



WARWICK

Technical Specialist Promotions Guidance

1. Applications for Technical Specialist Promotion

- 1.1. These guidelines are intended to provide advice and guidance for any technical specialists considering promotion. Separate guidance is available for Heads of Department when considering applications for promotion.
- 1.2. All applicants should read the criteria and evidence document, alongside the career pathway matrix to identify the relevant thresholds that they will need to evidence in order to be eligible for promotion¹.
- 1.3. Applicants wishing to apply for promotion should complete the application form for technical specialists promotion and submit that along with a current CV in the standard format to their Head of Department. Note that there is a separate form for applicants applying for promotion to the level of Professor.
- 1.4. Applicants should ensure that they clearly demonstrate how they meet the criteria for the four areas of activity making careful use of the evidence that is contained in their CV.
- 1.5. In the interests of fairness, if an applicant exceeds the word limits assigned to sections on the application form (beyond what is reasonable to complete a sentence), they may be asked to resubmit.
- 1.6. The Head of Department should complete their comments on the application form, making clear whether they support the case or not. This section should be completed for all cases, irrespective of whether or not the Head of Department supports the application, before being returned to the applicant who is responsible for submitting their application to the Academic Processes team by 26 January 2024 (academicprocesses@warwick.ac.uk). The applicant should copy their Head of Department when submitting their application.
- 1.7. For the 2023-24 Promotion Round and in recognition of the unique set of circumstances created by the pandemic and the national lockdowns, an additional section has been included on the proforma to allow applicants for promotion to identify any significant ways in which their promotion case has been impacted by these contextual factors. There is no requirement to complete this section but it is there for those who may wish to draw the Committee's attention to mitigating circumstances.
- 1.8. It should be noted that during the promotions process if there is a significant change to an applicant's role it is the applicant's responsibility to notify Academic Processes. For example:

If an applicant applies for and is appointed to a new role in a different Department it is the responsibility of the applicant to notify both Academic Processes and the receiving Head of Department that they have applied for promotion. In this circumstance it would be assumed that the original application for promotion would be withdrawn unless the new HoD is aware in advance and is clearly supportive.

¹ Staff who are sponsored under a Tier 2 (General) visa will be able to apply for promotion provided that the conditions of their visa as set out by the Home Office continue to be met.

2. Making an Application

2.1. The promotion case should focus on the applicant's achievements in relation to the evidence and criteria for promotion. Candidates can make use of outputs and achievements prior to their last appointment/promotion and their case should be evaluated based on their overall profile of activity and achievement.

2.2. Where a candidate is being considered for promotion in a relatively short time since their previous appointment, ASC/UPPC are asked to assure themselves that the individual has been able to sustain the required level of performance since their previous promotion/appointment. The meaning of "sustained" in this context will vary across disciplines and cases and it is difficult to offer detailed guidance. However, candidates should be providing evidence of continued delivery at the band level that they are claiming but perhaps with greater evidence on the level than the quantum.

2.3. If your Head of Department decides not to support your promotion case, they should complete their comments on the application form detailing the reasons why they are not supportive and return this to the individual. Individuals can then decide if they still want to apply for promotion and should submit the application form. As noted in paragraph 1.6 above, applicants should copy their HoD into their promotion submission.

2.4. Generally, unpublished work will not count as evidence of an applicant's research output, although it may provide information relating to a continued trajectory. Work that has been clearly accepted for publication may be counted provide that UPPC/ASC can be assured of its standing. Heads of Departments should clarify the position relating to unpublished work when submitting their comments including an explanation of whether work that is not yet published has been definitively accepted for publication. Evidence submitted by the applicant should not rely on anticipation of forthcoming work.

3. Equality of Opportunity

3.1. The promotions process considers equality of opportunity for all staff in accordance with the University's Diversity and Inclusion Policy.

3.2. Any member of staff that considers that they have special circumstances which may impact on their promotion submission should declare these on their application form. Such information will be kept confidential and will only be seen by members of staff involved in the promotion process and if appropriate, may be seen by referees.

4. Criteria

4.1. All applications for promotion will be assessed against set criteria thresholds, across the following four areas of technical specialist activity as defined below:

Technical Research

This activity includes discipline-based and interdisciplinary research, whether theoretical or empirical that makes an original contribution to knowledge, development of technologies or methodologies, it can also encompass the impacts of the research for developments, across and within disciplines. Within this category you may also wish to provide evidence of research work undertaken with business that may lead to other forms of research output including patents, reports, presentations and guidance to non-academic organisations. Technical Research also encompasses pedagogical and teaching/training related research, practice focused research and broader scholarship within and across disciplines, as well as, if not claimed elsewhere, the public impact of research and scholarship. Grant capture, PhD supervision and external presentations will also be considered as part of this activity, where relevant. In making any evaluations of individual technical research, UPPC will abide by the "[Leiden Principles](#)" for the evaluation of research.

Teaching and Training

This activity includes the development and delivery of teaching and training at all levels (and can include teaching and learning in informal settings and research supervision such as might be undertaken by staff in a research setting). PhD support and supervision may also be included provided it has not been used as evidence in other areas of activity. It also includes activity that develops and enhances the practice of teaching and training within and beyond the curriculum as well as encompassing activity which enhances the broader student experience. Also relevant to this activity are engagements externally with teaching and learning related events, organisations and policy.

Impact, Outreach, Engagement

This activity encompasses a broad range of activities that are focused on taking technical specialist activity and knowledge out into the world and translating it into meaningful practice. This is a broad category and it is recognised that impact may be both academic/technical (the contribution that research and teaching makes within and across disciplines, including significant advances in understanding, methods, theory, application and technical practice) as well as the broader impact that activity has on the economy, society, culture, public policy or services, health, the environment, or quality of life, beyond the technical area/academia. This category also incorporates the related processes of engaging with stakeholders and building meaningful partnerships whether regionally, nationally or internationally. Warwick Institute of Engagement has identified the following as activities as examples of the types of evidence that you **may wish** to draw on for this activity:

- Knowledge Exchange
 - Licensing and spinout
 - New commercial products, processes or services, or contributions thereto
 - Assisting business through specialist facilities, consultancy and services
 - Connecting employers with Warwick talent
 - Research presentations to non-academic organisations
 - Provision of CPD for external organisations
 - Involving business with curriculum development and delivery – degree, degree apprenticeships, research degrees
 - Creation of Impact Case Studies
 - Outreach/Inclusion
 - Contributions to professional/scholarly bodies/government/third sector
 - Community Engagement

- Public Engagement with Research (including Research Impact and technologies)
- Engagement-related Awards and Recognition

Collegiality, Leadership and Management

This activity encompasses both working style – being willing to share responsibility within a broader community - and working activity which supports the operational and strategic needs of the institution. These are activities that provide the infrastructure to allow activity to prosper within the institution. The most obvious examples are facilitating access to a wide range of technologies and expertise, the various administrative and support activities that are required within a Department and within the broader university, or where colleagues assist in the development of scholarly activities of members of the wider community, including the building of interdisciplinary networks or multi-participant partnerships with business. Activity external to the University within a discipline or another form of academic activity may also be relevant to performance in this category.

4.2. The four areas of technical specialists activity have been applied to the technical specialist pathway in an analogous manner to that of the Academic promotions. The expectations for each area of technical specialist activity has been designed for this career pathway and particular roles.

5. Career pathway matrix

5.1. The career pathway matrix, available on the TechNet webpage, details what criteria band threshold is required under the four areas of technical specialist activity for each promotion. Individuals will be able to progress within the technical specialist career pathway subject to meeting the specific criteria for promotion (where relevant with external validation from referees).

5.2. The scores given in the matrix represent the minimum criteria thresholds for each area of technical specialist activity, noting that the total minimum score required to achieve promotion, may exceed the cumulative total threshold scores.

5.3. The matrix has been structured in such a way as to allow individuals a degree of flexibility to structure their case for promotion. Minimum thresholds have been set for each area of technical specialist activity to identify a base level that everyone would be expected to achieve. Beyond this base threshold, individuals can accumulate the additional points they need in areas where they have particular strengths in order to achieve the overall minimum score for promotion. This approach allows the promotions process to recognise diversity of activity and achievement within the technical specialist pathway .

6. References

Referees should be nominated by the HoD in consultation with the candidate.

6.1. Referees should be able to provide an independent and considered assessment of an applicant's technical specialist standing. Referees should not be deemed to be too close to the applicant (e.g. former line manager or PhD supervisor or close collaborators) and any referees that have recently left the University (within the past 3 years) will not normally be approached.

6.2. Applicants or their Head of Department may contact referees to notify them that they have been listed as a referee and that they may be contacted by the University.

6.3. Applicants should be aware that personal details from their application form and CV will be shared with referees.

6.4. Referees for any Strategic Specialist (FA9) level applications must be leaders in their field and at least one references should be from esteemed international institutions and referees should be subject specialists in the applicant’s field of study. Please do not use multiple referees from the same institution.

6.5. We would normally require responses from a majority of the referees contacted and the Committee will make its decision based on the strength and valence of the analysis provided by the referees.

6.6. The number of referees required for each level of promotion is detailed in the table below:

Promotion to:	Number of Referees required	Notes
Strategic Specialist (FA9)	8 names to be submitted	4 referees must be external (and at least 1 must be from international institutions). Only 3 referees from a previous promotion/appointment can be named.
Senior Technical Manager (FA8)	4 names to be submitted.	At least 1 referee should be external.
Technical Support Specialist (FA7)	None	
Technical/Facilities Officer (FA6)	None	

7. Procedure for considering recommendations

7.1. Strategic Specialist (FA9) applications

7.1.1. The [University Professorial Promotions Committee \(UPPC\)](#), chaired by the Vice Chancellor considers all Professorial promotion applications. Members of the Committee are nominated by the Vice-Chancellor with each Faculty represented.

7.1.2. The procedure for considering recommendations is as follows:

- At the first meeting of the Committee, an initial review of all cases is made and if at this stage it is determined that the case does not meet the relevant criteria, it will be turned down. For those cases that proceed, the Committee will appoint two Close Readers who will review the case and 8 or more referees will be contacted to comment on the case.

- The referees will be sent the full case including the selected publications (if requested), but will not be sent the Head of Department's comments.
- At the second meeting of the Committee, the promotion case along with the close reader's evaluation, referees' statements, and citation analysis (if relevant), will be further considered and the Committee will resolve to either approve the promotion, invite the applicant to interview (see paragraph 7.2 below) or confirm that promotion has not been agreed. In unsuccessful cases applicants are offered feedback.
- Citation metrics may be used as one form of evidence and their use will be consistent with the "[Leiden Principles](#)". UPPC will have access to citation information which may be used in evaluating promotion applications but only as part of a broader package of evidence. The University does not set citation thresholds and recognises that the utility of citation metrics is highly discipline dependent.

7.1.3. The Committee reserves the right to invite applicants, who have applied at Strategic Specialist level, to interview as part of the promotions process.

7.1.4. All outcomes are reported to the Academic Staff Committee which in turn reports the decisions to Senate and Council.

7.2. Non-Strategic Specialist (i.e. FA 6 – 8) applications

7.2.1. The [Academic Staff Committee \(ASC\)](#), chaired by the Vice-Chancellor, considers all other technical specialist promotion applications. Members of the Committee are drawn from each of the University's Faculties.

7.2.2. The procedure for considering applications for promotion is as follows:

- Each case is assigned two Close Readers, one of whom is from the same Faculty as the applicant and one from a different Faculty. They are responsible for reviewing the list of referees put forward and for presenting the case to the Committee, although all Committee members are required to consider and comment on each case in relation to how it meets the criteria.
- Referees will be contacted by the Academic Processes team to comment on the case. Referees will be sent the full case but will not be sent the Head of Department's comments. The referees' statements will be considered by the Committee.
- The Committee will resolve to promote the applicant or confirm that promotion has not been agreed. In unsuccessful cases applicants are offered feedback.
- All successful outcomes are reported to Senate.

7.2.3. The Committees reserve the right to identify their own referees or assessors in addition to those nominated by the Department.

8. Paperwork

8.1. All applicants should submit their completed application form and up to date CV to the Academic Processes Team academicprocesses@warwick.ac.uk by 26 January. The applicant must copy their Head of Department when submitting their application.

9. Outcomes and Feedback

9.1. Decisions on promotions will normally be communicated during the Summer Term. However, applicants should be aware that some cases may require longer, for example if referee comments are delayed.

9.2. Feedback meetings are offered to unsuccessful applicants by a nominated member of the Committee. It is strongly advised that these feedback meetings are taken up and that individuals are accompanied by their Head of Department.

9.3. Unsuccessful applicants are not prohibited from reapplying for promotion in the next promotions cycle but should be able to demonstrate that they have acted on the feedback and have addressed the areas of shortfall against the criteria.

9.4. Promotions will normally take effect from 1 August.

9.5. Individuals can expect to see some salary progression as the result of a successful promotion application. Successful applicants would normally move to the first point on the relevant salary scale. Any applicants that are currently in the extended area will be reviewed on a case by case basis. For Strategic Specialist (FA9) promotions, salaries will be reviewed on a case by case basis with the aim of ensuring some salary progression; in most cases this means that the salary will be set at the entry level of the professorial equivalent salary distribution.

9.6. There is no right of appeal against a decision made by the UPPC or ASC not to support a case for promotion.

10. Restrictions on applying

10.1 Where an employee is subject to a disciplinary sanction they may be restricted from being promoted. Specifically:

- If a member of staff is the subject of an investigation then the promotion is suspended until the investigation or any subsequent disciplinary process is completed;
- Anyone with a final written warning cannot be considered for promotion that year;
- If a member of staff has received a first written warning then the nature of the warning is considered by the Provost, taking advice from HR.

11. Data Retention

- 11.1 Any personal data collected or retained in relation to the technical specialist promotions procedure will be in accordance with the Data Protection Act 2018. Further information is detailed in the University's Privacy Notice and Record Retention Schedule.