University for the Creative Arts
REF 2021 Code of Practice

Contents

Acronyms and Abbreviations

REF   Research Excellence Framework

SRR   'significant responsibility for research'

ACF   Academic Career Fields

EDI   Equality, Diversity and Inclusivity

EIA   Equality Impact Assessment

PROLOGUE: ADJUSTMENTS DUE TO COVID-19

COVID-19 and changes to REF 2021

On 23rd March 2020 the REF team at Research England announced that REF 2021 was suspended due to the effects of the Coronavirus pandemic. This action was taken to allow universities to concentrate their research efforts on work to combat COVID-19, and to mitigate the effects of the crisis on REF preparations at universities.

In July 2020 a new timetable was announced: the original staff census date of 31st July 2020 has been retained, but the REF submission deadline is adjusted to 31st March 2021, and there are also some changes to assessment periods and deadlines for impact and outputs.

Effects of these changes on UCA's REF preparations

The COVID-19 crisis and the rescheduling of REF by Research England have had the following effects on UCA's REF preparations.

'Significant Responsibility for Research' (SRR):

UCA's procedures to determine significant responsibility for research are unaffected.

Selection of outputs:

Some aspects of the timetable for selection of outputs have been adjusted:

- Letters to staff communicating the preliminary selection of outputs (completed in February 2020) were sent in early April 2020.
- The final selection of outputs, scheduled for May 2020, will be completed in September/October 2020 with the exception of a small number of final decisions (for instance, where outputs are still pending).
- Letters on the final selection will be sent to staff in September/October 2020, and will note that some final decisions are still pending.
- All selection processes and communication of these to staff will now be complete by 28th February 2021.
- The date for the final EIA, timed to follow the final selection of outputs, has been adjusted.

These changes relate solely to the timetable for the selection of outputs: apart from changes to timings, there are no substantive changes in UCA's processes for the selection of outputs.

Staff circumstances:

In November 2019 a letter was sent to all staff with SRR to invite them to declare any relevant individual circumstances. An initial deadline of 18th February 2020 was set for staff to come forward with circumstances should they wish to, in order to meet the REF deadline for declaration and

approval of circumstances in advance of submission. It was noted that even after this date staff could still come forward, as staff circumstances not declared in advance can be submitted at the REF submission date.

As the submission date has now been adjusted to 31st March 2021, a letter will be sent to all staff with SRR to inform them that, should they wish to, they can still declare circumstances, which might include new circumstances related to COVID-19.

Revisions to UCA's Code of Practice

As the changes affect timings only, UCA's REF Code of Practice, approved by Research England on 8th November 2019, will not be updated apart from the addition of this Prologue. Where key dates are referred to in the CoP, either in the REF 2021 timetable or in UCA's internal REF preparation timetable, it should be born in mind that some dates from March 2020 onwards are replaced by those set out here.

In particular the revised dates outlined above under 'Selection of Outputs' supersede those laid out in the latter part of paragraph 4.1.3 of the CoP, and dates for EIAs set out in paragraph 2.6.2 are also adjusted.

The following points should be noted:
- There are no significant changes to the spacing of milestones (key dates) within the timetable.
- The revised timetable will allow all processes (including any appeals processes) to be concluded in advance of the REF deadline.
- This Prologue and the revised timetable have been presented to the REF Working Group for approval, and will be sent to the Research Committee and Academic Board for information.
- The revised timetable will be communicated to all relevant staff with ample time before final submission decisions are made.

PREFACE

For the Research Excellence Framework in 2021 each HEI is required to draw up and implement a Code of Practice on processes for the identification of staff with significant responsibility for research, for determining who is an independent researcher, and for the selection of outputs.

The Code of Practice must comply with the requirements of the Equality Act (2010) in ensuring that UCA's REF processes do not discriminate unlawfully against, or otherwise have the effect of harassing or victimizing, 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. It must ensure that fixed-term and part-time staff are not disadvantaged, and that the university has carefully considered the effects of our REF policies on equality.

When we make our REF submission in late 2020, the Vice-Chancellor is required to confirm that the university has adhered to the Code of Practice in preparing the submission. This document sets out UCA's Code of Practice.

PART 1 : INTRODUCTION

1.1 Principles

1.1.1 UCA's REF processes have been and will be carried out with,

Transparency: in keeping staff informed of the actions taken in preparing for REF, and ensuring that processes are documented clearly in ways that are easily accessible.

Consistency: in establishing clear procedures that are applied in a consistent way across the university.

Accountability: in ensuring that all processes are scrutinised by the appropriate working groups, committees and boards of the university, with the individuals responsible clearly identified, and in keeping appropriate records.

Inclusivity: in ensuring that all processes promote inclusivity, and do not have a detrimental effect upon groups of staff with specific characteristics.

1.1.2 Actions in support of these principles will be described in more detail throughout this Code of Practice, which sets out the university's REF 2021 processes, describes the methods by which they have been developed, details the steps taken to consult on and scrutinise these processes, and codifies the future actions that will be taken up to the submission date in late 2020. The aim is to establish clear and open procedures, and for all UCA members of staff to understand and trust the principles of fairness on which the university's REF submission has been built.

1.2 REF processes in relation to UCA's wider equality, diversity and inclusivity strategy

1.2.1 UCA's submission for REF 2021 has been developed in the context of the University's commitment to Equality, Diversity and Inclusivity. UCA has a strong commitment to Equality, Diversity and Inclusivity encapsulated in its Equality & Diversity Policy and reflected in a further ten policies including Recruitment & Selection, Flexible Working, and Mentoring. It is the aim of the University in these polices, as it is in this Code of Practice, to ensure that all staff have equality of opportunity in their development at the University. UCA's People Strategy (2018) has 'build a diverse community of staff' as one of its core aims.

1.3 Changes since REF 2014

1.3.1 In REF 2014 UCA's submission was small and strategic (in line with REF parameters). The university operated a Research Institute, membership of which allowed access to research support and funding. To qualify for full membership academic staff were required to have a track record in producing world-leading or internationally-excellent research outputs, normally at the rate of an average of one output per year. While the Research Institute provided valuable support and focus for many researchers, this approach was felt to have shortcomings by creating an exclusive environment that did not recognise the contributions of some staff, in research or in other areas.

1.3.2 For REF 2021 UCA's approach has been built on recognition of Lord Stern's review of REF 2014 and his criticism of its detrimental effects in demotivating staff and giving too narrow a view of research, drawn from just a few individuals.

1.3.3. REF 2021 defines as 'eligible for submission' all academic staff with a contract of 0.2 FTE or greater, on the payroll of the institution on the census date (31st July 2020) and whose primary employment function is either teaching and research or research only. HEIs may either submit 100 per cent of these staff, or, where not all eligible staff are engaged in research, they may develop a process for identifying which staff have 'significant responsibility for research', and submit this group of staff only. The latter approach is the appropriate route for UCA (see 2.1). In 2017/18, following the publication of the relevant REF guidance, the university made the decision to base the identification of staff with significant responsibility for research (SRR) on an Academic Career Fields scheme (ACF). All staff in the **Research** Career Field have research as a clear expectation of their role: these staff use their allocation of Research and Scholarly Activity time to work actively on research (defined as 'a process of investigation leading to new knowledge effectively shared') and have access to support for their research, eg the opportunity to apply to UCA's research fund, advice on external funding applications and research mentoring. These staff plan and report on their research activities through the annual performance development review (PDR) process, and eligibility for membership of the Research Career Field is monitored through the PDR.

1.3.4 Unlike the approach to REF 2014, the Academic Career Fields scheme has been developed in ways that build an inclusive approach both to our submission to REF 2021, and to promoting the development of a research culture and research careers beyond REF 2021. A larger number of staff (both FTE and headcount) will be submitted to REF 2021 in comparison to 2014. This will give a full picture of research across the university.

1.3.5 While this Code of Practice differs significantly from UCA's Code of Practice for REF 2014 in how it identifies which staff will be submitted to REF, in other respects it builds upon it. The selection of outputs is founded upon good practice in objective internal and external review established in REF 2014 (and previous research assessments); the Equality Impact Assessments (EIA) carried out for REF 2021 extend data series that reach back to REF 2014.

1.4 Communications

1.4.1 This code has been developed and scrutinised by the REF Working Group,[*] Research Committee, Academic Board, and Equality, Diversity and Inclusivity Committee. The Code of Practice was introduced in draft form to staff via a webinar on 21st March 2019. The draft was then sent to all academic staff via email, and comments were invited via email and in campus meetings held at all four UCA campuses (9th – 12th April 2019). Staff on leave of absence were sent a paper copy by post to their home address. The draft was sent to the UCU trade union representative on 21st March 2019. The final version of the Code will be sent to all academic staff, including those on leave of absence, by email or post in June 2019, and placed on the UCA staff intranet and website. Communications and consultations on this code built on earlier processes of consultation around the Academic Career Fields scheme (see 2.2.4 - 2.2.6).

PART 2 : IDENTIFYING STAFF WITH SIGNIFICANT RESPONSIBILITY FOR RESEARCH

2.1 Our approach and why it is appropriate for UCA

2.1.1. REF 2021 guidance sets out broad parameters but is not prescriptive about the precise mechanisms used to determine which staff have significant responsibility for research. HEIs are encouraged to make context-specific decisions. UCA's Academic Career Fields approach is based upon our character and ethos as a small, specialist institution in a disciplinary field where research exists alongside other academic and educational priorities, and where not all staff engage intensively in research.

2.1.2. In defining 'significant responsibility for research' (SRR) we have carefully considered the REF guidelines which state that staff with SRR are those for whom 'explicit time and resources are made

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[*] Established in November 2017 to develop UCA's REF 2021 processes and submission.

available to engage actively in independent research, and that is an expectation of their job role' (*Guidance on Submissions*, paragraph 138). This section sets out how this formulation and the further guidance that accompanies it (*Guidance on Submissions*, paragraph 141) can be applied at UCA. Some parts of the guidance are applicable for defining SRR at UCA, but the guidance is not in itself sufficient in UCA's particular circumstances. Our Academic Career Fields scheme is designed to fill in the gaps in ways that are objective, non-discriminatory and transparent, that draw on the UCA context and ways of working, and that have been developed in consultation with staff.

2.1.3. The REF guidance explains '**explicit time and resources**' as follows:
- 'a specific proportion of time allocated for research, as determined in the context of the institution's practices and applied in a consistent way'
- 'research allocation in a workload model or equivalent'

All our academic staff have 'research and scholarly activity' time in their contract of employment, thus all have a specific proportion of time allocated. However, this allocation has not in the past distinguished rigorously between research activity and all the other activities encompassed by 'scholarly activity' which are not research, but which are commonly undertaken within our art and design disciplines. These activities include consultancy, enterprise and knowledge exchange, professional practice and 'practical updating' (*UCA Procedures for Lecturing Staff*). We have not had a workload model to manage the research allocation.

2.1.4. The REF guidance explains '**independent research**' as follows:
- 'eligibility to apply for research funding as the lead or co-applicant'
- 'access to research leave or sabbaticals'
- 'membership of research centres or institutes within the HEI'

Research independence will be dealt with fully in Section 3.

2.1.5. The REF guidance explains research as '**an expectation of [the] job role**' as follows:
- 'expectations of research by role as indicated in, for example, job descriptions and appraisals'.
- 'current research responsibilities as indicated in, for example, career pathways or stated objectives'

We have not previously always had clear and consistent management or expectations of research roles or responsibilities for all academic staff. Role profiles describe generic research responsibilities, and research has not always been considered in detail in appraisals. As already noted, much discussion of research has not distinguished research from scholarly activity.

2.1.6. Because of the lack of clear and well-documented research-specific management processes in the past, our approach has been based on the principle that the best means of determining which staff have SRR is to ask our staff whether they have been demonstrably engaged in research activity within a defined period, and have had support from the university to do so, and to use this as the

basis for a career pathways model. This approach has been under development since late 2017 when REF guidance was published that distinguished between 'eligible' and 'submitted' staff for REF 2021. We have asked staff to 'self-diagnose' by reporting to us their activities, using this information to align staff to different areas of specialism within an 'academic career fields' scheme. Staff have been given the opportunity to nominate themselves into either the Research, Creative Education or Professional Practice field. These three fields were identified on the basis of a Mock REF conducted in 2017/18, and reflect the range of different activities and outputs that staff reported when asked to describe the results of their research and scholarly activity (see 2.2.1 and 2.2.2).

2.1.7. Those staff self-nominating into the research field have been asked to respond to questions modelled on the REF guidance on SRR ('explicit time and resources', 'engaging actively in independent research', 'expectation of research as part of the role'), on their research activity more broadly, and their contribution to the research community. It is important to determine that the activity reported is *research*, and not *scholarly activity*, and meets the definition of research as 'a process of investigation, leading to new knowledge, effectively shared'. We have asked staff to demonstrate how their activity meets this definition by describing research outputs: without a specific output, any research process does not meet the definition of research because it is not 'effectively shared'. In gathering and scrutinising output evidence there has been no expectation of volume of research outputs beyond the fact of research having taken place, and outputs accepted in evidence can be at any quality level. This is in line with REF guidance (REF 2019/01, *Guidance on Submissions*, paragraph 139).

2.1.8. The retrospective evidence on which the Academic Career Fields scheme is based has been the most effective and fair way of building a mechanism to determine who should have SRR in UCA's particular circumstances. The ACF scheme, operational from Easter 2019, allows us to put structures in place to manage research more effectively. On an ongoing basis, the Academic Career Fields status of Research Field members of staff clearly denotes their 'significant responsibility', with research as an expectation of the role supported with explicit time and resources. We are confident that for REF 2021 our approach gives an accurate picture of all those staff who have significant responsibility for research and should be brought within the remit of the REF, and does not artificially exclude any such staff members. The resulting submission is inclusive, developmental and fairly represents overall research activity at UCA.

2.1.9. While staff aligned to the Research Career Field are those from whom UCA's REF submission is drawn, the Academic Career Fields scheme recognises and values other routes to career development. These are represented in the Professional Practice Field (defined through professional activities and industry links) and the Creative Education Field (defined through specialist art and design pedagogies). All academic staff continue to have the same amount of time allocated to research and scholarly activity ('research and scholarly activity time' has been redesignated

'Academic Career Fields time'), and are given regular opportunities to move career field if their expertise develops or focus changes.

2.1.10. The Academic Career Fields scheme brings clarity and equitability in the support and monitoring of activities undertaken in what was previously research and scholarly activity time, and is now ACF time. It makes an essential distinction between research, and scholarly activity—while recognising the importance of both. Following REF guidance the scheme recognises that alongside staff engaged in research, 'there are staff who have more significant responsibility for other activities, including knowledge exchange, professional practice, and scholarship' (REF 17/04, *Decisions on Staff and Outputs*). Research is thus located in a wider culture of staff development that reflects UCA's creative arts and design specialism and its pedagogic mission.

2.2 Development of Processes

2.2.1. This section sets out how we developed our process for the identification of staff with significant responsibility for research. In late 2017 the university scoped possible models to determine which staff have significant responsibility, alongside a Mock REF exercise that asked staff to submit details of the outputs produced in the time they spend on research and scholarly activity.

2.2.2. The Mock REF, which was supported by internal and external review, revealed clearly that the activities carried out in research and scholarly activity time do not all meet the definition of research. Staff submitted a range of outputs, including professional commissions and projects undertaken with students in the pursuit of pedagogy. Although all such projects are valued at UCA, not all meet the definition of research as 'a process of investigation, leading to new knowledge, effectively shared'.

2.2.3. At a meeting of the University Executive Group (UEG) in February 2018 the decision was taken in principle to pursue an academic career fields model. Early iterations of the proposed scheme were discussed and considered as follows:
- REF Working Group (16th January 2018)
- Research Committee (13th February 2018, 23rd May 2018)
- UCA Research Day (Professors, Readers and Heads of Schools, 25th May 2018)
- Academic Board (28th June 2018). At this meeting the decision to pursue the Academic Career Fields was confirmed.

2.2.4. The Academic Career Fields scheme was the subject of extensive staff consultation in the summer and autumn of 2018, as follows:
- 12thJuly 2018, initial meeting between the Director of Research and Education, the Director of Human Resources and the UCA representative of the University and College Union (UCU). At this meeting it was agreed that full consultation with academic staff should commence.
- 28th August 2018, consultation paper and Q&A paper circulated by the Deputy Vice

Chancellor Academic, with an invitation to attend a campus meeting and to take part in other consultation activities, as follows:

- Campus meetings:

  UCA Farnham 21st September 2018

  UCA Epsom 21st September 2018

  UCA Canterbury 27th September 2018

  UCA Rochester 27th September 2018

  (notes of discussion were taken at all meetings)

- Webinar (live to all staff, with recorded version available) 4th October 2018
- Emailed invitation to submit written comments on the proposed scheme.

- A second meeting was held with the trade union representative on 3rd October 2018, and the representative subsequently submitted written feedback, which was supportive of the principles and ethos of the scheme.†

- Staff on leave of absence (long-term sick leave, maternity leave etc) were sent consultation documents by post to their home address.

2.2.5. The first stage of the consultation process closed on 12th October 2018. Feedback was overwhelmingly positive: staff told us that a) the Academic Career Fields scheme provided welcome recognition of the importance of all fields of enhancement and not just research, and b) that it provided clarity of expectations about the use of research and scholarly activity time. A summary of the consultation process and the responses received was sent to all staff on 25th October 2018. In this we were able to provide further details in some areas, for instance in affirming the commitment to staff in all three Academic Career Fields continuing to have the potential for the same amount of time for Academic Career Fields activities (subject to planning and approval through PDR). A focus group to test out draft self-nomination forms was held on 30th October 2018.

2.2.6. At the conclusion of the initial alignment phase of the ACF scheme further consultation was carried out:

- all academic staff were invited to feedback meetings that preceded REF briefings and consultation on the REF Code of Practice
- the trade union representative was invited to submit further feedback.

99 per cent of UCA's eligible academic staff participated in the Academic Career Fields scheme, and 86 per cent of staff were confirmed in the field to which they self-nominated.

2.3 Policies and Procedures

2.3.1. As already described, the foundations for identifying staff with significant responsibility for research are incorporated into the broader Academic Career Fields scheme. Staff have been invited

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† UCU is the only formal body representative of academic staff at UCA: there are no other staff groups or associations.

to self-nominate into the Research Career Field if they consider that this is the field that is the 'best-fit' for them, on the basis of the criteria and their research activities.

2.3.2. The Research Career Field criteria are set out in 15 questions on research activities (see Appendix 1, *Academic Career Fields Briefing*). To be aligned to this field, staff are expected to show that they have dedicated their research and scholarly activity time primarily to research and have had support in doing so, demonstrating that they have significant responsibility for research. Research is defined as 'a process of investigation, leading to new knowledge, effectively shared'. If staff have not been able to provide evidence of activity that meets this definition, they have been judged to not have significant responsibility for research. Early career researchers are asked for a lower threshold of evidence than established researchers.

2.3.3. The Academic Career Fields criteria take account of REF guidelines that recognise the effect that individuals' circumstances may have on research productivity. Staff who wish to self-nominate into the Research Field, but who consider that their research productivity has been affected by individual circumstances, have been invited to review the full list of circumstances covered in the REF guidance, and to contact in strict confidence a nominated member of UCA's REF team for advice and possible formal disclosure of circumstances. This issue (which also applies to the selection of outputs) is discussed further in Section 4.

2.3.4. All self-nominations have been considered by the Academic Career Fields Panel which makes decisions as to whether the preferred alignment is approved or declined (see Appendix, *Academic Career Fields Panel Terms of Reference*). The panel's Terms of Reference refer to the published criteria and to the notion of 'best-fit' to ensure that all staff are aligned appropriately. The panel is composed of senior staff including representative heads of schools and members with expertise in all three career fields. An HR member is specifically tasked with ensuring that decisions are made with due regard to equality, diversity and inclusivity, although all members of the panel are briefed and trained in EDI principles.

2.3.5. The Academic Career Fields scheme was launched on 16th November 2018, when all academic staff were sent the briefing document (see Appendix 1) containing an overview of the scheme, details of the alignment process, and the full criteria and questions for all three fields. This document includes diagrams that set out the Academic Career Fields alignment process. Staff were then invited to fill in online the form for the field they wished to be aligned to, with a closing date of 10th January 2019. Advisers were available to any staff wishing to discuss their decision.

2.3.6. The Academic Career Fields Panel met to consider self-nominations in the initial alignment phase in January, February and March 2019, and all staff were informed of the outcome by the end of March, with the exception of a small number of cases where further evidence was requested. Any appeals processes arising from the initial alignment phase were scheduled to be concluded by the end of May 2019: at the date of this document, no formal appeals have been made. Staff whose self-

nomination was declined are able to develop their Academic Career Field activities in order to move towards their preferred field in future. Mentoring will be offered in such cases.

2.3.7. All those staff aligned to the Research Career Field at the conclusion of the initial alignment process or in later rounds of the ACF scheme are judged to have significant responsibility for research from that point forward, subject to regular monitoring in the PDR. These staff are expected, on an ongoing basis, to use their Academic Career Fields time to carry out research. Discussion of research activity and aims is built into the annual PDR process (autumn term), in which research planning is considered as part of broader workload discussions, and in line with UCA's 'Procedures for Lecturing Staff' which give guidance on expectations for Academic Career Fields time.

2.3.8. Staff who wish to apply to change field can do so as part of the PDR process, with a deadline at the end of the autumn term. Such applications will be considered by the Academic Career Fields Panel in a meeting in early January each year. In exceptional circumstances (for instance, where a new member of staff is appointed part way through the academic year) applications for alignment can be considered at any point during the year by a specially convened meeting of the Panel.

2.3.9. Final decisions on staff with significant responsibility for research for REF 2021 will be made at a special meeting of the Academic Career Fields panel in February 2020, as part of the university's preparation for its REF 2021 submission. This meeting will verify that staff in the Research Career Field meet the criteria, considering those staff aligned in the initial alignment phase and those who may have moved into the field later. There will be an opportunity for staff not aligned to the Research Career Field to make an application if they believe they now meet the criteria. This meeting will also be used to scrutinise the 'substantive connection' to UCA of staff on fractional contracts of between 0.2 and 0.29 FTE.

2.3.10. The above procedures apply to all academic staff at UCA, which, as a small specialist institution will submit to only one Unit of Assessment in REF 2021, and which applies the same frameworks to the management of research staff across all its academic units (schools).

2.4 Staff, Committees and Training

2.4.1. The following staff have worked on the processes documented in this Code, within the structures and committees described. This work has encompassed REF preparation processes in general, and the development and implementation of the broader Academic Career Fields scheme. This section is therefore relevant to later parts of the Code and not just to SRR:

- UCA's REF preparations have been led by the Research Team, working under the guidance of the REF Working Group (chaired by the Director of Research and Education). The REF Working Group is the main decision-making body for all day-to-day REF preparation processes, with important decisions on strategic matters (including SRR and research

independence processes, and the framework strategies for output selection) referred to the Research Committee for full consideration and decision. The REF Working Group is chaired by the Director of Research and Education, includes Heads of Schools in order to represent all the discipline-specific academic units of the university, has representation from key professional service departments supporting REF (IT, HR, Library services) and includes three professors to represent the university's research staff community.

- The REF Working Group reports to the Research Committee (chaired by the Deputy Vice Chancellor Academic). As noted above, the Research Committee is the main decision-making body for REF strategic matters including SRR and Research Independence processes, and the frameworks for output selection. The Research Committee comprises all Heads of Schools, representatives of relevant professional service departments, and two professors/readers and two other members of academic staff to represent the university's research community at all levels.

- The Research Committee reports to the Academic Board (chaired by the Vice Chancellor), and the highest-level REF decisions (including SRR processes) are been referred to Academic Board for final decision making and ratification. Academic Board comprises: all senior academic and professional service managers/leaders, all Heads of Schools. In addition, there are five elected members drawn from academic staff, one elected member from professional services staff, and a student representative nominated by the Students' Union. These elected and nominated members ensure that the Board is representative of the wider university community.

- The Academic Career Fields scheme has been developed by the Research and Education Team, working under the guidance of the Academic Career Fields Development Group (ACFDG), convened by the Director of Research and Education. The ACFDG prepared proposals which were then sent to the Research Committee and Academic Board for decision-making.

- At the point at which the ACF scheme was implemented, the ACF Panel was formed to make decisions upon alignment applications. This panel included representative Heads of Schools, two senior members of staff in each of the three Career Fields, and an HR representative with expertise in equality, diversity and inclusivity issues. Any appeals will be decided by a separately-constituted ACF Appeals Panel.

- Multiple aspects of REF preparations have drawn on the expertise of the University's Forum for Professors and Readers, as an advisory body. The Forum includes all the university's professors and readers across all disciplines.

- Aspects of REF preparations and the Academic Career Fields scheme relating to equality, diversity and inclusivity are reported to the Equality, Diversity and Inclusivity Committee (chaired by the Vice Chancellor), for advice. This committee reports to the University Executive Group.

- Matters relating to both REF preparations and the Academic Career Fields scheme have been scrutinised at the University Executive Group (chaired by the Vice Chancellor), which is the university's monthly executive forum.

The terms of reference and constitution of the REF-specific groups and panels described above are given in Appendices. Appendix 6 is a diagram showing the relationship of different groups, committees etc.

2.4.2. Training has been provided as follows (as with 2.4.1, this is relevant to other sections of this Code and not just SRR):
- All members of staff are required to take the standard university training modules on Equality, Diversity and Inclusivity (which covers the relevant legislation) and Unconscious Bias.
- Members of the Academic Career Fields Panel have been required to retake these modules, and have received REF-specific EDI briefing.
- The Academic Career Fields Appeal Panel will if convened receive the same training as above, with the addition of REF-specific EDI training based on AdvanceHE materials, delivered by UCA Research staff and the UCA Equality, Diversity and Inclusivity Manager.
- Members of the University's Forum for Professors and Readers have received training in criteria and procedures for reviewing REF outputs, and REF-specific EDI training based on AdvanceHE materials, delivered in a webinar on 8th April 2019 (and subsequently available to staff). The principles of this training have been summarised in written guidance for Professors and Readers when reviewing outputs.
- The University's Vice-Chancellor will receive REF-specific EDI training.

Further training for output selection processes is detailed in Section 4.

2.5 Appeals

2.5.1. The Academic Career Fields process includes the opportunity for staff whose alignment is declined by the Panel to appeal that process. As membership of the Research Career Field is the foundation for UCA's mechanism for determining which staff have significant responsibility for research, the Academic Career Fields appeal process acts as the appeal process for determining significant responsibility for research for REF 2021. The appeals process is constituted as follows:

2.5.2. If the Academic Career Fields Panel declines an application, an informal process is triggered, a meeting between the member of staff, the Chair of the Panel and the Head of School to discuss alignment to an alternative field. If an alternative field is not agreed, the staff member may then enter the appeals process.

2.5.3. A letter is sent outlining the Panel's decision and the reasons for it, and recommending alignment to the alternative field discussed in the meeting with the Chair of the Panel and Head of School. If staff do not wish to accept this recommendation, they will be invited to submit a rationale

and evidence for their preferred alignment. The Academic Career Fields Appeals Panel will consider this submission, and the member of staff may attend the Panel to make their case. If the appeal is upheld, alignment to the preferred field is confirmed; if the appeal is not upheld alignment to the alternative field is confirmed. Communication of appeal decisions is in writing within two weeks of the date of the panel meeting.

2.6 Equality Impact Assessment

2.6.1. UCA's REF processes are subject to periodic Equality Impact Assessments, as recommended by REF guidance, in order to test out their EDI implications and, where possible, to mitigate any adverse effects. Equality Impact Assessments involve measuring the effects of REF processes on staff to understand whether they have unintentional consequences (not a direct consequence of their legitimate criteria and aims) of excluding or disadvantaging certain parts of our staff community.

2.6.2. EIAs will be/have been carried out as follows, auditing the consequences of all aspects of the REF preparations covered in this Code, that is, significant responsibility for research, research independence, and selection of outputs:

- May 2019: at the conclusion of the initial Academic Career Fields alignment phase, auditing initial decisions on staff with significant responsibility for research and research independence. This EIA has revealed that in most areas of audit there are no significant differences in the numbers of staff with protected characteristics in the Research Career Field as compared with the general academic staff population (see Appendix 8). This EIA can be compared to the final EIA for REF 2014, in that it identifies (provisionally) those staff to be submitted to REF. Comparison reveals continuing equality in REF processes, but in the context of a larger and more inclusive submission.
- May/June 2019: at the conclusion of the Academic Career Fields alignment appeals process (if relevant).
- February 2020: final identification of staff with significant responsibility / research independence; and preliminary selection of outputs for submission.
- May 2020: final selection of outputs for submission.

2.6.3. Where EIAs reveal inequalities within our REF submission, we will examine whether REF-related procedures are the cause, and whether these procedures should be changed. If any inequalities are found to have structural causes, they will be referred to the Equality, Diversity and Inclusivity Committee for consideration and action.

PART 3 : DETERMINING RESEARCH INDEPENDENCE

3.1 Our approach and why it is appropriate for UCA

3.1.1. REF guidance on determining research independence commences with a simple definition of an independent researcher as 'an individual who undertakes self-directed research, rather than carrying out another individual's research programme' (REF 2019/01 *Guidance on Submissions*, paragraph 131). The guidance suggests various indicators of research independence, including supplementary indicators from Main Panel D, the panel to which UCA will submit (REF 2019/01 *Guidance on Submissions*, paragraphs 132 and 141 and *Panel Criteria and Working Methods*, paragraphs 187-189).

3.1.2. Not all the suggested indicators are relevant in our disciplines, however several are:
- being, or being eligible to be, lead or co-investigator on an externally funded research project (REF 2019/01 *Guidance on Submissions,* para. 141; *Panel Criteria and Working Methods*, para. 189)
- access to research leave or sabbaticals (REF 2019/01 *Guidance on Submissions,* para. 141)
- 'having significant input into the design, conduct and interpretation of research' (Panel Criteria, para. 189).

Staff have been asked to respond to these three indicators in applying for ACF alignment (see 3.2.1).

3.2 Policies and Procedures

3.2.1. Procedures for determining that staff are independent researchers are built into the Academic Career Fields criteria and process. Staff applying to the Research Career Field are asked to indicate whether they have 'worked independently as a researcher, making a significant input into the design, conduct and interpretation of research'. They have also been asked about external funding applications, and access to research leave.

3.2.2. UCA does not employ any academic staff on research-only contracts or as research assistants carrying out another individual's research programme. UCA's academic staff are employed on 'teaching and research' contracts, with teaching delivery and associated tasks as their main function, and a proportion of time allocated to 'research and scholarly activity' (Research Career Field staff use this time specifically for research).

3.2.3. Some UCA staff are employed on 'teaching and research' contracts (full-time or fractional) while concurrently studying as research degree students. This follows disciplinary common practice in art and design, where a research degree is often a mid-career CPD activity by an established academic. Our ACF process serves to indicate whether such staff are independent researchers. These staff answer the standard Research Field questions, and if their responses demonstrate that they have undertaken activity that meets the definition of research as 'a process of investigation,

leading to new knowledge, effectively shared' (in this case shared by being published beyond the Ph.D thesis or project), and that they have 'significant input into the design, conduct and interpretation' of that research, they are deemed to be independent researchers.

3.3 Staff, Committees and Training

3.3.1. As procedures to determine research independence are founded upon the Academic Career Fields scheme, the staff and committees responsible and the training given are the same as those already described in 2.4.

3.4 Appeals

3.3.1. As procedures to determine research independence are founded upon the Academic Career Fields scheme, any appeals are dealt with as part of the ACF appeal process, as described in 2.5.

3.5 Equality Impact Assessment

3.5.1 Pease refer to the Equality Impact Assessment processes described in 2.6, which cover all REF processes described in this code, including research independence.

PART 4 : SELECTION OF OUTPUTS

4.1 Policies and Procedures

4.1.1. At UCA, once staff are aligned to the Research Career Field they are considered to have significant responsibility for research (subject to ongoing monitoring through the PDR), and it is from these staff that outputs submitted to REF will be selected. Policies and procedures for the selection of outputs from staff in the Research Career Field have been drawn up based on the principles of transparency, consistency, accountability and inclusivity.

4.1.2. Selection of outputs has taken place / will take place in stages, primarily between the completion of the Academic Career Fields initial alignment process (end March 2019) and the REF submission deadline. Policy has been built upon the university's experience of the internal and external review of research outputs in earlier stages of the current REF cycle and in previous REF and RAE cycles.

4.1.3. The procedure for the selection of outputs is as follows:
- April 2019: REF briefings for all staff aligned to the Research Career Field.
- May 2019: All Research Career Field staff contacted by email to invite them to submit details of all outputs they wish to be considered for submission to REF. Staff are asked to submit:

- the output itself, where possible (eg books, chapters and journal papers)
- in cases where the output itself cannot be submitted (eg a performance or a work of curation) staff are asked to submit a portfolio of contextual information (physical or electronic) that represents the output
- a draft supporting statement.

- May 2019: informal meetings, REF drop-ins and portfolio/supporting statement workshops offered to all Research Career Field staff to support them in preparing outputs for submission.

- June - December 2019: all submitted outputs sent in stages for review to members of UCA's Forum for Professors and Readers, or to external reviewers with previous REF panel experience. The role of external reviewers is, a) to contribute to the review of outputs and, b) to calibrate UCA internal reviewers' judgements against an external reference point. All outputs will be reviewed by at least two reviewers, using the criteria of rigour, originality and significance, and REF quality level definitions (both generic definitions and those specific to the Unit of Assessment in which UCA will submit).

- July – December 2019: review meetings to discuss reviewer feedback. These meetings will bring together internal and external reviewers for discussion and comparison. A quality rating will be assigned to each output.

- The process of output review will continue on a smaller scale into 2020 to review any newly-completed outputs. The same principles of double review with external input will apply.

- February 2020: based on the above processes, REF Working Group undertakes preliminary selection of outputs for UCA's submission to REF 2021. The criteria used for selection are as follows:
  - to adhere to the REF requirement that outputs submitted should represent a minimum of 1 and a maximum of 5 outputs per individual member of staff, with an average of 2.5 per FTE
  - to maximise research excellence in the outputs submitted

- to include excellence wherever it is found within the university's body of academic staff with significant responsibility for research. Where excellence is judged to be equal, efforts will be made to ensure that as many staff as possible are represented by the average number of outputs (2/3) rather than the minimum or maximum number, with due regard to equality, diversity and inclusivity principles.

- February 2020: staff informed which of their outputs have been included in the preliminary selection.

- May 2020: REF Working Group undertakes final selection of outputs to be submitted, taking into account any new outputs, and using the criteria above. Staff will be informed of any changes to the preliminary selection relevant to their outputs.

4.1.4. Selection of outputs is made on the basis of research quality and cannot be appealed on the grounds of quality review judgements, or on the grounds of decisions made to maximise the quality of the output submission overall. The only basis for an appeal is that the process of review and selection

set out in paragraph 4.1.3 has not been followed correctly. Any appeals will be considered by the REF Output Selection Appeal Panel (see Appendix 5).

4.1.5. UCA recognises that there are many reasons why an excellent researcher may have fewer or more outputs, and therefore the number of a researcher's outputs returned to REF will not be used as the basis of judgements in, for instance, promotion decisions.

4.1.6. REF 2021 guidance allows HEIs to submit the outputs of staff who have left the institution, including those who have been made redundant. UCA recognises that it would be inappropriate for a REF process to exclude the contribution of individuals who no longer work at the university, and that the reasons for staff moving or leaving are many and varied. However, we will only submit the outputs of former staff if they are consulted and give consent that their outputs should be submitted.

4.1.7. We may approach former staff who we identify as having relevant outputs, to invite them to put forward those outputs for possible inclusion in the REF submission. They will be asked to participate in our REF processes, including processes for determining significant responsibility for research and research independence, and the review of outputs.

4.1.8. If former staff approach UCA to request inclusion in our REF submission, they will also be asked to participate in our REF processes, including processes for determining significant responsibility for research and research independence, and the review of outputs.

4.2 Staff, Committees and Training

4.2.1. Selection of outputs will be carried out within the general framework of the staff and committee structures described in 2.4.1. The expertise of UCA's Forum for Professors and Readers is drawn upon extensively to review outputs and to advise on selection. The Forum for Professors and Readers is composed of all UCA's professors and readers whose title has been conferred on the basis of research standing.

4.2.2. Training for those involved in the review and selection of outputs has been provided as follows:
- All members of staff are required to take the standard university training modules on Equality, Diversity and Inclusivity (which covers the relevant legislation) and Unconscious Bias.
- Members of the Forum for Professors and Readers have been required to retake these modules.
- Members of the Forum for Professors and Readers have received training by an external trainer on criteria and procedures for reviewing REF outputs.
- Members of the Forum for Professors and Readers have received training derived from AdvanceHE materials on EDI for REF, delivered by UCA Research staff and the UCA Equality, Diversity and Inclusivity Manager.

4.3 Disclosure of Circumstances

4.3.1. As already set out in 2.3.3, the Academic Career Fields criteria take account of REF guidelines that recognise the effect that an individual's circumstances may have on research activity. These guidelines are also taken into account in the selection of outputs: staff in the Research Career Field who feel that exceptional individual circumstances have limited their research productivity are able to disclose these circumstances in confidence to a nominated member of UCA's REF team. If those circumstances have had an exceptional effect on the staff member's ability to work productively (as defined in REF 2019/01 *Guidance on Submissions*), so that the individual has not been able to produce an eligible output, we will make a request for the individual concerned to be returned to REF with fewer than the minimum one output attributed to them. The invitation for staff to disclose individual circumstances, as well as consideration of the circumstances, will be managed centrally and confidentially by the Research Office with the advice of the HR department. The nominated contact for confidential disclosure will be the Research Manager, and HR advice will come from the Equality, Diversity and Inclusivity Manager. This team is small in order to protect confidentiality.

4.3.2. If a member of staff declares circumstances that are judged not to meet the criteria required for a reduction of outputs, that judgement can be appealed. Appeals will be referred to the Director of Research and Education and the Deputy Director of HR. As with the process for disclosure of circumstances described in 4.3.1, this appeals process is handled by a small team to protect confidentiality.

4.3.3. All staff in the Research Career Field will be contacted in writing to invite them to disclose individual circumstances should they wish. There will be no pressure to disclose such circumstances, and nor will staff be expected to respond to confirm that they have 'no circumstances'.

4.3.4. Where a member of staff does disclose circumstances, and regardless of whether this results in a reduction of outputs attributable to that person or not, measures will be put in place to consider support in future research planning, through the PDR, and taking into account confidentiality requirements in the disclosure of circumstances. These measures will be reflected in institutional policies concerning research targets and planning.

4.3.5. UCA recognises that there are many good reasons why researchers may not all return the same number of outputs (see 4.1.5.). We expect to fulfil the required total of outputs (an average of 2.5 outputs per 1.00 FTE staff) by managing this total through the REF formula that stipulates a minimum of one and a maximum of five outputs per member of staff submitted. We do not anticipate a situation in which claims for individual staff circumstance lead to a request for an overall reduction in the outputs submitted. However, as the process for disclosure of circumstances is not yet complete, this is a provisional judgement at the date of this Code.

4.4 Equality Impact Assessment

4.4.1. Pease refer to the Equality Impact Assessment processes described in section 2.6, which describe the schedule of EIAs for all REF processes covered in this code, including the selection of outputs.

PART 5 : APPENDICES

Appendix 1: Academic Career Fields Guidance to Staff

Appendix 2: REF Working Group Terms of Reference

Appendix 3: Academic Career Fields Panel Terms of Reference

Appendix 4: Academic Career Fields Appeal Panel Terms of Reference

Appendix 5: REF Output Selection Appeal Panel Terms of Reference

Appendix 6: Structure of Relevant Committees, Boards, etc

Appendix 7: Equality Impact Assessment May 2019

Appendix 8: Letter Confirming Staff Agreement to REF Processes

Appendix 1

Academic Career Fields Guidance for Staff

The following document is that sent to all staff for the initial Academic Career Fields alignment process. The questions and criteria remain the same for the ongoing operation of the ACF scheme.

The definition of activity as research involves matters of judgement that may be complex, particularly in the disciplines of art and design where research activity can overlap with both professional practice and projects led by pedagogy. Therefore the Academic Career Fields Panel is able to commission the review by internal and external experts of research activity and the outputs that result from it. For the purposes of defining significant responsibility, such review is used solely to decide whether outputs put forward as evidence meet the standard definition of research, therefore confirming that research has taken place. In line with REF guidance, judgements on the quality and volume of research are not taken into consideration in such review and in defining significant responsibility. The ACF scheme does not require staff to have multiple outputs, or outputs at a specified quality level.

Academic Career Fields

Introduction

UCA's Academic Career Fields project is a procedure to align academic staff to a career field through a process of self-nomination, on a best-fit basis. Academic Career Fields provides equivalent expectations, frameworks and support across three areas of enhancement— **Professional Practice**, **Creative Education** and **Research**—recognising the importance of all three areas to the university. Academic Career Fields will support the development of a balanced and effective academic community.

Please note:

- Many staff have activities across more than one field, and this hybridity is recognised and welcomed, although all academic staff will be formally aligned to a single field, the one that is the 'best fit' at the time.

- Academic Career Fields is a flexible process that offers scope for staff to change and develop their career development goals, and their field alignment. Academic Career Field alignment will be revisited regularly (principally through the annual PDR and commencing in the 2019/20 cycle one year on from the initial alignment process) and there is the opportunity to change field when appropriate as focus and outputs change.

- There will be no differentiation between the contracted teaching hours of the three academic career fields. The time described in contracts as being allocated to 'research and scholarly activity' will be maintained on the same basis between the three fields. What is currently commonly referred to as 'research time' will under the new scheme be described as 'career fields time', and will be available to academic staff across all three fields.

- Opportunities, definitions and criteria for promotion already exist for Readers and Professors within Creative Education and Professional Practice as well as Research. These criteria will be further developed, to confirm equal scope for the recognition of excellence across the three fields. Support mechanisms across all three fields will be developed: support for all fields will not be identical but rather equivalent, with appropriate support reflecting the differences between the fields.

Alignment Process

The initial alignment phase uses your past and current enhancement activities, achievements and career development focus as evidence of which field is the closest match. You are asked to fill in an online form nominating yourself into one of three career fields— **Creative Education**, **Professional Practice** or **Research**. Your self-nomination will then be considered by the Academic Career Fields Panel.

This guidance includes three forms, one for each of the three career fields. If you are in any doubt over which field is the best fit, please review all three forms, which set out questions and criteria for each field. The forms include advice on how the Panel will use the criteria to consider alignment to each field. When you are ready to make your application, please fill in the online form **for the field to which you wish to apply**:

Academic Career Field Self-Nomination Form - Professional Practice

Academic Career Field Self-Nomination Form - Creative Education

Academic Career Field Self-Nomination Form - Research

You may wish to discuss your alignment choice with your line manager, to consider how your development opportunities/requirements fit into the context of your role. If you require further advice or guidance, please talk to your Head of School, mentor, or contact Learning and Development (ldev@uca.ac.uk) to be put in touch with an adviser in your field.

The deadline for you to self-nominate into a career field is **Wednesday 10 January 2019**. The Academic Career Fields Panel will meet during January, February and March, and all staff will receive the decision of the panel in writing by 31 March 2019. If you do not agree with the panel's decision, there is an appeal process.

Academic Career Fields

1. alignment process

START → Review the alignment guidance and forms

Individual Circumstances: REF 2021 includes measures to recognise where the individual circumstances of staff have had "an exceptional effect on their ability to work productively throughout the REF period" (REF 2018/01). UCA will apply REF guidelines in considering whether to align staff to the Research career field. Consult REF guidance and, if applicable, email the nominated UCA contact for confidential advice

If further guidance is required, email Learning and Development for referral to an adviser

Process to determine if individual circumstances are applicable

Self-nominate into best-fit field, on the basis of past enhancement activities

Academic Career Fields Panel considers alignment application

Self-nomination fully meets the published criteria in the selected field
ALIGNED → **ALIGN**

Self-nomination meets some of the published criteria in the selected field; ACF panel judge that field is best fit
ALIGNED → **ALIGN**

Self-nomination does not meet the criteria in the selected field
NOT ALIGNED

Interview with Chair of Panel and Head of School to review evidence for alignment to an alternative field

APPEAL PROCESS
(see separate diagram) ← Alternative field not agreed

Alternative field agreed
ALIGNED → **ALIGN**

APPEAL

START

Review the alignment guidance and forms

Self-nominate into best-fit field, on the basis of past enhancement activities (see full process in diagram 1)

Panel declines self-nomination to preferred field

Letter with feedback sent to staff member, outlining grounds for decision and recommending alignment to an alternative field (as discussed in the final stage of the alignment process)

Staff member agrees to alignment to the alternative field

ALIGN

Staff member does not agree to alignment to the alternative field

Staff member invited to submit a rationale for preferred alignment, and additional evidence

Appeal panel considers evidence. Staff member may attend if desired

Appeal upheld: staff member aligned to preferred field

ALIGN

Appeal not upheld: staff member aligned to the alternative field recommended by the panel

ALIGN

Self-Nomination Form: <u>Professional Practice</u> Career Field

Staff aligned to the Professional Practice Career Field will:

- **use their research and scholarly activity time to pursue professional practice and industry engagement that enhances the delivery of their subject.**
- **have access to support for their professional practice activities.**
- **have professional practice as a clear expectation of their role, and be active in enhancing professional practice within teaching teams and/or across the university.**

If you think you should be aligned to the **Professional Practice Career Field**, please work through the questions below: there is an opportunity to submit further evidence in the open field at the end of the questions. There is advice at the end of the form on how the Academic Career Fields panel will use criteria to consider alignment to the Professional Practice Career Field. The form can be reviewed before final submission.

❖ *Use of research and scholarly activity time to engage actively in professional practice to enrich the student experience*

In the past 5 years (since January 2014):

1. Have you engaged in professional practice leading to the creation of outputs within creative art and design, such as exhibitions, commissioned works, self-directed or freelance projects, IP, consultancy or other industry-linked activity? yes / no

   (Please give examples)

2. Have you made a change to curriculum, teaching, learning and assessment based on a consideration of industry or professional contexts? yes / no

   (Please give examples)

3. Have you been active in developing the professional practice activities of your colleagues, eg through mentoring or guidance? yes / no

    (Please give examples)

❖ ***Access to support for your professional practice activities:***

In the past 5 years (since January 2014)

4. Have you received any university funding to support activities (eg exhibitions, events, performances, screenings) that represent your professional practice in the creative arts? yes / no

5. Have you received support in applying for external funding in the areas of professional engagement, knowledge exchange or enterprise? yes / no

6. Has your course leader, subject leader, line manager or head of school supported and facilitated your development of industry and professional links, for instance through live projects, attendance at industry events, participation of yourself or your students in competitions and external projects? yes / no

❖ ***Is professional practice an expectation of your role?***

In the past 5 years (since January 2014):

7. Have you discussed your professional practice plans and activities with your line manager or a mentor, either in your PDR or in the context of planning your workload, activities and career development? yes / no

8. Have you taken a lead role in professional practice activities in your team and/or across the university   yes / no

(Please give examples)

9. Have you been an active member of any university committees, panels or working groups involved in enhancing professional practice and industry engagement, and have you contributed any formal outputs to such groups (eg position papers, templates, frameworks, validation strategies)? yes / no

(Please give examples)

10. Have you contributed to the design and development of programmes of study addressing particular UCA strategic priorities in professional practice, eg industry-linked projects, placement schemes, careers and employability initiatives? yes / no

(Please give examples)

11. Have you been engaged with networks external to the university which support professional practice in the creative arts? yes / no

(Please give examples)

12. Have you been awarded recognition in any professional or industry competition, prize scheme, exhibition or showcase? yes / no

(Please give examples)

13. Have you served as an organiser, reviewer, jury-member or judge in any professional or industry competition, prize scheme exhibition or showcase? yes / no

(Please give details)

14. Have you been a contributing member of any professional organisation or industry body? yes / no

(Please give examples)

Please describe briefly (no more than 2500 characters) how your professional practice activities have enriched your teaching, either directly (eg direct input into curriculum) or indirectly (eg through professional networks, skills and knowledge etc):

If desired, please provide further evidence (no more than 2500 characters) that indicates your active engagement in Professional Practice. You can include here details of any relevant academic or professional qualifications not already discussed, eg Ph.D, MBA.

It is anticipated that staff aligned to the Professional Practice Career Field will answer 'yes' to questions 1, 2 and 3, and to at least 2 further questions. However, as alignment is on a 'best-fit' basis, responses to the questions may not give a definitive 'diagnosis' of professional practice field alignment or non-alignment in all cases. The Academic Career Fields panel may request further information.

Self-Nomination Form: <u>Creative Education</u> Career Field

Staff aligned to the Creative Education Career Field will:

- **use their research and scholarly activity time to engage actively in creative arts pedagogies that enrich the student experience**

- **have support for their creative education activities (eg the opportunity to apply for teaching and learning research funding; to participate in the Creative Education Professional Development Framework (taught and experiential CPD routes); the Creative Education Network online resources)**

- **will have creative education as a clear expectation of their role, and will be active in enhancing practice within teaching teams and/or across the university.**

If you think you should be aligned to the **Creative Education Career Field**, please work through the questions below: there is an opportunity to submit further evidence in the open field at the end of the questions. There is advice at the end of the form on how the Academic Career Fields panel will use criteria to consider alignment to the Creative Education Career Field. The form can be reviewed before final submission.

❖ *Use of research and scholarly activity time to engage actively in creative pedagogies to enrich the student experience:*

In the past 5 years (since January 2014):

1. Have you dedicated time to improving the student experience and delivery of the curriculum, learning and assessment, pursuing a defined creative education enhancement project with a specific outcome? yes / no

   (please give examples and dates)

2. Have you been active in developing the teaching practice of your colleagues, eg through sharing 'good' practice, through informal mentoring, or acting as a reviewer in the university Teaching Review / Observation scheme? yes / no

> *(please give details)*

3. Do you have a teaching qualification and/or HEA professional recognition, or are you working towards this? yes / no

> *(please give details)*

4. Have you completed any pedagogic research (eg as result of PGCert study and/or learning and teaching research funding), and has this been published? yes / no

> *(please provide details of output/s, including links to UCARO for published outputs. For forthcoming outputs give evidence of how the output will be made public and state whether publication is confirmed)*

❖ *Access to support for your creative education activities:*

5. Has UCA supported you to complete a PGCert in Creative Education and/or apply for HEA Fellowship? yes / no

> *(please give details)*

6. In the past 5 years (since January 2014) have you presented your ideas on creative education at a school or university away-day or development event on learning and teaching? yes / no

> *(please give details)*

7. In the past 5 years (since January 2014) have you made a change to your teaching after attending a learning and teaching workshop at UCA? yes / no

8. Have you reflected on an aspect of your teaching practice through the university Teaching Observation / Peer Supported Review Scheme? yes/no

❖ *Is creative education an expectation of your role?*

In the past 5 years (since January 2014):

9. Have you discussed your creative education plans and activities with your line manager or an education mentor, either in your PDR or in the context of planning your workload, activities and career development? yes / no

10. Have you taken a lead role in educational enhancement activities in your team and/or across the university   yes / no

11. Have you been an active member of any university committees or working groups involved in enhancing curriculum, learning, teaching and assessment, and have you contributed any formal outputs to such groups (eg position papers, templates, frameworks)? yes / no

12. Have you contributed to the design, development and implementation of programmes of study addressing particular UCA strategic priorities in learning and teaching, eg induction tutoring, BAME attainment, inclusive practice? yes / no

(please give details)

13. Have you engaged with networks external to the university which are intended to enhance learning and teaching in the creative arts? yes / no

(please give details)

14. Have you presented to any conference/seminar on an aspect of creative arts pedagogy? yes / no

(please give details)

15. Have you been a contributing member of any creative education organisation? yes / no

(please give details)

If desired, please give any further evidence (no more than 2500 characters) that indicates your active engagement in the enhancement of creative education. You can include here details of any relevant academic or professional qualifications not already discussed, eg Ph.D, MBA.

It is anticipated that staff aligned to the Creative Education Career Field will answer 'yes' to questions 1, 2, and 3, and to at least 2 further questions. However, as alignment is on a 'best-fit' basis, responses to the questions may not give a definitive 'diagnosis' of creative education field alignment or non-alignment in all cases. The Academic Career Fields panel may request further information.

Self-Nomination Form: <u>Research</u> Career Field

Staff aligned to the Research Career Field will:

- **use their research and scholarly activity time to engage actively in independent research that enriches their teaching**
- **have access to support for their research (eg the opportunity to apply to UCA's Research Fund, advice on external funding applications, research mentoring)**
- **will have research as a clear expectation of their role, and will be the body of staff from whom UCA's REF 2021 submission is drawn.**

If you think you should be aligned to the **Research Career Field**, please work through the questions below, filling in additional details where requested: there is an opportunity to submit further evidence in the open field at the end of the questions. There is advice at the end of the form on how the Academic Career Fields Panel will use criteria to consider alignment to the Research Career Field. The form can be reviewed before final submission.

❖ *Use of research and scholarly activity time to engage actively in independent research*

In the past 5 years (since January 2014):

1. Have you dedicated time to research‡, pursuing a defined research project with a specific outcome? yes / no

2. Have you worked independently as a researcher, making a significant input into the design, conduct and interpretation of research? yes / no

3. *[for established researchers]*
   —Has your dedicated research activity resulted in at least one published or publicly disseminated research output§, or output due for publication within the next 24 months, by December 2020 yes / no

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‡ The Academic Career Fields project uses the REF definition of research as *a process of investigation leading to new knowledge, effectively shared*.

§ Research outputs may include peer reviewed or non-peer reviewed journal articles and exhibitions, chapters in books, monographs, or other forms of public output including performance, public intervention or screening, registered design, patent, software etc…

> *(please provide details of output/s, including links to UCARO for published outputs. For forthcoming outputs give evidence of how the output will be made public and state whether publication is confirmed)*

[Early Career Researchers** should answer the following alternative question]

—Has your dedicated research activity resulted in at least one published or publically disseminated research output, or output due for publication within the next 24 months, or is it likely to lead to a published output?   yes / no

> *(please provide details of output/s, including links to UCARO for published outputs. For forthcoming outputs give evidence of how the output will be made public and state whether publication is confirmed)*

❖ **Access to support for research**

In the past 5 years (since January 2014):

4. Have you taken research leave and used this to work on a defined research project with a specific outcome? yes / no

5. Have you applied for and been granted financial support for your research from the UCA Research Fund? yes / no

> *(specify three most recent funded projects, with dates)*

6. Have you applied for external funding, or external support for your research, acting as main investigator or co-investigator for an externally funded project? yes / no

> *(Please give details and dates of applications and state whether successful)*

** *Definition of early career researcher: starting a career as an independent researcher on or after 1 August 2016 and holding a contract of employment of 0.2 FTE or greater, which includes a primary employment function of undertaking 'research' or 'teaching and research', with any HEI or other organisation, whether in the UK or overseas.*

7. Have you collaborated on research projects with colleagues external to UCA?   yes / no

(Please give examples and dates)

❖ *Is research an expectation of your role?*

In the past 5 years (since January 2014):

8. Have you discussed your research plans and activities with your line manager or a research mentor, either in your PDR or in the context of planning your workload, activities and career development? yes / no

9. Have you used your research to inform and support your teaching? yes / no

10. Have you supervised research degree students? yes / no

(Please list details—name, title, date, institution—of all completions and currently-registered students)

11. Have you examined any research degree student as an external or internal examiner? yes / no

(Please list examinations)

12. Have you been an active member of any university committees or working groups involved in the management or support of research activities and strategies? yes / no

(Please give details)

13. Have you acted as a mentor to colleagues in the development of their research? yes / no

14. Have you acted as a peer reviewer for a refereed journal, reviewed proposals or manuscripts for a publisher, served as a peer reviewer for any funding body (eg the Arts Council, AHRC), or served on a museum or gallery selection panel? yes / no

(Please give examples)

15. Have you been a contributing member of any academic society or discipline-based organisation? yes / no

(Please give details)

Please describe briefly (no more than 2500 characters) how your research has enriched your teaching, either directly (eg direct input into curriculum) or indirectly (eg through skills, knowledges, networks etc):

If desired, please give any further evidence (no more than 2500 characters) that indicates your active engagement in research. You can include here details of any relevant academic or professional qualifications not already discussed, eg Ph.D, MBA.

It is anticipated that staff aligned to the Research Career Field will answer 'yes' to questions 1, 2 and 3, and to at least 2 further questions. However, as alignment is on a best-fit basis, responses to the questions may not give a definitive indication of Research field alignment or non-alignment in all cases. The Academic Career Fields panel may request further information. Early Career Researchers will be considered with a lesser threshold of evidence than established academics.

Individual Circumstances: REF 2021 includes measures to recognise where the individual circumstances of staff have had "an exceptional effect on their ability to work productively throughout the REF period". UCA will apply REF guidelines in considering whether to align staff to the Research career field. Details are available on the REF website, www.ref.ac.uk, Draft Guidance on Submissions pdf, pp.51-58. If you feel that this may apply to you, you can contact Nino Nizharadze in confidence to discuss (nnizharadze@uca.ac.uk).

Appendix 2

REF Working Group: Terms of Reference

The purpose of the UCA REF 2021 Working Group is to:

- Receive and consider in full the criteria and working methods for REF 2021 and identify their strategic implications for the UCA submission, including any equality and ethical issues.
- Advise the Research Committee on strategic decisions in relation to point i.
- Oversee the external audit of staff research outputs for 2014 – 2020.
- Oversee the selection of outputs.
- Identify and prepare the impact statement and impact case studies.
- Assess and develop the UCA research environment statement.
- Ensure that all decisions made in relation to submissions for the UCA REF 2021 are consistent with the UCA Research Strategy and the Strategic Plan.
- Maintain effective communication with staff within the University regarding the requirements, strategic decisions and process for REF 2021.
- Prepare the REF 2021 submission.

Membership:

- Director of Research (Chair)
- Research and Development Manager
- All Heads of School or nominee
- Library and Learning Services representative
- Digital Services Manager
- 3 Professors
- Representatives of IT services and HR

In attendance:

- Research Officer for Staff Research as Secretary to the Group.

Members may nominate deputies to attend meetings in their place. Nominated deputies will have the same status as members at the meetings they attend. Chair to be informed at least one week in advance of each meeting with regard to attendance.

Ex Officio members are members by virtue of their post and must therefore cease to be members on vacating the post.

The Secretary is not a member of the Group unless specified.

Frequency of Meetings: The Working Group will meet at least 4 times a year.

Reporting: This Group reports to the Research Committee.

Quorum: 50% of membership plus the Chair

Minutes: draft notes should be presented to the Chair for approval. When approved by the Chair, they should be circulated to all members of the group together with a covering Action List (using a standard template) in order that the necessary action can be progressed, before being sent to the Research Committee.

Appendix 3

Academic Career Fields Panel: Terms of Reference

The Academic Career Fields Panel is a panel of senior staff who will undertake the process of reviewing ACF self-nomination forms from academic staff to ensure that all staff are aligned to the appropriate field. The panel continues the work of the Academic Career Fields Development Group that established the criteria and processes for the ACF scheme, and panel membership has continuity with that group as well as bringing in further expertise across the three fields. The Academic Career Fields Panel reports to Academic Board.

Membership:
- Director of Research and Education (*ex officio*, Chair)
- 2 Heads of Schools (nominated)
- 2 senior members of staff with expertise in Creative Education (nominated)
- 2 senior members of staff with expertise in Professional Practice (nominated)
- 2 senior members of staff with expertise in Research (nominated)
- Research Manager (*ex officio*)
- HR representative with expertise in Equality, Diversity and Inclusivity good practice (nominated)

In attendance:
- Staff Research Officer (clerk)

The term of office for nominated members is 3 years.
Quoracy: 50 per cent of membership excluding the Chair.

Frequency of meetings:
- Five meetings between January and March 2019 to consider Academic Career Fields self-nomination forms in the initial alignment process.
- Annual meetings in early January, timed to follow the PDR schedule each year, to consider applications to change Academic Career Field.
- In exceptional circumstances a special meeting of the Panel may be convened to consider applications for alignment that fall outside the annual PDR cycle.
- A special meeting of the panel will be held in February 2020 to consider the Research Career Field only, and to confirm the identification of staff with significant responsibility for research for UCA's REF 2021 submission.

The purpose of the Academic Career Fields Panel:

- To review staff self-nomination for the Academic Career Fields scheme.
- To confirm or decline alignment to the preferred field, based on the published criteria, the evidence presented, and the panel's expert knowledge of the three fields, as follows:
  - Where it is clear that the member of staff clearly fits the gateway criteria for the chosen field, to confirm entry to that field and to communicate this decision to the member of staff concerned.
  - Where the staff member meets some but not all gateway criteria, to make a judgement as to whether the staff member can be aligned to the chosen field on a 'best-fit' basis, and to communicate this decision to the member of staff concerned.
  - Where the member of staff does not meet the criteria for the chosen field, to inform the member of staff and initiate a conversation on an alternative field.
  - When considering self-nominations to the Research Field, to commission, if necessary, review of research outputs from internal and external experts. Reviewers will be asked to make a judgement on whether research meets the definition of 'a process of investigation, leading to new knowledge, effectively shared'.
- To refer any appeals to the Academic Career Fields Appeals Panel.
- To take action to align staff who have not completed the self-nomination form to the most appropriate field, in consultation with the line manager and Head of School.
- To fulfil the above functions with due awareness of both the preferences of staff and internal and external strategic contexts, including REF, TEF and the University Strategy.
- To fulfil the above functions in a way that is consistent with the University's commitment to Equality, Diversity and Inclusivity.

Appendix 4

Academic Career Fields Appeal Panel: Terms of Reference

The Academic Career Fields (ACF) Appeal Panel is a panel of senior staff who will undertake the process of reviewing ACF self-nomination forms and any additional evidence from academic staff who appeal against the decision of the Academic Career Fields Panel concerning career field alignment. The ACF Appeal Panel will make decisions on whether such appeals should be upheld or declined. The Academic Career Fields Appeal Panel reports to Academic Board.

Membership:
- Deputy Vice-Chancellor (Academic)
- 2 Heads of Schools (nominated)
- 1 senior member of staff with expertise in Creative Education (nominated)
- 1 senior member of staff with expertise in Professional Practice (nominated)
- 1 senior member of staff with expertise in Research (nominated)
- HR representative with expertise in Equality, Diversity and Inclusivity good practice (nominated)

In attendance:
- Research Officer (clerk)

As a matter of principle, none of the above members will simultaneously be members of the Academic Career Fields Panel. This will ensure that the Academic Career Fields Appeal Panel is able to undertake an objective assessment of the decision-making process of the ACF Panel in cases referred to it.

The term of office for nominated members is 3 years.
Quoracy: 50 per cent of membership excluding the Chair.

Frequency of meetings:
The ACF Appeal Panel will be convened when necessary to consider appeals against ACF Panel decisions. The date will usually be set as soon as possible after a request has been received but within a maximum of 4 weeks.

The purpose of the Academic Career Fields Appeals Panel:
The ACF Appeal Panel has been established to consider formal appeals against Academic Career Fields Panel decisions. The role of the ACF Appeal Panel is to consider whether:
- The decision-making process was followed appropriately and the ACF Panel followed the procedures set out in Academic Career Fields guidance.

- The decision made by the ACF Panel was reasonable considering the available evidence and individual circumstances.
- Any other relevant factors in relation to the case.

Process:

- Individuals wishing to appeal against the ACF Panel decision must notify the Research Office of their intention, in writing, within one month of the date of the letter notifying them of the alignment decision.
- The ACF Appeal Panel will consider whether the original decision of the ACF Panel followed due process.
- The individual requesting the appeal may attend the Appeal Panel meeting in person.
- All evidence to be considered must be submitted in writing.
- The ACF Panel will provide the ACF Appeal Panel with the self-nomination form and any other evidence provided by the applicant as part of the self-nomination process. It is important to note that the Appeal Panel will not consider new information in support of a case. If new information becomes available, the ACF panel will be asked to reconsider the case in the light of this.

Outcomes of Appeals

- If the ACF Appeal Panel finds that the decision of the ACF Panel was correct the staff member will be aligned to the field recommended by the ACF Panel
- If the ACF Appeal Panel finds that the decision of the ACF Panel was incorrect the appeal will be upheld and the staff member will be aligned to their preferred academic career field.
- Communication of appeal decisions will be in writing within two weeks of the date of the panel meeting.

Appendix 5

REF Output Selection Appeal Panel: Terms of Reference

The REF Output Selection Appeal Panel is a panel of senior staff who will consider and make decisions on appeals from staff relating to processes of output selection undertaken by REF internal and external reviewers and the REF Working Group. The REF 2021 Output Selection Appeal Panel reports to the Academic Board.

Membership:
- Deputy Vice-Chancellor (academic) (*ex officio*, Chair)
- 2 Heads of Schools (nominated)
- 1 external professor
- HR representative with expertise in Equality, Diversity and Inclusivity good practice (nominated)

In attendance:
- Research Officer (clerk)

As a matter of principle, none of the above members will simultaneously serve as a REF internal or external reviewer. This will ensure that the Appeal Panel can undertake an objective assessment of the review and decision-making processes in each individual case.

The term of office for nominated members runs to the REF 2021 submission date.
Quoracy: 50 per cent of membership excluding the Chair.

Frequency of meetings:
The REF Output Selection Appeal Panel will be convened when necessary to consider appeals against decisions concerning output selection. The date will usually be set as soon as possible after a request has been received but within a maximum of 4 weeks.

The purpose of the REF Output Selection Appeal Panel:
The REF Output Selection Appeal Panel has been established to consider formal appeals against REF reviewers judgements and REF Working Group decisions on the selection of outputs. The role of the Appeal Panel is to consider whether:
- The decision-making process was followed appropriately, using the procedures set out in the REF Code of Practice (4.1.3).
- There is demonstrable or substantive evidence that the judgement or decision-making may be flawed or unreliable due to procedural irregularity, or due to prejudice, bias or inadequate assessment.

Appeals cannot be made on the grounds of academic judgements, or on the grounds of decisions made to maximise the quality of the output submission overall.
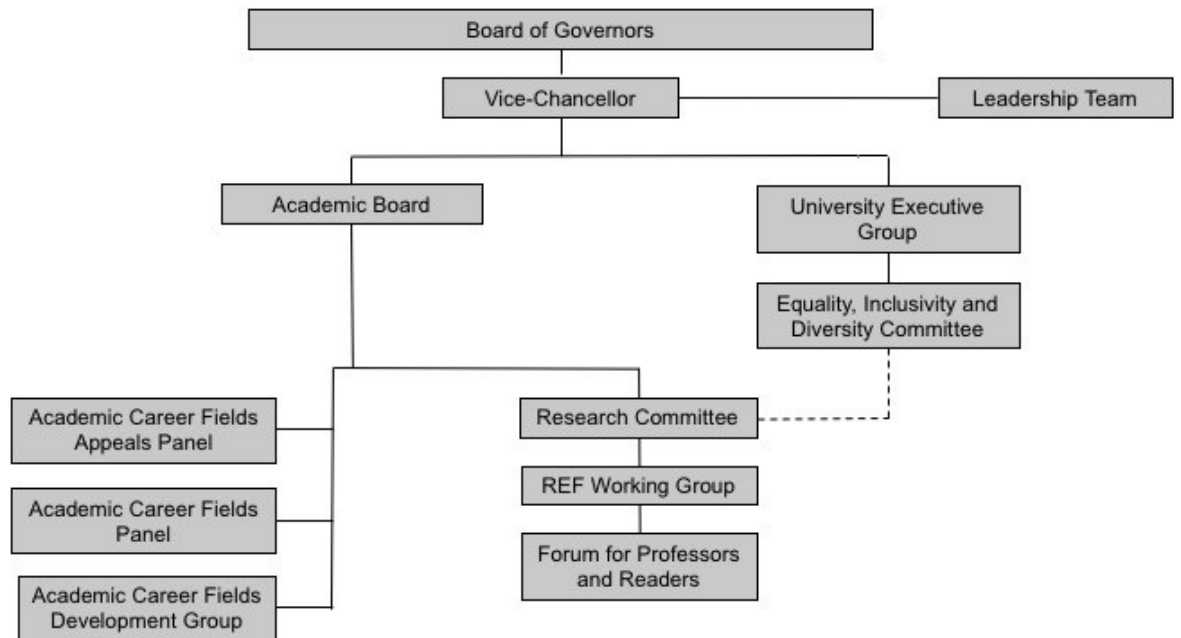
Process:
- Individuals wishing to appeal against the REF reviewers' decision must notify the Research Office of their intention, in writing, within one month of the date of the letter notifying them of the inclusion/exclusion of their research outputs in UCA's REF 2021 submission.
- The REF Output Selection Appeal Panel will consider whether the original decision on selection of outputs followed due process.
- The individual requesting the appeal may attend the Appeal Panel meeting in person.
- All evidence to be considered must be submitted in writing.
- The Research Office will provide the Appeal Panel with the outputs and any other evidence provided originally by the appellant. It is important to note that the Appeal Panel will not consider new information in support of a case. If new information becomes available, the REF reviewers and REF Working Group will be asked to reconsider the case in the light of this.

Outcomes of Appeals:
- If the Panel finds that the original decision was correct the selection of outputs will remain the same as originally recommended
- If the Panel finds that the original decision was incorrect the appeal is upheld and the selection of the staff member's outputs will be modified according to the recommendation made by the Appeal Panel.
- Communication of appeal decisions will be in writing within two weeks of the date of the panel meeting.

Appendix 6

Structure of Relevant Committees, Boards, etc

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                        ┌─────────────────────────────┐
                        │      Board of Governors      │
                        └─────────────────────────────┘
                                      │
                   ┌──────────────────────┐          ┌──────────────────┐
                   │   Vice-Chancellor     │──────────│  Leadership Team  │
                   └──────────────────────┘          └──────────────────┘
                        │                    │
          ┌──────────────────┐      ┌──────────────────────────┐
          │  Academic Board   │      │  University Executive     │
          └──────────────────┘      │         Group             │
                                     └──────────────────────────┘
                                                │
                                     ┌──────────────────────────┐
                                     │  Equality, Inclusivity and │
                                     │   Diversity Committee      │
                                     └──────────────────────────┘

  ┌──────────────────────┐        ┌──────────────────────┐
  │ Academic Career Fields│        │  Research Committee   │ - - - - -
  │    Appeals Panel      │        └──────────────────────┘
  └──────────────────────┘                   │
  ┌──────────────────────┐        ┌──────────────────────┐
  │ Academic Career Fields│        │  REF Working Group    │
  │        Panel          │        └──────────────────────┘
  └──────────────────────┘                   │
  ┌──────────────────────┐        ┌──────────────────────┐
  │ Academic Career Fields│        │ Forum for Professors  │
  │  Development Group     │        │     and Readers       │
  └──────────────────────┘        └──────────────────────┘
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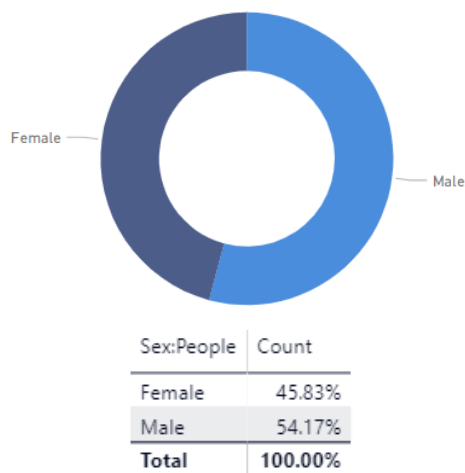
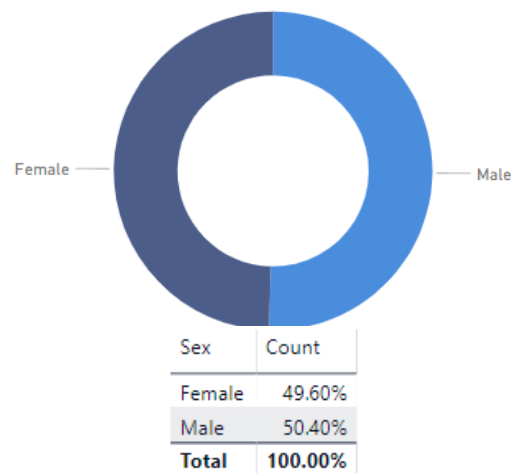**Appendix 7**

Equality Impact Assessment May 2019

We conducted an Equality Impact Assessment based on a comparison of those academic staff
aligned to the Research Career Field compared to all academic staff in relation to each of the
protected characteristics. The data, along with relevant commentary, is presented below.

**Alignment to Research by Sex**

Alignment to Research by Sex   *All academics by Sex (comparator group)*

Sex:People	Count
Female	45.83%
Male	54.17%
Total	**100.00%**

Sex	Count
Female	49.60%
Male	50.40%
Total	**100.00%**

The comparison of the data indicates a 4% over-representation of Males in the Research aligned group.
Whilst we would prefer to see perfect gender balance in the Research group, we believe that both Males
and Females are well represented in the group and the Academic Career Field methodology was an
appropriate alignment method.

Alignment to Research by Race

Alignment to Research by Race
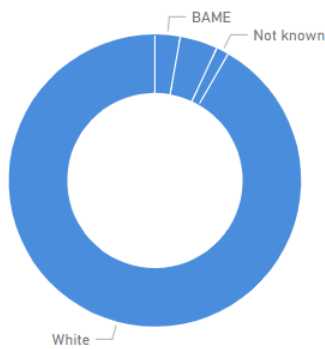
Ethnicity	Count
White	91.67%
Other mixed background	1.39%
Not known	1.39%
Information refused	4.17%
Chinese	1.39%
Total	**100.00%**

All academics by Race (comparator group)
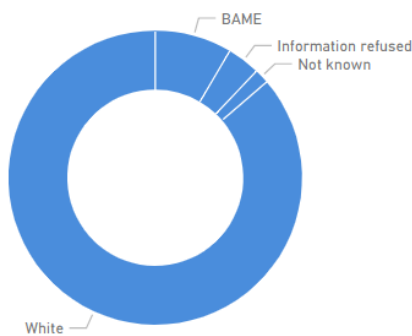
Ethnicity	Count
White	86.29%
Other mixed background	2.82%
Other ethnic background	1.61%
Other Black background	0.40%
Other Asian background	0.81%
Not known	1.61%
Mixed - White and Black Caribbean	0.40%
Information refused	3.63%
Chinese	0.40%
Black or Black British - Caribbean	0.81%
Black or Black British - African	0.81%
Asian or Asian British - Indian	0.40%
Total	**100.00%**

The comparison of the data indicates that there is low impact in relation to Race. The data reflects a slight (4%) overrepresentation of the White category for the Research group in comparison to the All Academics group.

Further analysis of the BAME category indicate a slight overrepresentation of some categories of ethnicity and an absence of others in the Research aligned group. We believe that is attributable to the small numbers in the sample. Whilst we do not regard this as an equality impact, this information will feed into and support wider UCA strategies linked to internationalisation and the attraction of a more racially diverse staff to the University.
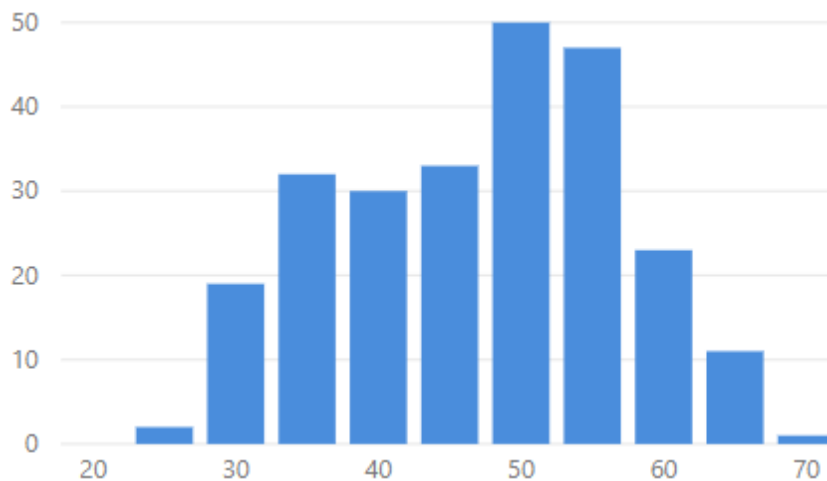
Alignment to Research by Age

Alignment to Research by Age
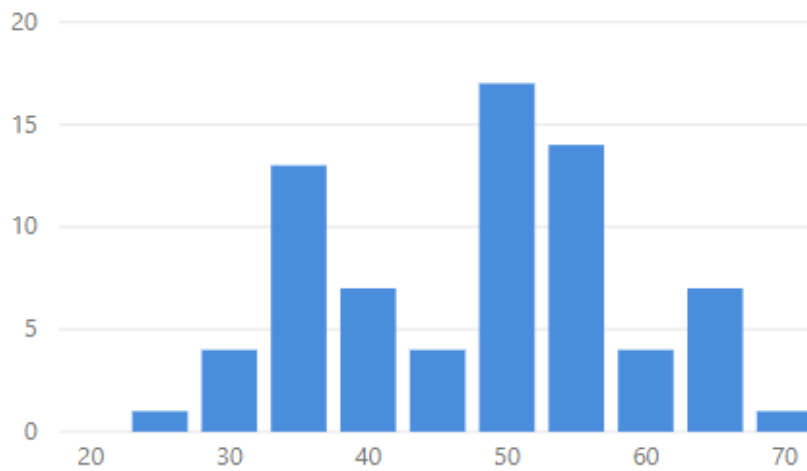
Count	age group
1.39%	25
5.56%	30
18.06%	35
9.72%	40
5.56%	45
23.61%	50
19.44%	55
5.56%	60
9.72%	65
1.39%	70
100.00%	

All Academics by Age (comparator group)

Count	age group
0.81%	25
7.66%	30
12.90%	35
12.10%	40
13.31%	45
20.16%	50
18.95%	55
9.27%	60
4.44%	65
0.40%	70
100.00%	

Overall, the comparison shows a replication of the peak age group for academics – 50 to 60.

The figures show a significant reduction at the 45-50 age group of academics aligned to the Research group. While we don't believe that this represents selection bias, we will reflect on this further with respect to our work on succession planning.
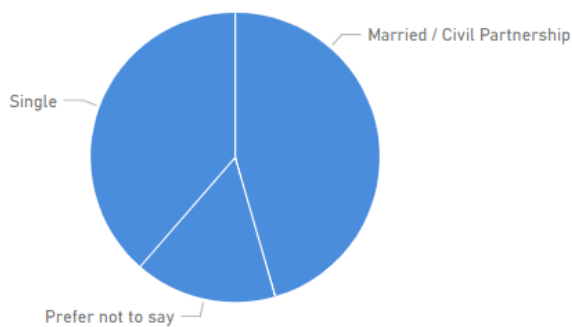
Alignment to Research by Marriage and Civil Partnership

Alignment to Research by Marriage and Civil Partnership
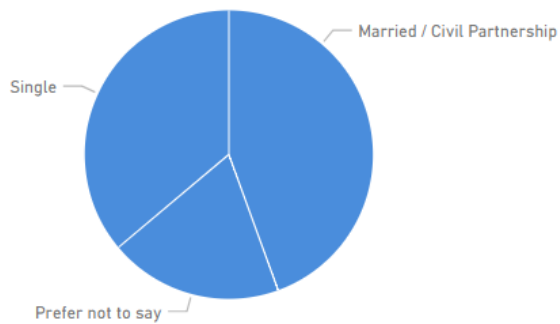
Marital Status	Count
Married / Civil Partnership	44.44%
Single	36.11%
Prefer not to say	19.44%
Total	**100.00%**

All academics by Marriage and Civil Partnership (comparator group)

Marital Status	Count
Married / Civil Partnership	45.53%
Single	38.62%
Prefer not to say	15.85%
Total	**100.00%**

The differences that are detectable in relation to the Marriage and Civil Partnership category appear to be attributable to the differences in the Prefer Not to Say category and do not demonstrate an equality impact in relation to Marriage and Civil Partnership *per se*. We believe there is no equality impact for this category.
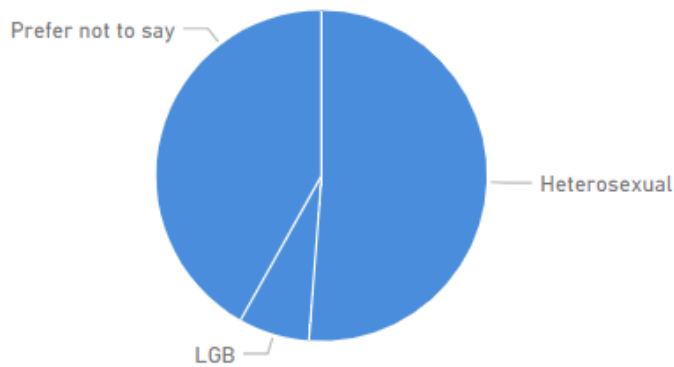
Alignment to Research by Sexual Orientation

Alignment to Research by Sexual Orientation
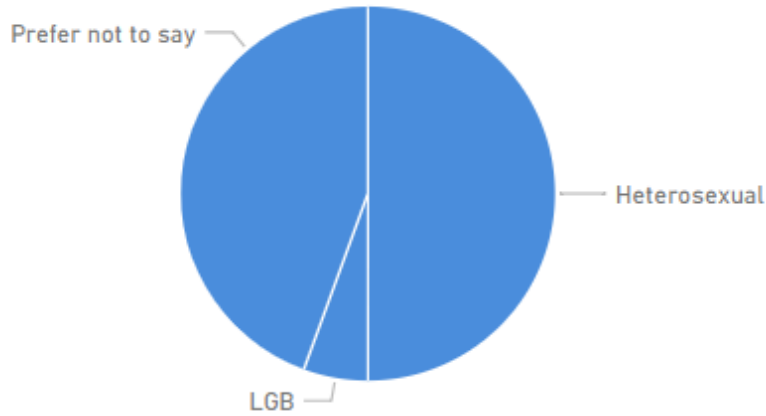
Sexual Orientation	Count
Heterosexual	50.00%
Prefer not to say	44.44%
Bisexual	4.17%
Gay man	1.39%
Total	**100.00%**

All Academics by Sexual Orientation (comparator group)

Sexual Orientation	Count
Heterosexual	51.22%
Prefer not to say	41.87%
Gay man	3.66%
Bisexual	1.22%
Gay woman	1.22%
Other	0.81%
Total	**100.00%**

There is no differential equality impact for sexual orientation between the comparator group of All Academics and the group aligned to Research.
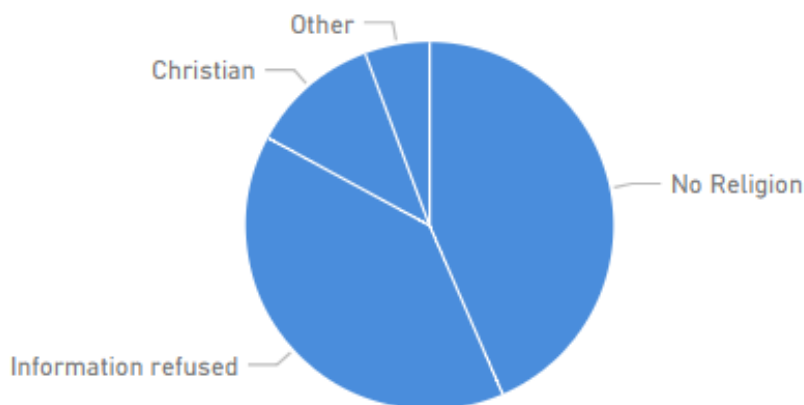
Alignment to Research by Religion or Belief

Alignment to Research by Religion or Belief
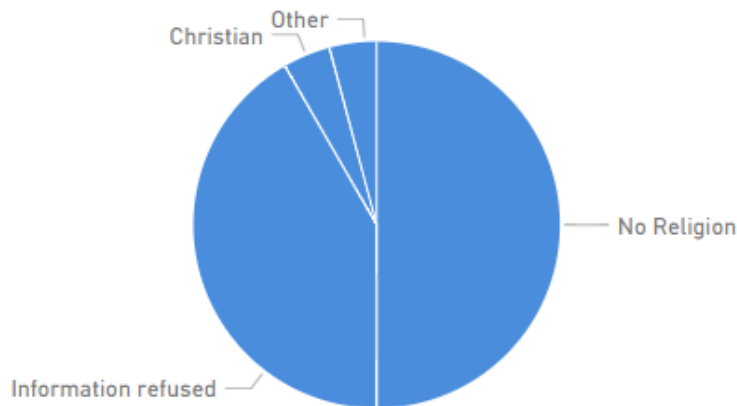
Religious belief	Count
No Religion	50.00%
Information refused	41.67%
Christian	4.17%
Buddhist	2.78%
Spiritual	1.39%
Total	**100.00%**

All academics by Religion or Belief (comparator group)

Religious belief	Count
No Religion	43.50%
Information refused	39.43%
Christian	11.38%
Any other religion or belief	1.22%
Buddhist	1.22%
Spiritual	1.22%
Jewish	0.81%
Muslim	0.81%
Atheist	0.41%
Total	**100.00%**

There is small but significant overrepresentation (7%) of those who profess no religious belief and a similar under representation of Christians along with an absence of other religious groups that are present in the All Academics group.
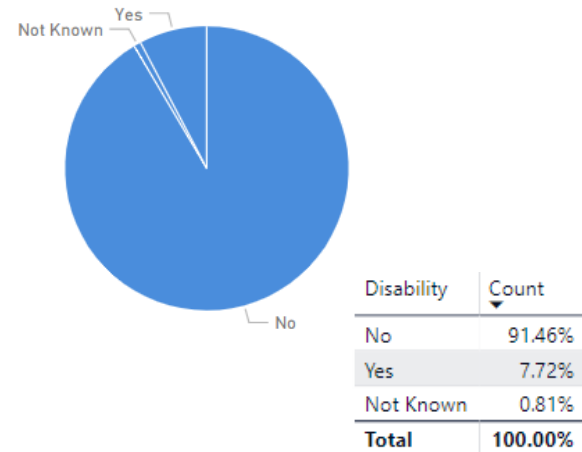
We note that the numbers in the sample are quite small and that a high percentage of people withheld this information from monitoring. We don't believe that there is systemic bias at play here but we will feed this information into the wider equality, diversity and inclusivity work ongoing at the University.

Alignment to Research by Disability

Alignment to Research by Disability (comparator group)

Disability	Count
No	94.44%
Yes	4.17%
Not Known	1.39%
Total	**100.00%**
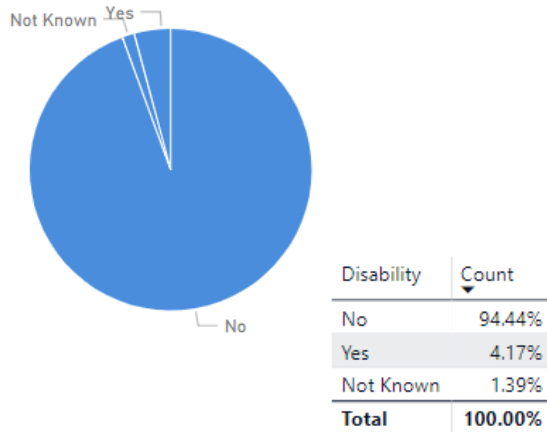
All academics by Disability

Disability	Count
No	91.46%
Yes	7.72%
Not Known	0.81%
Total	**100.00%**

The level of disclosed disability is low amongst the academic group. Disability is underrepresented in the Research group. We have no reason to belief that this is attributable to the Academic Career Fields Model.

Alignment to Research by Pregnancy and Maternity

There is one candidate among the academic staff who is pregnant. She is not aligned to the Research field. We have no reason to belief that there is an inequity in this, and we are confident that she is aligned to her preferred field.
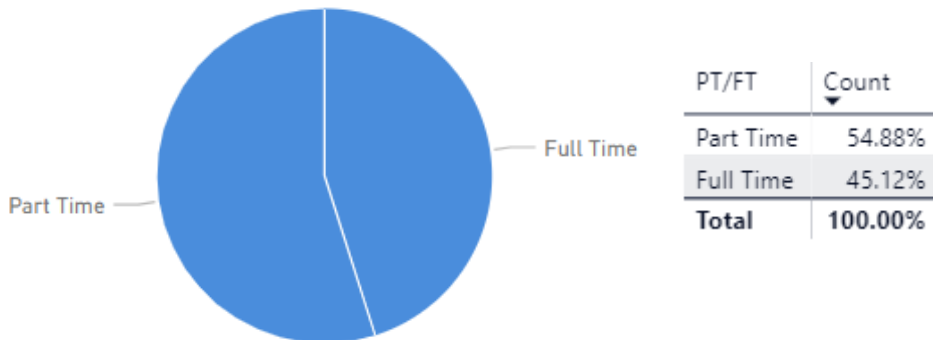
Alignment to Research by Transgender

There are currently no transgender staff in the academic staff pool and therefore there is currently no opportunity to assess equality impacts in this category.

Alignment to Research by Working Pattern

Alignment to Research by Working Pattern

PT/FT	Count
Part Time	61.11%
Full Time	38.89%
Total	**100.00%**
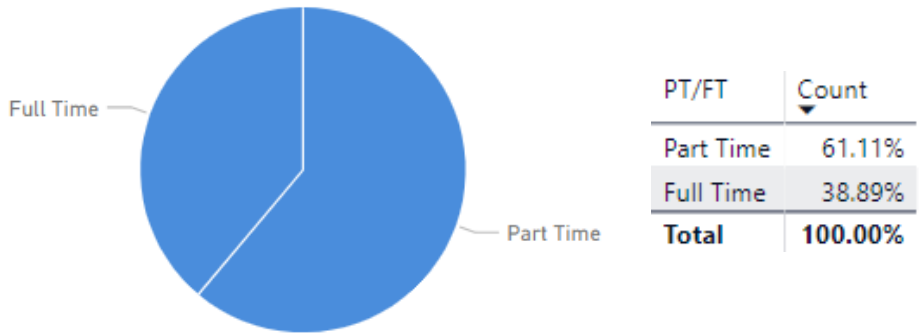
All academics by Working Pattern (comparator group)

PT/FT	Count
Part Time	54.88%
Full Time	45.12%
Total	**100.00%**

Part time workers are slightly overrepresented in the Research aligned group. We believe that this reflects positively on the extent to which part time working is integrated into our working culture and does not demonstrate an equality impact.

Appendix 8

Letter Confirming Staff Agreement to REF Processes

Dr Steven Hill   7th September 2019

Director of Research

Research England

Dear Dr Hill

REF 2021 Code of Practice

We have been requested to provide clarification explicitly confirming that our processes for determining which staff have 'significant responsibility for research' for REF 2021 have received agreement from staff via appropriate staff representation mechanisms. This letter sets out the steps in the consultation process we have undertaken, confirming this agreement.

In late 2017 the university scoped possible models to determine which staff have significant responsibility for research (SRR), and in February 2018 the decision was taken in principle to pursue an academic career fields model. Outline proposals were discussed in relevant committees and boards in spring and early summer of 2018, and the resulting Academic Career Fields scheme was the subject of extensive staff consultation in the summer and autumn of 2018. Consultation was with the university's representative of the University and College Union (UCU) and directly with staff. UCU is UCA's only representative body for academic staff, and there are no other staff associations.

- **Consultation with UCU**

  An initial initial meeting between the Director of Research and Education, the Director of Human Resources and the UCU representative took place on 12thJuly 2018. At this meeting it was agreed that full consultation with academic staff should commence at the same time that conversations

with UCU were ongoing.

The process of consultation with UCU was an open one, in that the first iteration of the Academic Career Fields scheme presented for discussion was in outline form only, and opinions were sought on details such as the indicators that would be used to define each field. From the outset, consultation with UCU was on the basis that the UCU representative was supportive in principle of the Academic Career Fields scheme. Discussion regarded detailed points and did not result in any areas of disagreement. A second meeting with the UCU representative took place on 3rd October 2018, and the representative submitted written feedback requesting assurances on three specific points:

- that resources be planned for all three proposed career fields
- that the titles of Reader and Professor should be used as markers of distinction in all three career fields
- that time for 'research and scholarly activity' (previously known commonly by the shorthand 'research time') should be redesignated 'academic career fields time'.

The UCU representative had gathered written feedback from staff, and passed this to us alongside his own written comments. Both UCU feedback and that gathered by UCU from staff was presented to the Academic Career Fields Development Group, which took it into consideration in preparing the details of the scheme. All three points listed above have been incorporated into the implementation of the Academic Career Fields scheme.

Draft detailed documentation on the process and criteria for aligning staff to an Academic Career Field in order to determine SRR was sent to the UCU representative on 15th November 2018. The representative responded with some comments but no objections. Later (20th March 2019) the draft REF Code of Practice (which incorporated ACF documentation and in addition set out details of UCA's approach to research independence and the selection of outputs) was sent to the UCU representative for comment: no concerns were raised.

- **Consultation directly with staff:**
  Consultation directly with staff took place concurrently with consultation with UCU, via all-staff meetings on each of our campuses to which all academic staff were invited. Prior to the meetings academic staff were sent the consultation document setting out the principles of the scheme. A webinar was held for any staff not able to attend the meetings, and this included the opportunity for questions and answers. The webinar was archived for ongoing access by all staff. As well as meetings and the webinar, staff were also invited to send feedback via email.

As with consultation with UCU, consultation was open, with staff opinion sought on the more detailed development of the scheme, including the criteria for each field. Response to the principles of the scheme was positive, with comments on the fact that the scheme recognised equally three areas of endeavour (Creative Education, Professional Practice and Research) whereas previously the perception had been that research was better supported and more valued. There was also favourable comment on the clarity the scheme brought, and the fact that it recognised that many staff might have activities across more than one field and that there should be flexibility to move between fields. Any concerns centred on the desire for reassurance on these points, and that the time available for ACF activities would be the same in each field. As with feedback from/via UCU, feedback directly from staff was taken into account by the Academic Career Fields Development Group in drafting full details of the scheme.

Staff were given a summary of the consultation feedback and assurances on any points raised on 25th October 2018, via email. In this we affirmed the commitment to staff in all three Academic Career Fields continuing to have the potential for the same amount of time for Academic Career Fields activities subject to planning and approval through PDR.

As a result of the consultations and communications outlined above, we are confident that staff have been given full opportunity to respond to and to shape the ACF scheme that determines SRR at UCA. Any concerns have been responded to, and there are no ongoing areas of concern that either UCU or any individual member of staff has brought to our attention. Our undertakings confirm that staff are in agreement with the process.

In addition, the rate of take up of the ACF scheme demonstrates staff agreement. In November 2018 all academic staff were requested to self-nominate into an academic career field, and as

of May 2019 almost all academic staff (99 per cent) had taken part in the process.[††] After consideration of applications by the Academic Career Fields Panel 86 per cent of staff were confirmed in the field to which they self-nominated.

In March/April 2019, at the conclusion of the initial alignment phase of the ACF scheme, further consultation was invited with UCU and directly with staff via campus meetings and a webinar. No negative feedback was received or any concerns raised.

[††] This figure includes all academic staff employed by the university at that date, with the exception of staff on maternity leave and sabbatical leave at the time of the alignment process, who were not asked to take part in the process while they were on leave of absence. These staff were however included in consultation communications, with letters sent to their home addresses.

Yours sincerely

[[signed version sent as PDF, to be added when this document is saved as a pdf]]

Professor Bashir Makhoul, Vice-chancellor

University for the Creative Arts