

**Code of practice on the fair and transparent identification of staff and selection of outputs for submission to the Research Excellence Framework 2021**

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## Part 1 Introduction

Norwich University of the Arts (NUA) is preparing its submission to the Research Excellence Framework 2021 (REF2021) according to the principles of transparency, consistency, accountability and inclusivity, and in relation to existing university policies and statements that ensure equality, fairness, honesty and inclusiveness in the treatment of staff. As a specialist Arts University, NUA will submit to units of assessment within REF Main Panel D and so will conform to the guidance offered by that panel in REF documents, including: Guidance on Submissions, Panel Criteria and Working Methods, Guidance on codes of practice <https://www.ref.ac.uk/guidance/>.

This code of practice ('the Code') is intended to ensure that our preparations for REF2021 are conducted in accordance with these principles, and to promote equality, comply with legislation and avoid discrimination. The provisions of the Code also ensure that the University mitigates against the impact of unconscious bias, and pays due regard to how intersectionality and the accumulation of disadvantage may impact on individuals or groups of staff. It sets out the principles and processes that will be used to identify staff with significant responsibility for research, for determining research independence and for the selection of outputs for inclusion in the submission. It also identifies the roles, responsibilities, operating criteria, and terms of reference of the individuals and committees that will be involved in the process, the training they will receive, and the methods of communication and dissemination that will be used.

The Code also details the appeals process that will ensure consistency and adherence in applying the Code and the equality analyses that will inform preparation of the REF2021 submission. Throughout this Code, particular attention will be paid to the steps that will be taken to ensure equality and transparency in all aspects and all stages of the preparation of the submission. The Code will apply to all members of the University involved in REF2021 both in preparing and being included in the submission.

Since REF 2014 the University has reviewed its Single Equality Policy in order to better describe the principles of equal treatment, promotion of diversity, integration and inclusion in all aspects of its operations, and will relaunch this as the Equality, Diversity and Inclusion Policy in June 2019. The staff development programme has been strengthened, particularly regarding Equality and Diversity, guided by the NUA Single Equality Scheme, and includes the Equality and Diversity Essentials training package for new staff, Online training in unconscious bias for all staff, Mental Health First Aid training, Raising Awareness: fighting Depression, Supporting Students with Disabilities, Enhancing the Learning Experience of Dyslexic students.

The current gender profile of academic staff of 40% female and 60% male is slightly below the 44%/56% profile in REF2014. The University has taken a proactive approach to

supporting female academic staff in their career development and this is reflected in the slightly increased proportion of female academic staff employed as Senior Lecturers and higher grades compared to 2014. In 2018-19, 66% of female academic staff were in roles at Senior Lecturer level or above, compared to 53% male. The University has also strongly encouraged female academic staff to participate in the Aurora Women Only programme (AdvanceHE). The University's gender pay gap reports, published on the NUA website, show a narrowing gap which is well below the sector mean. In 2017 the gap in the mean hourly rate was 9.07% which reduced to 6.23% in 2018.

The introduction of more family-friendly HR policies ensure that employment is accessible to all suitably qualified staff and that staff can maintain a healthy work-life balance. Since 2015 the following policies have either been updated or newly introduced:

- Shared Parental Leave
- Parental Leave Guidance
- Maternity and Adoption Policies
- Paternity Leave
- Flexible Working
- Harassment, Bullying and Victimisation
- Guidance on Menopause in the Workplace (new in 2019).

In terms of disability, the University has a similar profile to REF2014, with around 52% disclosing a specific learning disability such as dyslexia or dyspraxia. In order to support a diverse academic community, the University has facilitated a range of external and internal training to raise awareness of neurodiversity and how best to support staff. Reasonable adjustments are made through the recruitment and selection process for applicants, and for employed staff in their roles. The University has also introduced a range of well-being and resilience measures including workshops run by Norwich and Central Norfolk MIND, including an interactive Mental Health Awareness workshop and workshops on managing mental health and resultant stress in the workplace. The 'Big White Wall' anonymized counselling platform was introduced in March 2019 to support wellbeing and mental health.

The proportion of Black, Asian and Minority Ethnic staff (BAME) has increased slightly since 2014 from 2.6% to 3.1%, and remains an area of priority for the University. This remains a challenge for us, and the overall profile for Norfolk is not much higher with just 4% of employed people describing themselves as from a BAME origin. Posts are advertised through a range of diverse media in order to encourage BAME applicants to apply for vacancies.

Finally, the University has developed three Academic Excellence Pathways for academic staff in order to recognise, reward and develop the range of skills and expertise staff contribute to the life of the University: Teaching and Student Engagement; Knowledge Exchange; Research (see paragraphs 2.1.3 – 2.1.8 of the Code).

## 1.1 Principles

### **Transparency**

The Code outlines the procedures that will be used to identify staff with significant responsibility for research, for determining research independence, and for the selection of outputs. The University is committed to being open and transparent about its decision-making for REF2021 through communicating and disseminating the Code to all Category A eligible staff<sup>1</sup> and explaining the processes for preparing the REF submission (see also sections 1.5 & 2.4 of the Code).

### **Consistency**

The principles governing the processes covered by the Code will be applied to all aspects and stages of the REF submission preparation at all levels within the institution.

### **Accountability**

The Code outlines the roles, responsibilities, operating criteria and terms of reference of the individuals and bodies involved in selecting staff for the REF submission along with details of training that will be provided and levels of understanding that will be required. It describes the rationales of these roles, how they fit into the institutional management framework, and the ways in which communication and record keeping will be organised. The tasks of key committees and reporting groups are identified in section 4.2 of this Code.

### **Inclusivity**

The policies, procedures and processes outlined in the Code are designed to promote an inclusive environment regarding the preparation of the University's submission to REF2021. It includes information concerning the arrangements for staff to disclose individual circumstances and will apply equally to full-time, fixed-term and part-time staff. It also describes the procedures that will be implemented for the provision of feedback and for managing complaints and appeals.

## 1.2 Legislative context

The University has responsibilities as an employer and as a public-sector organisation under the Equality Act 2010, including the Public-Sector Equality Duty (PSED). As an employer, the University must ensure that its policies do not directly or indirectly discriminate against its employees on the grounds of their Age, Disability, Gender Reassignment, Marriage and Civil Partnership, Pregnancy and Maternity, Sex (Gender), Race, Religion or Belief, Sexual Orientation. In discharging its duty under PSED, the University must pay due regard, in addition to eliminating discrimination, to advancing equality of opportunity and fostering of

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<sup>1</sup> For a definition of Category A eligible staff, see section 2.1.3(i) of the code

good relations between staff with different characteristics. These obligations apply to all REF selection procedures.

### **1.3 Framework of Governance and Compliance**

1.3.1 The University's Research Committee has the major responsibility for overseeing and directing the University's preparation for the submission to REF2021, including the operation of the Code. The Research Committee will delegate the operation and implementation of the University's REF 2021 strategy to the REF Steering Group (REFSG) and receive reports from this group. The Chair of the Research Committee, Director of Research and Senior Research Manager will comment and advise Senate on the REF proposals made by Research Committee. The Research Outputs panel will evaluate NUA research outputs according to the agreed assessment criteria and report on progress to the REF Steering Group. Administrative processes and a secretariat for the REF submission will be provided by the Research Administration team. See Appendix 3 for a diagram of the reporting structure.

The Equality, Diversity and Inclusion Committee will ensure compliance with the University's Equality, Diversity and Inclusion Policy, review the operation of the Code and all Equality Impact Assessments, including any action to be taken. The committee will report on these matters to Research Committee. A smaller group of staff, the REF Equality, Diversity and Inclusivity Group (EDIG) will assess staff circumstances and report the outcome of these to Research Steering Group (see Section 4.3 of the Code). EDIG will prepare Equality Impact Assessments and report these to Equality, Diversity and Inclusion Committee and Research Committee. Membership of committees, groups and panels involved in preparing and approving NUA's submission to REF 2021 will reflect the diversity profile of the University's Category A staff as far as this is possible within a small specialist University. Where necessary external researchers will contribute to the work of these groups.

1.3.2 University policies and documents related to the Code can be found in the appendices to the Code, including:

- Equality, Diversity and Inclusion Policy and Objectives
- Academic Excellence Pathways Guidance and Designation Form
- NUA Assessment criteria for research outputs
- REF Declaration of Individual Staff Circumstances Guidance Notes and Pro-forma
- Research Output Information Form
- Research Output Review Form and assessment criteria
- REF Stage 1 Appeal form and Guidance
- REF Stage 2 Appeal form and Guidance

The Code should be read alongside the following University documents, copies of which can be found on the University staff intranet:

- Data Protection Policy
- Research Strategy 2015-20
- Research Governance and Standards Policy
- Human Resources Strategy
- HR Policies and Procedures
- Quality Management & Enhancement Handbook
- Strategy for Learning

1.3.3 Membership and Terms of Reference for all relevant committees, groups and panels can be found in Appendix 3 of the Code.

#### **1.4 Development of processes**

The Code has been prepared in consultation with the Guidance on codes of practice (REF2019/03), Guidance on submissions (REF 2019/01), Panel criteria and working methods (REF 2019/02) and REF Equality Briefing for Panels, together with the Equality, and Diversity Advisory Panel (EDAP) Equality Impact Assessment for the Research Excellence Framework 2021 (March 2018), as well as the Open letter to the UK Higher Education sector on equality and diversity in REF 2021 from the Chair of EDAP. Copies of these documents can be obtained on the REF and EDAP websites.

The Code has been developed through a consultation and approval process involving staff (paragraphs 2.1.2 and 2.1.4 of the Code), the Research Committee, the Equality, Diversity and Inclusion Committee, and the Senate. These Committees have received equality briefings and will consider Equality Impact Assessments of the Code. Drafts of the Code were considered by Research Committee and the Equality, Diversity and Inclusion Committee in May 2019 and the Code was approved by Senate on 6 June 2019. The Code has been reviewed by the University's Director of Human Resources and the Academic Registrar.

#### **1.5 Communication**

The University is committed to communicating and disseminating the Code to all Category A eligible staff in accordance to the principles of transparency, accountability, consistency and inclusivity. The Code was uploaded to the University staff intranet and an email from the Vice Chancellor to all academic staff was circulated to disseminate the Code in June 2019. A copy of the approved Code will be uploaded in September 2019.

Staff who wish to receive a hard copy of the Code or a copy in an alternative format (e.g. large print, audio, dyslexia-appropriate) will be provided with one on application to the Research Office ([research@nua.ac.uk](mailto:research@nua.ac.uk)). The Code will be presented and discussed at Research and Knowledge Exchange days scheduled for 2019. Staff who are temporarily absent during the REF preparation period, for example staff on maternity, paternity or sickness leave, will be informed by post to their home address of the location of this Code and other REF materials on the staff intranet.

## Part 2 Identifying staff with significant responsibility for research

### 2.1 Policies and Procedures

2.1.1 The University values the contribution of its entire staff to the propagation of a vibrant academic culture through teaching, knowledge exchange, research, scholarly activity, and professional practice.

2.1.2 The University has developed three Academic Excellence Pathways for academic staff in order to recognise, reward and develop the range of skills and expertise staff contribute to the life of the University:

Knowledge Exchange Pathway;

Research Pathway;

Teaching and Student Engagement Pathway.

2.1.3 The research pathway is for staff who are independent researchers and have a significant responsibility for research. The criteria for nomination to the research pathway are as follows:

- (i) Contractual – Category A eligible staff are defined as academic staff on a contract of employment of 0.2 full-time equivalent (FTE) or greater whose primary employment function is 'teaching and research', or 'research only'; *and*
- (ii) Output-based – staff will normally have research output/s in the public domain within the REF2021 period<sup>2</sup>;
- (iii) *and* at least *one* of the following:
  - supervision of at least one PhD to successful completion since 1 August 2013;
  - led an externally funded research project as principal investigator or co-investigator since 1 August 2013;
  - held an independently won, competitively awarded fellowship where research

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<sup>2</sup> The number of research outputs may depend on your individual circumstances, please see section 4.3 of the code for further information on this. The REF 2021 qualifying period for research outputs is 1 January 2014 to 31 December 2020.

independence is a requirement within the REF2021 period;

- having significant input into the design, conduct and interpretation of one or more research projects;
- evidence of peer esteem for research activity (for example, membership of editorial boards, peer review college membership, juries, selection panels for acquisitions, etc.) within the REF2021 period;
- qualify as an Early Career Researcher (ECR) for REF2021<sup>3</sup>.

2.1.4 Staff who have self-designated for the research pathway may be required to provide evidence that they meet the above criteria as being independent researchers and having a significant responsibility for research, that is to supplement the records held by the Research Office. However, self-designation will be the key element of allocating staff to the academic excellence pathways.

2.1.5 Category A eligible staff who are on teaching and research contracts and who are on the research pathway meet the University's requirements as an independent researcher.

2.1.6 All staff on the research pathway on the REF census date (31 July 2020) will be returned to REF2021. The Human Resources department will identify the support available for staff with a significant responsibility for research and the responsibilities of the research pathway, which include engaging with the University's preparation for submission to REF2021. We recognise that circumstances change and that staff may qualify for the research pathway during the REF2021 preparation period. Staff should notify the Research Office of any change that might cause them to consider nominating to the research pathway after July 2019.

2.1.7 The University recognises that staff who self-designate to the Teaching and Student Engagement or Knowledge Exchange pathways may also aspire to meet the criteria for the Research pathway as part of their career development. If so, they can elect to join the University's Emerging Researcher programme at their Annual Appraisal and Development Review (ADR), which will qualify them for research mentoring support and emerging researcher development events.

## **2.2 Development of processes**

2.2.1 In April 2018, all eligible staff were invited to declare their interest in preparation for the University's submission to the Research Excellence Framework and subsequently to submit information on their research outputs. This invitation was repeated in December 2018. Staff

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<sup>3</sup> REF 2021 defines an Early Career Researcher as a category A eligible member of staff who started their career as an independent researcher on or after 1 August 2016



were informed of the University's plans and progress towards the REF submission at the University Development Days on 9 July 2018 and 8 April 2019, with detailed exposition and consultation taking place at Research days in 2018-19.

Staff will be informed of the progress of REF preparations at each University Development Day and Research and Knowledge Exchange (RKE) events to April 2021 (six events a year). New staff are notified by the Human Resources department to the Director of Research who will ensure that REF preparation progress is part of the staff induction programme.

- 2.2.2 The initial development of the Academic Excellence Pathways project was led by members of the University's Senior Management Team and the Senior Research Manager. This included the rationale for the pathways, the titles of pathways and criteria for each pathway. An Academic Excellence Pathways Steering Group was established from this team.
- 2.2.3 All academic staff were invited to attend one of six consultation meetings on the Academic Excellence Pathways project arranged in March and early April 2019, with attendance being recorded to monitor that academic staff were able to attend. These meetings were for groups of 10-15 staff, with a short presentation on the proposed pathways and their criteria followed by responses from the staff and discussion.
- 2.2.4 Staff were invited to email any issues and responses they had on the pathways project to a designated email address and to discuss their thoughts and designation with their course leader and/or identified advisors on the Pathways: Deans, the Director of Innovation and Engagement, and the Senior Research Manager.
- 2.2.5 The Pathway designation form completed by staff included a 'details' section (see Appendix 5a), which a number of staff used to identify their reasons for choosing a pathway; some included information on the value of their chosen pathway.
- 2.2.5 The Pathways Steering Group reviewed feedback on the project in four meetings held between April and July 2019. The feedback was from the consultation meetings, from individual discussion at staff requested meetings, from email responses and from a spreadsheet of all responses on Pathway designation forms. A number of changes to pathway criteria and to the pathway designation form were made as a result.
- 2.2.6 Feedback was overwhelmingly positive from academic staff at all stages of their career and across the range of subject areas. Staff particularly indicated that the Pathways would enable their activity in the areas of Knowledge Exchange and Teaching & Student Engagement to be acknowledged and validated by the University. Notes of the Pathway Steering Group meetings identify the nature of this feedback and its review.

- 2.2.7 It was not possible to complete the consultation and self-designation process for the Academic Excellence Pathways before the deadline for submitting the Code in June 2019. A senior member of staff central to defining the criteria for one of the pathways was absent from October 2018, delaying the start of the consultation process of the project until Spring 2019 when an appointment was made in support of the process.
- 2.2.8 Academic staff were invited to self-designate to a pathway in June 2019 in accordance with previously published criteria and the Academic Excellence Pathways project was completed for 2018-19 in July 2019 (see Appendix 5a of the Code). Thereafter, staff will confirm or review their designation to a pathway as part of the University's annual appraisal and development review process. New Category A eligible staff will be required to self-designate to a pathway at the start of their contract.
- 2.2.9 The Academic Excellence Pathways project was further discussed with academic staff as part of University Development Day on 8 April 2019 and at Academic Excellence Pathway workshops at University Development Day on 8 July 2019 as well as part of the Research and Knowledge Exchange day on 12 July 2019. This process is ongoing in 2019-20 with the Pathway Steering Group meeting each month. A Pathway Planning Forum was held on 23 October 2019 as a discussion group with all Undergraduate Course Leaders to consult on how self-designation and related support of pathways is developing.

### **2.3 Staff, committees and training**

2.3.1 Academic staff self-designate to NUA Academic Excellence Pathways, as identified in Section 2.1 of the Code. The Pathways Steering Group is responsible for reviewing input from academic staff on the pathways project, the pathways criteria and communication of progress on the pathways project to NUA staff. The Pathways Steering Group is chaired by the Pro Vice-Chancellor Academic and includes the Dean of Arts and Media, the Dean of Design and Architecture, Director of Innovation and Engagement, Director of Research, Senior Research Manager and Director of Human Resources. The Pathways Steering Group reports to the Senior Management Team. The roles and responsibilities of committees, groups and panels involved in preparing NUA's REF submission are outlined in section 4.2 of the Code.

#### **2.3.2 Training**

The Academic Registrar, as Chair of the REF Equality, Diversity and Inclusivity Group, provided REF-specific training on equality, diversity and inclusivity on 01 May, 10 May, 17 May, 21 May and 28 May 2019. The training was based upon the guidance and training informed by the Equality and Diversity Advisory Panel (EDAP). Members of the following committees and groups completed the mandatory training:

- Research Committee;

- Equality, Diversity and Inclusion Committee;
- REF Steering Group;
- Research Outputs Panel;
- REF Equality, Diversity & Inclusivity Group;
- Administrative staff supporting the REF submission.

2.3.3 Staff have undergone Unconscious Bias Training in 2018/19. The Senate and Stage 2 Appeals panel will receive the REF-specific training in the Autumn term of 2019, with a REF equality briefing to include use of the Code before each of its meetings.

2.3.4 Further REF EDI training that will use specific anonymised examples related to individual circumstances, research outputs and impact case studies will be delivered in the Autumn term of 2019 to the REF Equality, Diversity & Inclusivity Group, the Research Outputs Panel and the REF Steering Group.

## **2.4 Communication**

2.4.1 The Human Resources department will receive the Academic Pathway designation forms and collate lists of staff self-designations for each pathway. These will be available on the intranet and available at University Development Day on 8 July 2019.

2.4.2 NUA is committed to communicating and explaining the processes for preparing its REF submission in accordance to the principles of transparency, accountability, consistency and inclusivity.

It will:

- Present progress on the REF submission at University Research and Knowledge Exchange days and University Development days scheduled for 2019, 2020 and 2021;
- Publish and update Frequently Asked Questions (FAQs) on our preparations to submit to REF2021 on the staff intranet;
- Encourage staff to discuss questions they may have on the University's preparation for REF2021 with the Director of Research or Senior Research Manager. Staff will also be encouraged to email questions or suggestions related to REF to the research email address, ([research@nua.ac.uk](mailto:research@nua.ac.uk));
- Ensure that NUA Human Resources contacts those staff who are unable to access the University's email facility or are absent from work due to sabbatical leave, parenting duties, sick leave or other absence to draw their attention to guidance available on the University's website and staff intranet site;
- Ensure that members of staff are notified in writing about University decisions with regard to inclusion of their authored outputs in the REF submission and provide appropriate and timely feedback for with provision for appeals to be considered before the final selection is made.

## **2.5 Appeals**

NUA's REF appeals process is detailed in section 4.4 of the Code. As staff are self-designating to the research pathway, there is no need for an appeals process related to determining significant responsibility for research.

## **2.6 Equality Impact Assessments (EIAs)**

The University will conduct equality impact assessments (EIAs) on the Code of practice, composition of the academic excellence pathways, committees and working groups involved in REF preparations, policies and procedures for selecting staff outputs for the REF, and impact case studies. This will include a comparative equality profile report on the diversity characteristics of staff with significant responsibility for research. EIAs will not include any reference to individual members of staff. They will be prepared by the REF Equality, Diversity & Inclusivity Group and reviewed by the REF Steering Group which will report to Research Committee and the Equality, Diversity and Inclusion Committee which reports to Senate, including any recommended actions to be taken.

Equality Impact Assessments will be completed according to the following timetable:

EIA 1: Committees – May 2019

EIA 2: NUA Code of Practice – June 2019

EIA 3: Academic Excellence Pathways – August 2019

EIA 4: REF working groups and panel – August 2019

EIA 5: REF Steering Group and Research outputs panel – September 2019

EIA 6: Research outputs – February 2020

EIA 7: Impact Case Studies – October 2020

EIA 8: Research outputs final selection – November 2020

EIA 9: NUA REF2021 submission – April 2021

The University will seek to achieve best practice in the area of equality, diversity and inclusivity by involving, where possible, staff with protected characteristics in the EIAs (see Guidance on codes of practice REF 03/2019). EIAs will be made public after the REF 2021 submission has been finalised.

## **Part 3 Determining research independence**

### **3.1 Policies and Procedures**

3.1.1 Category A eligible staff who are on teaching and research contracts and who are on the research pathway meet the University's requirements as an independent researcher.

3.1.2 Staff are identified as research-only on appointment through the job specification and interview. Staff who are on research-only contracts will be considered as independent researchers if they can demonstrate one or more of the following:

- (i) leading research, or acting as principal investigator or equivalent, on an externally funded research project;
- (ii) acting as co-investigator on an externally-funded research project;
- (iii) leading a research group or substantial research programme of work;
- (iv) having significant input into the design, conduct and interpretation of one or more research projects;
- (v) held an independently won, competitively awarded fellowship where research independence is a requirement within the REF2021 period.

3.1.3 Staff on research-only contracts should self-designate for the NUA research pathway outlining how they meet the eligibility criteria outlined in section 3.1.2. with appropriate evidence.

### **3.2 Staff, committees and training**

3.2.1 The roles and responsibilities of committees, groups and panels involved in preparing NUA's REF submission are outlined in section 4.2 of the Code.

3.2.2 Training for staff involved in the preparation of NUA's REF submission is outlined in sections 2.3.2 – 2.3.4 of the Code.

### **3.3 Appeals**

NUA's REF appeals process is detailed in section 4.4 of the Code.

### **3.4 Equality Impact Assessments (EIAs)**

NUA's programme of Equality Impact Assessments is set out in section 2.6 of the Code, including that related to the Academic Excellence Pathways.

## **Part 4 Selection of outputs**

### **4.1 Policies and Procedures**

4.1.1 All eligible staff who meet the criteria under Sections 2 and 3 will be submitted to REF 2021. The University will use the definition of eligible research outputs to determine the outputs to be submitted in respect of individual staff members, in accordance with the REF Guidelines on Submission (REF 2019/01, Part 3/2).

4.1.2 The University may submit outputs authored by staff who have left NUA where the outputs have been produced during the REF 2021 period while the member of staff was on a teaching and research or research-only contract at the University if the former member of staff is deemed by the Research Committee to have been able to meet the criteria listed in

paragraphs 2.1.3 and 3.1.2 respectively. Inclusion of any former members of staff in the University's submission to REF 2021 will only take place with their fully informed consent.

- 4.1.3 Former staff will be contacted in writing by the Research Office to request a written nominated list of outputs authored while the individual was an eligible member of staff at the University. This communication will include a list of any research outputs on the University's Research repository authored by the former member of staff within the REF 2021 period as well as a copy of this Code. In cases where the member of staff was made redundant, a contextual decision will be made regarding whether to request this list by the REF Steering Group in light of the individual circumstance of redundancy.
- 4.1.4 The written nomination of outputs returned by former members of staff will be deemed to constitute their fully informed consent for inclusion by the University in its submission to REF 2021. Once the former member of staff has returned the written nominated list of outputs, these will be considered equally with the outputs of current staff members during the review and selection process detailed in paragraphs 4.1.6 – 4.1.11 and the appeals process for research output selection indicated in section 4.4 below.
- 4.1.5 The minimum of one output may be waived in exceptional circumstances where staff can demonstrate that their individual circumstances have had an exceptional effect on their ability to work productively during the REF period so that they have not been able to produce an eligible output. Section 4.2 of the Code outlines how staff can submit their individual circumstances and how these will be considered.
- 4.1.6 Eligible outputs are defined for purposes of the REF as:
- (i) The product of research, defined as a process of investigation leading to new insights, effectively shared;
  - (ii) First brought into the public domain during the period 1 January 2014 to 31 December 2020;
  - (iii) Attributable to a current or former member of staff, who made a substantive research contribution to the output which must either be:
    - a. Produced or authored solely, or co-produced or co-authored, by an eligible staff member, regardless of whether the staff member was employed at the time that they produced that output or;
    - b. Produced or authored solely, or co-produced or co-authored, by a former staff member who was employed as an eligible staff member when the output was first made publicly available;
  - (iv) Available in an open-access form, where the output is within the scope of the open access policy.

- 4.1.7 Staff will nominate their authored outputs for consideration by the Research Outputs Panel, which will be responsible for evaluating nominated outputs. Eligible outputs will be selected with reference to the University's REF 2021 strategy and based on a judgement of quality. The selection of outputs is to determine the optimum return to REF2 to represent the University's excellent research. The University's criteria for the judgement of the quality of research outputs will be transparent and relate to the REF criteria: originality, significance and rigour.
- 4.1.8 The selection of outputs will aim to be fair and transparent, to maximise the University's quality profile and to represent the University's research according to the profile of staff with protected characteristics who are independent researchers and have significant responsibility for research. The use of Equality Impact Assessments on the selection of outputs will inform inclusivity in that, for example, in selecting outputs that have been evaluated as being of equal quality, the University will prioritise outputs authored by staff from under-represented groups.
- 4.1.9 Each output will be independently reviewed by at least two members of the Research Outputs Panel, who will complete a Research Output Review Form (see Appendix 5d of the Code) with comments against the criteria: originality, significance and rigour and a grading (U-4\*) against each section, with overall comments and an overall grading. These forms will be considered at a meeting of the Research Outputs Panel, where a final review and grading will be agreed. If no agreement is reached the output will be reviewed by a further member of the Research Outputs panel. Staff will receive the final review and comments as feedback and will be notified which of their outputs have been selected for inclusion. All staff who have submitted outputs will receive this feedback initially through a meeting with the Director of Research or Senior Research Manager. The feedback will be constructive in tone and explain how it relates to the REF criteria. The feedback will then be communicated in writing. At the meeting staff will be informed that they have the right of appeal against these decisions according to the NUA REF appeals process (see section 4.4 of the Code).
- 4.1.10 Decisions on double-weighting and cross-referring outputs will be made by the REF Steering Group from recommendations made by the Research Outputs Panel in consultation with staff who have authored the output and according to the criteria for double-weighting identified in the REF 2021 Panel Criteria and Working Methods, paragraphs 237-47.
- 4.1.11 **External Advisers**
- Where the University seeks external expert advice to inform decisions relating to the REF submission, advisers will be subject to the Code and will be briefed on the Code, its principles and operation. External advice may inform decisions on the selection of material for inclusion in the submission.

The Research Outputs Panel may consult external expert advisers on the grading of outputs that are interdisciplinary or in a subject field beyond its core expertise. An external adviser will benchmark a selection of the final grading and comments of the Research Outputs Panel.

#### 4.1.12 Timetable

<b>Date</b>	<b>Action</b>
7 June 2019	Deadline for submission of the Code of Practice
7 June	Workshop on evidencing practice-based research outputs
8 July 2019	University Development Day
12 July 2019	Research and Knowledge Exchange Day
26 July 2019	Completion of the Academic Excellence Pathways project. List of staff on the Research Pathway
August 2019	Equality Impact Assessment on Research Pathway membership
September 2019	Staff on the Research Pathway invited to nominate/confirm list of research outputs
From October 2019	Evaluation of Research Outputs
October 2019, February 2020	Benchmarking of a selection of outputs evaluation by External Advisor
February 2020	Equality Impact Assessment on initial selection of outputs
December 2020	Equality Impact Assessment on final selection of outputs
Monday 4 January 2021 (4pm)	Final deadline for Stage 1 Appeals
Friday 5 February 2021 (4pm)	Final deadline for Stage 2 Appeals
February-March 2021	Approval of submission by relevant groups and committees
31 March 2021	REF submission deadline

## 4.2 Staff, committees and training

4.2.1 The Terms of Reference and membership for the Senate, Research Committee, Equality, Diversity and Inclusion Committee, REF Equality, Diversity & Inclusivity Group, REF Steering Group and Research Outputs Panel, are detailed in Appendix 3 of the Code. Membership of committees, groups and panels involved in preparing and approving NUA's submission to REF 2021 will reflect the diversity profile of the University's Category A staff as far as this is possible within a small specialist university. Where appropriate external researchers will contribute to the work of these groups. Full membership of the REF Steering Group and Research Outputs Panel and REF



Equality, Diversity and Inclusivity group will be decided once the Academic Excellence Pathways project is completed in July 2019.

### **Responsibilities of key committees and groups in the preparation of the University's submission to REF2021**

#### **4.2.3 The Senate will:**

- (i) Approve all aspects of the REF submission for sign-off by the Vice Chancellor.

#### **4.2.4 Research Committee will:**

- (i) Approve the Code of Practice;
- (ii) Identify which REF Units of Assessment (UoA) the University will submit to;
- (iii) Define the overall quality level to be expected from submission;
- (iv) Approve detailed criteria that reflect the quality level expected by the University within each UoA to be submitted, based on the REF criteria specific to each UoA set out in REF 2019/02 Panel Criteria and Working Methods;
- (v) Approve all aspects of the University's REF submission (REF 1a/b/c, 2, 3a/b/c, 4a/b/c, 5a/b & 6a/b);
- (vi) Ensure transparency in the implementation of the REF Communication strategy;
- (vii) Receive reports from the REF Steering Group on the emerging character of the University's REF submission;
- (viii) Write to staff to inform them which of their research outputs will be submitted to REF2021 and of their right to appeal according to section 2.6 of the Code;
- (ix) Delegate actions to the REF Steering Group, the Research Outputs panel and the Director of Research to ensure that the selection of outputs and impact case studies is fair and consistent in accordance with the Code;
- (x) Receive reports from Equality, Diversity and Inclusion Committee on the implementation of the Code of Practice and Equality Impact Assessments and feedback to the REF Steering Group and REF panel on outcomes and any actions to be taken;
- (xi) Update Senate on the progress of the REF submission;
- (xii) Recommend Senate the final REF 2021 submission.

The Research Committee received a REF equality briefing at its meeting of 1 May 2019.

#### **4.2.5 Equality, Diversity and Inclusion Committee will:**

- (i) Review the Code of Practice and Equality Impact Assessments;

- (ii) Report to Research Committee and Senate on the outcomes of monitoring related to the operation of the Code:
- (iii) Receive reports from the REF Steering Group, the Research Outputs Panel and the REF Equality, Diversity & Inclusivity Group on the implementation of the Code;
- (iv) Ensure transparency in the implementation of the REF Communication strategy;
- (v) Report to Research Committee on the operation of the Code of Practice and Equality Impact Assessments and any action to be taken;
- (vi) Review the extent to which draft and final REF submission documents meet legal and institutional requirements for equality and diversity.

**4.2.6 REF Steering Group will:**

- (i) Propose assessment criteria for REF research outputs to be approved by Research Committee;
- (ii) Ensure that all eligible staff are notified concerning methods of appeal;
- (iii) Ensure that relevant staff are notified of all critical deadlines;
- (iv) Ensure the consistency of grading of the Research Outputs Panel and review the benchmarking of grading by the external advisor;
- (v) Ensure the accuracy of the staff details data (REF1a/b/c);
- (vi) Oversee the development of the Impact Template and Research Impact Case Studies (REF 3a & 3b);
- (vii) Receive the decisions of the REF Equality, Diversity & Inclusivity Group relating to individual circumstances and take these into account in developing the NUA REF submission;
- (viii) Ensure the accuracy of Research Environment data (REF 4a/b/c) and oversee the development of Research Environment narrative (REF 5a/b);
- (ix) Review whether a request for a unit reduction or removal of the requirement of the minimum of one output from each staff member is required (REF 6a/b).
- (x) Receive and comment on Equality Impact Assessments on the University's REF submission policies and procedures, and suggest amendments accordingly;
- (xi) Report to Equality, Diversity and Inclusion Committee on the implementation of the Code and on Equality Impact Assessments;
- (xii) Provide Stage 1 of the appeals process as detailed at paragraph 4.4.3.i of the Code;
- (xiii) Report to Research Committee on the progress of all areas of the University's REF submission.

#### 4.2.7 **Research Outputs Panel** will:

- (i) Operate the criteria approved by the Research Committee for assessing research outputs;
- (ii) Evaluate research outputs against the specified NUA REF criteria and make proposals for inclusion and exclusion of outputs to maximise the University's submission;
- (iii) Refer research outputs for external expert evaluation, for outputs that are interdisciplinary or in a subject field beyond its core expertise;
- (iv) Report to the REF Steering Group on the progress of NUA's REF preparation.

#### 4.2.8 **REF Equality, Diversity & Inclusivity Group** will:

- (i) Review the individual circumstances of eligible staff and report the outcome of its assessments to the REF Steering Group;
- (ii) Write to staff who declare individual circumstances to inform them of the outcome of the review of their circumstances and inform them of their right to appeal.
- (iii) Undertake Equality Impact Assessments on the academic excellence pathways, policies and procedures associated with the Code and University preparations for REF2021 and report these to Equality, Diversity and Inclusion Committee and Research Committee;
- (iv) Report to Equality, Diversity and Inclusion Committee on the implementation of the Code.

4.2.9 Training for staff involved in the preparation of NUA's REF submission is outlined in sections 2.3.2 – 2.3.4 of the Code.

### **4.3 Staff circumstances**

4.3.1 All staff on the Research pathway will be invited to complete a form about their individual circumstances. Staff who have circumstances that they believe have impacted on their ability to research productively during the REF assessment period will be able to declare their circumstances as part of this process. Declaration will be voluntary and the information provided will be at the discretion of the member of staff. The University will not consult HR records to supplement the information declared by staff.

4.3.2 To enable staff to disclose their circumstances confidentially, the process will be managed by the Academic Registrar. The REF Equality, Diversity & Inclusivity Group will be responsible for considering declarations of staff circumstances and communicating decisions on potential reductions in outputs to the REF Steering Group.

4.3.3 All submitted declarations will be kept confidential to the Equality, Diversity & Inclusivity Group and destroyed on completion of the REF assessment phase (April 2022). Applications to Stage 2 of the Appeal process for staff circumstances will be kept

confidential to the Appeals panel and all copies forwarded to the Academic Registrar for confidential and secure storage after the panel has reviewed these.

- 4.3.4 The REF Equality, Diversity & Inclusivity Group will assess:
- (i) The information provided about individual staff circumstances and their effect on an individual's ability to conduct research during the REF assessment period;
  - (ii) Any appropriate reductions in the number of research outputs to be submitted, according to Annex L of the REF Guidance on Submissions (REF 2019/01);
  - (iii) The dependability of the evidence of the individual circumstances including any corroborating evidence.
- 4.3.5 The University will base its definition of individual circumstances on the definitions provided in the REF Guidance on Submission (REF 2019/01, paragraph 160) as follows:
- a) Qualifying as an Early Career Researcher for REF 2021 (as set out in the REF Guidance on Submission (REF 2019/01, paragraphs 148 & 149 and Annex L);
  - b) Absence from work due to secondments or career breaks outside the HE sector;
  - c) Qualifying periods of family-related leave;
  - d) Circumstances with an equivalent effect to absence, that require a judgement about the appropriate reduction in outputs, which are:
    - i. Disability: as defined in the REF Guidance on codes of practice (REF 2019/03, Table 1 under 'Disability').
    - ii. Ill health, injury, or mental health conditions.
    - iii. Constraints relating to pregnancy, maternity, paternity, adoption or childcare that fall outside of – or justify the reduction of further outputs in addition to – the allowances set out in Annex L of the REF Guidance on Submissions (REF 2019/01).
    - iv. Other caring responsibilities (such as caring for an elderly or disabled family member).
    - v. Gender reassignment.
    - vi. Other circumstances relating to the protected characteristics listed in the REF Guidance on codes of practice (REF 2019/03, Table 1) or relating to activities protected by employment legislation.
- 4.3.6 Information associated with individual staff circumstances disclosed as part of this process will only be used for the purposes of preparing and submitting the REF submission. The outcome of the REF Equality, Diversity & Inclusivity Group (EDIG) assessment will be shared with the REF Steering Group, namely confirmation that individual circumstances have been assessed and recommendations on any reduction of outputs. Staff will receive individual written feedback on the outcome of their disclosure of circumstances from the Academic Registrar, with the decision of the REF

EDIG and how this relates to the REF Guidance on Submission regarding staff circumstance.

4.3.7 If the University decides to apply to the funding bodies for either form of reduction of outputs (removal of 'minimum of one' requirement or unit circumstances), we may need to provide UKRI with data that staff have disclosed about their individual circumstances, to evidence that the criteria have been met for reducing the number of outputs.

4.3.8 The University will ensure that any information disclosed as part of the REF submission is processed in accordance with its Data Protection Policy and is not kept beyond the period required by UKRI for REF audit purposes.

#### **4.4 Appeals**

4.4.1 An appeals procedure forms an integral part of the NUA code of practice and seeks to address any perceived unfair discrimination, concerns about process (including if it is felt that procedure has not been followed) or circumstances where previously unavailable evidence has come to light. The REF is a qualitative process in which judgements are made about the quality of research of individual members of staff. The judgements result from expert professional knowledge and factual information. Hence, disagreement with the decision alone would not be appropriate grounds for an appeal.

4.4.2 Any member of staff is entitled to ask that the decisions that have been taken about their research outputs and/or individual circumstances be reconsidered. They may do so on the following grounds:

- (i) That factual information exists that was not considered in reaching decisions regarding their research and/or individual circumstances;
- (ii) That there has been a procedural error in the consideration of their individual circumstances;
- (iii) That the procedures set out in this Code have not been followed in respect of decisions applied to them.

4.4.3 If an individual has appropriate grounds for a complaint, they should take the following action(s):

- i) Stage 1: For Research outputs and related to inclusion or otherwise in Research Impact Case Studies: complete the Stage 1 Appeal form (AP1) and submit it to the Director of Research (research@nua.ac.uk), along with any evidence to support the appeal. The form is available on the NUA staff Intranet site. The REF Steering Group will consider the appeal and reach a decision which will normally be communicated to the individual in writing within two working weeks of receiving the form.
- ii) Stage 2: For appeals against the outcome of review of individual circumstances, staff should proceed directly to the Stage 2 appeals process. Where resolution has not

been possible regarding selection of research outputs, an individual may then submit formal written notification to the Assistant Registrar stating what action has been taken to date and the reasons why resolution has not been possible. These appeals should be submitted on the Stage 2 Appeal form *Request for Appeals panel to review case* (AP2) which is available on the NUA staff Intranet site. Stage 2 Appeals for research outputs must be submitted within two working weeks of receiving the written notification of the outcome of the Stage 1 Appeal. Any additional evidence used to support the appeal should be submitted at the same time as the appeal. Later additions will not be permitted.

- 4.4.4 The REF Appeals Panel will meet in the event of one or more appeals being received, normally within four working weeks of the Stage 2 Appeal form being received. The Appeals Panel will be responsible for considering appeals received from academic staff, for deciding the outcome of appeals and for making recommendations on any actions to be taken. For the purposes of the REF the Appeals Panel will report to the Research Committee. The final deadline for Stage 1 Appeals will be 4pm on Monday 4 January 2021. The final deadline for Stage 2 Appeals will be 4pm on Friday 5 February 2021.
- 4.4.5 Should the Appeals Panel need to meet an individual, a work colleague or trade union representative may accompany the member of staff. The Appeals Panel will comprise:
- i. The Director Finance (Chair);
  - ii. An external senior researcher;
  - iii. The Assistant Registrar- Registry Services.
- A member of the Academic Registry department will assist.
- 4.4.6 Decisions of the Appeals Panel are final and will not be subject to further appeal.
- 4.4.7 This appeals process will be identified to all staff submitting circumstances as part of the written feedback on the outcome of their submission and in the written feedback to staff on the selection of their outputs.

## **Part 5 Appendices**

1. Equality, Diversity and Inclusion Policy and Objectives *Page 23*
2. Diagram of the reporting structure of key committees, groups and panels. *Page 29*
3. Terms of Reference and membership for key committees, groups and panels. *Page 30*
4. NUA Assessment criteria for research outputs *Page 34*
5. NUA Forms and Guidance:
  - a. Academic Excellence Pathways Guidance and Designation form *Page 37*
  - b. REF Declaration of Individual Staff Circumstances Guidance Notes and form *Page 41*
  - c. Research Output Information form *Page 45*
  - d. Research Output Review form and assessment criteria *Page 47*
  - e. REF Stage 1 Appeal form and Guidance *Page 49*
  - f. REF Stage 2 Appeal form and Guidance *Page 51*
6. Letter confirming completion of the consultation and agreement process for the University's REF Code of Practice *Page 54*

## **EQUALITY, DIVERSITY AND INCLUSION POLICY**

### **INTRODUCTION**

Norwich University of the Arts (NUA) is a successful specialist University, offering high quality education at undergraduate and postgraduate levels. The University is proud of its diverse community of staff, students and others, and is committed to maintaining its high-quality teaching and research by ensuring there is equality of opportunity for all, fostered in an environment of mutual respect and dignity.

This policy, previously known as 'The Single Equality Scheme', has been revised and up-dated (in 2019) and re-named 'The Equality, Diversity and Inclusion Policy'.

The purpose of the Equality, Diversity and Inclusion Policy (ED&I Policy) is to set out the University's commitment to an inclusive and supportive environment for students, staff and visitors that is free from discrimination, and a place where all its members are able to participate and have the opportunity to fulfil their potential.

### **BACKGROUND**

As an education provider, the University has general and specific legal requirements to promote equality and is committed to enabling individuals to benefit from higher education, irrespective of the characteristics which may define their identity. We are committed to focusing not just on equality of opportunity but also on equality of outcomes.

The Equality Act 2010 underpins the ED&I Policy. The Act, together with the public-sector Equality Duty, consolidated previous anti-discrimination law into one piece of legislation. The Equality Act identified nine 'protected characteristics', on the grounds of which it is unlawful to discriminate against a person.

These nine protected characteristics are age, disability (whether a physical or mental impairment), gender reassignment, marriage and civil partnership, pregnancy and maternity, race, religion or belief, sex (gender) and sexual orientation.

As a public body, Norwich University of the Arts has additional duties to promote equality. The Equality Duty requires the University to have 'due regard' to the need to:

- Eliminate unlawful discrimination, harassment and victimisation;
- Promote equality of opportunity; and
- Foster good relations between people who have a protected characteristic and people who do not.

### **POLICY STATEMENT**

Norwich University of the Arts is committed to embedding equality and inclusion in all of its practices and aims to establish an inclusive culture that celebrates diversity, is free from discrimination and one which is based on the values of dignity and respect.



## DEFINITIONS

### Equality

Equality is about equal opportunities and protecting people (by legislation) from discrimination. Equal treatment involves much more than simply treating everyone alike; it requires a recognition that some groups and individual have particular and specific needs that must be met if they are to enjoy equal access to services and opportunities. We recognise that the University may need to provide its services in a range of different or more flexible ways in order to ensure genuine equality of access or opportunity for groups and individuals with disadvantage.

### Diversity

Diversity refers to the differences in people and recognising, respecting and valuing these differences. It involves an acknowledgement of the benefits and worth derived from the range of difference within our community and harnessing it as a strength. This includes individuals' cultural, social/lifestyle and intellectual differences. The University seeks to promote greater mutual understanding between the groups and individuals who reflect these differences and to use the talents and experiences that each bring to the institution. Diversity is based on the principles of dignity and respect.

### Inclusion

Inclusion refers to an individual's experience within the workplace and in a wider society and the extent to which they feel they belong, are valued and included. This requires the University and its staff to design and operate services, practices and procedures that take appropriate account of the needs of students, staff and visitors.

## RESPONSIBILITIES

The promotion of Equality, Diversity and Inclusion is the responsibility of all members of our community. As members of the NUA community, all staff and students are expected to ensure that the University is an inclusive, welcoming and productive environment.

The **Senior Management Team** is responsible for:

- ensuring the University meets its legal obligations relating to equality.

**Managers** are responsible for:

- ensuring that procedures relating to staff recruitment, selection, appraisal, discipline and grievance are carried out in accordance with the equality duties to promote equality and eliminate discrimination;
- fostering a culture in which equality and diversity considerations are embedded into their department/faculty; and
- encouraging students and staff to reach their full potential.

The **Equality, Diversity and Inclusion Committee** is responsible for:

- fostering a culture in which equality, diversity and inclusion is embedded within the University;
- monitoring the ED&I Policy through collection, analysis and publication of data, ensuring the University in meeting its statutory responsibilities, including the publication of the Annual Equality, Diversity and Inclusion Report and Gender Pay Gap Report;

- setting and monitoring the University’s equality, diversity and inclusion objectives and report on progress on the Equality Objectives to the Senate and Council.

The **Human Resources Department** is responsible for:

- monitoring data from applications for staff vacancies, the staff profile, resignations, dismissals and redundancies, grievance and disciplinary procedures, incidents of harassment, and participation in training and development;
- monitoring completion of mandatory training including equality, diversity and inclusion and unconscious bias training;
- benchmarking against other institutions; and
- keeping up to date with relevant legislation.

**Members of staff** are responsible for:

- promoting equality of opportunity;
- upholding and implementing the aims of the ED&I Policy; and
- contributing to a safe and inclusive environment that celebrates diversity.

**Students** are responsible for:

- upholding and implementing the aims of this Policy; and
- contributing to a safe and inclusive environment that celebrates diversity.

## **EQUALITY, DIVERSITY AND INCLUSION OBJECTIVES**

The Equality, Diversity and Inclusion Committee will establish Equality, Diversity and Inclusion objectives in line with the ED&I Statement.

Progress towards achievement of the ED&I objectives will be reported annually to the Council Personnel Committee. Outcomes will also be included within the Annual Equality, Diversity and Inclusion report.

### ***Equality Objectives for 2019/2020***

*Equality Objectives will be set annually with regard to how NUA intends to achieve progress in the Equality Act 2010 general and specific objectives and will be monitored by the Equality and Diversity Committee.*

<b>No</b>	<b>Objective</b>	<b>Expected Outcome</b>	<b>Lead Person/ Others involved</b>	<b>Target date</b>
1	Review and update all documentation to reflect the new Equality, Diversity and Inclusion policy	Embedded	Director of Human Resources	March 2020

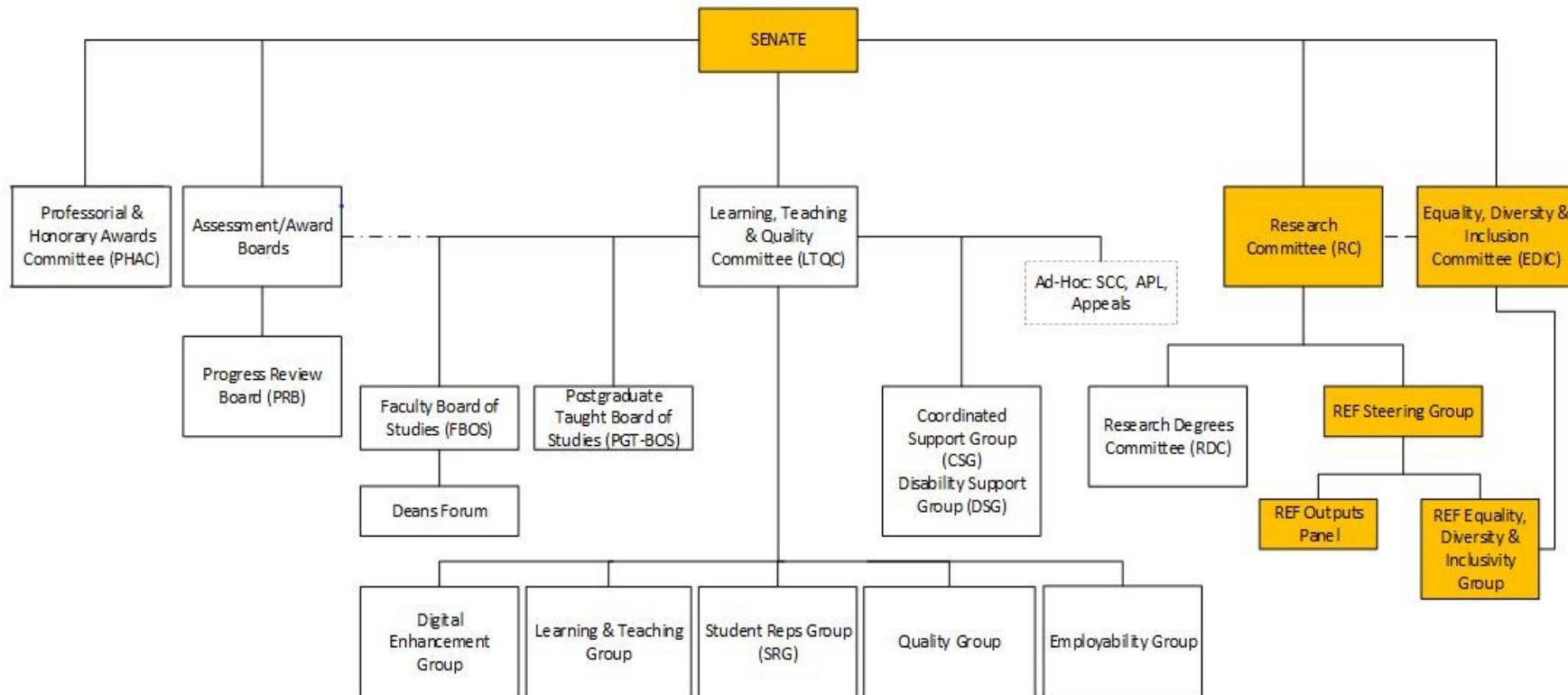
No	Objective	Expected Outcome	Lead Person/ Others involved	Target date
2	Continue to maintain the level of disclosure of protected characteristics at or above the sector average	Improved data collection from application forms and staff data checks to identify needs  To be evaluated through the annual Equality and Diversity report.	Human Resources Manager	December 2019
3	Organise a minimum of two Maternity Connections events per annum and promote the scheme to new expectant mothers	Staff feel fully supported on their return from maternity/ paternity /adoption leave breaks  Evaluated through a survey of staff using the scheme and mentor feedback.	Director of Human Resources	March 2020
4	Ensure that the University is an active participant in key equality and diversity networks	University represented at local, regional and national level	Director of Human Resources / Academic Registrar Student Union President	March 2020
5	Ensure equality of opportunity is provided for researchers to contribute to future REF submissions 2020	REF submission 2020	Director of Research	December 2019
6	Ensure that the University generates a positive image of staff and students from all equality strands	Creation of marketing and publicity materials, including the University website, which shows all equality strands in a positive light  Website and other publicity materials continue to be accessible as possible	Director of Marketing	March 2020
7	Ensure staff are aware of and able to respond to the diverse nature and needs of the student body	On-going availability of equality and diversity training.  Equality and diversity embedded across learning and teaching activities  Examples of good practice shared and disseminated	Director of Human Resources /  Academic Registrar  Deans of Faculty	December 2018

No	Objective	Expected Outcome	Lead Person/ Others involved	Target date
8	Building projects/refurbishments include consideration of access needs where appropriate (taking into account historic building constraints etc.)	As each project is developed, specific access issues to be considered as appropriate	Deputy Vice-Chancellor	On-going
9	New staff to successfully complete an online Equality and Diversity programme within the first six months of their employment	Monitoring completion rates at regular intervals and chasing up non-completions	Director of Human Resources	March 2020
10	Ensure that all staff achieve a pass rate for the Unconscious Bias training within 6 months of appointment and that all participants in recruitment interviews have completed the training	Monitoring completion rates at regular intervals and chasing up non-completions  Evaluation of effectiveness by surveying participants	Director of Human Resources	December 2020
11	Raise awareness of E&D issues by holding E&D events	Staff more informed.  E&D embedded into culture of Faculties and Departments	Director of Human Resources	December 2020
12	Understand the impact of internal and external changes (e.g. admissions criteria) on the diversity of student admissions	Monitoring of student profile to identify any differences in participation rates	Academic Registrar	November 2019
13	Publish the University Gender Pay Gap figures based on data as at 31 March 2019 and produce Gender Pay Gap actions	Published internally and externally by 31 March 2020  Identification of actions required to address any gender pay gaps	Director of Human Resources	March 2020

<b>No</b>	<b>Objective</b>	<b>Expected Outcome</b>	<b>Lead Person/ Others involved</b>	<b>Target date</b>
14	Identify opportunities to increase the representation of BAME staff within the University	Increased awareness of the specific requirements of BAME applicants	Director of Human Resources	December 2019
15	Provide training on mental health in the workplace and for students	Staff more informed of mental health wellbeing and the impact for students and colleagues	Director of Human Resources	July 2020
16	Provide training opportunities that promote woman in leadership	Attendance and training and development events  Evaluation of training	Director of Human Resources	July 2020
17	Monitor awareness of the EDI through staff survey	Review responses to 2019 staff survey	Director of Human Resources	December 2019
18	Promote mental health awareness and support for students	Updating on University intranet to ensure mental health support is visibly promoted	Student Support Manager	December 2019
19	Introduce new guidance and awareness of the menopause and the workplace	Guidance introduced	Director of Human Resources	December 2019
20	Regularly review policies and guidance relating to the Equality Act and protected characteristics	Policies and guidance introduced/ updated	Director of Human Resources	March 2020
21	Introduce a reverse mentoring scheme for students to connect with ED&I Committee members	Scheme introduced	Academic Registrar	March 2020

## Norwich University of the Arts REF Code of Practice Appendix 2

A diagrammatic representation of the reporting structure between the Senate and other University committees, with key REF groups indicated.



## Norwich University of the Arts REF Code of Practice Appendix 3

### Terms of Reference and membership for key committees, groups and panels

#### Senate

##### Terms of Reference:

- To implement the University's Strategic Plan.
- To be responsible for providing assurance to the governing body (University Council) on matters related to the management of the University's academic activities, and the academic quality and standards of its provision. To determine the University's academic policies and procedures.
- To ensure that the University's academic standards are maintained and the quality of its academic provision continuously enhanced.
- To co-ordinate the design, approval, monitoring and review of academic programmes of study.
- To ensure compliance with procedures for student progression, the award of qualifications, and for nominations for honorary Doctorates.
- To commission, approve and monitor the sub-strategies of the Strategic Plan.
- To approve external examiner nominations.
- To define the University's policies for marketing, admissions and recruitment.
- To advise on any other matters which the Vice-Chancellor may refer to the Senate.

##### Membership:

Vice-Chancellor (*Chair*)

Deputy Vice-Chancellor

Pro Vice-Chancellor (Academic)

Academic Registrar

Dean of Design and Architecture

Dean of Arts and Media

Director of Human Resources

Director of External Relations

Director of Research

Director of Finance

Director of Innovation and Engagement

Head of Library and Learning Support

Course Leader Taught Postgraduate

Quality Manager

Up to 3 elected members of academic staff

Up to 3 elected members of professional services staff

Students' Union President

The quorum will be three members plus the Chair.

*The Administrator for the Academic Registrar will act as convening secretary to the Board*

#### Equality, Diversity and Inclusivity Committee

##### Terms of Reference:

- To monitor the implementation of the University policies relating to equality and diversity, ensuring that these reflect the aims and targets of the Strategic Plan.
- To work towards ensuring equality of opportunity for all staff and students.
- To increase awareness of equality and diversity issues throughout the University.
- To promote equality of regard throughout management, staffing, curriculum and teaching in the University.
- To encourage recruitment, admissions and employment procedures which demonstrate adequate representation of different social and cultural groupings.

- To recommend provision of support and advice to staff and students regarding unwelcome comment or actions relating to each of the equality strands, age, disability, gender reassignment, marriage or civil partnership, maternity and pregnancy, race, religion or belief (including lack of belief), sex and sexual orientation.
- To promote attitudes discouraging hurtful or discriminating behaviour to include the use of stereotyping and the exercise of prejudice of any kind.
- To promote equality of regard throughout management, staffing, curriculum and teaching in the University.
- To recommend strategies relating to access opportunities and student support.
- To monitor relevant external developments, consider their implications for the University, and make recommendations for refinements to University policy and practice to Senate sub-committees and/or the Senior Management Team.
- To report to the Senate.

**Membership:**

Director of Human Resources (Chair)

Head of Library and Learning Support or their representative

Academic Registrar or their representative

Two (2) members of academic staff

One (1) member of professional services staff

Estates Manager

Students' Union President

The quorum for the committee will be two members plus the Chair

*A member of the Senior Management Team Secretariat will act as convening secretary to the Committee.*

**Research Committee**

**Terms of Reference:**

- To promote and encourage research (as defined in the Research Strategy, 2015-2020) throughout the University.
- To consider applications received to the University's Research Fellowship and Research and Innovation Fellows' programmes and to apply the relevant Assessment Criteria in making award decisions. To monitor applications by staff for external research funding, with final approval to be given by Vice-Chancellor or chosen nominee.
- To monitor the development of the research environment, the development of funding applications to support research activity, and the standard and volume of research activity within the University.
- To monitor and evaluate staff research and advise Deans of Faculty about the development of research within the Faculties.
- To lead the implementation of relevant sections of the Research Strategy, 2015-2020, including those concerned with the Research Excellence Framework (REF), ensuring that developments reflect the aims and targets of the University Strategic Plan.
- To receive updates on the annual programme of events and monitor its impact on the research environment.
- To develop and promote the University's research profile locally, regionally, nationally and internationally.
- To report to the Senate.

**Membership:**

Director of Research (Chair)

Pro Vice-Chancellor (Academic) (*ex officio*)

Senior Research Manager



Research Champion Leads from each of the research themes  
Course Leader Taught Postgraduate  
Head of Learning and Teaching  
5 members of academic staff (each Faculty to be represented)  
Director of Innovation and Engagement  
Head of Library and Learning Support or their representative  
*NB Research-active members of academic staff may be co-opted as required by the Chair*  
The quorum for the committee will be three members plus the Chair

*The Research Administrator will act as convening secretary to the Committee.*

### **REF Steering Group**

#### **Terms of Reference:**

- To oversee the preparation of the University's submission to REF2021.
- To maximise the benefit of the REF to the University.
- To ensure that staff are informed of the outcome of the evaluation of their research outputs and the appeals process.
- To comply with all equal opportunities legislation in its decision-making capacity and to operate under the terms of the NUA REF Code of Practice for the preparation of the REF 2021 submission at all times.
- To provide Stage 1 of the REF appeals process as specified in the NUA Code of Practice.
- To report to the Research Committee.
- To report to Equality, Diversity and Inclusivity Committee on the implementation of the Code of Practice and on Equality Impact Assessments;

#### **Membership: 8**

Senior Research Manager (Chair)  
Research Director  
Senior Research Professor  
Pro Vice-Chancellor (Academic)  
Academic Registrar  
Staff on the Research Pathway  
The quorum for the group will be three members plus the Chair  
*The Research Administrator will act as convening secretary to the Group*

### **Research Outputs Panel**

#### **Terms of Reference:**

- To evaluate individual research outputs according to the NUA criteria set out for REF 202.
- To refer research outputs for external expert evaluation, as appropriate.
- decision making capacity and to operate under the terms of the NUA REF Code of Practice for the preparation of the REF 2021 submission at all times.
- To report to REF Steering Group.

#### **Membership: 6**

Senior Research Professor (Chair)  
Research Director  
Senior Research Manager  
Staff on the Research Pathway according to subject expertise  
Co-opted members according to required subject expertise  
The quorum for the Panel will be two members plus the Chair  
*The Research Administrator will act as convening secretary to the Group*

## **REF Equality, Diversity and Inclusivity Group**

### **Terms of Reference:**

- To review the individual circumstances of eligible staff and report the outcome of its assessments to the REF Steering Group.
- To inform staff who declare individual circumstances of the outcome of the review of their circumstances and of their right to appeal.
- Undertake Equality Impact Assessments and report these to Equality, Diversity and Inclusivity Committee and Research Committee.
- To comply with all equal opportunities legislation in its decision-making capacity and to operate under the terms of the NUA REF Code of Practice for the preparation of the REF 2021 submission at all times.
- To report to Equality, Diversity and Inclusivity Committee.

### **Membership:**

Academic Registrar (Chair)

Professor of Animation Education

Head of Library and Learning Support

Assistant Registrar – Registry Services

The quorum for the Group will be two members plus the Chair

*A member of the Academic Registry team will act as convening secretary to the Group*

## **REF Appeals Panel**

### **Terms of Reference:**

- To review appeals received from academic staff as Stage 2 of the REF appeals process as specified in the NUA Code of Practice.
- To inform staff who submit Stage 2 appeals of the outcome of their appeal.
- To report outcomes of appeals to the REF Steering Group.
- To comply with all equal opportunities legislation in its decision-making capacity and to operate under the terms of the NUA REF Code of Practice for the preparation of the REF 2021 submission at all times
- To report to the Research Committee.

### **Membership:**

Director of Finance (Chair)

Assistant Registrar – Academic

A Senior Researcher external to the University

The quorum for the Panel will be two members plus the Chair

*A member of the Academic Registry team will act as convening secretary to the Group*

## Norwich University of the Arts REF Code of Practice Appendix 4

### Assessment Criteria for research outputs.

#### 1. Background

**University Working Groups, panels and committees** will deploy their professional judgement to propose and approve potential REF submissions in the context and procedures of the NUA REF Code of Practice.

#### 2. Eligible Outputs

**The University** will accept any output first published in its final form during the REF publication period (1 January 2014 to 31 December 2020) that was 'pre-published' during calendar year 2013 – whether in full in a different form (for example, as a pre-print), or as a preliminary version or working paper – as eligible for submission to the REF, provided that the 'pre-published' output was not submitted to REF 2014. The output must be available in an open access form, where the output is within scope of the REF open access policy (identified in paragraph 223 of the Guidance on submissions, REF 2019/01)

Other than the above exception, an output published during the REF publication period that includes significant material in common with an output published prior to 1 January 2014 is eligible only if it incorporates significant new material. In these cases:

- a. The **University's Research Outputs Panel and REF Steering Group** should form a view as to whether or not all of the work reported in the listed output should be considered as having been issued within the publication period; and, if the previously published output was submitted to the 2014 REF, the groups should assess only the distinct content of the output submitted to the REF.
- b. Researchers will need to explain, where necessary, how far any work published earlier was revised to incorporate new material.

#### 3 Co-authored/co-produced outputs.

**The University** should ensure that active researchers have recorded co-authored or co-produced outputs only against the individuals that made a substantial research contribution to the output. The Main Panel D statements of criteria in Part 2 of the Panel Criteria and Working Methods provide details of the information that REF panels may require in submissions to establish that an individual made a substantial contribution to any co-authored outputs listed against them.

**The University's Research Outputs Panel and REF Steering Group** should assess the quality of the whole output as well as the specific contribution of the individual. Panel D's criteria statements provide guidance about the extent to which a co-authored output may be listed against more than one member of staff returned within the same submission.

(See Guidance on submissions (REF 2019/01), paragraphs 268-272; Panel criteria and working methods (REF 2019/02) paragraphs 233-236))

#### 4 Double-weighted outputs.

**The University** should identify which outputs of extended scale and scope should be proposed as double-weighted (count as two outputs) in the NUA REF submission in consultation with the member of staff who authored the output.

A 'reserve' output will normally be included with each output proposed for double-weighting.

Guidance on submissions (REF2019/02) Panel D provides further guidance on how outputs of extended scale and scope are characterised in their disciplines, and on the process for requesting an output to be double-weighted.

(See Panel criteria and working methods (REF2019/02) paragraphs 237-241 & 244-247)

## 5 NUA REF 2021 assessment criteria

The NUA assessment process is based on internal peer review. The University's Research Outputs Panel and REF Steering Group will examine the evidence of research outputs presented by active researchers. They will use their professional judgement to evaluate each output and form an overall view about the output profile of each researcher.

The Unit/s of Assessment applicable to NUA research will be related to (a) sub panel/s of Main Panel D. In line with the published HEFCE REF assessment criteria the NUA REF Working Groups and Committees will assess outputs against the following criteria:

**5.1 NUA REF Working Groups, panels and committees** will assess the quality of outputs in terms of their 'originality, significance and rigour', with reference to international research quality standards.

### Assessment Criteria

- a. **Originality:** a creative/intellectual advance that makes an important and innovative contribution to understanding and knowledge. This may include substantive empirical findings, new arguments, interpretations or insights, imaginative scope, assembling of information in an innovative way, development of new theoretical frameworks and conceptual models, innovative methodologies and/or new forms of expression.
- b. **Significance:** the enhancement or deserved enhancement of knowledge, thinking, understanding and/or practice.
- c. **Rigour:** intellectual coherence, methodological precision and analytical power; accuracy and depth of scholarship; awareness of and appropriate engagement with other relevant work.

### 5.2 Definitions of starred levels

In assessing outputs, NUA REF Research Outputs Panel will look for evidence of originality, significance and rigour and apply the generic definitions of the starred quality levels as listed below.

The terms 'world-leading', 'international' and 'national' are taken as quality benchmarks within the generic definitions of the quality levels. They will relate to the actual, likely or deserved influence of the work. There will be no assumption of any necessary international exposure in terms of publication or reception, or any necessary research content in terms of topic or approach. Nor will there be an assumption that work published in a language other than English or Welsh is necessarily of a quality that is internationally benchmarked.

<b>Four star</b>	<p><b>Quality that is world-leading in terms of originality, significance and rigour.</b></p> <p>In assessing work as being four star (quality that is world-leading in terms of originality, significance and rigour), NUA REF Research Output Panel will expect to see evidence of, or potential for, some of the following types of characteristics across and possibly beyond its area/field:</p> <ul style="list-style-type: none"> <li>• a primary or essential point of reference</li> <li>• of profound influence</li> <li>• instrumental in developing new thinking, practices, paradigms, policies or audiences</li> <li>• a major expansion of the range and the depth of research and its application</li> <li>• outstandingly novel, innovative and/or creative.</li> </ul>
<b>Three star</b>	<p><b>Quality that is internationally excellent in terms of originality, significance and rigour but which falls short of the highest standards of excellence.</b></p> <p>NUA REF Research Output Panel will expect to see evidence of, or potential for, some of the following types of characteristics across and possibly beyond its area/field:</p>

	<ul style="list-style-type: none"> <li>• an important point of reference</li> <li>• of considerable influence</li> <li>• a catalyst for, or important contribution to, new thinking, practices, paradigms, policies or audiences</li> <li>• a significant expansion of the range and the depth of research and its application</li> <li>• significantly novel or innovative or creative.</li> </ul>
<b>Two star</b>	<p><b>Quality that is recognised internationally in terms of originality, significance and rigour.</b></p> <p>NUA REF Research Output Panel will expect to see evidence of, or potential for, some of the following types of characteristics across and possibly beyond its area/field:</p> <ul style="list-style-type: none"> <li>• a recognised point of reference</li> <li>• of some influence</li> <li>• an incremental and cumulative advance on thinking, practices, paradigms, policies or audiences</li> <li>• a useful contribution to the range or depth of research and its application.</li> </ul>
<b>One star</b>	<p><b>Quality that is recognised nationally in terms of originality, significance and rigour.</b></p> <p>NUA REF Research Output Panel will expect to see evidence of the following characteristics within its area/field:</p> <ul style="list-style-type: none"> <li>• an identifiable contribution to understanding without advancing existing paradigms of enquiry or practice;</li> <li>• of minor influence.</li> </ul>
<b>Unclassified</b>	<p>A research output will be graded '<b>unclassified</b>' if it is either:</p> <p>below the quality threshold for one star; <b>or</b></p> <p>does not meet the definition of research used for the REF (see Guidance on submissions REF 2019/01, Annex C)</p>

The University's Research Outputs Panel will apply the assessment described here (and will use the NUA REF Output Review Form to record this assessment). They will follow a common set of procedures in undertaking aspects of their work to ensure fairness and consistency in assessment.

## Academic Excellence Pathways at NUA

### Introduction

#### Completing the Academic Excellence Pathways Designation Form

Further to the consultation sessions on Academic Excellence Pathways at NUA the next stage is for staff to read the guidance on the Pathways and the summary of the criteria outlined in Section A.

#### Step One:

Once you consider you have identified a Pathway that best reflects the balance of your activities *in non-teaching time*, you may wish to discuss your designation with the relevant Academic Excellence Pathway Adviser(s), either by email, or phone or in person:

1. Knowledge Exchange Pathway - *Director of Innovation and Engagement, Sarah Steed. Email: [s.steed@nua.ac.uk](mailto:s.steed@nua.ac.uk) or 01603 756284 (ext. 6284)*
2. Research Pathway - *Senior Research Manager, Simon Willmoth. Email: [s.willmoth@nua.ac.uk](mailto:s.willmoth@nua.ac.uk) or 01603 886379 (ext. 6379)*
3. Teaching and Student Engagement Pathway - *Line Manager and Dean of Faculty*

#### Step Two:

When you have indicated the pathway designation that best reflects the balance of your activities in non-teaching time, according to the agreed criteria, please complete the Academic Excellence Designation form (Section B).

Please return the form by email to Human Resources by Monday 24 June 2019 at [humanresources@nua.ac.uk](mailto:humanresources@nua.ac.uk).

The Pathway that you choose will normally be for one academic year and can be reviewed as part of your annual Appraisal and Development Review. The Pathways are designed to provide support and development to academic staff.

For further information and guidance on the pathways please refer to the Pathways page of the staff intranet: <https://my.nua.ac.uk/Interact/Pages/Content/Document.aspx?id=5836>

# Academic Excellence Pathways at NUA

## SECTION A

Please review the criteria for each of the Pathways. It would be helpful if you could provide some details of your activities against the appropriate areas by addressing two or more of the main criteria providing details in the space provided in the Academic Excellence Preference form (Section B).

### 1 Academic Excellence- Knowledge Exchange pathway

The criteria for the Knowledge Engagement Pathway are listed below:

- Industry engagement – contributing to a project with an external organisation;
- Mentoring a graduate through a KTP;
- Attracting KE external funding for supporting KE projects;
- Employability activities – e.g. initiating, developing or leading ‘live’ student projects with an external organisation;
- Business support – engaging with start-up or growth support to external businesses, particularly through the Ideas Factory Incubation programme;
- Consultancy – participating in consultancy services for external clients based on your academic expertise, particularly through Ideas Factory;
- Developing and/or running short courses or other professional training for external clients;
- Community engagement – work that you do on teams outside of the University that call on your expertise, or presentations that you give to external audiences.

### 2 Academic Excellence – Research pathway

Research outputs refer to practice-based research (e.g. exhibitions or other presentations of work, designs, performances, curated exhibitions) or publications. If your work is practice-based, the research dimension of your practice will need to be evidenced in developing a portfolio.

You are an Early Career Researcher (ECR) if you started your academic career (that is were employed on a contract of 0.2FTE or greater) as an independent researcher and/or completed your PhD since 1st August 2016.

The criteria for the Research Pathway are listed below:

- Research active – research outputs already in the public domain for the first time since January 2014 or planned delivery of research outputs already accepted through a peer review context or public commissioning process;

- Research leadership – Principal Investigator or Co-Investigator on a funded research project;
- Research funding – external funding for your research;
- Research degree supervision to completion in the period August 2013 to July 2020;
- Research staff development – leading research staff development or mentoring emerging researchers;
- Early Career Researcher status;
- Research esteem – external recognition of your research (i.e. membership of editorial boards, peer review college membership, juries, selection panels for acquisitions and other recognised activities within the field, prizes or awards for your research).

### **3 Academic Excellence - Teaching and Student Engagement pathway**

The criteria for the Teaching and Student Engagement Pathway are listed below:

- Work in widening participation - work in schools or colleges or progress to NUA/HE generally;
- Work on external recruitment of students – such as UCAS Fairs, Open Days, School and College visits;
- Academic esteem - external recognition of your professional expertise including HEA fellowship application, PG Cert in HE, MA Ed.;
- Academic Mentorship – undertake training for and act as mentor for staff on PG Cert, MA Ed and Advance HE Professional Recognition;
- Pastoral initiatives – innovative approaches that support student wellbeing and improve student experience, e.g. PALS;
- Pedagogic Development – the delivery of innovative teaching, learning and assessment projects (LTE funding supported);
- External examining or other quality-related appointments within HE or FE; membership of external review and validation panels.



## Academic Excellence Pathways Designation Form

<b>Name:</b>	
<b>Job title:</b>	
<b>I designate to be part of the following Academic Excellence Pathway:</b>	
1. Knowledge Exchange	<input type="checkbox"/>
2. Research	<input type="checkbox"/>
3. Teaching and Student Engagement	<input type="checkbox"/>
<b>Details:</b> Please identify the name/s of any pathway advisers/line manager/other you have discussed your designation with. Please note that you may be asked for evidence to support your designation against the agreed criteria.	
<b>Signed:</b>	
<b>Date:</b>	

Please return this Academic Excellence Pathways Designation Form to Human Resources Department [humanresources@nua.ac.uk](mailto:humanresources@nua.ac.uk) by **Monday 24<sup>th</sup> June 2019.**

## **Declaration of Individual Staff Circumstances**

This document is being sent to all staff whose research outputs are eligible for submission to REF2021 (see '[Guidance on submissions](#)' (REF 2019/01), paragraphs 117-122). If you are on the NUA Research pathway, your research outputs are eligible to submit to REF 2021.

As part of the university's commitment to supporting equality and diversity in REF, we have put in place safe and supportive structures for staff to declare information about any equality-related circumstances that may have affected their ability to research productively during the assessment period (1 January 2014 – 31 July 2020), and particularly their ability to produce research outputs at the same rate as staff not affected by circumstances. The purpose of collecting this information is threefold:

- To enable staff who have not been able to produce a REF-eligible output during the assessment period to be entered into REF where they have;
  - circumstances that have resulted in an overall period of 46 months or more absence from research during the assessment period, due to equality-related circumstances (see below)
  - circumstances *equivalent* to 46 months or more absence from research due to equality-related circumstances
  - two or more qualifying periods of family-related leave.
- To recognise the effect that equality-related circumstances can have on an individual's ability to research productively, and to adjust expectations in terms of expected workload / production of research outputs.
- To establish whether the proportion of declared circumstances is sufficiently high in any Units of Assessment to warrant a request to the higher education funding bodies for a reduced required number of outputs to be submitted.

### **Applicable circumstances**

- Qualifying as an ECR (started career as an independent researcher on or after 1 August 2016)
- Absence from work due to secondments or career breaks outside the HE sector
- Qualifying periods of family-related leave
- Junior clinical academics who have not gained a Certificate of Completion of training by 31 July 2020
- Disability (including chronic conditions)
- Ill health, injury or mental health conditions
- Constraints relating to family leave that fall outside of the standard allowances
- Caring responsibilities
- Gender reassignment

If your ability to research productively during the assessment period has been constrained due to one or more of the following circumstances, you are requested to complete the attached form. Further information can be found paragraph 160 of the Guidance on Submissions (REF 2019/01). Completion and return of the form is voluntary, and individuals who do not choose to return it will not be put under any pressure to declare information if they do not wish to do so. This form is the only means by which the University will be gathering this information; we will not be consulting HR records, contract start dates, etc. You should therefore complete and return the form if any of the above circumstances apply and you are willing to provide the associated information.

### **Ensuring Confidentiality**

All information you submit on the Declaration of Circumstances form (see below) will be kept confidential to the NUA REF Equality, Diversity and Inclusivity Group (EDIG) that will review your declaration. EDIG members are subject to confidentiality arrangements to ensure that your data remains confidential, with the declaration and review process managed by the university's Academic Registrar. Membership of EDIG is available in Appendix 3 of the university's REF Code of Practice. All forms will be securely stored in a locked cabinet and destroyed on completion of the REF assessment phase (December 2021).

The outcome of EDIG's review of your circumstances as declared on the form will identify that you have circumstances that merit the reduction of X number of required outputs but will not identify any information on the circumstances themselves, unless you expressly grant this permission. The outcome only will be passed to the REF Steering Group and Research Outputs Panel. If you decide to appeal against the outcome, the Appeals panel will ensure your data remains confidential and any forms relating to your circumstances will be kept and destroyed as described above. Membership of the Appeals panel is available in Appendix 3 of the university's REF Code of Practice.

If the institution decides to apply to the funding bodies for either form of reduction of outputs (removal of 'minimum of one' requirement or unit circumstances), we will need to provide UKRI with data that you have disclosed about your individual circumstances, to show that the criteria have been met for reducing the number of outputs. Please see the ['Guidance on submissions'](#) document (REF2019/01, paragraphs 151-201) for more detail about reductions in outputs and what information needs to be submitted.

Submitted data will be kept confidential to the REF team, the REF Equality and Diversity Advisory Panel, and main panel chairs. All these bodies are subject to confidentiality arrangements. The REF team will destroy the submitted data about individuals' circumstances on completion of the assessment phase.

### **Changes in circumstances**

The university recognises that staff circumstances may change between completion of the declaration form and the census date (31 July 2020). If this is the case, then staff should contact the Academic Registrar to provide the updated information.

## Declaration of Individual Staff Circumstances Form

To submit this form, you should send it to the Academic Registrar (Angela Tubb), marked 'CONFIDENTIAL REF 2021'. Please submit the form by **Friday 20 December 2019**

<b>Name</b>	
<b>Job title</b>	

Do you have a REF-eligible research output published between 1 January 2014 and 31 December 2020?  YES  NO

Please complete this form if you have one or more applicable equality-related circumstance (see above) which you are willing to declare. Please provide requested information in relevant box(es).

<b>Circumstance</b>	<b>Time period affected</b>
<b>Early Career Researcher (started career as an independent researcher on or after 1 August 2016).</b>	<i>Enter the date you became an early career researcher</i> .
<b>Career break or secondment outside of the HE sector.</b>	<i>Enter dates and durations in months</i>
<b>Family-related leave;</b> <ul style="list-style-type: none"> <li>• statutory maternity leave</li> <li>• statutory adoption leave</li> <li>• Additional paternity or adoption leave or shared parental leave lasting for four months or more.</li> </ul> <p><i>For each period of leave, state the nature of the leave taken and the dates and durations in months.</i></p>	<i>Enter dates and durations in months</i>
<b>Disability (including chronic conditions)</b> <i>To include: Nature / name of condition, periods of absence from work, and periods at work when unable to research productively. Total duration in months.</i>	<i>Enter text</i>
<b>Mental health condition</b> <i>To include: Nature / name of condition, periods of absence from work, and periods at work when unable to research productively. Total duration in months</i>	<i>Enter text</i>
<b>Ill health or injury</b> <i>To include: Nature / name of condition, periods of absence from work, and periods at work when unable to research productively. Total duration in months.</i>	<i>Enter text</i>

<p><b>Constraints relating to family leave that fall outside of standard allowance</b>  <i>To include: Type of leave taken and brief description of additional constraints, periods of absence from work, and periods at work when unable to research productively. Total duration in months</i></p>	<p><i>Enter text</i></p>
<p><b>Caring responsibilities</b>  <i>To include: Nature of responsibility, periods of absence from work, and periods at work when unable to research productively. Total duration in months.</i></p>	<p><i>Enter text</i></p>
<p><b>Gender reassignment</b>  <i>To include: periods of absence from work, and periods at work when unable to research productively. Total duration in months.</i></p>	<p><i>Enter text</i></p>
<p><b>Any other exceptional reasons e.g. bereavement.</b>  <i>To include: brief explanation of reason, periods of absence from work, and periods at work when unable to research productively. Total duration in months.</i></p>	<p><i>Enter text</i></p>

Please confirm, by ticking the box provided, that:

- The above information provided is a true and accurate description of my circumstances as of the date below
- I realise that the above information will be used for REF purposes only and will be seen by members of the REF Equality, Diversity and Inclusivity Group and Appeals panel, should I decide to appeal the outcome of the review of my circumstances.
- I realise it may be necessary to share the information with the REF team, the REF Equality and Diversity Advisory Panel, and main panel chairs.

I agree

**Name:** Print name here

**Signed:** Sign or initial here

**Date:**

I give my permission for the Academic Registrar to contact me to discuss my circumstances, and my requirements in relation to these.

I give my permission for the outcome of the EDIG assessment to be passed on to the NUA REF Steering Group. (Please note, if you do not give permission your department may be unable to adjust expectations and put in place appropriate support for you).

I would like to be contacted by:

Email  Insert email address

Phone  Insert contact telephone number

**Norwich University of the Arts REF Code of Practice Appendix 5c  
Research Output Information Form (ROIF)**

**1 Researcher details**

Full Name (including forenames):		ORCID Number:
Current job title		FTE:

**2 Output details:** Please tick this box if the details entered below are accurate  If not, please correct them before returning

1.	NUA Repository Reference:	6.	Date of Publication:
2.	Output Type:	7.	Publisher:
3.	Title:	8.	Exhibition dates and location:
4.	Article/Chapter/Output Title:	9.	Number of pages:
5.	Co-authors/creators/curators:	10.	ISBN/ISSN:

**3 Factual information about the significance of the output:** Please write up to **100 words (if a textual output) / 300 words (if a practice-based output)** related to this research output. Identify any evidence related to key elements of the research process underlying this output and whether it relates to your other research outputs. For example:

- Has this output been peer reviewed/externally commissioned?
- Did it relate to any externally funded research?
- Did it derive from a keynote conference presentation or residency?
- Is the location or medium of the output essential for a proper understanding of the research? (The box will expand as you add text.)

**4 Co-authored output**

Is this output co-authored?

YES  NO If YES, please give details below, including the estimated percentage of the output that is attributable to you. Has this percentage been agreed between the co-authors? Please feel free to add rows to the table.

Co-authored with...	Research group, organization or other HEI	Percentage attributable to <b>you</b>

**5 Awards, nominations or esteem indicators**

Has this output been nominated for any awards or linked to a particular esteem indicator? For example: academic prizes; author selected as a conference programme chair; invited keynote lectures; election to membership or fellowship of learned societies; journal editorships; leadership roles in industry, commerce, Research Councils or professional bodies (since 1st January 2008). If possible, please list these in descending order of importance. Please feel free to add rows to the table.

YES  NO If YES, please give details.

Prize/nomination/position	Significance/details	Date

**6 Grouping Short items as a single output**

Is this output a grouping of a number of short related items?

YES  NO If YES, please give a rationale of why these items represent one research output (up to 100 words maximum; box expands as you add text)

--

Norwich University of the Arts REF Code of Practice Appendix 5d

**NUA RESEARCH OUTPUTS PEER REVIEW FORM**

UAL Ref No:		Unit of Assessment:	
Output Title:		Output Type:	
Author:		Co-Author:	
Reviewer:		Collaborative output with other HEI:	
<b>Definition of Terms</b>	<i>Evidence</i> - taken to mean that which makes manifest the research content of the submission. <i>Research output</i> - an output submitted without additional material where the output is in itself deemed to constitute sufficient evidence of the research		
<b>A. Originality:</b>	An intellectual advance or an important and innovative contribution to understanding and knowledge. This may include substantive empirical findings, new arguments, interpretations or insights, imaginative scope, assembling of information in an innovative way, development of new theoretical frameworks and conceptual models, innovative methodologies and/or new forms of expression.		
<b>Originality sub-criteria suggestions:</b>		<b>Reviewer Comments:</b>	
Output evidences - a significant intellectual advance - an important and innovative contribution - substantive empirical findings - new arguments, interpretations or insights - innovative assembly of information - an important and innovative contribution - new theoretical frameworks and models - an innovative method - new forms of expression			
<b>B. Significance:</b>	The degree to which work has enhanced, or is likely to enhance knowledge, thinking, understanding and/or practice in its field.		
<b>Significance sub-criteria suggestions:</b>		<b>Reviewer Comments:</b>	
Output evidences enhancement - of knowledge (actual, likely or deserved) - of thinking (actual, likely or deserved) - of understanding (actual, likely or deserved)			
<b>C. Rigour:</b>	Intellectual coherence, methodological precision and analytical power; accuracy and depth of scholarship; awareness of and appropriate engagement with other relevant work.		
<b>Rigour sub-criteria suggestions:</b>		<b>Reviewer Comments:</b>	
Output evidences - intellectual coherence - methodological precision - analytical power - accuracy of scholarship - awareness of/engagement with other work			
<b>Provisional Score (U - 4*)</b>			
<b>Further Comments:</b>			

See below for definitions of starred levels



## Definitions of starred levels

In assessing outputs, NUA REF Research Outputs Panel will look for evidence of originality, significance and rigour and apply the generic definitions of the starred quality levels as listed below. The terms 'world-leading', 'international' and 'national' are taken as quality benchmarks within the generic definitions of the quality levels. They will relate to the actual, likely or deserved influence of the work. There will be no assumption of any necessary international exposure in terms of publication or reception, or any necessary research content in terms of topic or approach. Nor will there be an assumption that work published in a language other than English or Welsh is necessarily of a quality that is internationally benchmarked.

<p><b>Four star</b></p>	<p><b>Quality that is world-leading in terms of originality, significance and rigour.</b>            In assessing work as being four star (quality that is world-leading in terms of originality, significance and rigour), NUA REF Research Outputs Panel will expect to see evidence of, or potential for, some of the following types of characteristics across and possibly beyond its area/field:</p> <ul style="list-style-type: none"> <li>• a primary or essential point of reference</li> <li>• of profound influence</li> <li>• instrumental in developing new thinking, practices, paradigms, policies or audiences</li> <li>• a major expansion of the range and the depth of research and its application</li> <li>• outstandingly novel, innovative and/or creative.</li> </ul>
<p><b>Three star</b></p>	<p><b>Quality that is internationally excellent in terms of originality, significance and rigour but which falls short of the highest standards of excellence.</b>            NUA REF Research Outputs Panel will expect to see evidence of, or potential for, some of the following types of characteristics across and possibly beyond its area/field:</p> <ul style="list-style-type: none"> <li>• an important point of reference</li> <li>• of considerable influence</li> <li>• a catalyst for, or important contribution to, new thinking, practices, paradigms, policies or audiences</li> <li>• a significant expansion of the range and the depth of research and its application</li> <li>• significantly novel or innovative or creative.</li> </ul>
<p><b>Two star</b></p>	<p><b>Quality that is recognised internationally in terms of originality, significance and rigour.</b>            NUA REF Research Outputs Panel will expect to see evidence of, or potential for, some of the following types of characteristics across and possibly beyond its area/field:</p> <ul style="list-style-type: none"> <li>• a recognised point of reference</li> <li>• of some influence</li> <li>• an incremental and cumulative advance on thinking, practices, paradigms, policies or audiences</li> <li>• a useful contribution to the range or depth of research and its application.</li> </ul>
<p><b>One star</b></p>	<p><b>Quality that is recognised nationally in terms of originality, significance and rigour.</b>            NUA REF Research Outputs Panel will expect to see evidence of the following characteristics within its area/field:</p> <ul style="list-style-type: none"> <li>• an identifiable contribution to understanding without advancing existing paradigms of enquiry or practice;</li> <li>• of minor influence.</li> </ul>
<p><b>Unclassified</b></p>	<p>A research output will be graded '<b>unclassified</b>' if it is either: below the quality threshold for one star; <b>or</b> does not meet the definition of research used for the REF (see Guidance on submissions REF 2019/01, Annex C)</p>

## Norwich University of the Arts REF Code of Practice Appendix 5e

### REF 2021: Appeals Stage 1 (Form AP1)

Please complete and submit this form electronically where possible to: [research@nua.ac.uk](mailto:research@nua.ac.uk), along with an original signed copy in person or by post addressed for the attention of: Director of Research, Room 7 Francis House, 3-7 Redwell Street, Norwich NR2 4SN for the formal consideration of your appeal by the NUA REF Steering Group. All forms must be received by **Monday 4<sup>th</sup> January 2021 at the latest**. To check the boxes, double click on the box to select options.

<b>Name</b>	
<b>Email</b>	
<b>Telephone</b>	
<b>Preferred method of communication</b>	

In the event of a member of staff on the NUA research pathway who wishes to appeal against the selection of research outputs agreed by the NUA REF Steering Group or against their research not being included in a NUA REF Impact Case study, an appeals process has been developed which allows them the opportunity to make an appeal against the decision on the basis described below. This process is detailed in section 4.4 of the NUA REF Code of Practice.

You may wish to discuss these decisions with the Director of Research before submitting this form.

#### Please select from the following:

- The appeal is on the grounds of evidence of material irregularity in the process by which a decision was reached or in the operation of the University's REF Code of Practice, such as to suggest that, in the absence of such irregularity, the result would have been different.
- The appeal is on the grounds of that there are facts, which for valid reasons, were not known to the University REF Steering Group & Research Outputs Panel which, might, prima facia, have led to a different decision.
- The appeal is on the grounds of individual circumstances not previously declared. To ensure that confidentiality is maintained please declare them on the appropriate form, available on the university's REF internet site, where they will be confidentially received and evaluated. **Do not disclose any details on this form.**

#### Please provide the information required under the relevant grounds for appeal below

<b>Grounds for Appeal</b>	<b>Information required</b>
<b>1</b> The appeal is on the grounds of evidence of material irregularity	The aspects of the REF selection process which you believe were not carried out in accordance with the Code of Practice
<b>Details of your grounds for Appeal</b>	
<b>2</b> The appeal is on the grounds of factual information not known to the University REF team	Any research outputs not yet considered for REF inclusion. <b>Additional information on research outputs already considered for REF inclusion.</b>

**Details of your grounds for Appeal**

**Please select as appropriate:**

- I confirm that the information provided is a true and accurate description of my grounds for appeal.
- I recognise that the information provided will be used for REF purposes and will be seen by the University's REF Steering Group and Research Outputs Panel.
- I realise that it may be necessary to share information with the UK funding bodies' REF team, who may make the information available to HEFCE REF panel chairs, members and secretaries and the HEFCE REF Equality and Diversity Advisory Panel. Where permission is not provided Norwich University of the Arts will be limited in the action it can take.

Signature:  
(Staff member)

Date:

**For use by Research Steering Group only:**

- Original decision upheld                       Recommend that decision be reviewed

Please state the reasons for the above decision:

(The below notes are for the chair of RSG/ Appeals Panel only and will not be on the form)

The original decision is upheld as no significant diversion from the Code of Practice is found to have occurred which has affected the outcome.

RSG recommends that the decision be reviewed as there was significant diversion from the procedures set out in the Code of Practice, and / or the procedures were not followed to the disadvantage of the appellant.

The original decision is upheld because the factual information and / or individual circumstances have already been submitted and considered.

RSG recommends that the decision be reviewed as the factual information provided has not already been submitted and considered.

The original decision is upheld as the decision was found to have been made on the basis of academic judgement.

A decision on the appeal is dependent on the outcome of review of a declaration of circumstances by the REF Equality, Diversity and Inclusivity Group.

## Norwich University of the Arts REF Code of Practice Appendix 5f

### REF 2021: Appeals Stage 2 (Form AP2) Request for Appeals panel to review case

Please complete and submit this form electronically where possible to: [research@nua.ac.uk](mailto:research@nua.ac.uk), along with an original signed copy in person or by post addressed for the attention of: Deputy Academic Registrar-Academic Francis House, 3-7 Redwell Street, Norwich NR2 4SN for the formal consideration of your appeal by the NUA Appeals panel. All forms must be received by **Friday 5<sup>th</sup> February 2021 at the latest**. To check the boxes, double click on the box to select options.

<b>Name</b>	
<b>Email</b>	
<b>Telephone</b>	
<b>Preferred method of communication</b>	

In the event of a member of staff on the NUA research pathway who wishes to appeal against the outcome of review of individual circumstances or that a Stage 1 appeal against the selection of research outputs agreed by the NUA REF Steering Group or against their research not being included in a NUA REF Impact Case study, a Stage 2 appeals process has been developed which allows them the opportunity to make an appeal against the decision on the basis described below. This process is detailed in section 4.4 of the NUA REF Code of Practice.

Complete ***Either*** Section one ***OR*** Section two

#### Section one:

- I wish to appeal against the outcome of review of declared individual circumstances, so have proceeded directly to the Stage 2 appeal process.

#### Please select from the following:

- The appeal is on the grounds of evidence of material irregularity in the process by which a decision was reached or in the operation of the University's REF Code of Practice, such as to suggest that, in the absence of such irregularity, the result would have been different.
- The appeal is on the grounds of that there are facts regarding my individual circumstances, which for valid reasons, were not declared to the University REF Equality, Diversity and Inclusivity Group which, might, prima facia, have led to a different decision.

**Please provide the information required under the relevant grounds for appeal below**

<b>Grounds for Appeal</b>	<b>Information required</b>
<b>1</b> The appeal is on the grounds of evidence of material irregularity	The aspects of the declaration of circumstances which you believe were not carried out in accordance with the REF Code of Practice
<b>Details of your grounds for Appeal</b>	
<b>2</b> The appeal is on the grounds of factual information not known to the University REF Equality, Diversity and Inclusivity Group	Additional factual information on declared individual circumstances

<b>Details of your grounds for Appeal</b>	

**Please select as appropriate:**

- I agree that the Declaration of Staff Circumstances Form, along with the outcome of the NUA REF Equality, Diversity and Inclusivity Group, can be made available to the Appeals Panel. I understand that where permission is not provided the Appeals Panel will not be able to fully consider the appeal.
- I confirm that the information provided is a true and accurate description of my grounds for appeal.
- I recognise that the information provided will be used for REF purposes and will be seen by the Appeals Panel.
- I realise that it may be necessary to share information with the UK funding bodies' REF team, who may make the information available to HEFCE REF panel chairs, members and secretaries and the HEFCE REF Equality and Diversity Advisory Panel. Where permission is not provided Norwich University of the Arts will be limited in the action it can take.
- I understand that should I need to meet the Appeals Panel, a work colleague or trade union representative may accompany me.

Signature: ..... Date: .....  
 (Staff member)

**Section two**

**Please select from the following:**

- My Stage 1 appeal was on the grounds of evidence of material irregularity in the process by which a decision was reached or in the operation of the University's REF Code of Practice, such as to suggest that, in the absence of such irregularity, the result would have been different.
- My Stage 1 appeal was on the grounds that there are facts, which for valid reasons, were not known the University REF Steering Group & Research Outputs Panel which, might, prima facia, have led to a different decision.

<p>Please state the reasons why resolution has not been possible to date, along with any other points that you wish the Appeals Panel to consider (within the above parameters for the grounds of appeal). Please do not duplicate information you entered on Form AP1.</p>

**Please select as appropriate:**

- I agree that the AP1 Form I submitted in Stage 1 of the Appeals Process, along with the recommendations of NUA RSG, can be made available to the Appeals Panel. I understand that where permission is not provided the Appeals Panel will not be able to fully consider the appeal.
- I confirm that the information provided is a true and accurate description of my grounds for appeal.
- I recognise that the information provided will be used for REF purposes and will be seen by the Appeals Panel.
- I realise that it may be necessary to share information with the UK funding bodies' REF team, who may make the information available to HEFCE REF panel chairs, members and secretaries and the HEFCE REF Equality and Diversity Advisory Panel. Where permission is not provided Norwich University of the Arts will be limited in the action it can take.
- I understand that should I need to meet the Appeals Panel, a work colleague or trade union representative may accompany me.

Signature: ..... Date:  
(Staff member)

**For use by the Appeals Panel only:**

**Section one**

- Original decision upheld (this decision is final)
- Recommend that the decision be reviewed by the NUA Research Committee. The decision of the RC will be final.

**Section two**

- Original decision upheld (this decision is final)
- Recommend that the decision be reviewed by the NUA REF Equality, Diversity and Inclusivity Committee. The decision of the EDIC will be final.

Please state the reasons for the above decision: (The notes below are for the Chair of Appeals Panel only and will not be on the form)

The original decision is upheld as there is no significant evidence of material irregularity in the process by which a decision was reached or in the operation of the University's REF Code of Practice, such as to suggest that, in the absence of such irregularity, the result would have been different.

The Appeals Panel recommends that the decision be reviewed as there is evidence of material irregularity in the process by which a decision was reached or in the operation of the University's REF Code of Practice, such as to suggest that, in the absence of such irregularity, the result would have been different.

The original decision is upheld because the factual information and / or individual circumstances have already been submitted and considered.

The Appeals Panel recommends that the decision be reviewed as the factual information and / or individual circumstances provided have not already been submitted and considered.

The original decision is upheld: all appropriate information was known to the University REF team and the Code of Practice procedures have been followed.

Research England

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7 August 2019

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### **Norwich University of the Arts' Research Excellence Framework Code of Practice**

I am writing to confirm that consultation and agreement on the University's Research Excellence Framework Code of Practice has been completed.

Members of the Research Committee and Equality, Diversity and Inclusivity Committee reviewed and contributed to drafts of the Code. Academic staff have been briefed on the Code in presentations and discussions at University Research and Knowledge Exchange events. The Code was subsequently posted on the intranet site for staff to review and comment. The University's Academic Excellence Pathways project was completed on 26 July 2019, as indicated in the Code of Practice. All academic staff have designated to one of three pathways, with the research pathway identifying staff who are independent researchers with significant responsibility for research.

I can therefore confirm that the version of the Code of Practice that the University submitted for review on 7 June 2019 has been agreed by staff at Norwich University of the Arts.

Yours sincerely,



Professor John Last, OBE  
**Vice Chancellor, CEO of Norwich University of the Arts**

CC Simon Willmoth, Senior Research Manager

Professor John Last  
Vice-Chancellor