

## Principles

The University of Warwick has 3 broad career pathways – a research and teaching pathway (R&T), a teaching focused pathway (T) and a research focused pathway (R) and all are of equal value to the University's institutional endeavour. The balance of academic activity will vary across these pathways as the titles suggest and while the underlying terms and conditions of employment are essentially identical across all pathways, roles and responsibilities will vary.

Expectations of the standards of performance and achievement at each grade within the University's career structure should be equivalent across all pathways and this is reflected in the use of an integrated framework for progression and promotion with common threshold criteria.

The framework recognises that there will be considerable diversity of activity and achievement both within a pathway and across pathways. The criteria and evidence requested are designed to enable the promotions process to recognise that individuals may excel in very different ways. However, for progression to each specified level (eg to Reader or to Chair), the scoring matrix specifies certain minimum thresholds in each of the four key areas of activity. It is a normal expectation that all academic staff will be engaged across all of these areas of activity but the expectations will differ according to the pathway and so the threshold requirements also differ.

The four key areas of academic activity are

- **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 includes informal settings). 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 and 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 – 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.

It should be noted that the scores listed in the matrix represent the minimum thresholds for each area of activity and that the total minimum score required to achieve promotion to each level, may exceed the cumulative total threshold scores. Provided that the minimum thresholds for each area of activity are met and the total minimum score is achieved, individuals can progress based on their own profile of excellence.

Progression to Reader and Professor across all pathways will remain subject to recommendations from independent, normally external referees.

## Proposed criteria and evidence

In reading both the criteria and the evidence please note that

- Both criteria and evidence are accumulative – i.e. higher bands will include criteria and evidence from the lower bands
- Examples of evidence are illustrative and there is no expectation that all forms of evidence need to be demonstrated at each band, nor is it assumed that these are the only types of evidence that can be used.
- Consideration will be given to both the extent to which evidence is sustained and also to the scale of impact (in smaller departments, the demonstration of scale may need to extend beyond departmental boundaries; in very large departments it may still be possible to demonstrate scale through activity that extends beyond individual sub area or division.
- Candidates cannot “double-count” evidence for different headings – they will need to decide where to use evidence of achievement
- There will be an expectation that evidence of achievement will be under-pinned by a broad commitment to excellence, to inclusivity and to respect in working practices.
- The promotions process will be expected to give due consideration to individual circumstances which may impact on ability to present certain types of evidence (eg family/caring responsibilities) or the ability to provide a particular volume of evidence (periods of parental leave, fractional contracts)

	Research and Scholarship criteria	Evidence (These are examples only and it is not assumed that every applicant will demonstrate all)
<b>Band 2</b>	Demonstrably <b>knowledgeable about key concepts and developments</b> in a given discipline (subject area expertise)	<ul style="list-style-type: none"> <li>• Completion of a (probably) research based postgraduate qualification</li> <li>• Equivalent experience that demonstrates high level knowledge of subject area</li> <li>• Conducting individual or collaborative scholarly projects</li> <li>• Engagement in subject, professional, pedagogic research</li> </ul>
<b>Band 3</b>	Clearly capable of <b>undertaking research/evidence based inquiry in their area of expertise</b> (discipline or pedagogy) which demonstrates impact on practice/policy and/or can make an original contribution to knowledge either in research or teaching	<ul style="list-style-type: none"> <li>• Has undertaken research which has the potential for publication in appropriate outlets, delivered research seminars and/or conference presentations</li> <li>• Shows an ability to apply research to address policy (which would include University policy) and/or practice;</li> <li>• Engagement with scholarship of teaching and learning</li> <li>• Development of good practice and guidance documentation based in literature and/or evidence</li> <li>• Creation/utilisation of research to inform and change pedagogic practice.</li> </ul>

<p><b>Band 4</b></p>	<p>Demonstrated ability to <b>undertake and disseminate or publish original, high quality, research</b> which makes a significant contribution to the discipline or to pedagogy.</p>	<ul style="list-style-type: none"> <li>• Completion of PhD or equivalent experience demonstrating specialist knowledge of the subject area;</li> <li>• Evidence of research-based innovation in learning and teaching</li> <li>• Outputs, such as journal articles, conference papers, book chapters, working papers and possibly books.</li> <li>• Evidence of taking some leadership in team based research and scholarship, where relevant</li> </ul>
<p><b>Band 5</b></p>	<p>Has achieved <b>national eminence and authority for the quality and impact of their research and scholarship</b> and is developing an international profile</p>	<ul style="list-style-type: none"> <li>• Ability to sustain the publication of research that is clearly of a national standard.</li> <li>• Evidence of ability to access external funding for research related activity</li> <li>• Supervision of PhDs</li> <li>• Recognition within the institution and beyond for scholarship or research based innovation in learning and teaching</li> <li>• Teaching related publications (journals, textbooks or conferences)</li> <li>• Action research outputs</li> <li>• Research and evidence gathering that informs policy development (institutionally, nationally or internationally)</li> <li>• Scholarly based contributions to professional bodies, governmental organisations or sector bodies</li> </ul>
<p><b>Band 6</b></p>	<p><b>Building an international reputation</b>, influencing the field, through the distinction of their research and publication, which might include significant contribution to impact for the major development of one or more fields of knowledge</p>	<ul style="list-style-type: none"> <li>• A track record of publication of excellent research in nationally excellent journals, conferences or with nationally recognised publishers.</li> <li>• Growing a portfolio of outputs at international standard</li> <li>• Evidence of ability to access significant external funding for research related activity within the context of a discipline.</li> <li>• Successful PhD completions</li> <li>• Recognition nationally for scholarship or research based innovation in learning and teaching.</li> <li>• Award of Fellowships</li> <li>• Invited keynotes and speaking engagements that would be nationally recognised</li> </ul>

<b>Band 7</b>	Has an <b>international reputation for research and scholarship</b> , demonstrating subject leadership through the encouragement of research among members of staff and suitably qualified students.	<ul style="list-style-type: none"> <li>• Significant volume of publications of internationally excellent research outputs</li> <li>• National reports including commissioned reports but also text books or evidence based curriculum standards through professional bodies</li> <li>• Scholarly based contributions to professional bodies, governmental and/or sector bodies</li> <li>• Invited keynotes and speaking engagements that would be internationally recognised</li> </ul>
<b>Band 8</b>	Has <b>achieved and sustained, outstanding and widely recognised international eminence</b> and authority in their subject through the distinction of their research, publications and leadership.	<ul style="list-style-type: none"> <li>• Significant and sustained volume of publications of internationally excellent research outputs</li> <li>• Participation in standard setting policy development on basis of personal academic expertise and credibility</li> <li>• Award of internationally recognised prizes and related awards.</li> </ul>

	<b>Teaching and Learning criteria</b>	<b>Evidence (These are examples only and it is not assumed that every applicant will demonstrate all)</b>
<b>Band 2</b>	Able to <b>deliver routine teaching to a satisfactory standard</b>	<ul style="list-style-type: none"> <li>• Positive student feedback, sound peer review/ evaluation of teaching and assessment outcomes, peer observation outcomes</li> <li>• Evidence of effective informal delivery of teaching and learning based on a recognised area of expertise.</li> </ul>
<b>Band 3</b>	Able to <b>develop and deliver teaching to a standard evidencing good practice</b> at Foundation, UG or PG Level with evidence of enhancement and engagement with national frameworks and standards	<ul style="list-style-type: none"> <li>• Positive student feedback regarding modules, review by peers for instance on teaching materials, departmental leadership testimonials</li> <li>• Examples of good practice which enhance the student learning experience.</li> <li>• Evidence of being regularly engaged in supporting the learning of others in a research or practice based context</li> <li>• Effective supervision of PhD students.</li> </ul>
<b>Band 4</b>	Able to <b>design, deliver, evaluate and assess teaching to a good standard</b> , to engage effectively with students and	<ul style="list-style-type: none"> <li>• Feedback from student, peers and seniors relating the impact of changes made to teaching practices to benefit learning. May include</li> </ul>

	collaborate with colleagues to inform the enhancement of own and others' teaching practices.	<p>own structured evaluation using scholarly methods to evaluate innovations and changes in teaching practices.</p> <ul style="list-style-type: none"> <li>• Creative and effective use of different methods of delivery and support to benefit learning, inclusivity and/or widening participation.</li> <li>• Constructive engagement with personal tutoring with positive feedback from personal tutees and Departmental Senior Tutor review</li> <li>• Associate Fellowship of the HEA or equivalent professional body</li> </ul>
<b>Band 5</b>	Able to <b>design, deliver, evaluate and assess teaching to a high standard</b> , engage effectively with students and collaborate with colleagues to inform the enhancement of own and others' teaching practices.	<ul style="list-style-type: none"> <li>• Evidence of challenging thinking, fostering debate and developing the ability of students to engage in critical discourse and rational thinking</li> <li>• Evidence of successful development in teaching, with reference to professional body expectations, national standards (HEA, OfS, QAA or other) or external partners (industry programme partners, NHS, international collaborative partners).</li> <li>• Effective engagement with communities of practice relevant to their discipline or in interdisciplinary contexts</li> <li>• Participation in institutional or external projects or programmes with evidence of how teaching has changed consequently</li> <li>• Active involvement with IATL, WIHEA or LDC showing educational impact.</li> <li>• Departmental recommendations for recognition for teaching performance</li> <li>• Fellowship of the HEA or equivalent professional body</li> </ul>
<b>Band 6</b>	Demonstrates <b>leadership in relation to enhancement of teaching or the engagement of students</b> , the development of educational practice of colleagues, local policy and/or guidance development, or change in educational practice.	<ul style="list-style-type: none"> <li>• Reports, publications, conference talks, (annual) evaluations (including surveys) by the applicants or others, evaluating the impact on students' learning (opportunities) of the work (leadership) the candidate is responsible for;</li> <li>• Own structured evaluations or evaluations by others of leadership impact. Evidence may be part of a wider review (ITLR or accreditation), student surveys or external reviews (professional accreditation, QAA, TEF and similar)</li> <li>• Evidence of successful programme leadership (survey results, admissions trend, etc.) , project leadership (evaluation reports, funding achievements, output and outcome indicators) or peer learning effort (evidence of change to academic practice);</li> </ul>

<b>Band 7</b>	<b>Demonstrates leadership in learning and teaching which is of a national standard impacting positively on a wide range of learners</b>	<ul style="list-style-type: none"> <li>• Enhancement of teaching or the engagement of students, the development of educational practice of other academics, external educational policy development, and/or societal change;</li> <li>• Senior Fellowship of the HEA or equivalent professional body, WATE award;</li> <li>• Other professional body recognition, external project income, contribution to institutional KPIs.</li> <li>• IATL and WIHEA project leadership (with relevance to institutional strategic direction or core education narrative.</li> <li>• National recognised scholarly and research publications</li> </ul>
<b>Band 8</b>	<b>Sustained leadership through the enhancement of teaching or the engagement of students</b> , the development of educational achievement by other academics, external educational policy development, and/or societal change.	<ul style="list-style-type: none"> <li>• External recognition including invitations for key notes, panel memberships, national governance roles (boards, committees, enquiries, reviews), collaborative project leadership, engagement with HE policy development, expert advisory roles, public engagement, national press and similar</li> <li>• National or international expert advisory, review or representation roles</li> <li>• Internationally recognised scholarly and research publications</li> <li>• National and/or international awards and prizes</li> </ul>

	<b>Impact, Outreach, and Engagement criteria</b>	<b>Evidence (These are examples only and it is not assumed that every applicant will demonstrate all)</b>
<b>Band 1</b>	Building a <b>reputation for academic contributions</b> in specialist area.	<ul style="list-style-type: none"> <li>• An openness to and a willingness to share knowledge in expertise in a specialist area</li> <li>• Conference attendance, event attendance, presenting work to others, network-building</li> </ul>

<p><b>Band 2</b> (encompassing the above criteria and evidence)</p>	<p><b>Recognised externally for work in specialist field</b></p>	<ul style="list-style-type: none"> <li>• Invitations to peer review (journals, conferences, academic programmes or modules)</li> <li>• Participation in external engagement activity that promote the Department and University</li> <li>• Participation in external activities that have a positive reputational impact (for example engagement with local schools, businesses, cultural organisations, community networks etc.)</li> </ul>
<p><b>Band 3</b> (encompassing the above criteria and evidence)</p>	<ul style="list-style-type: none"> <li>• Developing a <b>reputation and recognition with key stakeholders for the broader value of specialist activity</b></li> </ul>	<ul style="list-style-type: none"> <li>• Involvement in key projects, conferences and events (e.g. organising committees)</li> <li>• Evidence of the ability to set up and develop relationships with external organisations or other Universities</li> <li>• Evidence of the ability to generate business for the University</li> <li>• National or international student recruitment activity</li> </ul>
<p><b>Band 4</b> (encompassing the above criteria and evidence)</p>	<ul style="list-style-type: none"> <li>• Developing <b>regional/national recognition for work demonstrating value of broad based academic activity.</b></li> </ul>	<ul style="list-style-type: none"> <li>• Engaging with external networks and stakeholders, nationally and/or internationally, to demonstrate the significance and value of relevant academic work</li> <li>• Engaging with external stakeholders to support and encourage access and participation in HE</li> <li>• Developing links with business, public, cultural or community engagement in line with the University's strategic aims</li> <li>• Evidence of active engagement with the University's international activities and partnerships</li> <li>• Securing interest from media nationally and internationally for academic activity</li> </ul>
<p><b>Band 5</b> (encompassing the above criteria and evidence)</p>	<ul style="list-style-type: none"> <li>• An <b>established regional or national reputation, which might include significant contribution to impact for the major development of one or more fields of knowledge at an international level</b></li> </ul>	<ul style="list-style-type: none"> <li>• Collaborative and contract research and/or teaching involving commercial partners and other stakeholders</li> <li>• Exploitation of research through the licensing of Intellectual Property (IP) or the development of commercialisation vehicles and spinout companies</li> <li>• The provision of services rendered e.g. delivery of Continuous Professional Development (CPD) and consultancy activity delivery on behalf of the University</li> </ul>

		<ul style="list-style-type: none"> <li>• Communication of teaching innovations to interested stakeholders leading to changes in practice/policy</li> <li>• Communication of research results to the public or public bodies leading to changes in practice/policy</li> <li>• Application of knowledge to improve public sector performance and quality of life by informing public policy and government and/or through partnership with the voluntary sector, or the cultural and heritage sector</li> <li>• Contributing to productive high-impact partnerships with business, policy makers or other users of our research and teaching expertise with evidence of significant income generation or reputational benefits for the University</li> <li>• Involvement and engagement in significant national or international projects, working groups policy, and networks to enhance University reputation</li> <li>• A record of sustained success in significant business generation, securing new or repeat business with significant levels of income generation for the University</li> <li>• Leading major specialist consultation activities with external clients</li> <li>• The development of significant 'pathways to impact' as defined by HEFCE</li> <li>•</li> </ul>
<p><b>Band 6 (encompassing the above criteria and evidence)</b></p>	<p><b>Developing an international reputation for impact, outreach or engagement, which demonstrates the broader external value of academic activity.</b></p>	<ul style="list-style-type: none"> <li>• Significant Public and/or cultural engagement, policy development in public institutions and/or significant 'impact' as defined by HEFCE's impact strategy (such as inclusion in a departmental impact case study)</li> <li>• Application of knowledge to improve public sector performance and quality of life by informing public policy and government or by significantly influencing the cultural and heritage sector</li> <li>• Outstanding leadership of productive high-impact partnerships with business, policy makers or other users of our research and teaching expertise with evidence of outstanding income generation and/or transformational reputational benefits for the University</li> <li>• Formation of significant national and international partnerships that deliver significant financial or reputational benefits to the University as a whole</li> </ul>



		<ul style="list-style-type: none"> <li>• Successful leadership in relation to the University's international activities and partnerships</li> </ul>
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	<b>Collegiality, Leadership, Management criteria</b>	<b>Evidence (These are examples only and it is not assumed that every applicant will demonstrate all)</b>
<b>Band 1</b>	Able <b>satisfactorily to plan and organise own academic activity.</b>	<ul style="list-style-type: none"> <li>• Track record of managing own teaching and/or research responsibilities in without intervention</li> <li>• Willingness to be involvement and engaged in activities within the department e.g. engagement with students beyond teaching, visits, open days, staff meetings, relevant committees</li> <li>• Constructive engagements with colleagues across the university, students and other relevant stakeholders</li> </ul>
<b>Band 2 (encompassing the above criteria and evidence)</b>	Able <b>satisfactorily to contribute across a variety of administrative roles relating to academic activity.</b>	<ul style="list-style-type: none"> <li>• Experience of engaging inside and outside of the department in academic and/or non-academic activity in a way that contributes to broader departmental agendas (contributing to administrative duties with the department, involvement in organising events, visits etc.)</li> <li>• Involvement in organisation and planning activities within a given discipline (e.g. helping with meetings, conferences etc.)</li> </ul>
<b>Band 3 (encompassing the above criteria and evidence)</b>	Demonstrate <b>the ability actively to organise and manage activity in support of academic processes, showing emerging leadership ability</b> within immediate group.	<ul style="list-style-type: none"> <li>• Active participation in departmental (or divisional) policy initiatives, possibly through membership of departmental committees (e.g. helping to organise student activities, assisting with admissions and recruitment, assisting with seminar/event organisation, etc.)</li> <li>• Successful initiatives or innovations in administrative processes, or taking on significant departmental (or divisional) responsibilities which are carried out successfully</li> </ul>
<b>Band 4 (encompassing the above criteria and evidence)</b>	Track-record of <b>management capability within the Department. Demonstrates leadership ability within a wider group or department</b>	<ul style="list-style-type: none"> <li>• Effective and active involvement and engagement in significant committees or projects which are important for the effective operation of the department (these may be at University or Faculty level in smaller departments but could be also be significant initiatives at departmental level)</li> </ul>

		<ul style="list-style-type: none"> <li>• Leading on significant initiatives for the department (or Division) to enhance the operation of the department (eg Recruitment and Admissions, Senior Tutor, new programme development, major research networks etc)</li> <li>• Acting within the department as a champion for initiatives such as student surveys (NSS, PTES,PRES etc), Athena Swan, staff &amp; student wellbeing etc.</li> <li>• Academic mentoring, and support for early career staff, within the Department.</li> <li>• Engaging with activities in support of diversity and inclusion within and/or beyond the University</li> </ul>
<b>Band 5 (encompassing the above criteria and evidence)</b>	<b>Effective management and development of academic activities</b> important to income and/or reputation within or beyond the University.	<ul style="list-style-type: none"> <li>• Effective leadership of strategic change at departmental or faculty level (e.g. new course development, , active committee chairing, supporting the development of new research centres or cross disciplinary collaborations)</li> <li>• Leading on a successful departmental engagement with external schemes such as Athena Swan Awards</li> <li>• Willingness to contribute and impact at University level in terms of policy formation and strategic development (e.g. membership of key strategic committees such as Senate, membership of University working groups)</li> <li>• Effective management of colleagues and facilitation of their academic and personal development and performance on the scale of a Department of equivalent</li> <li>• Academic leadership, mentoring, and support for junior staff, both within the Department and in the wider University community</li> </ul>
<b>Band 6 (encompassing the above criteria and evidence)</b>	<b>Leadership which may be within the University or within a discipline or related academic activity.</b>	<ul style="list-style-type: none"> <li>• Effective leadership of major activities (such as Teaching, Research Student Support) at a Departmental level</li> <li>• Editing leading journals</li> <li>• Has established reputation and acknowledged expertise with senior managers in partner organisations and/or professional associations</li> <li>• Leading internal and external partnerships and networks which enable the University to meet significant strategic aims</li> </ul>

		<ul style="list-style-type: none"><li>• Demonstrable contribution to the professional development of senior colleagues within the academic community, including mentoring, leading on training and development initiatives</li><li>• Exercising significant management and leadership responsibility at University level or within an external academic community</li><li>• Successful performance as Head of Division/Department, Director of a Research Centre or Institute, Chair of a major committee or working group</li><li>• Leading or chairing prestigious and internationally recognised conferences</li><li>• Leadership roles in professional societies</li></ul>
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