



WARWICK

# Academic Promotions Guidance

## 1. Applications for Academic Promotion

- 1.1. These guidelines are intended to provide advice and guidance for any academics 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 promotion<sup>1</sup>.
- 1.3. Applicants wishing to apply for promotion should complete the application form for academic 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. For teaching focussed applications, applicants should ensure that they have a teaching profile of evidence available, should the relevant Committee request to see it. The teaching profile should be made available to the Head of Department should the Head require it.
- 1.5. 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.
- 1.6. If an applicant exceeds the word limits assigned to sections on the application form, they may be asked to resubmit.
- 1.7. 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 15 January 2021 ([academicprocesses@warwick.ac.uk](mailto:academicprocesses@warwick.ac.uk)). The applicant should copy their Head of Department when submitting their application.
- 1.8. For the 2020-21 Promotion Round and in recognition of the unique set of circumstances created by the pandemic and the national lockdown, 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.
- 1.9. 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*

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<sup>1</sup> 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.

*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.*

## 2. Equality of Opportunity

- 2.1 The promotions process considers equality of opportunity for all staff in accordance with the University's Diversity and Inclusion Policy.
- 2.2 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.

## 3. Criteria

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

### **Research and Scholarship**

This activity includes discipline-based and interdisciplinary research, whether theoretical or empirical that makes an original contribution to knowledge. It also encompasses pedagogical and teaching related research, practice focused research and broader scholarship within and across disciplines. Grant capture, PhD supervision and external presentations will also be considered as part of this activity, where relevant.

### **Teaching and Learning**

This activity includes the development and delivery of teaching and learning at all levels (and can include teaching and learning in informal settings and research supervision). It also includes activity that develops and enhances the practice of teaching and learning 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 academic activity and academic knowledge out into the world and translating theory into meaningful practice. This is necessarily a broad category and it is recognised that impact may be both academic (the contribution that research makes to development, across and within disciplines, including significant advances in understanding, methods, theory, application and academic practice) as well as the broader impact that academic activity has on the economy, society, culture, public policy or services, health, the environment, or quality of life, beyond academia. This category also incorporates the related processes of engaging with stakeholders and building meaningful partnerships whether regionally, nationally or internationally.

### **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 academic activity to prosper. Activity external to the University within a discipline or another form of academic activity may also be relevant to performance in this category.

- 3.2. The four areas of academic activity will apply across all three career pathways i.e. the Research and Teaching, Teaching focussed and Research focussed pathways. However, the expectations of each area of academic activity will vary according to the career pathway and the particular role.

## 4. Career pathway matrix

- 4.1. The career pathway matrix, available on the Academic Processes webpage, details what criteria band threshold is required under the four areas of academic activity for each promotion. Individuals will be able to progress within their appointed career pathway subject to meeting the specific criteria for promotion (where relevant with external validation from referees).
- 4.2. The scores given in the matrix represent the minimum criteria thresholds for each area of academic activity, noting that the total minimum score required to achieve promotion, may exceed the cumulative total threshold scores.
- 4.3. The matrix has been structured in such a way to allow individuals a degree of flexibility for individuals to structure their case for promotion and therefore whilst minimum thresholds have been set for each area of academic activity, it is expected that individuals will be able to demonstrate where they exceed the minimums required and therefore will be able to achieve the overall minimum score for promotion. This approach allows the promotions process to recognise diversity of activity and achievement both within and across career pathways.

## 5. Movement between pathways

- 5.1. Movement between career pathways is permitted, either sideways or diagonally but is subject first to there being a clear management case for such a move and to the individual meeting the specified thresholds, as detailed in the career pathway matrix. These applications should be made on a separate form which can be found [here](#).

## 6. References

- 6.1. Referees should be able to provide an independent and considered assessment of an applicant's academic standing. Referees should not be deemed to be too close to the applicant (e.g. former PhD supervisor or close collaborators) and any referees that have recently left the University 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 Professorial level applications must be leaders in their field and at least two references should be from esteemed international institutions and referees should be subject specialists in the applicant's field of study.

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

Promotion to:	Number of Referees required	Notes
Professor	8	All referees must be external (and at least 2 must be from international institutions). Only 1 referee from a previous promotion can be named.
Reader	6	All referees must be external.
Associate Professor	4	At least 2 referees should be external.
Senior Teaching Fellow/ Senior Research Fellow	None	
Teaching Fellow/ Research Fellow	None	

## 7. Procedure for considering recommendations

### 7.1. Professorial 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 submitted publications 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 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. 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.

- 7.2 The Committee reserves the right to invite applicants, who have applied at Professor level, to interview as part of the promotions process.
- 7.3 Associate Professors may apply directly for promotion to either Reader or Professor. However, for those who apply for a Professorial promotion and are unsuccessful the UPPC may determine to remit their case to the ASC for consideration at Reader level subject to the individual's consent. A revised application based on the level of Reader would be requested before proceeding.
- 7.4 All outcomes are reported to the Academic Staff Committee which in turn reports the decisions to Senate and Council.
- 7.5. Non-Professorial applications**
- 7.5.1 The Academic Staff Committee (ASC), chaired by the Vice-Chancellor, considers all other academic promotion applications. Members of the Committee are drawn from each of the University's Faculties.
- 7.5.2 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.
- 7.6. 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](mailto:academicprocesses@warwick.ac.uk) by 15 January. The applicant should 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. Successful applicants would normally move to the first point of the next level on the University grade structure. Any applicants that are currently in the extended area will be reviewed on a case by case basis. For Professorial cases, benchmarking will be undertaken against appropriate comparators for approval by UPPC.
- 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. Data Retention

- 10.1 Any personal data collected or retained in relation to the academic 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.