for research officers beforehand). The job description will be evaluated in accordance with the role profiles to determine the grade of the post.
- iii. A supporting statement from the Head of Department or Research Centre Director.
- iv. A copy of the individual's CV.
- v. Details of mentoring support that the individual has received.
- vi. The names and contact details (including e-mail addresses) of three referees with relevant expertise in the field; Human Resources will then request these references. References are required before the case is sent to the VCAC for consideration.
- vii. Funding confirmation from the appropriate colleague in the [Research Division](#).

*Please note that funding should be available to support a promotion to the proposed grade. If there are not enough funds to permit the grade that the post is evaluated to, the job description will need to be revised to reflect a lower salary band or additional funding will need to be found from another source.*

2.3 Declaration of any possible conflicts of interest should also be highlighted to Human Resources at this stage. Human Resources will notify the VCAC, and liaise with the School Secretary to ensure compliance with the School's Ethics Code, available [here](#).

2.4 Once Human Resources have all the documentation above, these will then all be sent to the VCAC for consideration.

2.5 The VCAC will consider the documents and decide whether to approve it. In any cases of difficulty, the VCAC will refer the request for a decision to a Committee which consists of:

- The Chair (VCAC)
- 1 Professor, who is currently a member of the Promotions Committee, from each of the Academic Board constituency groups:



GROUP 1	Accounting Finance Management
GROUP 2	Government International Relations Department of International Development European Institute
GROUP 3	Economics Mathematics Philosophy Statistics Language Centre
GROUP 4	Anthropology Social Policy Psychological and Behavioural Science Sociology Gender Studies Media & Communications Methodology
GROUP 5	Economic History Geography & Environment International History Law

*Note: the Promotions Committee has agreed that its members will be requested by Human Resources to declare any circumstances that may lead to a conflict of interest as soon as possible after the case is put to Committee members. For more information on what constitutes a conflict of interest please refer to the Declarations of Interest section of the LSE Ethics Code webpage.*

- 2.6 Members of the Committee that are from the same Department/Centre as the promotion candidate will be replaced by another member of the Promotions Committee to represent the Constituency Group.

### **3. Promotion procedures to Band 7 (Research Fellow)**

- 3.1 Promotions of research officers to research fellow are subject to confirmation by the School's Promotions Committee.
- 3.2 Promotions require the following information to be submitted to Human Resources via email by the Line Manager/Principal Investigator:
- i. A formal letter of justification from the Line Manager/Principal Investigator, explaining the reasons for the promotion, giving evidence to demonstrate how the individual is performing at the higher level, or would be capable of performing at the higher level.



- ii. A full job description. (Please consult the [role profiles](#) for research staff beforehand). The job description will be evaluated in accordance with the role profiles to determine the grade of the post.
- iii. A supporting statement from the Head of Department or Research Centre Director.
- iv. A copy of the individual's CV on the School's CV template for promotion to research fellow (see Annex A for the template and Annex B for instructions).
- v. Electronic copies of two writings. Candidates should submit their strongest writings in terms of originality, rigour and significance. The Promotions Committee welcomes if these writings have been published or accepted for publication, but is willing to accept unpublished writings. Where writings are co-authored, candidates should give priority to writings where they have made the leading or at least major contribution, as candidates should keep in mind that the Committee is looking for evidence of independent contributions made by the candidate. The Promotions Committee appreciates that co-authorship is the norm for some disciplines and where this is the case, jointly authored work will be considered of equal standing. Candidates are required to provide a numerical indication in percentage terms of their contribution(s) to joint work on the CV, alongside the requirement to state the respective contributions of co-authors in regard to the initiation, conduct and direction of the work. Candidates should also provide details of the degree of intellectual contribution made to the work (e.g. indicating their involvement in the formulation of key themes, concepts and theories). The statement should not exceed 200 words. The Promotions Committee reserves the right to ask co-authors for a confirmation of the respective contributions stated by promotion candidates. The Promotions Committee expects to be able to assess a range of candidates' work. Wherever possible, the submission of multiple chapters of the same book as separate works should be avoided. The expectation is that normally publications submitted in support of promotion will be written in English.
- vi. Details of mentoring support that the individual has received.
- vii. The names and contact details (including e-mail addresses) of three referees with relevant expertise in the field. At least two of these referees should normally be external to the LSE. They should be employed by a distinguished university, they should be of international standing and active in research publications in the appropriate field. Where appropriate, one of the external referees can be a senior person from outside academia (e.g. a governmental body, think tank, research institute or non-governmental organization) who has close knowledge of the research capability of the candidate. For candidates with inter- or multi-disciplinary research interests, Heads of Department or Research Centre Directors are encouraged to nominate referees with an appropriate profile which could include referees from outside the Department's discipline. Nominated referees require the approval of the VCAC.
- viii. Funding confirmation from the appropriate colleague in the [Research Division](#).

*Please note that funding should be available to support a promotion to the proposed grade. If there are not enough funds to permit the grade that the post is evaluated to, the job description will need to be revised to reflect a lower salary band or additional funding will need to be found from another source.*



- 3.3 Declaration of any possible conflicts of interest should also be highlighted to Human Resources at this stage. Human Resources will notify the VCAC, and liaise with the School Secretary to ensure compliance with the School's Ethics Code, available [here](#).
- 3.4 Once Human Resources have all the documentation above and the referees have been approved by the VCAC, the documentation will be sent to referees who will be asked to comment in detail on the quality of the writings. The VCAC will select a member of the Promotions Committee as internal reader and another member as internal monitor. The roles of the internal reader and internal monitor are similar to their roles in promotion cases to and within the New Research Staff Career (NRSC).
- 3.5 The Promotions Committee will consider all the documents at the first feasible meeting of the Committee after the references have arrived and the internal reader and monitor have been able to produce their reports. Conditional on funding confirmation and entitlement to work in the UK, decisions about success for promotion proposals are made solely on merit, as gauged by the staff member's research and scholarship, and the contribution he/she is making to the work of the Department and the School.

#### **4. Self sponsored cases**

- 4.1 The Appointments Committee has agreed that whilst departmentally-sponsored promotion will continue to be the norm, individuals are free to propose their own promotion if their departments do not intend to recommend them. This process may also be suitable for cases where the researcher is also the Principal Investigator on the project.
- 4.2 Individuals are reminded that all promotions of research staff are contingent on the availability of funding and entitlement to work in the UK. Confirmation of the availability of funding should be in place prior to submitting a case for promotion. (This can be requested from Research Division via email, with a copy of the confirmation to be submitted to Human Resources along with the documentation requested below). In instances where funding for the promotion is available in principle but the Department/Centre is not willing to support the promotion, the procedure set out below may be followed.
- 4.3 In such cases the individual is free to write directly to the Vice-Chair of the Appointments Committee, copying in Human Resources Division, to make a case for promotion. The following information should be enclosed:
  - i. A formal letter of justification, explaining the reasons for the promotion, giving evidence to demonstrate how the individual is performing at the higher level, or would be capable of performing at the higher level.
  - ii. A copy of the CV, which for self-sponsored promotion to research fellow has to be on the relevant School template (see Annex A for the template and Annex B for instructions).
  - iii. Details of mentoring support that the individual has received.
  - iv. The names and contact details (including e-mail addresses) of three referees with relevant expertise in the field. For self-sponsored promotion to research fellow the same criteria for the selection of referees apply as explicated in section 3.



v. For self-sponsored promotion to research fellow cases only: Electronic copies of two writings, ideally published or accepted for publication. Where possible, candidates should give priority to writings where they have made the leading or major contribution as candidates should recognise that the Committee is looking for evidence of a leading or major contribution across all publications submitted. The Promotions Committee appreciates that co-authorship is the norm for some disciplines and where this is the case, jointly authored work will be considered of equal standing. Candidates are required to provide a numerical indication in percentage terms of their contribution(s) to joint work on the CV, alongside the requirement to state the respective contributions of co-authors in regard to the initiation, conduct and direction of the work. Candidates should also provide details of the degree of intellectual contribution made to the work (e.g. indicating their involvement in the formulation of key themes, concepts and theories). The statement should not exceed 200 words. The Promotions Committee reserves the right to ask co-authors for a confirmation of the respective contributions stated by promotion candidates. The Promotions Committee expects to be able to assess a range of candidates' work. Wherever possible, the submission of multiple chapters of the same book as separate works should be avoided. The expectation is that normally publications submitted in support of promotion will be written in English.

vi. Funding confirmation from the appropriate colleague in the [Research Division](#).

- 4.4 Declaration of any possible conflicts of interest should also be highlighted to Human Resources at this stage. Human Resources will notify the VCAC, and liaise with the School Secretary to ensure compliance with the School's Ethics Code, available [here](#).
- 4.5 Once the proposal has been received, Human Resources Division will write to the Head of the candidate's research team/Principal Investigator and the Head of the Department concerned (or the Centre Director in the case of a multi-disciplinary Research Centre), requesting written statements about the work of the self-sponsored candidate.
- 4.6 After the receipt of documentation, the case will be considered based on the procedures set out in sections 2 (promotion to research officer) or 3 (promotion to research fellow) above, except that the Promotions Committee's internal monitor automatically becomes the second internal reader.

Approved by:	Appointments Committee	Date:	6 June 2018
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Review period:	1 year		
Division:	Human Resources		