

Code of Practice for Research Excellence Framework 2021

Part 1: Introduction

- 1.1. Plymouth Marjon University places our values; humanity, curiosity, independence and ambition, central to how we operate. These values underpin this code of practice that outlines, in line with the REF2021 guidance, how we ensure the fair and transparent identification of staff with significant responsibility for research, determining who is an independent researcher and the selection of research outputs for REF2021.
- 1.2. As a demonstration of our value of ambition REF2021 will be the first submission to the research assessment process made by Plymouth Marjon University. Building on our established subject disciplines and ethos of students at the heart of everything our submission aims to celebrate the excellence of the research that informs our learning and teaching. Furthermore, REF2021 provides an opportunity to showcase the impact that the research we engage in has on society, in line with our value of humanity. This ambition recognises that we have not benefited previously from HEIF QR funding and as such need to ensure our research excellence aligns to our learning and teaching.
- 1.3. A credible submission to REF2021 is identified as an important part of the Marjon strategic plan and underpins an ambition to obtain research degree awarding powers. In determining what is considered a credible submission Plymouth Marjon University is aiming for all outputs and impact case studies to be a minimum 2*, that we have sufficient critical mass of research excellence to submit to Units of Assessment that align to our teaching emphasis, and that approximately one third of staff will be eligible for inclusion in REF2021 via the code of practice.
- 1.4. As a small values-based organisation Plymouth Marjon University proposes an approach through this code of practice that aims to build on the good practice summary from REF2014 but recognises that, alongside excellence in learning and teaching, we equally value research, knowledge exchange and academic leadership. Regardless of whether a staff member contributes to REF2021 or not they have the opportunity for academic career progression and promotion.
- 1.5. Through the transparent and consistent application of this code of practice Plymouth Marjon University will ensure that our REF procedures do not discriminate unlawfully against, or otherwise have the effect of harassing or victimising individuals because of age, disability, gender identity, marriage and civil partnership, race, religion or belief, sex or sexual orientation or because they are pregnant or have recently given birth. Furthermore the transparent and consistent application of this code of practice will ensure fixed-term employees, part-time workers and early career researchers are not treated any less favourably than employees on open contracts or full-time workers.
- 1.6. The REF2021 guidance on codes of practice highlights four principles that require addressing in order to demonstrate fairness to staff. In relation to these principles more specifically;
 - i. *Transparency*: All processes for identifying eligible staff with significant responsibility for research, research independence and for the selection of research outputs are aligned to the REF2021 guidance on codes of practice and will be transparent. This code of practice will be made available in an easily accessible format and publicised to all academic staff. Briefings, open to all relevant staff, will disseminate the code of practice and explain the processes related to selection of staff with significant responsibility for research, research independence and the selection of outputs for submission. We will additionally publish the code of practice on our intranet and staff news and from December 2019, it is proposed to publish the code of practice on Plymouth Marjon University's corporate website. We will ensure this will be drawn to the attention of those absent from work via post and email. The timetable of planned activities is published as part of this code of practice (Annex A).

- ii. *Consistency*: Marjon selection processes will be undertaken in accordance with this code of practice and, as a small university, all processes and decisions will be undertaken centrally thereby avoiding differences in interpretation by organisational units.
 - iii. *Accountability*: Responsibilities are clearly defined in this code of practice, and both individuals and bodies that are involved in decision-making and advisory functions are included in summary format in Annex B. The Vice-Chancellor holds the final decision regarding overall REF2021 strategy, units of assessment, and selection of staff and outputs. This decision will be based on the recommendation of the Research and Knowledge Exchange Committee chaired by the Deputy Vice-Chancellor (Annex C). The REF2021 Working Group chaired by the Deputy Vice-Chancellor, will be responsible and accountable for the operation of REF2021 submission and code of practice and will report to the Research and Knowledge Exchange Committee (Annex D). Senate receives and approves a report from the Research and Knowledge Exchange Committee (Annex G). All those in decision-making and advisory roles will engage in REF specific equality and diversity training. All data collection for REF2021 purposes will meet GDPR requirements and a statement regarding this is included in Annex I.
 - iv. *Inclusivity*: The code of practice is designed to promote an inclusive environment, enabling eligible staff that consider they have a significant responsibility for research to be identified and included. Wherever practicable, in line with our value of ambition, the code of practice aims to empower staff to initially decide themselves whether they have a significant responsibility for research, whether they are an independent researcher and how they believe their outputs can contribute to units of assessment. In that sense inclusivity is assured via this process. The code will promote an inclusive environment by establishing maintaining and updating an Equality Impact Assessment (EIA) at all key stages of the process.
- 1.7. All of Plymouth Marjon University community are required to engage with our in-house equality and diversity training. In line with our value of humanity, and building on our heritage as an inclusive community, we hold the investors in people award, social enterprise mark, disability two ticks and are a stonewall diversity champion. Those staff involved in decision-making and advisory roles (Annex B) will engage with mandatory REF2021 specific training for equality and diversity. This will include a variety of formats including review of the equality briefing for REF panels, online provision of equality and diversity/unconscious bias training and face-to-face workshops where practicable.
- 1.8. An equality impact assessment will be undertaken initially during 2019 and then iteratively allowing adjustments to be made to mitigate any concerns regarding the impact on individuals with protected characteristics and those staff on fractional or fixed term employment. Plymouth Marjon University has an ambition to be known for excellent development of early career researchers, who are also enthused by teaching and learning and engaging students, as such we undertake to review the impact of the application of the code of practice on early career researchers too. The equality impact assessment outcomes will feature as part of our annual equality reporting and equality action plan which is published on our external website annually.

Part 2: Identifying Staff with Significant Responsibility for Research

Policies and Procedures

- 2.1. A consistent approach across the whole of Plymouth Marjon University community will be applied to the identification of staff with significant responsibility for research. As a small research informed university community, which places students at the heart of everything we do, not all category A academic staff have a significant responsibility for research.

- 2.2. The central procedure to the identification of those staff with a significant responsibility for research is the recently updated and revised Plymouth Marjon University academic promotion and career development procedure (Annex E).
- 2.3. The academic promotion and career development procedure identifies four pathways to promotion through academic grades including i) learning and teaching, ii) research, iii) leadership and management and iv) knowledge exchange and impact. For promotion academics need to evidence a sustained/significant level of achievement in line with the criteria for at least two of these pathways and evidence of engagement in all four pathways.
- 2.4. For category A staff those whose contracts of employment state that they are employed to undertake both teaching and research:
 - i. Initially, in line with the academic promotion and career development procedure, all academic staff will be asked to self-select two of the four pathways they have been and are focusing their efforts on, feels best fit their contribution and that they believe their achievements can be evidenced against to be able to demonstrate a sustained/significant level of achievement in future years. This self-selection process will take place between June and August 2019 aligned to the Performance and Development Review process. Initially academic staff that self-select the research pathway will be identified for REF purposes as having a significant responsibility for research.
 - ii. Annually discussion regarding sustained/significant achievement across the pathways will form a substantive aspect of Performance and Development Review discussions. There is no expectation that the initial self-selection by staff is fixed permanently; as roles and responsibilities, the external environment and the strategic plan of the university adjusts so to will responsibilities of staff. As part of our developing research culture staff will be provided with opportunity to engage in research through our research groups as part of their developing research journey.
 - iii. It is important to affirm that there is no detriment to staff that select learning and teaching, leadership and management or knowledge exchange and impact rather than research. There is a career development route through the grades to professorship for all pathways since all aspects play a critical role to the vibrancy and success of Plymouth Marjon University as a learning community centred on student success.
 - iv. This code of practice does not refer to specific workload allocations for research on the basis that each of the pathways of learning and teaching, research, leadership and management and knowledge exchange and impact are all equally valued by Plymouth Marjon University. All academic staff have time allocated in workloads for research and scholarly activity. Furthermore, in the absence of HEIF QR funding balance is required.
 - v. It is important to clarify that via this process outlined in section 2.4 a number of staff, who are research active i.e. are active and recognised contributors to organisations and/or would be able to demonstrate recent achievements recognised by the wider academic community to be on national and/or international standing, will not be identified as a having a significant responsibility for research for REF2021 purposes. The academic promotion and career development procedure outlines, at all levels, the requirement to demonstrate engagement in all four of the pathways and so this is to be expected.
- 2.5. For staff on contracts of employment that state the primary academic employment function is research only all will be identified as having a significant responsibility for research although this

does not infer they will then be included in REF2021 since they may not meet the criteria for research independence.

Development of process(es)

- 2.6. All processes have been consulted on and agreed with staff representative groups in a clear and transparent way. The academic promotion and career development procedure was consulted on via JNCC, open staff briefings and individual meetings. The principles of the code of practice were discussed at JNCC in March 2019 and a consultation and communication plan agreed with staff and trade union representatives.
- 2.7. A code of practice consultation plan was made available to all staff and union representatives along with the draft code of practice. This plan made clear the timeline and approach to the development and consultation stages of the code of practice. The consultation included staff news and email updates, open workshops by the Deputy-Vice Chancellor, open workshop by the UCU representative, and an anonymous electronic survey. The code of practice has been agreed with staff prior to submission.

Staff, Committees and Training

- 2.8. The profiles of those staff identified through the self-selection process identified in section 2.4 as having a significant responsibility for research will be reviewed by the REF2021 Working Group. This review will include alignment of staff to units of assessment and the overall shape of the submission of the University aligned to our strategic aims.
- 2.9. Members of the REF2021 Working Group will hold individual REF2021 contribution meetings with staff identified as having a significant responsibility for research to discuss their individual research plans and alignment to units of assessment and identify any strategic adjustment required to workload to be recommended to the Executive Dean and Director of School if supported by the Deputy Vice-Chancellor.
- 2.10. If any academic staff member self-selects the research pathway and does not appear to be able to make a contribution to REF2021 in lines with the Universities strategic ambition and/or evidence demonstration of alignment to the criteria in the academic promotion and career development procedure an open and transparent discussion about the requirements will be held. The staff member will be supported to meet the expectations within the time frame and/or adjust their pathway to better suit their strengths at this time.
- 2.11. As outlined in section 1.7 staff involved in the REF2021 Working Group will all engage in appropriate and mandatory equality and diversity training.

Appeals

- 2.12. Given section 2.4 outlines a self-selection process Plymouth Marjon University anticipate little requirement for an appeals process. Nonetheless an appeals process to support staff that feel they have selected their pathway incorrectly and/or feel they have been unfairly treated as outlined in section 2.10 is available and detailed in Annex F.

Equality Impact Assessment

- 2.13. An equality impact assessment comparing the characteristics of those staff on teaching and research contracts who self-select the research pathway and thus are identified as having a significant

responsibility for research compared to the characteristics of those who do not will be undertaken in line with the overarching aim set out in section 1.8.

- 2.14. The REF2021 Working Group will review the equality impact assessment to a) identify any adjustments in process that may be required to improve our approach to advancing equality and b) recommend to the research and knowledge exchange committee any equality issues that arise that might require action in terms of our broader research environment and c) ensure the equality impact assessment feeds into Plymouth Marjon University's annual equality report and action plan.

Part 3: Determining Research Independence

Policies and Procedures

- 3.1. All category A staff with a contract for teaching and research, who have been identified as having a significant responsibility for research, are automatically considered as independent researchers. This is by virtue of the role they hold in supporting learning and teaching, the role specifications and criteria identified in the academic promotion and career development procedure (Annex E).
- 3.2. In relation to staff on research only contracts the criteria identified in the REF Guidance on Submissions and Panel Criteria and Working Methods for main panel C will be applied. This defines an independent researcher as an individual who undertakes self-directed research, rather than carrying out another individual's research programme. Indicators of independence include but are not limited to; i) acting as principal investigator or co-investigator on an externally funded research project or equivalent, ii) holding an independently won, competitively awarded fellowship where research independence is a requirement, iii) leading a research group or a substantial or specialised work package, iv) having significant input into the design, conduct and interpretation of research. A member of staff is not deemed to have undertaken independent research purely on the basis that they are named on one or more research outputs, and if being named on research outputs forms part of evidence base for research independence their contribution would need to demonstrate significant input into the design, conduct and interpretation of research.
- 3.3. Staff on research only contracts will be asked to submit to the REF2021 Working Group an initial self-selected judgement if they believe they meet these criteria for research independence including appropriate evidence between June and August 2019. The REF2021 Working Group will decide whether the evidence for research independence is accepted in line with the criteria and provide feedback to the staff member.

Staff, Committees and Training, Appeals, Equality Impact Assessment

- 3.4. The staff, committees and training, appeals process and equality impact assessment for determining research independence are broadly in line with those detailed in sections 2.8 to 2.14 for determining significant responsibility for research.
- 3.5. More specifically in relation to appeals the process will allow staff on research contracts to appeal against the decision of the REF2021 Working Group in relation to research independence.
- 3.6. In terms of equality impact assessment the very small number of staff on research only contracts at Plymouth Marjon University may make this activity impossible to undertake in a meaningful way nonetheless, in the worst case, in line with section 2.14 reflection on process and recommendations will be made.

Part 4: Selection of Outputs

Policies and Procedures

- 4.1. A consistent approach centrally operated via the REF2021 Working Group will be applied to the fair and transparent selection of outputs. This will operate across all units of assessment.
- 4.2. Individual REF2021 contribution meetings will be held twice annually with each current member of staff identified as having a significant responsibility for research and research independence by a member of the REF2021 Working Group. The REF2021 contribution meetings will be conducted in line with Plymouth Marjon University values. Prior to each meeting outputs held in the research repository eligible for submission to REF2021 and where possible, relevant journal metrics, internal peer-review output rating and external peer-review output rating will be collated by the REF2021 Working Group member. Given the range of subject disciplines a range of output types will be considered with the potential to contribute to REF2021. The staff member will be required to self-rank their outputs aligned to a unit of assessment identifying firstly those they feel meet the likelihood of being at least 2* and then self ranking outputs in relation to the assessment criteria for outputs including originality, significance and rigour. The selected outputs, up to a maximum of five, that meet the likelihood of being at least 2* will contribute to the output pool for that unit of assessment. Additionally the REF2021 contribution meeting will develop and review a clear plan and timetable, with appropriate milestones to achieve any future outputs of a specific quality and/or their involvement in the development of the research environment and impact case studies.
- 4.3. There is no expectation that all staff, with significant responsibility for research and research independence, will contribute equally to the output pool for each unit of assessment e.g. producing 2.5 outputs per staff member. As an inclusive and values-based university Plymouth Marjon University recognise the quantity and quality of outputs will vary due to a number of circumstances, not limited to, but for instance including; research career stage, specific personal circumstances, wider role within the University. Expectations discussed with staff will vary depending upon these contextual factors and for instance whereas an established research professor might be expected to have five eligible outputs that meet the expected threshold an early career researcher, fractional member of staff or staff member with personal circumstances might be expected to have fewer or just one eligible output that meets the expected threshold.
- 4.4. In cases where outputs are co-authored, in particular, with colleagues from within Plymouth Marjon University the individual REF2021 contribution meetings will include discussion about their individual contribution to the output and whom each individual feels the output should be attributed to. The REF2021 Working Group will then 'allocate' outputs to individual authors, where possible, in line with the individual staff consideration of what is fair.
- 4.5. In cases where outputs held in the research repository eligible for submission to REF2021 are attributable to a staff member no longer employed by Plymouth Marjon University a similar process as described in section 4.2 but without the individual REF2021 contribution meeting will be conducted. The outputs published during the contract period of the former staff member, that recognise Plymouth Marjon University as the author affiliation, will be ranked on the basis of journal metrics, internal peer-review and external peer-review and those meeting at least a probable 2* output rating will be added to the output pool. In cases where the member of staff was made redundant, a contextual decision will be made in light of the individual circumstance of redundancy and our values regarding whether the outputs should be included into the output pool.
- 4.6. Once the output pool for each unit of assessment has been collated via the processes described in sections 4.2 to 4.5 the outputs will be rank ordered into estimated output profiles i.e. by estimated * rating and self-rated rank (e.g. 4*, 3-4*, 3*, 2-3*, 2*, 1-2*). The outputs will then be selected and

included into the unit of assessment outputs on the basis of maximising the quality of submission to that unit of assessment whilst ensuring all staff identified as having a significant responsibility for research have at least one output in the selected outputs for the relevant unit of assessment. In cases where the same estimated quality profile would be achieved by the inclusion of different outputs then preference will be given to outputs produced by current members of staff, staff with protected characteristics and/or staff with individual circumstances to support increasing the inclusivity of the submission. This will be operated by the REF2021 Working Group for all units of assessment.

Staff Circumstances

- 4.7. Plymouth Marjon University undertake to implement inclusive, fair and transparent procedures to enable staff to disclose relevant individual circumstances that might have impacted on a staff members ability to contribute to the units overall output pool, with an appropriate degree of confidentiality. Particular regard will be paid to the disclosure of sensitive issues such as ongoing illness or mental health conditions. Staff identified as having a significant responsibility for research and research independence will be asked to complete a form to voluntarily declare their individual circumstances. To enable individuals to disclose circumstances in confidence and avoid any undue pressure regarding disclosure, this process will be managed centrally, through Human Resources (Annex H).
- 4.8. Individual staff circumstances that we will enable disclosure off will include;
- i. Identifying as an early career researcher
 - ii. Part-time working
 - iii. Maternity, paternity or adoption leave
 - iv. Secondments or career breaks outside of the higher education sector, and in which the individual did not undertake academic research.
 - v. Disability
 - vi. Ill health or injury
 - vii. Mental health conditions
 - viii. Childcare or other caring responsibilities
 - ix. Gender reassignment.
 - x. Other circumstances relating to the protected characteristics.
- 4.9. Given the flexibility in terms of the number of outputs for REF2021 the likely outcome of the disclosure of individual staff circumstances is a reduction in the expectation of the individuals' contribution to the output pool. The Director of Human Resources will feedback, via the REF2021 Working Group, that individual circumstances have been disclosed and revealing as little sensitive information as possible, a decision on the expectation will be reached by the REF2021 Working Group and communicated to the individual staff member. Where appropriate, additional support will be offered to the staff member, respecting their dignity and individual rights.
- 4.10. As a small university, with an emphasis on development of early career researchers, there is a reasonable likelihood that there could be a disproportionate effect on our unit of assessment submissions if multiple staff identify relevant circumstances. The REF2021 Working Group will review the cumulative effect of individual circumstances and consider whether this has disproportionately affected a unit's output pool. This review will consider several factors including i) the overall size of the output pool and fte staff with significant responsibility for research and research independence, ii) the proportion of fte staff within the unit of assessment who have declared individual staff circumstances, iii) whether the individual staff circumstances are severe enough to request the removal of the minimum of one output and iv) the longevity of the individual staff circumstances in relation to the full REF2021 output cycle. Reference will be made to Annex L in the Guidance on Submissions in consideration of staff circumstances. The REF2021 Working Group

will then make a recommendation to the Research and Knowledge Exchange Committee to submit a request to reduce, without penalty, the total number of outputs required for submission or to remove the minimum of one requirement for an individual.

- 4.11. Plymouth Marjon University has an obligation to provide information as part of REF2021 which will be accessed by those individuals listed in Appendix B. All personal data relating to the REF will be processed fairly and lawfully and in accordance with the General Data Protection Regulation 2018. Data subjects will be notified in advance if personal data will be submitted to the REF and will be able to request access to data held about them. Individuals have a right to check or amend the data held; to know what it is being collected for and how it will be used, and due care will be taken to ensure confidentiality. The data collected for the REF will only be used to inform the REF and to inform future research strategy.

Fixed Term and Part-time Staff

- 4.12. Plymouth Marjon University aims to ensure that all staff have access to training and have adequate resources to achieve excellence in research. The university offers all staff support to make original and worthwhile contributions to research and to have the quality of their work recognised by peers and policy makers. The University is committed to the provision of staff development for all staff working in the University, and actively encourages, enables and supports staff in obtaining further qualifications, training and experience which will facilitate personal and professional development enabling individuals and groups to achieve their full potential, perform their roles more effectively and contribute ultimately towards the University's achievement of its aims and objectives. Plymouth Marjon University facilitate this staff development through annual performance and development reviews.
- 4.13. Generally, the expectation is an adjustment in the expectation in terms of outputs for those staff on part-time or fixed term contracts as identified for other circumstances in section 4.3.

Staff, Committees and Training, Appeals, Equality Impact Assessment

- 4.14. The staff, committees and training, appeals process and equality impact assessment for selecting research outputs are broadly in line with those detailed in sections 2.8 to 2.14 for determining significant responsibility for research.
- 4.15. Whilst we do not anticipate the likelihood of appeals due to the approach proposed in selecting outputs the grounds for appeal will include a) disagreement regarding output allocation (section 4.4) and b) the inclusion/exclusion of a particular output in light of procedural irregularity (section 4.6). The appeal process will not consider academic judgement issues in relation to the estimated output rating of a particular output by internal and/or external peer-review.
- 4.16. In the case of equality impact assessment it is important to note that the expectation is that equality does not imply an expectation that the number of outputs per individual, with protected characteristics, will be equal between characteristics and/or in comparison to those without protected characteristics. For example pregnancy and maternity is likely to be accounted for by reducing the expected number of outputs submitted by an individual. The number of outputs will be compared between those with protected characteristics, taking into account individual circumstances and grade of the staff member.

Part 5: Annexes

Annex A	Working Timeline of REF2021 Activities
Annex B	Decision Making and Advisory Roles and Structures
Annex C	Research and Knowledge Exchange Committee
Annex D	REF2021 Working Group
Annex E	Academic Promotion and Career Development Procedure
Annex F	REF2021 Appeals Panel
Annex G	Senate
Annex H	Staff Circumstances
Annex I	Data Collection Statement for REF2021

Annex A

Working Timeline of REF2021 Activities

Date	REF2021 Published Timetable	Plymouth Marjon University Activity
September 2017	Publication of 'Initial decisions on the Research Excellence Framework' by the funding bodies, following consultation on implementation of the Stern review recommendations (REF 2017/01)	Strategic decision to submit to REF2021 confirmed via Marjon Growth Plan. Mock REF confirms research capacity to make positive submission.
October 2017	Publication of 'Roles and recruitment of expert panels' (REF 2017/03)	Meetings with individuals who have the potential to contribute to REF2020.
November 2017	Publication of 'Decisions on staff and outputs' (2017/04)	
March 2018	Panel membership for criteria phase announced	
End of July 2018	Publication of draft 'Guidance on submissions' and 'Panel criteria' for consultation	
15 October 2018	Close of consultation on draft 'Guidance on submissions' and 'Panel criteria'	
December 2018		Meetings with individuals who have the potential to contribute to REF2020
January 2019	Publication of final 'Guidance on submissions', 'Panel criteria', and 'Guidance on codes of practice'; appointment of additional EDAP members	
January to March 2019		Preparation of the working draft of Code of Practice for consultation Impact case study development and external support commissioned
April 2019		Approval of the principles and process for Code of Practice sign off by Senate
March to April 2019		JNCC and open staff consultation on working draft of Code of Practice including workshops, union workshops & anonymous online survey Identification of unit of assessment coordinators
May 2019		Approval of the Code of Practice by University Senate
April to September 2019 (on-going as required)		Equality & diversity training of decision makers and advisors
Spring/summer 2019	Institutions intending to make submissions to the REF submit their codes of practice; invitation to request multiple submissions, case studies requiring security clearance, and exceptions to submission for small units (staggered deadlines in May, September and December 2019).	Submission of the Code of Practice to REF team by 7 th June 2019
June to August 2019		Open process to identify pathway selection of academic staff including open workshop and access to 1 to 1 meetings Research independence submission for research only staff

August to October 2019		REF2021 contribution meetings. Staff circumstances invite 1
November 2019		Initial decisions on UOA, output pool and staff identification including staff circumstances and cumulative impact
Autumn 2019	Pilot of the REF submission system; survey of submissions intentions opens; proposed date for inviting reduction requests for staff circumstances	
December 2019	Survey of submissions intentions complete; final deadline for requests for multiple submissions, case studies requiring security clearance, and exceptions to submission for small units; publication of approved codes of practice	Draft submissions. Code of Practice published on external website upon receipt of approval by REF2021 Equality and Diversity Panel
March 2020	REF exercise put on hold in response to effects of COVID-19	REF2021 contribution meetings Appeals Panel 1 Staff circumstances invite 2
Early 2020	Formal release of the submission systems and accompanying technical guidance; invitation to HEIs to make submissions; invitation to nominate panel members and assessors for the assessment phase; deadline for staff circumstances requests	
Mid 2020	Appointment of additional members and assessors to panels	
June 2020		Research and Knowledge Exchange Committee. Recommendations made to Vice-Chancellor and senate regarding final UOAs and submissions pending late adjustments
31 July 2020	Exercise recommences. Census date for staff; end of assessment period (for research impacts, the research environment, and data about research income and research doctoral degrees awarded)	
October 2020		Draft submissions updated and reviewed
31 December 2020	End of publication period (cut-off point for publication of research outputs, and for outputs underpinning impact case studies) End of impact assessment period	
February 2021		Research and Knowledge Exchange committee. Recommendations made to Vice-Chancellor and Senate regarding final UOAs and submissions pending late adjustments. REF submissions approved at Senate. Appeals panel 2
31 March 2021	Closing date for submissions	
1 June 2021	Deadline for providing further details for outputs pending publication; redacted versions of impact case studies; and corroborating evidence held for impact case studies	
May 2021 – March 2022	Panels assess submissions	

April 2022	Publication of outcomes
Summer 2022	Publication of submissions, panel overview reports and sub-profiles

Annex B

Decision Making and Advisory Roles and Structures

Decision Makers		
Position	Role in decision making structure	Rationale
Vice-Chancellor	<p>Final approval of:</p> <ul style="list-style-type: none"> REF Strategy REF Code of Practice REF2021 Submission <p>Advised by Deputy-Vice Chancellor and Research and Knowledge Exchange Committee</p>	By virtue of position as head of Plymouth Marjon University
Deputy Vice-Chancellor	<p>Formulation and recommendation of:</p> <ul style="list-style-type: none"> REF Strategy REF Code of Practice REF2021 Submission <p>Accountabilities and responsibilities identified in REF2021 Working Group as chair.</p>	<p>The most senior officer with specific responsibility for research and reports directly to the Vice Chancellor. Chair of the REF2021 Working Group and Research and Knowledge Exchange Committee.</p>
Advisory Roles		
Unit of Assessment Coordinators	Experienced researchers who liaise with staff, prepare and edit impact and environment statements and support impact case studies, provide advice on the selection of research outputs, provide advice on the selection of external assessors, and collate and check information appropriate to the relevant planned submission.	Experienced researchers who provide valuable advice, not decision maker in order to ensure consistency across all units of assessment.
Research and Knowledge Exchange Support Manager	Acts as the institutional administrative contact for REF2021, managing access and use of the submission software and any physical outputs.	The research and knowledge exchange support manager is the most senior administrator at the University with responsibility for research, reports to the Deputy Vice-Chancellor and will act as the REF2021 administrative manager.
External Advisors	External advisors will be selected by the REF2021 Working Group on the basis of their relevant experience. Provide external advice on the quality and development of outputs, impact case studies and environment statements. Comments made by external advisors will be viewed alongside other evidence	All external advisors will be made aware of the Code of Practice. External advisors will not provide advice that is used to inform decisions. External advisors will not be given any information relating to individual staff circumstances.
Advisory Structures		
Committee/Group	Role	Formation and Membership
Senate	Receives and confirms reports from Research and Knowledge Exchange Committee	Annex G
Research and Knowledge Exchange Committee	Receives and approves reports from REF2021 Working Group. Ensures broad oversight of REF2021 Working Group.	Annex C
REF2021 Working Group	Responsible and accountable for operational aspects of REF2021 including preparation of REF2021 strategy, application of code of practice and preparation of UOAs	Annex C

RESEARCH AND KNOWLEDGE EXCHANGE COMMITTEE

Serviced by:	<i>Research and Knowledge Exchange Support Manager</i>
Reports to:	<i>Senate</i>

1. Terms of Reference

- 1.1 To be responsible for the development of research and knowledge exchange strategy providing regular monitoring reports and updates, including on relevant key performance indicators.
- 1.2 To be responsible for the implementation and evaluation of research and knowledge exchange related policies and procedures ensuring alignment with relevant regulatory frameworks.
- 1.3 To prepare and recommend to Senate responses to external assessment exercises and consultations related to research and knowledge exchange.
- 1.4 To receive post-graduate research student feedback, including external survey outcomes, and ensure that action plans are developed and progress monitored.
- 1.5 To debate, review and recommend approaches to improve the research and knowledge exchange culture and performance within the University and make recommendations for action to the University's Senior Management Team and/or Senate.
- 1.6 To be responsible for ensuring effective governance is in place for research and knowledge exchange funding.
- 1.7 To receive from committees, panels and/or working group reports on specific aspects of research and knowledge exchange at the University and consider aspects that might need broader consideration and/or referral including
 - 1.7.1 To receive from the University Research Ethics Panel a report regarding ethical issues arising from research and confirmation of alignment with University ethical approval policies and procedures
 - 1.7.2 To receive from the REF2021 Working Group a progress report regarding the REF2021 submission, confirmation of alignment to REF2021 code of practice and any research related issues that arise, including related to equality and diversity.
 - 1.7.3 To receive from the Research Degrees Scrutiny Panel a report regarding post-graduate research student policies and procedures, confirmation of status updates of post-graduate research students and any related issues that arise
- 1.8 To ensure that the above duties are carried out with due regard to equality and diversity thereby avoiding discrimination.

2. Membership

The Committee reserves the right to co-opt members for fixed term periods as appropriate.

- Deputy Vice-Chancellor (Chair)
- Chair of the Research Ethics Panel
- One Post-Graduate Research Coordinator
- One REF2021 UoA Lead
- Director of Finance
- Head of Library
- Enterprise and Employability Manager
- One representative of Academic Management Team
- Two representatives of the University's academic community who are active researchers
- Two representatives of the University's academic community who are actively involved in knowledge exchange
- A postgraduate research student who has been elected by the postgraduate student body to be its representative for a period between one and three years
- In attendance: Research and Knowledge Exchange Support Manager (Secretary)

3. Frequency of Meetings and Conduct of Business

- 3.1 The Committee will normally meet three times in each academic session, reporting to Senate via its minutes.
- 3.2 The quorum for the meeting will be 50% of the membership.
- 3.3 In his or her absence, the Chair may nominate a member of the Committee, who is also a member of Senate to chair the meeting

Issuing Institution	University of St Mark & St John
Issuing Authority	Senate
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REF2021 WORKING GROUP

Serviced by:	<i>Research and Knowledge Exchange Support Manager</i>
Reports to:	<i>Research and Knowledge Exchange Committee</i>

1. Terms of Reference

- 1.1 Responsible for making recommendations to the Research and Knowledge Exchange Committee on the REF2021 submission in line with the Marjon Growth Plan and with an emphasis on maximising the benefit of REF2021 to Plymouth Marjon University.
- 1.2 Responsible for coordinating REF2021 around units of assessment including staff within each unit, the selection of outputs, case studies and preparation of environment statements in line with the strategic plan.
- 1.3 Responsible for identifying and commissioning external advice and services in relation to the REF2021 submission and monitoring progress.
- 1.4 Accountable for ensuring effective communication with staff and other relevant committees to support transparency and inclusivity in decision making and ensuring a closed feedback loop.
- 1.5 Accountable for ensuring the REF2021 code of practice is applied consistently and transparently in the identification of staff with significant responsibility for research, research independence, individual staff circumstances and the selection of outputs.
- 1.6 Accountable for reviewing equality impact assessments to ensure the consistent application of the REF2021 code of practice promotes inclusivity and avoids discrimination.
- 1.7 Accountable for ensuring the working group follows and stays abreast of all guidance for REF2021, engages in appropriate policy updates and aligns to best practice indicators from REF2014.
- 1.8 To ensure that the above duties are carried out with due regard to equality and diversity thereby avoiding discrimination.

Membership

The composition of the REF working group will include:

- Deputy Vice-Chancellor (Chair)
- Unit of Assessment Coordinators for UOAC23, UOAC24 and UOAC17.
- Director of Human Resources
- One representative of Academic Management Team

- In attendance: Research and Knowledge Exchange Support Manager (Secretary)
- The working group reserves the right to co-opt members for fixed term periods as appropriate and/or additional members may be invited for specific items, including, where appropriate, including external advisors

Operation

The working group will meet as required to conduct its business and will time meetings when members are available and will conduct some business electronically.

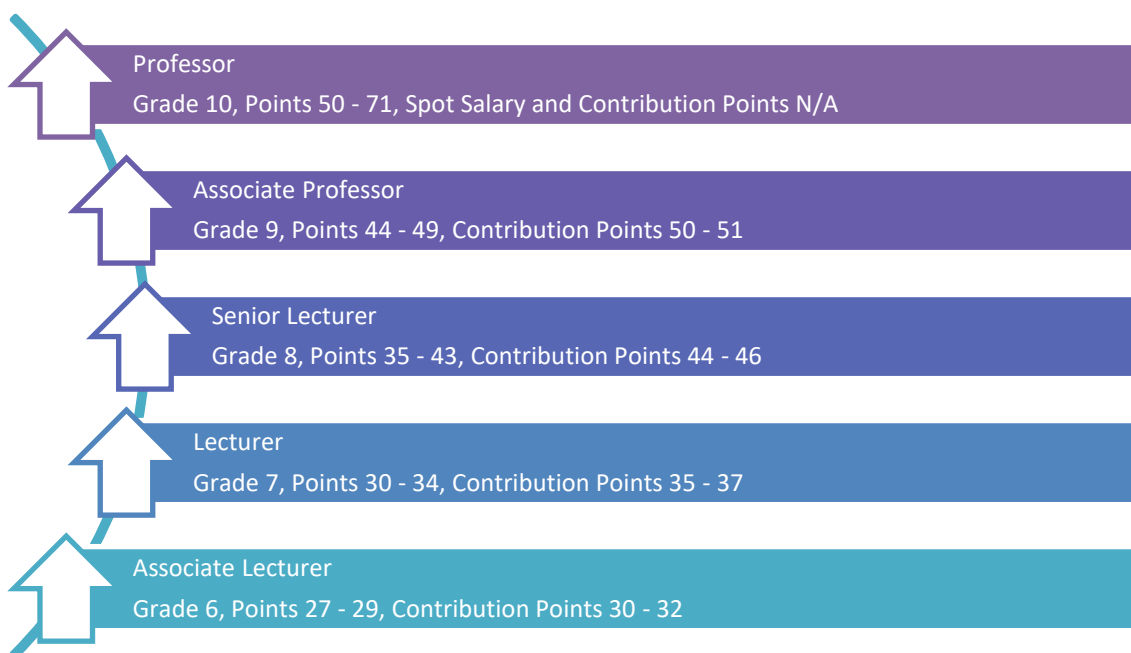
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Issuing Authority	Senate
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Academic Promotion and Career Development Procedure

The academic promotion and career development procedure is designed to provide opportunities to recognise and develop the talents, skills and experience of academic staff which will enable them to fulfil their potential and contribute to the success of the University.

1. Academic Career Track

The University's academic career track is detailed below:



2. Grade Progression

Normal progression within grades will continue annually, subject to satisfactory performance, until the top of the grade boundary.

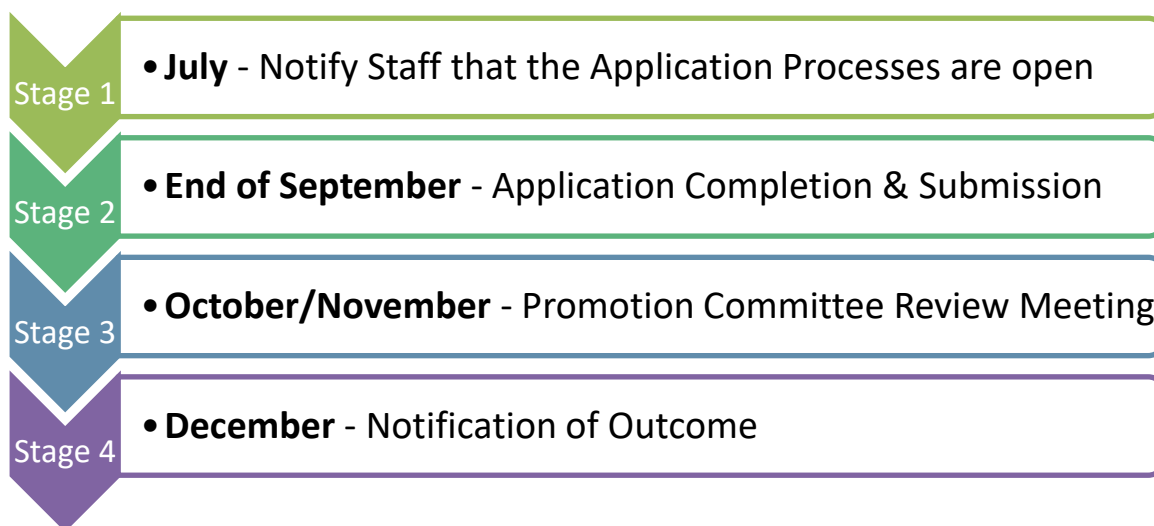
3. Resourcing Promotions

The application process will be available to all academic staff annually. However, it will be standard practice for the Promotions Panel to consider the University's strategic priorities, financial position, and the current skill mix of academic staff, before promoting staff. It is important that the University has the right amount of staff, at the right levels, to ensure we have a balanced and successful academic workforce.

4. Annual Application Process

The annual application process and timings will be consistent across all academic promotion levels.

Promotions will take effect from 1st September, each year.



5. The University's Academic Promotion Panel

The University's Academic Promotion Panel membership will normally comprise the following positions:

- Vice Chancellor (Chair)
- Deputy Vice Chancellor (ex officio chair in the absence of the Vice Chancellor)
- Executive Dean
- External Professor (required for applications to Associate Professor and Professor only)
- Director of Human Resources
- HR Administrator (Note Taker)

The University Promotion Panel, chaired by the Vice Chancellor, will consider and assess all applications. The Panel will decide on balance the extent to which the criteria are satisfied, potentially meriting promotion or the award of a contribution point.

The Panel will include staff trained in job evaluation and equality legislation, and every effort will be made to achieve a gender balance in its composition. All members of the Panel have a role in assessing each case for promotion and must vote either for or against for each applicant. If, for wholly exceptional reasons, a member of the Panel is unable to attend a meeting, they are required to submit their written assessment in advance to the Director of Human Resources. The Chair will inform the Panel of the submitted views on each case.

The University's Promotion Panel will give due regard to applicants that are on part-time contracts or have particular personal circumstances. In both cases applicants are still expected to have demonstrated the required standard and quality of performance, but the volume expectations may be varied to take account of the circumstances.

All outcomes, including the rationale for each decision, will be recorded for the purposes of feedback to applicants and policy monitoring.

6. Academic Promotion Pathways

The University wishes to enable academic promotion through the full range of academic duties and responsibilities.

The following diagram identifies the four pathways on which applications will be assessed.



It may take a number of years to develop a track record which demonstrates that the criteria have been met for all academic promotions. Therefore, it is important to plan ahead and diligently prepare the necessary documentation to ensure it can be evidence against the criteria on which an applicant will be assessed.

7. Making an application

All applicants must provide the following documents in support of their application.

Letter of Application

The letter of application is essential in the promotion process and should be of the highest possible quality, clearly evidencing how the specific criteria for promotion have been met. When the letter of application has been submitted no additional information will then be accepted.

Applicants will also need to provide a copy of their most recent PDR, or confirm that it is up-to date within the iReview system for the panel to review accordingly.

Curriculum Vitae

The curriculum vitae (CV) is an important part of the promotion application and provides the Panel with a factual summary of an applicant's career profile. It is necessary to ensure that all applications are considered consistently and fairly. Applicants must provide an up-to-date CV in an easy to read format.

In addition, it will be important that applicants have ensured that their University web profile, and where applicable their CREST repository outputs, are up-to-date and in line with their submitted CV.

Statement Provided by the Director of School

Each application will include an evaluation of the applicant's suitability for promotion, prepared by the Director of School. This will detail the extent to which the application meets the promotion criteria for the grade and should be no more than 250 words for each pathway detailed in their letter of application. The Director of School will comment on the applicant's achievements taking account of any personal circumstances. It is the responsibility of the applicant to ensure that their letter of application and CV is forwarded to the relevant Director of School, at least two weeks prior to the submission deadline, to allow sufficient time for the supporting statement to be submitted prior to the closing date.

If an applicant wishes to proceed with an application without the support of the Director of School, they should arrange for another senior academic colleague to submit a similar statement.

If the Director of School is applying for promotion then the statement should be obtained from the Executive Dean.

The University's Academic Promotion Committee reserves the right to request that the Director of School attends the Committee to present their statement, where it is considered necessary.

8. Promotion from Associate Lecturer to Lecturer

The following details the criteria required for promotion from Associate Lecturer to Lecturer:

- The applicant must exemplify the University's values and behaviours which will require evidencing through their most recent PDR.
- The applicant must have worked for the University as an Associate Lecturer for at least a full 12 months.
- The applicant's final probation review or most recent PDR must have been completed to a good level (good is defined as no areas of concern).
- The applicant should have obtained fellowship of the HEA.

The Promotion Panel will consider applications and match the evidence provided against the Lecturer Job Description and the four areas of academic promotion criteria. Applicants should be engaging in all four areas of the criteria, however, it will be expected that a sustained level of achievement can be identified in at least two areas with one of those two being Learning & Teaching. Sustained is defined as over one or more years.

9. Promotion from Lecturer to Senior Lecturer

The following details the criteria required for promotion from Lecturer to Senior Lecturer:

- The applicant must exemplify the University's values and behaviours which will require evidencing through their most recent PDR.
- The applicant must have worked for the University as a Lecturer for at least a full 12 months.
- The applicant's final probation review or most recent PDR must have been completed to a high level (high is defined as no areas of concern and examples of excellence).
- The applicant should have obtained fellowship of the HEA.

The Promotion Panel will consider applications and match the evidence provided against the Senior Lecturer Job Description and the four areas of academic promotion criteria. Applicants should be engaging in all four areas of the criteria; however, it will be expected that a significant and sustained level of achievement can be identified in at least two areas with one of those two being Learning & Teaching. Significant is defined as a wealth of sustained examples.

There will be no automatic route of promotion to Senior Lecturer for taking on additional academic roles e.g. Programme Leader or Programme Co-ordinator. However, evidence of undertaking these roles will support applications for promotion to Senior Lecturer in relation to the Leadership and Management criteria.

10. Promotion from Senior Lecturer to Associate Professor

The following details the criteria required for promotion from Senior Lecturer to Associate Professor:

- The applicant must exemplify the University's values and behaviours which will require evidencing through their most recent PDR.
- The applicant must have worked for the University as a Senior Lecturer for at least two years.
- The applicant will normally have a PhD, doctorate or a comparable level of professional experience.
- The applicant's final probation review or most recent PDR must have been completed to a high level.

The Promotion Panel will consider applications and match the evidence against the four areas of academic promotion criteria. Applicants should be engaging in all four areas of the criteria, however, it will be expected that a significant level of achievement can be identified in two areas, against which the panel will assess the application. Candidates may choose, but it is not compulsory, to identify levels of achievement in the two areas they are not asking the panel to focus upon, but this supplementary material must not be longer than 500 words.

It should also be noted that Associate Professor does not provide entitlement to self-designate externally as Professor.

a) Research

All research should be clearly aligned with the academic's Learning and Teaching, the direction of the School and/or the University's overall direction.

In awarding a title, the committee will have regard to the following criteria:

- substantial achievement in original research, either pure or applied, recognised at national levels;
- ability to influence, stimulate and inspire others;
- record of recognition for impact in terms of reach and significance beyond the University;
- an excellent contribution to the research profile of their discipline/department through publications and external research activities;
- commitment to the future development of their research;
- evidence of contributing to the leadership of research development within their discipline, more widely within the University and at a national level.

In determining whether the criteria are met, the committee will look for evidence appropriate to the discipline. Although every application is different, particularly when applying for senior promotions, the panel will want to consider some of the following:

- outstanding original contribution to the field of work and validation of this contribution;
- a sustained record of regular high-quality publications and conference papers, where appropriate validated by number of citations or by other indices;
- national standing of the applicant's work validated by, e.g. membership of research councils and bodies, invitations to give keynote papers, editorial roles, organisation of national conferences, acceptance of work by highly-rated publications which undertake rigorous peer review; external examination of PhD candidates;
- national networks and collaborations;
- contribution to their academic community, public policy, industry, the professions, commerce, the public sector or voluntary organisations;
- research income and grant submissions from, e.g. research grants, commercial exploitation of research;
- PhD supervision leading to successful completion, engagement in supervisor development sessions and wider PGR support;
- ways in which research has linked to and informed undergraduate and postgraduate teaching;
- contribution to the most recent REF;
- research team development and leadership within the School to promote the research culture for instance via research mentorship, leading researcher development sessions, acting on research committee;
- evidence of a clear and compelling research plan over the next five years.

b) Learning and Teaching

In awarding a title, the committee will have regard to the following criteria:

- contribution to the advancement of knowledge and understanding in the field of learning, teaching and assessment;
- ability to influence, stimulate and inspire others;
- an excellent achievement in contributing to student learning;
- commitment to the future development of learning and teaching;
- evidence of contributing to the leadership of learning and teaching development within their discipline, more widely within the University and at a national level.

In determining whether the criteria are met, the committee will look for evidence appropriate to the discipline. Although every application is different, particularly when applying for senior promotions, the panel will want to consider some of the following:

- an established reputation as an excellent teacher and scholar, e.g. HEA Senior Fellow
- an outstanding contribution to the learning and assessment process, e.g. curriculum development, innovation in learning, teaching and assessment approaches, and external assessments and evaluations of this contribution;
- impact of approaches and innovations at national level;
- high level pedagogic research, and how this has been received and utilised e.g. dissemination of excellence in teaching and learning through conference presentations, practitioner articles or peer review outputs;
- external experience of the evaluation of learning, teaching and assessment e.g. QAA reviewer, consistent involvement in external examining;
- leadership of a major academic function within the university;
- recognised external leadership roles in learning and teaching e.g. through membership of national bodies;
- contribution to policy;
- commitment to the future development of learning and teaching.
- positive National Student Survey results or a positive approach to improving these
- positive mid-module and end of module review results
- excellence in management of Staff-Student Liaison Committees and clear evidence of engaging students in developing and improving the curriculum

c) Knowledge Exchange and Impact

In awarding a title, the committee will have regard to the following criteria:

- evidence (as appropriate to the discipline) of major contribution to knowledge transfer or exchange of practice;
- ability to influence, stimulate and inspire others;
- evidence of an involvement in knowledge transfer or exchange which has social and/or economic impact and benefit to the university and other stakeholders;
- commitment to the future development of knowledge transfer or exchange;

- evidence of contributing to the leadership of these activities within their discipline, more widely within the University and at national level.

In determining whether the criteria are met, the committee will look for evidence appropriate to the discipline. Although every application is different, particularly when applying for senior promotions, the panel will want to consider some of the following:

- an established reputation for knowledge exchange and impact;
- innovation in linking research (and scholarly activities) and knowledge transfer through e.g. consultancies, CPD, enterprise activities;
- outstanding success in developing networks and partnerships with internal and external stakeholders;
- significant collaboration(s); validation of collaboration;
- a leadership role within the University, e.g. leading a team in developing knowledge exchange within the School;
- success in securing funding;
- external recognition, e.g. through membership of external committees, advisory/consulting roles for Schools, the NHS or other external bodies;
- external experience of evaluating projects or programmes;
- commitment to the future development of knowledge transfer activities.

d) Leadership and Management

In awarding a title, the committee will have regard to the following criteria:

- outstanding contribution to the University through academic leadership;
- ability to influence, stimulate and inspire others;
- commitment to the future development of these core activities and a capacity to contribute to the leadership of these activities within their discipline and more widely within the University.

Every application is different, particularly when applying for senior promotions, the panel will want to consider some of the following:

- outstanding leadership of a major academic function within the University in a way which distinguishes the candidate;
- developing the School and the University's prominence and profile at a national level, beyond its 'core business' and beyond the sum of its parts;
- leadership skills in designing and implementing substantial organisational change and/or building new institutional capacity within the School and University, e.g. new research centre, research culture, teaching quality or evidence of strong mentorship of academic colleagues;
- commitment to the future academic leadership within or across the core activities of the University;
- Commitment to supporting the professional functions of the University, in particular through working closely and collaboratively with the quality, admissions and student recruitment teams.

11. Promotion from Associate Professor to Professor

The following details the criteria required for promotion from Associate Professor to Professor:

- The applicant must exemplify the University's values and behaviours which will require evidencing through their most recent PDR.
- The applicant must have worked for the University as an Associate Professor for at least two years.
- The applicant's final probation review or most recent PDR must demonstrate a consistently high level of performance

The Promotion Panel will consider applications and match the evidence against the four areas of academic promotion criteria. Applicants should be engaging in all four areas of the criteria, however, it will be expected that a sustained and significant level of achievement can be identified in two areas, against which the panel will assess the application. Candidates may choose, but it is not compulsory, to identify levels of achievement in the two areas they are not asking the panel to focus upon, but this supplementary material must not be longer than 500 words.

a) Research

All research should be clearly aligned with the academics Learning and Teaching, the direction of the School and/or the University's overall direction.

In awarding a title, the committee will have regard to the following criteria:

- substantial achievement in original research, either pure or applied, recognised at national and international levels;
- ability to influence, stimulate and inspire others;
- record of recognition for impact in terms of reach and significance beyond the University;
- outstanding contribution to the research profile of their discipline/School through publications and external research activities;
- commitment to the future development of their research and the capacity;
- evidence of contributing to the leadership of research development within their discipline, more widely within the University and at national and international levels.

In determining whether the criteria are met, the committee will look for evidence appropriate to the discipline. Although every application is different, particularly when applying for senior promotions, the panel will want to consider some of the following:

- outstanding original contribution to the field of work and validation of this contribution;
- sustained record of regular high-quality publications and conference papers, where appropriate validated by number of citations or by other indices;
- national and international standing of the applicant's work validated by, e.g. membership of research councils and bodies, invitations to give keynote papers, editorial roles, organisation of national/international conferences, acceptance of work by international-rated journals which undertake rigorous peer review; external examination of PhD candidates;
- national and international networks and collaborations;

- contribution to their academic community, public policy, industry, the professions, commerce, the public sector or voluntary organisations;
- significant research income and grant submissions from, e.g. research grants, commercial exploitation of research;
- PhD supervision leading to successful completion; leadership in supervisor development sessions and wider PGR support;
- ways in which research has linked to and informed undergraduate and postgraduate teaching;
- contribution to the most recent REF including leadership of UOAs and/or aspects of a UOA;
- research team development and leadership within the department/School including mentoring of early and mid-career researchers and/or mentoring of new supervisors; leading researcher development sessions, acting on research committee;
- evidence of a clear and compelling research plan over the next five years.

b) Learning and Teaching

In awarding a title, the committee will have regard to the following criteria:

- contribution to the advancement of knowledge and understanding in the field of learning, teaching and assessment at the highest level;
- ability to influence, stimulate and inspire others;
- outstanding achievement in contributing to student learning;
- commitment to the future development of learning and teaching;
- the capacity and acceptance of responsibility for contributing to the leadership of learning and teaching development within their discipline, more widely within the University and at national and international levels.

In determining whether the criteria are met, the committee will look for evidence appropriate to the discipline. Although every application is different, particularly when applying for senior promotions, the panel will want to consider some of the following:

- Evidence from student evaluations and module performance of excellence and inspiration in teaching;
- Evidence of mentoring of fellow academics to inspire enhanced teaching;
- Evidence of University and Student Union awards that recognise high quality teaching;
- an established reputation as an excellent teacher and scholar, e.g. national teaching fellowship;
- an outstanding contribution to the learning and assessment process, e.g. curriculum development, innovation in teaching, learning and assessment approaches, and external assessments and evaluations of this contribution;
- Evidence of innovation in technology enhanced teaching;
- impact of approaches and innovations at national and international level;
- high level pedagogic research, as demonstrated by publications etc, and how this has been received and utilised;
- external experience of the evaluation of learning, teaching and assessment e.g. QAA reviewer, consistent involvement in external examining;
- leadership of a major academic function within the university;

- recognised external leadership roles in learning and teaching e.g. through membership of national bodies;
- contribution to policy;
- success in securing major external funding;
- international standing, e.g. membership of international committees concerned with the development of the teaching of their subject in HE; international (preferably peer-reviewed) publications, contribution to international conferences, evidence of adaptation of teaching or assessment methods etc by HEIs in other countries;
- commitment to the future development of teaching and learning.

c) Knowledge Exchange and Impact

In awarding a title, the committee will have regard to the following criteria:

- evidence (as appropriate to the discipline) of major contribution to knowledge transfer or exchange of practice;
- ability to influence, stimulate and inspire others;
- evidence of an involvement in knowledge transfer or exchange which has a significant and demonstrable social and/or economic impact and benefit to the university and other stakeholders;
- commitment to the future development of enterprise and knowledge transfer;
- acceptance of responsibility for contributing to the leadership of these activities within their discipline, more widely within the University and at national and international levels.

In determining whether the criteria are met, the committee will look for evidence appropriate to the discipline. Although every application is different, particularly when applying for senior promotions, the panel will want to consider some of the following:

- an established reputation for high level academic expertise and the ability to translate that for a non-academic audience, whether commercial, public sector or voluntary;
- major innovation in linking research (and scholarly activities) and knowledge transfer through e.g. consultancies, CPD, enterprise activities;
- outstanding and sustained success in developing networks and partnerships with internal and external stakeholders;
- significant sustained industrial/commercial collaboration(s); validation of collaboration;
- a leadership role within the University, e.g. leading a team in developing enterprise activities within the School;
- sustained success in securing major funding;
- external recognition, e.g. through membership of enterprise bodies, advisory/consulting roles for national/international agencies or bodies;
- external experience of evaluating enterprise projects or programmes;
- international contribution to developing the link between the discipline and its stakeholders through e.g. membership of international committees; publications, contribution to international conferences;
- commitment to the future development of enterprise and knowledge transfer activities.

d) Leadership and Management

In awarding a title, the committee will have regard to the following criteria:

- outstanding contribution to the University through academic leadership;
- ability to influence, stimulate and inspire others;
- commitment to the future development of these core activities and a capacity to contribute to the leadership of these activities within their discipline, more widely within the University and at national and international levels.

Every application is different, particularly when applying for senior promotions, the panel will want to consider some of the following:

- outstanding and sustained leadership of a major academic function within the University in a way which distinguishes the candidate;
 - developing or sustaining the School and the University's prominence and profile at a national and international level, beyond its 'core business' and beyond the sum of its parts;
 - leadership skills in designing and implementing substantial organisational change and/or building new institutional capacity within the School and University, e.g. new research centre, research culture, teaching quality;
- commitment to the future academic leadership within or across the core activities of the University.

12. External Academic Referees for Associate Professor and Professor

The names and contact details of three external referees of professorial standing, suited to comment on the applicant's qualities with regard to the appropriate criteria will be required for a professorial appointment. Two will be required for an associate professor appointment.

The referees should normally be of professorial standing in a discipline related to the applicant's field of work. Where possible, the referees must be independent of the applicant, in the sense that they have not supervised, worked closely or collaborated with the applicant on research, scholarship or consultancy projects in the last five years. They must also not be partners or family members.

Of the three referees nominated by an applicant for a professorial post, the Academic Promotion Committee will seek two references from any three of its choice. The Committee will also seek additional references from two independent referees of its choice within the applicant's field of work.

For an associate professor appointment, the Academic Promotion Committee will seek references from one of the three referees nominated. The Committee will also seek an additional reference from one independent referee of its choice within the applicant's field of work.

The role of external academic referees is to advise the Committee on the suitability of the applicant under consideration for the title of Professor or Associate Professor on the basis of the criteria through the provision of a written reference.

13. Outcome Notification & Feedback

The HR Director is responsible for notifying each applicant of the decision taken following consideration of their application by the University Promotion Panel.

Successful Application

Successful applicants will receive written notification of their promotion along with written confirmation of salary placement and, if appropriate, any market supplement. Promotion will normally be effective from 1st September.

A successful application for promotion to Grades 7, 8 or 9 will normally result in salary placement on the first point for the new grade unless the applicant is already being paid within the contribution zone of Grade 6, 7 or 8. In such circumstances, salary placement will be one incremental point above the level of salary prior to promotion.

A successful application for promotion to Professor will normally result in salary placement at the bottom of Grade 10, Band 1 of the University's Professorial Senior Staff Pay Structure. Placement within a band will be determined in accordance with the University's Senior Pay Policy.

Unsuccessful Application

Where an application is unsuccessful, feedback will be provided by the Executive Dean with appropriate information from the Promotion Panel, and the support of the Human Resources team, as required. Feedback for professional development purposes will include guidance on the action necessary to meet the criteria for promotion in any future application.

14. Appeal Process & Additional Matters

For the roles of Associate Professor and Professor a re-application will not normally be considered for two years unless the candidate can demonstrate that in exceptional circumstances substantive additional achievement has transformed the stature of their candidacy.

The decision of the University Promotion Committee is final. There is no right of appeal against a decision taken not to approve an application for promotion unless there are circumstances that call into question the procedures that have been applied.

An unsuccessful applicant may appeal to the Director of Human Resources in circumstances where they can demonstrate that due process was not followed, and that this failure has affected the outcome. The Appeal will be managed in line with the University's Appeal Policy and Procedure.

All materials and deliberations relating to applications will be treated in the strictest confidence by all participants in the process. Members of the University Promotion Panel will not normally discuss applications or recommendations outside the Panel meeting structure, unless for advice on a procedural matter.

It is the University's policy, in accordance with the provisions of the Data Protection Act 1998, to retain each application, and associated correspondence, in an individual's personal file. This will be accessible to applicants through the University's data access request procedures.

15. Revocation of the titles of Associate Professor and Professor

The revocation of the title of Associate Professor or Professor is a potential outcome of a disciplinary and/or capability process (in addition to the sanctions explicitly identified in the respective procedures) where it is identified that the person holding the title has brought the university into disrepute, or where they are no longer able to demonstrate the required level of achievement.

Revocation of a title will take place if, following the appropriate university policy and process (e.g. PDR) and in the opinion of the Vice-Chancellor, as recommended by the University's Academic Promotion Panel:

- (a) The person holding the title has brought the university into disrepute; or
- (b) A person currently employed by the university who was originally awarded the professorial title primarily as a result of an outstanding level of achievement on the relevant criteria is no longer able to demonstrate that level of achievement and, as a result, no longer meets the criteria for the professorial title, or,
- (c) A person currently employed by the university who was originally awarded the associate professor title is no longer able to demonstrate that level of achievement and, as a result, no longer meets the criteria for the associate professor title.

The University's Promotion Panel will give due regard to any circumstances that may have had an impact on the volume of output. Individuals with particular personal circumstances are still expected to have demonstrated the required standard and quality of performance, but the volume expectations may be varied to take account of the circumstances.

Annex F

REF2021 Appeals Panel

The REF 2021 Appeals panel will decide if there is sufficient evidence to warrant reconsideration of by the decision makers according to the published Code of Practice. It is normally expected that an appeal will be considered by written representation outlining what decision should be reconsidered and the justification for this, including evidence to substantiate where reasonable. Appeals should be directed to Human Resources who will normally convene an appeals panel within 10 working days of an appeal request

Grounds for Appeal

The matters that can be considered for appeal include:

In relation to significant responsibility for research

- To review where staff feel they have selected their pathway incorrectly
- To review evidence where staff feel they have been unfairly treated as outlined in section 2.10

In relation to research independence:

- To allow any staff on research contracts to appeal against the decision of the REF2021 working group in relation to research independence.

In the case of the selection of outputs

- In cases where staff disagree regarding output allocation (section 4.4)
- In case where staff feel there has been procedural irregularity regarding the inclusion/exclusion of a particular output (section 4.6).
- The appeal process will not consider academic judgement issues in relation to the estimated output rating of a particular output by internal and/or external peer-review.

Panel Composition

- Registrar
- Executive Dean
- Human Resources Representative (not the Director of Human Resources)

Outcomes

The appellant will receive a written response from Human Resources within 5 working days of the panel and the appeals panel will result in one of the following:

- The appeal is upheld in which case the REF2021 working group will be informed of the appeal outcome and requested to amend the decision and consider how the appeal outcome might be better considered in future decision making
- The appeal is dismissed and the original decision would stand.

There will be no further right of appeal under this REF2021 Appeals Process

SENATE

<i>Serviced by:</i> Academic Standards Officer <i>Minutes received by:</i> Board of Governors
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1. Terms of Reference

- 1.1 Subject to the provisions of the Memorandum and Articles of Association, to the overall responsibility of the Board of Governors, to responsibilities of the Vice-Chancellor and Chief Executive (hereafter referred to as the Vice-Chancellor), and to requirements of external validating bodies, Senate¹ shall be responsible for considering the development of the academic activities of Plymouth Marjon University² and the resources needed to support them, and advice to the Vice-Chancellor, the Senior Management Team and the Board of Governors thereon.
- 1.2 The power of Plymouth Marjon University to award degrees derives from an Order made by the Privy Council in exercise of its powers conferred on Them by section 76 of the Further and Higher Education Act 1992(a) dated 3rd April 2007. The awards are of the kind mentioned in paragraph 76(2) of the said act. Senate will award degrees, diplomas, certificates and other distinctions on behalf of the Board of Governors, which has delegated responsibility to it for the procedures for the award of such qualifications.
- 1.3 Senate has granted authority to the Registrar of the University, in the role of Secretary to Senate, to administer the arrangements for the conferment of its awards upon individual students who have satisfied the requirements of conferment.
- 1.4 Senate is also responsible for advising the Vice-Chancellor on general issues relating to research, scholarship, teaching and programmes at the University including:
 - the maintenance and enhancement of the policy, procedural and regulatory framework required to support the University's academic activities:
 - the maintenance of academic standards and the approval in principle, validation and review of taught programmes leading to awards of the University:
 - the monitoring of the University's academic performance agreeing action plans in the light of the key metrics identified by HEFCE/The Office for Students, notifying the Academic, Quality and Student Experience Sub-Committee of the Board of Governors, and also against the agreed strategic Key Performance Indicators (KPIs), via the University Board of Studies:
 - the approval of the University's quality assurance procedures:
 - the University's academic portfolio and the content of the curriculum:
 - oversight of the University's collaborative provision arrangements and procedures:

¹ The Articles of Association currently refer to Senate as Academic Board, but any reference in the Articles to the Academic Board can be construed, without exception, as a reference to Senate. This re-naming will be enshrined in the next revision of the Articles.

² Plymouth Marjon University is a trading name of the University of St Mark & St John.

- criteria for the admission of students:
- the policies and procedures for the assessment and examination of the academic performance of students:
- the appointment and removal of External Examiners:
- procedures for the award of qualifications and honorary academic titles:
- procedures for the appointment of Professors, Associate Professors, Visiting Professors, Professors Emeritus/Emerita and Visiting Fellows:
- procedures for good conduct and student discipline including the expulsion of students.

This list is not exhaustive and Senate is also responsible for advising on other matters referred to it by the Vice-Chancellor, Senior Management Team or the Board of Governors.

- 1.5 Senate may establish such associated Committees (including Working Groups and Panels) as it deems necessary to carry out its responsibilities provided that each establishment is first approved by the Vice-Chancellor. The number of members of any such associated Committee and the terms on which they are to hold and vacate office shall be determined by Senate.

2. Membership and Attendance at Meetings

- 2.1 There shall be no more than 25 members of Senate. The voting membership of Senate shall include ex-officio members as follows:

- The Vice-Chancellor (Chair)
- Deputy Vice-Chancellor (Deputy Chair)
- The Executive Dean
- The Directors of School
- The Registrar (Secretary)
- The Director of Marketing and Student Experience
- The Head of Library (or nominee)
- The Head of Student Support
- The Quality and Standards Manager
- The President and Deputy President of the Student Union

- 2.2 The membership of Senate shall also include:

- An elected academic staff representative from each School
- One member of the University's professional services community elected by and from that community
- An additional student representative, who is not an officer of the Student Union

- 2.3 Elected members shall normally serve for three years, with the possibility of an additional year's extension, and shall be eligible for re-election on one occasion only for a maximum period of six years in total. Elections shall be conducted in accordance with Senate's Procedures for the Conduct of Elections.

- 2.4 The Chaplain of the University may be invited to attend meetings of Senate. They may take part in discussion but not vote.
- 2.5 The Academic Standards Officer shall normally serve as Clerk to Senate.
- 2.6 Staff members may be invited to attend Senate for specific items as appropriate.

3. The Role of the Chair

- 3.1 At all meetings the Chair must be taken by the Vice-Chancellor or, in the absence of the Vice-Chancellor, by the Deputy Vice-Chancellor (or, exceptionally, by a member of the Senior Management Team nominated by the Vice-Chancellor).
- 3.2 The Chair shall conduct the business of Senate, according to its guidelines for the conduct of meetings, the Rules of Governance as set out in the University's Memorandum and Articles of Association, and these Rules of Procedure. It shall also be the duty of the Chair, when specifically requested by Senate, to submit any resolution of Senate to the next meeting of the Board of Governors.

4. Nominations to Other Bodies

- 4.1 Two members of academic staff will serve as members of the Board of Governors. One member of academic staff will be elected by and from the academic community; and one member of staff will be elected by and from the academic staff members of Senate. The term of office of both the member of academic staff elected by and from the academic community and the member of academic staff elected by and from the academic staff members of Senate shall be three years.
- 4.2 Senate can also nominate representatives to serve on outside bodies.

5. Associated Committees

- 5.1 The following Associated Committees shall report to Senate, with delegated authority as set out in the relevant Terms of Reference:
 - University Board of Studies (UBS)
 - Research Committee (RC)
 - Student Experience Council (SEC)
- 5.2 Associated Committees may only be chaired by ex-officio members of Senate.
- 5.3 The approved minutes of each Associated Committee will be circulated to the members of Senate, notwithstanding any items referred to it by the relevant Chair. The confirmed minutes of Sub-Committees, Working Groups and Panels will be received by the relevant Associated Committee.

- 5.4 Senate may revise the Terms of Reference and/or membership of any of its Associated Committees.
- 5.5 Senate may create new Associated Committees or abolish existing ones.
- 5.6 The Rules of Procedure applicable to Senate will apply in all cases.

6. Conduct of Business

- 6.1 The Clerk shall schedule meetings of Senate normally five times in an academic session. It shall, however, be within the discretion of the Chair to cancel a meeting if, in their opinion, there is insufficient business to warrant it. At least three working days' notice of any such cancellation shall normally be given.
- 6.2 Extraordinary meetings of Senate may also be called, either at the request of the Chair or of one-third of the members. At least three working days' notice of any such meeting shall be given.
- 6.3 The agenda of every meeting of Senate, together with the accompanying papers, shall be circulated to all members not less than three working days before the meeting, normally by way of a paper circulation, and posted on the Staff Newsletter. Items on the agenda shall normally be phrased as proper motions and shall not include any other business. Exceptionally, items may be added to the agenda after circulation subject to the agreement of the Chair.
- 6.4 Any member may submit items of business to Senate, although items referred from the Associated Committees must be submitted through their respective Chairs.
- 6.5 Items of business for the agenda should normally be received by the Clerk at least fifteen working days before the date on which Senate is due to meet. Items included on the agenda as being 'for report and approval' will only be discussed with the agreement of members.
- 6.6 Proposals put to the vote at meetings of Senate shall be carried if they are supported by the majority of the members present and voting or, in the event of a tie, by the casting vote of the Chair.

Issuing Institution	Plymouth Marjon University
Issuing Authority	Board of Governors
Document Title	Terms of Reference – Senate
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Annex H

Staff Circumstances

REF2021 Guidance on Submissions outlines the following key points that staff should consider in relation to the declaration of relevant circumstances that might have had an effect on their ability to contribute to REF2021. If, in line with this guidance, they would like to disclose specific relevant circumstances they are requested to complete the staff circumstances disclosure form. In particular staff should read the data collection statement in Annex I of the Plymouth Marjon REF2021 Code of Practice in relation to data sharing. Anyone uncertain regarding disclosure of circumstances should in the first instance direct enquires to the Director of Human Resources.

161. The funding bodies expect all HEIs participating in the exercise to put in place safe and supportive processes to enable staff to declare voluntarily their individual circumstances, and to recognise the effect of those circumstances on a staff member's ability to contribute to the output pool at the same rate as other staff.

163. It is the funding bodies' view that the individual staff member is best placed to consider whether equality-related circumstances (as set out in paragraph 0) have affected their productivity over the REF assessment period and that they should not feel under pressure to declare their circumstances where they do not wish to do so. It is also important to ensure that processes are applied equally to all applicable circumstances, whether previously known to the institution or first identified through the staff circumstances process. Therefore, submitting institutions should not take account in the REF submission process of any individual circumstances other than those that staff have consented to declare voluntarily.

154. All HEIs participating in REF 2021 will be required to establish safe and robust processes to enable individuals to declare voluntarily their individual circumstances and have the impact of those circumstances reflected in the HEI's expectations of their contribution to the output pool. These processes must be documented in the institution's code of practice.

157. The funding bodies, advised by EDAP, have identified the following equality-related circumstances that, in isolation or together, may significantly constrain the ability of submitted staff to produce outputs or to work productively throughout the assessment period.

- a. Qualifying as an ECR
- 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: this is defined in the 'Guidance on codes of practice', 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.
 - 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 'Guidance on codes of practice', Table 1, or relating to activities protected by employment legislation.

164. Submitting institutions will need to develop robust processes that support staff to declare individual circumstances in a consistent way, with an appropriate degree of confidentiality. Particular regard should be paid to the declaration of sensitive issues such as on-going illness or mental health conditions.

REF2021 Staff Circumstances Disclosure

Name	
Unit of Assessment	

I wish to make the University aware of the following circumstances that have had an impact on my ability to produce research outputs or work productively between 1 January 2014 and 31 October 2020

Circumstance

- Early career researcher (independent researcher on or after 1 August 2016)
- Career break or secondment outside of the higher education sector
- Maternity leave, statutory adoption leave, or additional paternity leave
- Disability (including conditions such as cancer and chronic fatigue)
- Mental health condition
- Ill health or injury
- Constraints relating to pregnancy, maternity, breastfeeding, paternity, adoption or childcare in addition to the period of maternity, adoption or additional paternity leave taken.
- Other caring responsibilities (including caring for an elderly or disabled relative)
- Gender reassignment
- Other exceptional and relevant reasons

Description of circumstance(s), including dates and duration of impact and how the circumstances impacted on your ability to engage in research productivity.

Please select as appropriate:

- I would like to be contacted by a member of human resources staff to discuss my circumstances and requirements and/or the support provided by Plymouth Marjon University and my preferred communication details for this purpose are:

- I do not wish to be contacted by a member of human resources staff

I confirm that the information provided is a true and accurate description of my circumstances. I recognise that the information provided will be used in accordance with the data collection statement for REF2021 purposes.

Signature:	Date:
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Annex I

Data Collection Statement for REF2021

The purpose of the Research Excellence Framework 2021 (REF2021) is to assess the quality of UK research and to inform the selective distribution of public funds for research by the four UK higher education funding bodies. The REF is managed by the REF team, based at Research England (RE), on behalf of the four UK higher education funding bodies. RE is part of UK Research and Innovation (UKRI), and under this arrangement UKRI has the role of 'data controller' for personal data submitted by us to the REF.

If you are a staff member who has been included as part of our submission to the REF 2021, in 2020 we will send some of the information we hold about you to UKRI for the purpose of the REF2021. The information will not be in coded form and your name and details such as your date of birth, research groups, and contract dates will be provided along with details of your research. If you are submitted with individual circumstances that allow a reduction in the number of outputs submitted, without penalty, some details of your personal circumstances will be provided.

You can find further information about what data are being collected on the REF website, at www.ref.ac.uk in particular publication 2019/01, 'Guidance on submissions'.

Sharing information about you

UKRI may pass your data, or parts of it, to any of the following organisations that need it to inform the selective distribution of public funds for research and to carry out their statutory functions connected with funding higher education:

- Department for the Economy, Northern Ireland (DfE)
- Higher Education Funding Council for Wales (HEFCW)
- Scottish Funding Council (SFC).

Some of your data (Unit of Assessment, HESA staff identifier code and date of birth) will also be passed to the Higher Education Statistics Agency (HESA) to enable it to verify coded data returned to it as part of our HESA staff return (see www.hesa.ac.uk). Data returned to the REF will be linked to that held on the HESA staff record to allow UKRI and the organisations listed above to conduct additional analysis into the REF and fulfil their statutory duties under the Equality Act 2010 (England, Wales and Scotland) or the Northern Ireland Act 1998 (Northern Ireland).

UKRI and the organisations listed above will use the information to analyse and monitor the REF2021. This may result in information being released to other users including academic researchers or consultants (commissioned by the funding bodies), to carry out research or analysis, in accordance with the Data Protection Act 2018 and the General Data Protection Regulation (GDPR) (Regulation (EU) 2016/679). Where information not previously published is released to third parties, this will be anonymised where practicable.

UKRI will require that anyone who has access to your data, held in UKRI's records, paper or electronic, will respect its confidentiality and will only process it in accordance with instructions issued for the purposes specified by UKRI.

Parts of your data will be passed to the REF expert panels and the Equality and Diversity Advisory Panel (whose members are independent of UKRI) for the purpose of conducting a systematic evaluation of submissions, in accordance with predetermined criteria and methods. Panels will make judgments about the material contained in submissions and will not form quality judgments about individuals. All panel members are bound by confidentiality arrangements.

Publishing information about your part in our submission

The results of the assessment exercise will be published by UKRI, on behalf of the four UK higher education funding bodies, in December 2021. The published results will not be based on individual performance nor identify individuals.

Those parts of submissions that contain factual data and textual information about research activity will also be published by UKRI, on behalf of the four UK higher education funding bodies, and will be made available online. Published information is likely to include **textual information including impact case studies in which you may be referenced**. Your name and job title may be included in this textual information. Other personal and contractual details, including your date of birth and all information about individual staff circumstances will be removed. UKRI will also publish a list of the outputs submitted by us in each UOA. This list will not be listed by author name.

Data about personal circumstances

You may voluntarily disclose personal circumstances to your submitting unit, which could permit us to submit your information to the REF without the 'minimum of one' requirement (without penalty), or to submit a reduced number of outputs without penalty. If (and only if) we apply either form of reduction of outputs, 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 (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 Equalities 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.

As set out above, unless redacted, the information to be published by UKRI, on behalf of the four UK higher education funding bodies, will include a single list of all the outputs submitted by us. The list of outputs will include standard bibliographic data (including the author name) for each output, but will not be listed by author name.

Accessing your personal data

Under the Data Protection Act 2018 and the GDPR, you have the right to see and receive a copy of any personal information that UKRI holds about you. Further information about the Act and GRPR, and guidance on making a subject access request, can be found on the RE web-site at <https://re.ukri.org/about-us/policies-standards/foi-data-protection/>

If you have any concerns about your information being used for these purposes, please contact:

Data Protection Officer
UK Research and Innovation
Polaris House
Swindon, SN2 1FL

Email: dataprotection@ukri.org