

## REF 2021 Code of Practice

### Part 1: Introduction

*Codes should address the following:*

- *How the code relates to broader institutional policies/strategies that promote and support E&D.*
- *An update of actions taken since REF 2014.*
- *How the institution is addressing the principles of Transparency, Consistency, Accountability, and Inclusivity in demonstrating fairness.*
- *Reference to these principles should also be made, as appropriate, in completing the sections below.*
- *How the code is being communicated to staff across the institution (including to those on leave of absence), through various mechanisms and channels, including the staff intranet*

### Context

The University of Winchester is a values-driven institution, with an Anglican foundation, with three core values: compassion; individuals matter; and spirituality. As articulated in the University Strategic Plan 2015-20, the mission is to educate, advance knowledge and serve the common good. Winchester is 'proud to be a different kind of University because of [its] unrelenting commitment to serving the common good in all of our activities' (Strategic Plan 2015-20, p.4). Research, alongside knowledge exchange, is a fundamental driver of this vision and mission, as articulated in the Research and Knowledge Exchange (RKE) Strategy 2015-20.

As a relatively small higher education institution (8000 students), with origins as a teacher training college in 1840, the portfolio is primarily focused on arts, humanities and social sciences, as reflected in the UoAs entering REF 2021. Given the portfolio, the University attracts a high proportion of staff from practitioner backgrounds and offers colleagues different career pathways, through teaching and learning, teaching and knowledge exchange and teaching and research routes. These expectations are made clear in the set of role profiles which staff are allocated to. The University has two research role profiles and approximately 40% of academic staff are assigned to them (see Appendix 1). These sit within a clearly defined career progression framework with three different routes through: Reader (research) or the equivalent Senior Fellow (knowledge exchange or teaching and learning), to Professor (research or knowledge exchange or teaching and learning).

### **Institutional policies/strategies that promote and support E&D**

Values are embedded in our mission and vision and the promotion of equality, diversity and inclusion are integral to all of our work. These values are, therefore, embedded in

this Code of Practice, its implementation, and in discussions about the University's overarching approaches to REF 2021.

Specifically, and within the wider context of the University's Strategic Plan 2015-2020 and the RKE Strategy 2015-2020, it links to the following institutional policies and strategies that promote and support equality and diversity (E&D):

- Staff Equality, Diversity and Inclusion Strategy 2016-2020
- Equality and Diversity Policy
- Gender Identity and Reassignment Policy
- Dignity at Work Policy

These are available at <https://www.winchester.ac.uk/about-us/leadership-and-governance/policies-and-procedures/>

As part of the wider culture of the institution, the groups listed below are also active. Representatives from those groups will be involved in consultations on the Equality Impact Assessments (EIAs) for REF:

- Carers and Parents
- Spectrum LGBTQ+
- Race and Ethnic Diversity
- Disability Equality

The University's commitment to equality and diversity is recognised in engagement with the following external schemes:

- Stonewall Champion
- Athena Swan Bronze Award
- Disability Confident Employer

Furthermore, all staff are required to undertake:

- Online training in Equality and Diversity

In addition to this mandatory training, all staff making decisions in relation to REF are required to undertake:

- Face to face bespoke training in conscious and unconscious bias in relation to REF 2021, led by the Director of Equalities and Staff Development

The University supports its fixed-term and part-time staff in relation to equality and diversity in the following ways:

- The University holds the HR Excellence in Research Award. This demonstrates institutional commitment to implementing the principles of the Concordat to Support the Career Development of Researchers. One strand focuses on research-only staff, many of whom are on fixed-term contracts. The University ensures their support in relation to E&D through representation on Senate RKE Committee via a Concordat Working Group
- All staff, including part-time and fixed-term, can apply for a bespoke working pattern through the Flexible Working Policy

### **Update of actions since REF 2014**

The REF 2014 Equality Impact Assessment identified that there were no imbalances in relation to disability or declared ethnic groupings. It identified imbalances in relation to age and gender, although the numbers involved were small. In relation to gender, it was recognised that these imbalances were slight in comparison to the percentages of eligible staff broken down by gender.

In relation to age, the percentage differences were again very slight, most marked in the 16-24 and 24-34 category. Since 2014 we have further developed our provision to support academics new to research through our commitment to the Concordat to Support the Career Development of Researchers to address this issue.

In addition, in order to ensure that we continue to offer equal opportunities for our research active staff, we have developed:

1. A revised Terms of Reference for the UoA Working Groups to:
  - ensure consistency of process across UoAs
  - ensure fairness in relation to the relative sizes of UoA groups
2. A more comprehensive intranet page on REF 2021 which contains all internal documents used by the UoA Working Groups as well as external links to Research England's website
3. Detailed guidance notes for UoA Leads to further ensure consistency and transparency of process
4. The processes for distribution of internal funding to empower UoA Working Groups to fulfil their respective UoA Strategies

### **Transparency, Consistency, Accountability, and Inclusivity in demonstrating fairness**

The University's commitment to transparency, consistency, accountability and inclusive in demonstrating fairness is evidenced in the following ways:

<b>Theme</b>	<b>Reference in this document</b>	<b>Examples</b>
<b>Transparency</b>	Part 1: Updates on actions since REF 2014 (2)	A comprehensive REF 2021 Intranet page which is accessible to all staff
	Part 1: Updates on actions since REF 2014 (3)	Detailed guidance notes for UoA Leads are available to all staff via the REF 2021 Intranet page

	Part 1: Updates on actions since REF 2014 (4)	Access to a new process for funding for all UoA members is available for all staff via the REF 2021 Intranet page
	Part 3: Determining Research Independence	One to one discussions with individual staff members on research-only contracts against transparent criteria
<b>Consistency</b>	Part 1: Updates on actions since REF 2014 (1) and Appendix (2)	Revised Terms of Reference for UoA Working Groups to ensure clarity of expectations and consistency of practice
	Parts 3 and 4: Consistency in the use of EIAs across both research independence and selection of outputs	Two EIAs for each and both conducted in consultation with members of the wider interest groups related to equality and diversity (named above)
<b>Accountability</b>	Part 1: See reporting diagram and Appendices (2 and 3)	Reporting lines with clear responsibilities for decision making, detailed in appropriate Terms of Reference
	Part 1: Updates on actions since REF 2014 (3) and (4)	Clear responsibilities for UoA Leads set out in Terms of Reference and in Guidelines to UoA Leads
	Part 1: Updates on actions since REF 2014 (1) and Appendix (2)	Clear responsibilities for UoA Working Groups set out in Terms of Reference
<b>Inclusivity</b>	Part 1: Updates on actions since REF 2014 (3)	Staff who are on leave of absence can access the REF 2021 Intranet page offsite
	Parts 1 and 3: Communications to staff	Communications to staff who are on leave of absence are sent by post and/or their preferred means of communication
	Parts 3 and 4: EIAs	Equality Impact Assessments (EIAs) and actions arising from their outcomes ensure an inclusive approach to all aspects of REF 2021
	Parts 1, 3 and 4: EIAs	Members of the University's E&D Groups listed in part 1 will

		contribute to the reviews of the EIA outcomes to further ensure inclusivity
	Parts 3 and 4: Training for staff with decision making responsibilities	The training ensures awareness of inclusivity issues inherent in bias and unconscious bias

### Communications of the CoP to staff

In line with the University's values, the CoP is being communicated to staff in open and transparent ways as follows:

Action	Communications to staff	Time frame
Submission to Research England	All staff advised of submission via the Intranet with the CoP document attached	6 June 2019
	REF Management Group, REF Working Group and UoA Working Groups to receive a copy via email	June 2019
	Academics on research role profiles and research only contracts to receive a copy via email	June 2019
	HR to send to staff on leave of absence via their preferred means of contact (post and/or email)	June 2019
Code of Practice as confirmed by Research England	Publication on University website	December 2019
	All staff advised of submission via Intranet with document attached	December 2019
	REF Management Group, REF Working Group and UoA Working Groups to receive a copy via email	December 2019
	Academics on research role profiles and research only contracts to receive a copy via email	December 2019
	HR to send to staff who are on leave of absence via their preferred means of contact (post and/or email)	December 2019

## **Part 2: Identifying staff with significant responsibility for research**

Part 2 need only be completed where the institution will not be submitting 100 per cent of Category A eligible staff in one or more UOA.

*Codes should address the following:*

**Policies and procedures** – where not submitting 100 per cent of eligible staff (see paragraph 40).

- *Criteria used for identifying staff with significant responsibility for research, including information about how the criteria are being applied, and grounds for decisions taken.*
- *How decisions are being made and communicated to staff, including timescale.*
- *If the approach to identifying staff with significant responsibility for research varies, according to variation in employment practices by the UOA, codes of practice should outline each process used.*
- *Codes of practice should describe stages of approval (diagrams, schematics and timelines might be included as an aid).*

N/A: The University is submitting all Category A eligible staff.

## **Part 3: Determining research independence**

**Policies and procedures** (see paragraph 40).

- *Criteria used for determining staff who meet the definition of an independent researcher, including information about how the criteria are being applied.*
- *How decisions are being made and communicated to staff, including timescale.*
- *Codes of practice should describe stages of approval (diagrams, schematics and timelines might be included as an aid).*

***Criteria used for determining staff who meet the definition of an independent researcher, including information about how the criteria are being applied.***

In order to identify which staff employed on 'research-only' contracts are independent researchers, the following processes are being implemented.

At any point in time, the University only has a small number of staff on research-only contracts (approximately 10-20). Given the nature of the University, which does not regularly attract large fully-economic costed grants, the content of these colleagues' job descriptions is varied to suit the specific post to which they have been appointed. The University is committed to making the process fair, equitable and transparent, and is

therefore enabling open discussion between each individual and their line manager against a set of clear criteria.

The following criteria are being used:

For the purposes of the REF, an independent researcher is defined as an individual who undertakes self-directed research, rather than carrying out another individual's research programme (Guidance on Submissions, 131)

Indicators supporting the above may include one or more of the following:

- are leading or acting as principal investigator or equivalent on an externally funded research project (Guidance on Submissions, 132)
- hold an independently won, competitively awarded fellowship where research independence is a requirement (Guidance on Submissions, 132)
- leading a research group (Guidance on Submissions, 132)
- being named as a Co-I on an externally funded research grant/award (for Panels C and D only, Panel Criteria, 189)
- have significant input into the design, conduct and interpretation of the research (for Panels C and D only, Panel Criteria, 189)
- the job description states that the researcher is expected to prepare a REF submission / make a contribution to the REF
- the job description requires them to be the principal investigator on making an external grant application in addition to leading on key aspects of a research project
- are leading on all aspects of a research / evaluation project which is funded by the University

The individual *would not* be deemed an independent researcher, and hence not be Category A eligible if:

- the job description indicates that the individual should be assisting or contributing to research projects or undertaking activities 'relating' to them i.e. they are not undertaking self-directed research or leading on a project
- their role involves compiling or describing a list of existing data if this is being undertaken for another person's research project
- they are working towards the completion of their PhD or Professional Doctorate
- they are only undertaking or overseeing some aspects of the research project

Where a staff member is listed as an author on an output(s), under Research England criteria, they cannot automatically be listed as Category A submitted staff purely on that basis (129). Hence, the above criteria will be applied to determine a decision on a case by case basis.

## How decisions are being made and communicated to staff, including timescale

The process for making decisions is as follows:

- Share indicators and process with UCU representatives
- Provisional decisions on each individual will be made by REF Management Group in accordance with the aforementioned criteria
- The First Deputy Vice-Chancellor (FDVC), Director of RKE and an HR representative hold a group meeting with the line managers of staff on research-only contracts to inform them of the process and provisional decision regarding their staff
- The RKE Centre will prepare and individual letters to staff on research-only contracts, explaining the context, indicators and provisional decision for them
- Line managers meet their research staff to discuss the provisional decision, handing them the letter. Staff should confirm receipt of the letter by emailing the Personal Assistant to the Director of RKE
- Staff will be able to appeal against the decision to an independent panel. Staff will be made aware of the membership of the panel, and process for appeal, and timescales (see 'Appeals' below)
- If the individual thinks their job description is significantly out of date or inaccurate, such that it cannot be used to make a judgement about their submission in the REF, they can follow due process to request that a revised job description is submitted to the Higher Education Role Analysis (HERA) process for consideration

### Timetable

Action	Date
REF Management Group approve the criteria and process	May 2019
Senate RKE Committee and Vice-Chancellor approve the Code of Practice which includes the independent researcher criteria and process	May 2019
REF Management Group approve initial decisions on each member of staff prior to EIA	July 2019
Briefing meeting between Line Managers and senior members of the REF Management Group (First DVC, Director of HR and Director of RKE)	September 2019
Line Managers meet with individual staff to convey the decision and discuss it against the criteria	September 2019



**Staff, committees and training** (see paragraphs 44-48).

*(Where such staff and committees are the same as those outlined in Part 2, institutions can cross-refer to that section)*

- *Procedures for identifying designated staff and committees/panels responsible for determining research independence (distinguishing between those with advisory and those with decision-making roles).*
- *Information provided should include role descriptions for individuals and terms of reference for committees/panels, modes of operation, and record-keeping procedures, as well as information about where these roles/committees/panels fit into the wider institutional management structure.*
- *Details of training provided to individuals and committees involved in identifying staff, the timescale for delivery and content (including how it has been tailored to the REF).*

**Procedures and committees/panels responsible**

The process and criteria were drawn up in consultation with an independent HR consultant who had an advisory capacity. REF Management Group approved the process and criteria which were subsequently approved as part of this Code of Practice by Senate RKE Committee and the Vice-Chancellor.

The REF Management Group is responsible for making decisions about research independence in relation to individuals. Records are kept through notes of the REF Management Group. Their Terms of Reference (ToR) are lodged in Appendix 2. REF Management Group (and the REF Appeals Panel) are the only decision-making bodies in relation to research independence.

The committees (Faculty RKE, Senate RKE and Senate) and Senior Management Group (SMT) exist as part of the wider University structure and provide guidance and oversight for all matters relating to REF.

**Details and timeframe for training**

Training is delivered by the Director of Equalities and Staff Development (see Appendix 3 for role descriptor). The training is focused on conscious and unconscious bias in relation to REF, and is detailed in section 4 below.

REF Management Group (as detailed in the Terms of Reference in Appendix 2) is a specially convened group which comprises the First Deputy Vice Chancellor, Director of RKE, Director of HR and the Faculty Heads of RKE (see role descriptor in Appendix 3). This composition enables holistic overview of, and representation from, those responsible for strategic delivery of research across the institution.

All members of REF Management Group are also members of Senate RKE Committee. The First Deputy Vice-Chancellor is also a member of the Senior Management Team.

Staff being trained	Date
REF Management Group	Spring 2019
REF Appeals Panel	October 2019

As noted in section 1, all staff are required to undertake online training in Equality and Diversity. This includes a section on conscious and unconscious bias. In addition, bespoke face-to-face training for those making decisions in REF is also mandatory – detailed more fully in section 4.

**Appeals** (see paragraphs 75-78).

*(Where the process follows that outlined in Part 2, institutions can cross-refer to that section)*

- *How the appeals process has been communicated to staff.*
- *Details of the process, including how cases are submitted, eligible grounds for appeal.*
- *Details of those involved in hearing any appeals (demonstrating their independence from earlier decision processes), timescales and how decisions are being communicated to staff.*

The appeals process will be communicated to staff in the following ways:

1. A briefing sheet will be posted on the main Intranet site for the attention of staff on research only contracts
2. A copy will be sent by email to all staff on research only contracts
3. Details of the appeals process will be included in the letter outlining the initial decision
4. Staff on research only contracts who are on leave of absence will receive a copy in their preferred method of communication, post or email

The appeals process will be as follows:

1. Staff may submit a written appeal to the HR Department which states the reason why they are appealing the decision. They should refer directly to the outlined criteria in making their case, providing evidence for their claim where relevant. The grounds for appeal are:
  - i. They can evidence research independence against criteria which were not considered in the original decision making process
  - ii. Their job has evolved beyond the original job description and they now regularly undertake tasks which meet the criteria for independent research for the substantive part of their role
  - iii. There was a procedural error

The appeals panel is entirely independent of staff involved in any REF advisory or decision-making process e.g. None are members of a UoA Working Group, REF

Working Group or REF Management Group. Furthermore, the independent HR Consultant who advised on research independence will not be on the appeals panel.

The panel will comprise:

- The University Ombudsman
- The Director of Equalities and Staff Development
- A nominated research Professor
- An independent member of Human Resources (HR)
- An elected research active member of staff on a teaching and research contract

**Timescales for Appeals**

<b>Action</b>	<b>Date</b>
Staff may lodge an appeal	By 1 November 2019
Appeals panel meet	November 2019
Appeals panel communicate outcome to individual staff	End November 2019

**Equality impact assessment** (see paragraphs 59-72).

**How an EIA has been used to inform the identification of staff and make final decisions.**

The University is committed to identifying whether the process may have a differential impact on particular groups by reference to one or more protected characteristics, and to making appropriate changes accordingly. Two EIAs will be undertaken on the processes for determining research independence, which will inform any revision of the initial process outlined above. A third will be undertaken on the Appeals on decisions about research independence. The process will be amended accordingly prior to advising colleagues of the decision on their status.

Data on the protected characteristics will be considered in relation to a comparator pool of early career researchers on teaching and research contracts.

**Timeline for EIAs for Independent Researchers**

First EIA undertaken	July 2019
Consultation on the outcome of the EIA with members of the University groups focused on protected characteristics listed on page 2, with recommendations made to REF Management Group	July 2019

REF Management Group analyse the data and review process, and decide on any appropriate amendments in the context of the findings and review any decisions as required	September 2019
Second EIA undertaken of process and appeals	November 2019
Consultation on the outcome of the EIA with members of the University groups focused on protected characteristics listed on page 2, with recommendations made to REF Management Group	November 2019

#### **Part 4: Selection of outputs**

*Codes should address the following:*

**Policies and procedures** (see paragraph 40).

*Details of procedures that have been developed to ensure the fair and transparent selection of outputs, including the HEI's approach to submitting outputs by former staff, including those made redundant.*

- *Information should be provided about how processes for selecting outputs have been developed and the rationale for adopted methods.*
- *Codes of practice should describe stages of approval (diagrams, schematics and timelines might be included as an aid).*

The commitment to fair and transparent selection of outputs is embedded in the following processes:

1. The University has undertaken a preparatory REF exercise which is based upon the external peer review of outputs
2. Academics submit outputs to UoA Working Groups who make decisions about whether or not the output meets the REF definition of research, and whether or not it should be sent to external reviewers
3. The UoA Lead sends the output to a minimum of two reviewers
4. For transparency and consistency, in light of the subjectivity of peer review, where reviewers' responses on the same output are markedly different (e.g. 1\* and 4\*) or ambiguous (e.g. 'might achieve either a 2\* or 3\*'), the output is sent to a third independent reviewer for consideration
5. Each UoA Working Group collates the reviewers' scores
6. Each UoA Working Group will identify the highest scoring outputs for each individual in relation to the REF 2021 requirements of normally a minimum of 1 output and a maximum of 5. Each Category A eligible member of staff in the UoA will have at least one output submitted, being the highest ranked by external assessors
7. Each UoA Working Group will then collectively select the remaining outputs to ensure that the UoA has the requisite number of outputs. These will be based on external reviewer scores
8. EIAs will identify whether the processes have a detrimental impact on particular groups by reference to one or more protected characteristic(s) (see below)

9. UoA Working Groups will propose their selected outputs to the REF Management Group for consideration and decision making.

*Guidelines to ensure consistency and transparency*

1. Guidelines for processes were drawn up collaboratively by the REF Working Group, who advised the REF Management Group, the latter being the decision makers. Guidelines were created to engender consistency across all UoAs
2. The guidelines were developed based on the expert peer review process upon which REF 2021 is predicated. However, it recognises that REF panels make decisions based on discussion rather than blind and independent reviews of an output, hence the University's decision (d) to send to a third reviewer in some cases, for fairness
3. The REF Management Group developed guidelines for the selection of staff who have left the University. For staff who have left through retirement or resignation, their outputs are sent to reviewers as above. For staff who have been made redundant, REF Management Group made the decision that their work was also eligible for inclusion. This decision was made based on the following: first, that the University, acting in accordance with its values, avoids redundancies wherever possible. For example, historically, it has endeavoured to keep small and unprofitable programmes open, recognising their intrinsic value to students and the University. Therefore, decisions to initiate redundancies are not taken lightly, and are not a regular occurrence. Second, staff on academic contracts have received generous time allocation and access to generous amounts of internal funding for research, relative to the sector. These enablers to create outputs and impact as part of their contractual obligations further support the decision to include their work. Third, the University recognises that submitting their work, post-employment, will benefit their career, given the esteem accorded by HEIs to being entered into REF. Finally, the University, on ethical grounds, has never employed research active staff on short term contracts purely for the benefit of a REF entry
4. The guidelines are regularly updated following feedback from the REF Working Group (and approved by REF Management Group). For transparency, the most current version is accessible to all staff on the REF 2021 Intranet page

**Staff, committees and training** (see paragraphs 44-48).

*(Where such staff and committees are the same as those outlined in Parts 2 or 3, institutions can cross-refer to that section)*

- *Procedures for identifying designated staff and committees/panels responsible for selecting outputs (distinguishing between those with advisory and those with decision-making roles).*
- *Information provided should include role descriptions for individuals and terms of reference for committees/panels, modes of operation, and record-keeping*

*procedures, as well as information about where these roles/committees/panels fit into the wider institutional management structure.*

- *Details of training provided to individuals and committees involved in the output selection process, the timescale for delivery and content (including how it has been tailored to the REF).*

### **Identifying those with responsibility for selecting outputs and record-keeping**

UoA Leads are Faculty-based appointments, recruited against the criteria set out in the Terms of Reference for the UoA Working Group document which was approved by Senate RKE (see Appendix 2).

<b>Stage and Time Frame</b>	<b>Individual / Group</b>	<b>Action</b>	<b>Record Keeping</b>	<b>Advisory or Decision Making</b>
1 (2018-20)	UoA Working Group	Identifies which of the outputs sent to them by Category A staff are eligible to be sent to external reviewers for assessment	UoA confidential Master spreadsheet (held by REF Management Group and HR)	Decision making only for sending outputs for review. All other duties are advisory
2 (2018-20)	UoA Lead	Records external assessors' scores on spreadsheet and submits to REF Management Group with the assessors' reports	UoA confidential Master spreadsheet (held by REF Management Group and HR)	Advisory  UoA Lead may make annotations on spreadsheet and/or discuss with Faculty Head of RKE who raises at REF Management Group
3 (2018-20)	REF Management Group	Receives external assessors' scores	REF Management shared file	Retains strategic oversight
4 (2019-20)	UoA Working Group	Propose final selection for UoA	Compile on proforma for submission to	Advisory

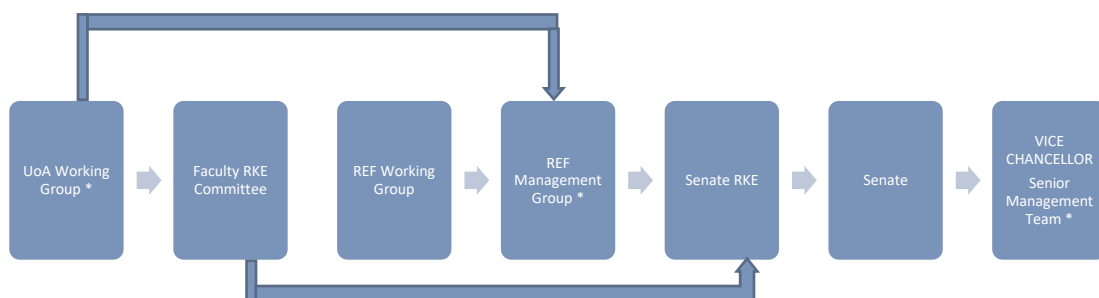
			REF Management Group	
5 (2019-20)	REF Management Group	Review each UoA's proposal	REF Management notes Senior Management Team notes	Recommends final decisions with all documentation for REF 2021 to the Vice Chancellor and Senior Management Team

### Role descriptors

Role descriptors and Terms of Reference (ToR) are lodged in the Appendices for the following:

Individual / Group	Document	Source
UoA Working Group	ToR for UoA Working Group	Appendix 2
UoA Lead	Embedded in ToR for UoA Working Group	Appendix 2
REF Working Group	ToR for REF Working Group	Appendix 2
REF Management Group	ToR for REF Management Group	Appendix 2

### Wider committee structure



The UoA Working Group, REF Working Group and REF Management Group are the only specially-convened groups for the purposes of REF. The diagram above shows how they sit in relation to the University's committee structure.

\* Only the three groups marked with an asterisk see the names of the Category A staff.

## Training

In addition to the mandatory online E&D training for all staff, training for the different elements of selection (research independence and outputs) has been led by the Director of Equalities and Staff Development. This has been an iterative process, developed in consultation with the Director of RKE and REF Management Group and external training. The process has developed over two phases, the first running from February 2019:

### Conscious and Unconscious Bias Training for the Selection of Outputs

#### Phase 1

<b>Audiences</b>
REF Management Group
Members of UoA Working Groups
Members of REF Working Group
<b>Content</b>
Phase 1 training is interactive and discursive and covers the following: <ul style="list-style-type: none"> <li>• Coverage of how conscious and unconscious bias work in principle</li> <li>• Visualising exercises to demonstrate the relevance of bias to each person</li> <li>• Use of the Harvard Implicit Bias resource to self-identify biases</li> <li>• Discussion about how implicit bias may work in the context of REF, with specific examples related to the selection of outputs</li> <li>• Practical tips to challenge personal biases in relation to REF</li> </ul>

#### Phase 2

The Director of Equalities and Staff Development attended training at Advance HE in April 2019. The training confirmed that the content covered was appropriate, but a new resource expanded its content, as below.

<b>Audiences</b>
REF Management Group
Members of UoA Working Groups
Members of REF Working Group
<b>Content</b>
As above but also including: <ul style="list-style-type: none"> <li>• Use of a REF-specific resource which was developed by Advance HE in small groups to engender discussion directly focused on REF</li> </ul>



The timeframe for Phase 2 is April 2019-June 2019. If new members of staff join a decision making Group after the end date, training will be provided for them.

**Staff circumstances** (see paragraphs 49-56).

*Procedures for taking into account staff whose circumstances have affected their ability to research productively throughout the period in relation to the unit's total output requirement.*

- *Procedures for taking into account the effect of circumstances that have had an exceptional effect on the ability of an individual staff member to research productively throughout the period so that they do not have the required minimum of one output.*
- *For both of the above cases, procedures for:*
  - *staff to declare voluntarily circumstances in a confidential manner*
  - *units to adjust expectations about staff contribution to the output pool, as appropriate*

All Category A Eligible staff will be invited to declare voluntarily any circumstances which have affected their ability to research productively throughout the period in relation to the unit's total output requirement, and if they do not have the required minimum of one output. This is managed centrally to ensure a robust process.

In both cases, the procedures are as follows:

1. Staff who volunteer their circumstances will be invited to do so by completing a form and returning it in confidence to the Director of HR
2. The form makes the applicability circumstances and available adjustments (aligned with Research England guidance) clear
3. The Staff Circumstances Panel will review each application. The Panel will consist of:
  - The Director of Research and Knowledge Exchange (RKE)
  - The Director of HR
  - A member of the Equality and Diversity Committee

### **Confidentiality and Unit's adjustments**

The form emphasises the confidentiality, noting that whilst the outcome may need to be made known to others in order for them to perform their roles (e.g. the UoA Lead and Faculty Head of RKE), details of the circumstances will not be disclosed.

REF Working Group have been advised of the voluntary nature of the process.

The decision of the panel will be communicated to the applicant in writing prior to disclosing the outcome to those with whom it is deemed necessary to know – as agreed with the applicant.

When circumstances have been approved – and the outcome of any successful appeals known – REF Management Group will advise each UoA Lead of the relevant decisions so that they can make the necessary adjustments to the Unit’s submission of outputs. However, the reasons for those decisions will not be disclosed in order to ensure confidentiality.

**Equality impact assessment** (see paragraphs 59-72).

*How an EIA on the spread of outputs across staff (in relation to their protected characteristics) has been used to inform the final selection of outputs to be submitted.*

The University is still in the process of conducting its REF Preparatory Exercise and plans to make its selection of outputs in Autumn 2020. The assessment will consider data on the distribution of selected outputs across staff, by protected characteristic, in the context of the characteristics of the submitted staff pool. The timeline is as follows:

**Timeline for EIAs for Selection of Outputs**

First EIA on Selection of Outputs is undertaken	October 2020
Consultation on the outcome of the EIA with members of the University groups focused on protected characteristics listed on page 2, with recommendations made to REF Management Group	November 2020
REF Management Group analyse the data and recommendations, and review the process of selection of outputs accordingly. They will decide on any appropriate changes to the process and advise the UoA Working Groups who will implement them	December 2020
Second EIA on Selection of Outputs is undertaken. The process will be reviewed in light of the outcome of the EIA and any changes implemented	January 2021

**Part 5: Appendices**

Attach any relevant appendices.

**Appendix 1: Academic Role Profiles**

Role Profiles: Teaching and Research (Lecturer and Senior Lecturer)

Role Profiles: Teaching with Enhanced Responsibility for Research (Lecturer and Senior Lecturer)

**Appendix 2: Terms of Reference**

Terms of Reference for UoA Working Group

Terms of Reference for REF Working Group

Terms of Reference for REF Management Group

**Appendix 3: Role Descriptors**

Role Descriptor for Faculty Head of RKE

Role Descriptor for Director of Equalities and Staff Development

## Appendices

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<b>Lecturer</b>	
<b>Teaching and Research Role Profile</b>	

	<b>Role Descriptor</b>
Teaching and Learning Support	Design teaching materials and deliver across a range of modules within subject area, using appropriate teaching, learning & assessment methods.
	Supervise student projects, field trips and placements.
	Contribute to planning of objectives & teaching materials

Research	Identify sources of funding & contribute to the process of securing & writing project bids
	Make presentations at conferences or exhibit work at appropriate events
	Develop research objectives, projects & proposals in personal research, individual or collaborative projects.
	Write or contribute to publications or disseminate research and practice in appropriate outlets

Communication	Routinely communicate complex and conceptual ideas to those with limited knowledge and understanding using a range of media
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Liaison and Networking	Develop an external profile by participating in networks outside the university
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Teamwork and Motivation	Work with others in teams, supporting others' efforts and development
	Co-ordinate the work of others to ensure modules are delivered to required standards
	Act as responsible team member
	Collaborate with colleagues to identify & respond to student needs
	Take the lead in internal projects

Pastoral Care and Welfare	Contribute to the delivery of teaching as a module leader
	Be responsible for pastoral care of students within specified area

Initiative and Problem Solving	Develop ideas & find ways of disseminating research & scholarship, as well as generating income.
	Collaborate with colleagues to implement assessment procedures
	Identify need for development of content/structure of modules & take steps to enhance the content/structure of modules in the context of quality assurance processes

Decision Making	Contribute to the development and implementation of strategy within the department
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Planning and Organising Resources	As module tutor/leader ensure student needs are met
	Manage own projects
	Contribute to the efficient management & administration of the department and/ or Faculty as required by the Head

Sensory and Physical Demands	Balance pressure of teaching, research and administration demands and competing deadlines
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Knowledge and Experience	Possess sufficient breadth or depth of speciality knowledge in the discipline to develop teaching & research programmes
	Use a range of delivery techniques to enthuse and engage students

## Senior Lecturer

### Teaching and Research Role Profile

	<b>Role Descriptor</b>
Teaching and Learning Support	Take responsibility for the design and creation of new teaching materials and assessments across a range of modules and programmes.
	Provide evidence of enhancements to the design and delivery of teaching made as a result of feedback, e.g. from student evaluations.
	Responsibility for independent supervision of students, providing expert advice and helping with learner problems.
	Develop and apply teaching techniques and materials, using a range of tools and media.
	Take deliberate steps to enhance one's own personal development as a reflective teacher (e.g. through SFHEA application, internal and external L&T workshops, and project bid applications) and support colleagues in their development.
	Provide evidence of success in learning and teaching through, for instance, module evaluation.
Research	Plan and develop one's own research and scholarship agenda within the context of the Faculty's REF strategy, including proposals for funding.
	Initiate and/or act as key contributor to bids for individual or collaborative projects.
	Provide expert advice in own subject to colleagues & students, and act as referee & contribute to peer assessment.
	Make presentations at conferences or exhibit at appropriate national or international events.
	Develop research objectives, projects & prepare research proposals acting as leading investigator or project leader in collaborative projects. Contribute to development of research strategies.
	Demonstrate research activity including for example regular dissemination through peer reviewed publications.

Communication	Disseminate complex and conceptual ideas to a variety of audiences using appropriate media and methods to promote understanding
Liaison and Networking	Contribute to internal groups/committees e.g. chair/participate in Faculty or institutional committees.
	Contribute to external networks e.g. acting as examiners, external assessors, or members of validation panels, professional body activities, and peer review or community engagement.
	Develop links with other educational bodies to foster collaboration.
Teamwork and Motivation	Provide advice and support to other colleagues, and provide academic leadership, e/g. programme or project leadership, sharing expertise or mentoring.
	Demonstrate a track record of providing input into the development of the team or coordinating the work of others.
	Demonstrate developing expertise in an area of pedagogy/research which has been influential to others.
	Lead teams within area of responsibility, ensure teams work together and act to resolve any conflicts between teams.
	Contribute to the efficient management & administration of the department /faculty as required by the Head and by taking appropriate academic coordinating roles, e.g. examinations, admissions, REF, outreach activities.
Pastoral Care and Welfare	Deal with referred issues for students within programmes
	Provide support for colleagues as required.
Initiative and Problem Solving	Have experience of module leadership, making decisions regarding operational aspects of own programme, including problem solving.
	Collaborate with colleagues to enhance and implement assessment procedures.
	Provide constructive input which affects the strategic development of the programme or department on strategic issues, e.g. balance of students, recruitment, staff appointments & other performance matters.
	Demonstrate contribution to assurance and enhancement of quality & other external assessments.
Decision Making	Contribute significantly to the development and implementation of strategy within the department



Planning and Organising Resources	Take part in departmental level strategic planning processes.
	Plan delivery of research, consultancy or similar & ensure adequate resources.
Sensory and Physical Demands	Evidence of successful balancing pressure of teaching, research and administration demands and their competing deadlines.
Knowledge and Experience	Evidence of external profile gained through research, scholarship or teaching and learning.
	Evidence of contributing to new knowledge and practice in your field.

**Lecturer**

**Teaching with Enhanced Responsibility for Research Role Profile**

	Role Descriptor
Teaching and Learning Support	Design teaching materials and deliver across a range of modules within subject area, using appropriate teaching, learning & assessment methods.
	Supervise student projects, field trips and placements.
	Contribute to planning of objectives & teaching materials

Research and Scholarship	Identify sources of funding & contribute to the process of securing & writing project bids
	Make presentations at conferences or exhibit work at appropriate events
	Develop research objectives, projects & proposals in personal research, individual or collaborative projects.
	Generate new research approaches and identify, adapt, develop and use research methodologies and techniques appropriate to the type of research.
	Write or contribute to publications.
	Attract and supervise PhD students to ensure their successful completion (initially as a member of the supervisory team).

Communication	Routinely communicate complex and conceptual ideas to those with limited knowledge and understanding using a range of media
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Liaison and Networking	Develop an external profile by participating in networks outside the university
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Teamwork and Motivation	Work with others in teams, supporting others' efforts and development
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	Co-ordinate the work of others to ensure modules are delivered to required standards
	Act as responsible team member
	Collaborate with colleagues to identify & respond to student needs
	Take the lead in internal projects

Pastoral Care and Welfare	Contribute to the delivery of teaching as a module leader
	Be responsible for pastoral care of students within specified area

Initiative and Problem Solving	Develop ideas & find ways of disseminating research & scholarship, as well as generating income.
	Collaborate with colleagues to implement assessment procedures
	Identify need for development of content/structure of modules & take steps to enhance the content/structure of modules in the context of quality assurance processes

Decision Making	Contribute to the development and implementation of strategy within the department
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Planning and Organising Resources	As module tutor/leader ensure student needs are met
	Manage own projects
	Contribute to the efficient management & administration of the department and/ or Faculty as required by the Head

Sensory and Physical Demands	Balance pressure of teaching, research and administration demands and competing deadlines
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Knowledge and Experience	Possess sufficient breadth or depth of speciality knowledge in the discipline to develop teaching & research programmes
	Use a range of delivery techniques to enthuse and engage students

## Senior Lecturer

### Teaching with Enhanced Responsibility for Research Role Profile

	<b>Role Descriptor</b>
Teaching and Learning Support	Take responsibility for the design and creation of new teaching materials and assessments across a range of modules and programmes.
	Provide evidence of enhancements to the design and delivery of teaching made as a result of feedback, eg. from student evaluations.
	Responsibility for independent supervision of students, providing expert advice and helping with learner problems.
	Develop and apply teaching techniques and materials, using a range of tools and media.
	Take deliberate steps to enhance one's own personal development as a reflective teacher (e.g. through SFHEA application, internal and external L&T workshops, and project bid applications) and support colleagues in their development.
	Provide evidence of success in learning and teaching through, for instance, module evaluation.
Research	Plan and develop one's own research and scholarship agenda within the context of the Faculty's REF strategy, including proposals for funding.
	Initiate and/or act as principal investigator or key contributor to bids for individual or collaborative projects.
	Provide expert advice and mentoring in own subject to colleagues & students.
	Make presentations at conferences or exhibit at appropriate national or international events.
	Develop research objectives, projects & prepare research proposals acting as leading investigator or project leader in collaborative projects. Contribute to development of research strategies.
	Generate new research approaches and identify, adapt, develop and use research methodologies and techniques appropriate to the type of research.

	Attract and supervise PhD students to ensure their successful completion
	Demonstrate research activity including for example regular dissemination through peer reviewed publications or research impact.
	Contribute to the wider internal and external research community e.g. by reviewing journal articles, promotions peer review, peer review of research grants and membership of professional bodies.
Communication	Disseminate complex and conceptual ideas to a variety of audiences using appropriate media and methods to promote understanding
Liaison and Networking	Contribute to internal groups/committees e.g. chair/participate in Faculty or institutional committees.
	Contribute to external networks e.g. acting as examiners, external assessors, or members of validation panels, professional body activities, peer review or community engagement.
	Develop links with other educational bodies to foster collaboration.
Teamwork and Motivation	Provide advice and support to other colleagues, and provide academic leadership, e/g. programme or project leadership, sharing expertise or mentoring.
	Demonstrate a track record of providing input into the development of the team or coordinating the work of others.
	Demonstrate developing expertise in an area of pedagogy/research which has been influential to others.
	Lead teams within area of responsibility, ensure teams work together and act to resolve any conflicts between teams.
	Contribute to the efficient management & administration of the department /faculty as required by the Head and by taking appropriate academic coordinating roles, e.g. examinations, admissions, REF, outreach activities.
Pastoral Care and Welfare	Deal with referred issues for students within programmes
	Provide support for colleagues as required.
Initiative and Problem Solving	Have experience of module leadership, making decisions regarding operational aspects of own programme, including problem solving.
	Collaborate with colleagues to enhance and implement assessment procedures.

	Provide constructive input which affects the strategic development of the programme or department on strategic issues, e.g. balance of students, recruitment, staff appointments & other performance matters.
	Demonstrate contribution to assurance and enhancement of quality & other external assessments.
Decision Making	Contribute significantly to the development and implementation of strategy within the department
Planning and Organising Resources	Take part in departmental level strategic planning processes.
	Plan delivery of research, consultancy or similar & ensure adequate resources.
Sensory and Physical Demands	Evidence of successful balancing pressure of teaching, research and administration demands and their competing deadlines.
Knowledge and Experience	Evidence of external profile gained through research or impact
	Evidence of contributing to new knowledge and practice in your field.

## **Appendix 2: Terms of Reference**

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**TERMS OF REFERENCE AND MEMBERSHIP FOR A UNIT OF ASSESSMENT  
(UoA) WORKING GROUP**

**REF UoA** *[number and subject]*

**CONSTITUTION** *[Insert Academic Year]*

**1. Membership (see Appendix 1)**

**UoA Lead(s) (Chair)**

**Other members:** academic staff members of the UoA/ Department (minimum of 2 and maximum of 8)

**Secretary:** subject administrator or equivalent where available, or members on rotation

**Names of members:**

UoA Lead(s):

Other members:

Secretary: *[or members on rotation]*

**2. Terms of Reference**

The UoA Working Group will:

- a) write, and revise as required, the UoA's Strategy, critically reflecting on the outcomes of REF 2014 as appropriate
- b) develop the UoA's submission for the next REF in accordance with the UoA's Strategy
- c) collectively select outputs for submission to external assessors
- d) consult externally on developments towards REF 2021
- e) strategise for potential impact case studies REF 2021, elicit potential impact case studies and submit for external assessment



- f) strategise to implement and sustain a strong UoA environment and draft a UoA environment statement and submit for external assessment (e.g. develop and monitor external funding bids from the UoA/Department and research student recruitment and completions)
- g) undertake equality and diversity training as outlined by REF Management Group
- h) undertake other training as outlined by REF Management Group (e.g. Impact Case Study workshops)
- i) co-ordinate with the Faculty Head of RKE, REF Management Group and the RKE Centre
- j) co-ordinate and submit internal funding bids through the UoA Funding pathway which makes strategic use of available funds
- k) maintain oversight of the use of internal funds in accordance with the awards made by Grants Committee
- l) adhere to the University's Code of Practice for Research and the REF Code of Practice
- m) adhere to the University's Code of Practice for Equality and Diversity
- n) keep a written record of decisions relating to staff, outputs and other aspects of the UoA submission (see below)
- o) Advise REF Management Group of progress and issues arising pertinent to the UoA submission

### **3. Meetings**

Meetings will be held three times per academic year

### **4. Quorum**

There shall be a quorum when half the members plus one are present

### **5. Agenda**

(a) The agenda shall be circulated to members at least one week prior to meetings, except in the case of emergency meetings

(b) Members shall be entitled to submit relevant agenda items to the Chair for inclusion in the agenda

## **6. Notes of meetings**

Notes shall be kept of the proceedings of all meetings of the Committee, and a copy sent to REF Management Group

An anonymised version of the notes (or short summary of key outcomes) may be sent to Faculty RKE Committee

### **APPENDIX 1: Notes on membership**

#### **1. Membership**

##### **UoA Lead(s) (Chair)**

- The UoA Lead should be nominated by the Faculty (normally in agreement between the Dean, Faculty Head of RKE and Head of Department)
- The UoA Lead will be nominated through a transparent process of call for Expression of Interest and interview involving the Faculty Head of RKE and at least the Dean and/or Head of Department
- The UoA Lead will normally be an established researcher in the field e.g. May have been submitted to previous Research Excellence Framework (REF) / Research Assessment Exercises (RAE); may hold Reader or Professorial title; but must have strong research leadership skills
- Faculties may wish to nominate a co-lead to share expertise and workload and/or to provide a professional/career development opportunity for an Early Career Researcher / emerging researcher to garner leadership experience

**Other members:** academic staff members of the UoA/ Department (minimum of 2 and maximum of 8)

- The number of members (2-8) will depend upon the range of experience available and likely size of the FTE to be entered
- The members should be active researchers in the field
- The members should normally, where profiles permit, include Professors (Research) and Readers in the field
- The members should normally, where profiles permit, also include one or two Early Career Researchers / emerging researchers for mentoring purposes

**Secretary:** subject administrator or equivalent where available, or members on rotation

#### **2. Changes in membership:**

- The UoA Lead may step down from the role by offering 6 weeks' notice in writing to the Faculty Head of RKE, Dean and Head of Department
- Where a member is unable to attend meetings on a regular basis, the UoA Lead (in consultation with the Faculty Head of RKE) may ask them to step down by offering 6 weeks' notice in writing
- Where concerns are raised about the level of progress being made by a UoA Working Group, including concerns that the Terms of Reference are not being complied with, the Faculty Head of RKE (and Dean and/or Head of Department and/or Director of RKE) may investigate accordingly and implement an agreed action plan with the UoA Lead

**REF WORKING GROUP  
CONSTITUTION & MEMBERSHIP PROFORMA**

**Chair, Director of RKE:**

**Leaders of Units of Assessment:**

**Faculty Heads of Research:**

**Secretary:**

**2. Terms of Reference**

- (a) The University REF Working Group will be set up consisting of leaders of each Unit of Assessment, the Faculty Heads of RKE, and the Director of RKE.
- (b) The terms of reference and membership will be approved by the Senate Research and Knowledge Exchange Committee and circulated to all academic and research staff.
- (c) The Working Group has an advisory role, informing the REF Management Group of issues and matters for discussion relating to REF processes and procedures.

**3. Meetings**

Meetings will be held three times per academic year; additional meetings will be convened as required.

**4. Quorum**

There shall be a quorum when half the members plus one are present.

**5. Agenda**

- (a) The agenda shall be circulated to members at least one week prior to meetings, except in the case of emergency meetings;
- (b) Members shall be entitled to submit relevant agenda items to the Chair for inclusion in the agenda provided notice is given by 2 p.m. on the previous Monday.

**6. Notes**

Notes shall be kept of the proceedings of all meetings of the Group, and a copy sent to the next meeting of the REF Management Group.

## **7. Attendance of Advisors**

The Chair may invite to a meeting a person or persons to act in an advisory capacity.

## **8. University Officers**

The Chair may invite other members of staff to attend from time to time, in relation to specific issues, as appropriate.

## **9. Amendments to the Constitution**

Amendments to the Constitution may be made at a duly constituted meeting of Senate.

## REF MANAGEMENT GROUP CONSTITUTION

### 1. Membership

**Chair:** Director of Research & Knowledge Exchange

First Deputy Vice-Chancellor (Academic)

Faculty Heads of RKE

**Secretary:**

PA to the Academic Directors

### 2. Terms of Reference

The Committee will:

- (a) Consist of Faculty Heads of RKE, the Director of RKE (chair), the First Deputy Vice-Chancellor and the PA to the Academic Directors (Secretary).
- (b) Agree the Institutional Code of Practice for REF 2021 and manage the implementation of equality and diversity training for the REF Management Group, The REF Working Group, UoA Leads and REF UoA Working Groups and the Equality Impact Assessment.
- (c) Agree the roles involved in preparing REF submissions, the occupants of those roles, and the mechanism by which selection decisions will be reached within the Units of Assessment, setting out the level(s) at which groups or committees will operate (for example, the Unit of Assessment group will report to the Management Group).
- (d) Consider and approve the draft and final versions of the REF 2021 submission relating to the Unit(s) of Assessment, for forwarding as required to the Vice-Chancellor for final approval.
- (e) Agree and to communicate to staff a timescale for the development of the submission to meet deadlines laid down by the University.

- (f) Ensure that all discussions on submissions take place in accordance with the University's Equal Opportunities Policy, that decisions are appropriately recorded, mindful of Data Protection issues, and that sensitive personal information is disclosed to the fewest number of people possible.
- (g) When drawing up the submission, scrutinise the inclusion or non-inclusion of individual members of staff in the submission, and ensure that all relevant information is obtained to inform decisions.

### **3. Meetings**

Meetings will be held three times per academic year; additional meetings will be convened as required.

### **4. Quorum**

There shall be a quorum when half the members plus one are present.

### **5. Agenda**

- (a) The agenda shall be circulated to members at least one week prior to meetings, except in the case of emergency meetings;
- (b) Members shall be entitled to submit relevant agenda items to the Chair for inclusion in the agenda provided notice is given by 2 p.m. on the previous Monday.

### **6. Attendance of Advisors**

The Chair may invite to a meeting a person or persons to act in an advisory capacity.

### **7. University Officers**

The Chair may invite other members of staff to attend from time to time, in relation to specific issues, as appropriate.

### **8. Amendments to the Constitution**

Amendments to the Constitution may be made at a duly constituted meeting of Senate RKE.

### **Appendix 3: Role Descriptors**

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## **FACULTY HEAD OF RESEARCH & KNOWLEDGE EXCHANGE ROLE DESCRIPTOR**

The Faculty Head of RKE is responsible to the Dean of Faculty for the development and delivery of appropriate parts of the University and Faculty Strategic Plan.

The Faculty Head of RKE will support the Dean in providing leadership that fosters and empowers the staff of the Faculty and ensures an environment in which academic and scholarly activities of national and international importance may flourish. They will be responsible for oversight of the work of the Faculty KE Lead.

The Faculty Head of RKE may undertake other duties by agreement with the Dean. These may include teaching, research, knowledge exchange, or other Faculty / University roles.

The following is indicative of the general nature of the role, however Deans may adapt minor details of the role descriptor accordingly by negotiation with the role holder and Director of RKE.

The role carries 800 hours, which will be reviewed after REF 2021.

## **MAIN DUTIES AND RESPONSIBILITIES**

### **RESEARCH AND KNOWLEDGE EXCHANGE**

- Management and implementation of the Faculty RKE Strategy and revision and updating where required
- Chair Faculty RKE Committee
- Reporting on RKE: compiling the Faculty Annual RKE Report and providing information for other reporting purposes as required
- Funded RKE projects and internal funding awards in the Faculty: oversight of quality assurance, including finances (the latter in conjunction with the Faculty Manager)
- Research Environment: monitoring of Faculty research events, including seminars
- RKE Ethics: oversight of Faculty RKE ethics policy and practice in liaison with the Faculty Research Ethics Representative(s)
- Staff development: working with staff individually to develop and enhance RKE profiles and organising Faculty RKE development/training events as appropriate
- REF: overseeing the development and preparation of REF submissions including working closely with UoA leads and UoA working groups and co-ordinating documents and data as required. This includes meetings relating to REF Outputs, REF Environment and REF Impact
- Attending all University RKE meetings, including extraordinary meetings such as University Open Meetings, and informal meetings with the Director of RKE. From time to time also attending Research Ethics meetings as required
- External income generation: developing strategies for increasing external income and providing support and advice for the development of internal and external funding bids (in conjunction with the University's Research Funding Manager)

- Supporting colleagues on role profiles which include research and those who have ambitions to move onto role profiles which include research

## **AS A MEMBER OF THE FACULTY MANAGEMENT TEAM**

### **Resource management**

- To manage, and be accountable and responsible for, resource matters within the Faculty with prudence, fairness and in accordance with University policies

### **Planning**

- To be responsible for the formulation, development, implementation, updating and auditing of Faculty Plans
- To prepare a contribution on RKE to the Faculty Annual Operating Statement if required by the Dean

### **PLUS**

- Meet with the Director of RKE as required (e.g. single issue meetings) and undertake tasks/projects as agreed
- Contribution to nomination/appointment/monitoring of Visiting Fellows, ECR Visiting Fellows, University Research Fellows
- Overseeing Research Centre/Centre activities and co-ordinating reporting by the Centre leads to Faculty RKE and Senate RKE as appropriate
- Oversee Faculty PGR matters

### **Ex-Officio Membership of University Committees/Working Groups/Panels**

- Senate RKE Committee
- RKE Grants Committee (reviewing funding applications from across the University)
- REF Management Group and REF Hours Panel
- REF Working Group
- University Research Fellowship Assessment Panel
- WUP Management Board
- HEIF Funding Working Group
- Unit of Assessment Working Groups

### **Membership of Faculty Committees**

Faculty RKE Committee (Chair)

Faculty Management Group

## **JOB DESCRIPTION: Director of Equalities and Staff Development**

**POST:** Director of Equalities and Staff Development

**FACULTY/SERVICE:** Senior Management Group

**REPORTING TO:** First Deputy Vice-Chancellor

### **THE POST**

As the Director of Equalities and Staff Development, you will work alongside the existing Directors of Research and Knowledge Exchange and Academic Quality and Development. You will have a key strategic role in taking the University forward by ensuring that all staff, whether management, academic or support, are appropriately supported and developed and that the University can secure the continuing professional standards of all our staff, especially those new to HE.

You will work closely with Human Resources, the Widening Participation team, the Student's Union, Equality Interest Groups and the Equality & Diversity Forum within the University and with key bodies external to the University to enhance and advance the University's culture of inclusion through the development of policies, practices, procedures and initiatives.

### **MAIN DUTIES AND RESPONSIBILITIES**

#### **Equalities:**

- Responsible for the strategic planning of the University's equalities agenda and all associated activities
- Responsible for ensuring that staff and student equalities annual monitoring data is published in accordance with our public sector duty
- Analysing equality data relating to both staff and student communities to establish and address any areas of concern
- Recommending appropriate university equalities objectives to the First Deputy Vice-Chancellor, based on internal data monitoring and external kitemarks (e.g. Stonewall, GEM), together with the development and implementation of operational plans to meet agreed objectives
- Creation of integrated processes to SMT and Board level to monitor and plan objectives
- Responsibility for developing and implementing policies, procedure, practices and initiatives which promote inclusivity, enhance diversity and ensuring that the University meets all its legal obligations in respect of equality and diversity
- Establish and promote best practice in equality and diversity through attendance at seminars and events, professional networking and accessing advice and

- guidance from external agencies such as the Equality Challenge Unit
- Leading the implementation of the Gender Equality Charter Mark action plan, with a view to making a submission to the ECU for a gold or silver award
- Complete the University's annual submission to the Stonewall Workplace Index with the objective of the University breaking into the top 100 employers listed by the Index
- Offering advice and guidance to the Equality & Diversity Committee, the Dignity at Work Network, the Student Union and individual managers, staff and students on equality and diversity matter

#### **Staff development:**

- Manage, organise and deliver new staff induction three times per year, including contributing presentations on professional development to all staff and to academic staff more specifically
- Support the induction and development of Graduate Interns
- Ensure that the University's strategic staff development priorities are addressed through the University's central Staff Development programme and ensure that Faculties and Departments create and evaluate their own staff development plans
- Manage the University's central Staff Development programme and ensure that details of this provision are fully disseminated
- Monitor centrally-organised staff development activity to ensure appropriate and active participation and increase participation where necessary
- Consider staff development activities across Faculties and Departments with a view to, where possible, bringing efficiency gains and sharing best practice
- Monitor the operation of the Staff Development and Review Scheme and provide training for those new to reviewing
- Work with the Director of Academic Quality and Development and Director of Research and Knowledge Exchange to ensure that the University can secure the continuing professional standards of all our staff, especially those new to HE
- Investigate and explore the possibility of making Personal Development Planning material available for staff on the University intranet, possibly via iTrent
- Support Associate Lecturers, hourly-paid Lecturers and relevant staff of our collaborative partners by way of induction and other forms of development
- Support the development and training of managers in the University, including implementation of the new VC's Leadership Programme and delivering of ILM programmes
- Support the organisation of management 'away days' for senior managers, liaising with external speakers and with the VC's Executive Officer as appropriate
- Explore and develop formal mentoring systems and processes which will contribute to professional development, especially for those at an early stage in their career
- Manage and deliver the staff-student shadowing scheme
- Facilitate work shadowing around the University and with external organisations

as appropriate

- Develop further collaboration relating to staff development with other HEIs in the region, seeking to achieve economies of scale and shared good practice
- Evaluate centrally-planned staff development activities, responding to feedback from participants so that provision is continually enhanced
- Chair the University Staff Development and Training Group (SDTG), which reports to UMG by way of its notes
- Report annually to Planning and Resources Committee and Human Resources Committee on staff development activity across the University