

Nottingham Trent University – REF 2021 Code of Practice

Contents

Section Title	Page
Glossary of Terms	1
Part 1: Introduction	2
○ Contextual Setting	2
○ What is the Code of Practice?	2
○ Equalities and Employment Legislation	2
○ How does the Code of Practice relate to broader NTU Policies/ Strategies to Promote and Support Equality and Diversity	3
○ Developments since the REF 2014 and actions taken	3
○ Governance of NTU’s REF 2021 preparations	5
○ Equality and Diversity Training	6
○ How the Code of Practice will be communicated to staff	7
Part 2: Identifying Staff with Significant Responsibility for Research	8
○ ‘Category A Eligible Staff’ and ‘Category A Submitted Staff’	8
○ NTU’s Academic Career Pathways Framework	8
○ Equality Monitoring Activities for REF 2021	10
Part 3: Determining Research Independence	11
Part 4: Selection of Outputs	12
○ Process for the selection of outputs	12
○ Staff Circumstances	13
Part 5: Providing feedback on NTU’s Draft Code of Practice	17
Part 6: Appendices	18
Glossary of Terms	
REF – Research Excellence Framework	
BME – Black and Minority Ethnicity	
DVC R&I – Deputy Vice-Chancellor – Research & Innovation	
ECR – Early Career Researcher	
EDAP – Equality and Diversity Advisory Panel	
EDI – Equality, Diversity and Inclusion	
EIA – Equality Impact Assessment	
FAQs – Frequently Asked Questions	
IRP – Individual Research Plan	
KPI – Key Performance Indicator	
UCU – University and College Union	
UET – University Executive Team	
ULT – University Leadership Team	
UsaA – Units of Assessment	

Part 1: Introduction

Contextual setting

Nottingham Trent University's (NTU) Research Excellence Framework (REF) 2021 Code of Practice outlines NTU's approach to REF 2021 and aligns with the following four principles (Appendix A):

1. **Transparency** in relation to decision making processes and communication.
2. **Consistency** through governance and oversight of institutional processes.
3. **Accountability** in relation to the responsibilities of individuals and committee and/or groups involved in relevant processes.
4. **Inclusivity** and how it is supported and promoted across areas and within the work of the institution.

As a condition of participating in REF 2021 NTU is required by Research England to develop, document and apply a Code of Practice covering the above areas. It must be submitted by no later than 12.00 noon on 7 June 2019.

The University must ensure that the Code of Practice clearly articulates decision-making processes in relation to REF 2021 in the context of the principles of equality and diversity, and all relevant legislation.

What is the Code of Practice?

The Code of Practice sets out NTU's approach to ensuring fairness for staff in developing its REF 2021 submission. It is intended to ensure that all those involved in the process:

- i. Follow transparent processes in identifying staff with significant responsibility for research, determining research independence and selecting outputs for inclusion in the institution's submission;
- ii. Disseminate the Code of Practice, explain the processes to be utilised and communicate results of decisions made in appropriate formats and in a timely fashion;
- iii. Develop a submission which accurately reflects NTU's research quality profile and meets the aspirations laid out in the institution's strategic plan, with the aim of maximising benefit to reputation and research income;
- iv. Are conversant with and apply consistently across the institution the processes covered in the Code of Practice;
- v. Understand and deliver on clearly defined roles and responsibilities;
- vi. Foster an environment of inclusivity, underpinned by an ethos of respect;
- vii. Ensure that the broad range of skills, experience and perspectives in existence at the institution are utilised.

Equalities and Employment Legislation

The Equality Act (2010)

Equalities legislation is codified in the Equality Act (2010). Within this legislation, there are nine protected characteristics: age, disability, gender reassignment, marriage and civil

partnership, pregnancy and maternity, race, religion and belief including non-belief, sex and sexual orientation. Further details regarding the nine protected characteristics along with the four guiding principles of this code in relation to: transparency, consistency, accountability and inclusivity are outlined in Appendix A.

The Equality Act introduced the public Equality Duty which means that HEIs must have due regard, in the exercise of their functions, to the need to:

- Eliminate unlawful discrimination, harassment and victimisation and other conduct prohibited by the Act.
- Advance equality of opportunity between people who share a protected characteristic and those who do not.
- Foster good relations between people who share a protected characteristic and those who do not.

Legislation Relating to Mode and Terms of Employment

At all stages of the planning and implementation of its REF submission, NTU is committed to meeting its legal requirements.

Under fixed-term employee and part-time workers regulations, fixed-term employees and part-time workers have the right not to be treated by an employer any less favourably than the employer treats comparable employees on open contracts or full-time workers. The relevant regulations are:

- Part-time Workers (Prevention of Less Favourable Treatment) Regulations 2000.
- Fixed-term Employees (Prevention of Less Favourable Treatment) Regulations 2002.

Both the Equality Act (2010) and legislation regarding mode and terms of employment are enshrined within NTU HR Policy and Practice (Appendix B).

How does the Code of Practice relate to broader NTU policies / strategies that promote and support Equality and Diversity?

Equality and Diversity at NTU is supported through institutional Equality, Diversity and Inclusion (EDI) policies, promoted and secured as part of NTU's expectation of our employees through mandatory equalities training, and embedded within NTU's employment framework of policies, practices and procedures (Appendix B).

Developments since REF 2014 and actions taken

Following REF 2014 an Equality Impact Assessment (EIA) of NTU's submission was undertaken (Appendix C) and this showed that:

- 30.7% of BME group eligible for submission were returned compared to 23.5% of White group (-7.2% gap);
- 19.4% of women eligible for submission were returned compared to 29.7% of men (10.3% gap);
- 17.1% of declared disabled colleagues eligible for submission were returned compared to 27.6% of non-disabled colleagues (10.5% gap).

Since the REF 2014 submission NTU has made significant investment in order to build and strengthen policies, practices and implement new initiatives that promote the development of a more inclusive research culture and environment. Every opportunity has been taken to seek new ways to encourage and support underrepresented groups in engaging with research. These activities are outlined below:

1. Concordat to Support the Career Development of Researchers

NTU has implemented the Concordat to Support the Career Development of Researchers and secured the European HR Excellence in Research Award (2013) in recognition of its commitment to enhancing working conditions and careers for research staff. This award was renewed (2017) following a successful four-year external review. A new Researcher Development Team, with researcher and research development responsibilities at its core, is now in place and provides active leadership and co-ordination for the further embedding of the principles and culture of the Concordat across NTU. Implementation of the Concordat is evident through our commitment to recruiting, rewarding and developing researchers as full members of NTU's community. The University uses the Vitae Researcher Development Framework as a tool to assess and enhance its support for the research-related career development of researchers. This is an integral component of NTU's Learning and Development Strategy, which applies to all staff. NTU have recently introduced School Concordat Champions to continue to embed and support this work at a local level.

2. Athena Swan proactively supporting gender equality

NTU's Athena SWAN journey began in 2015, and a submission for an Institutional Bronze Award followed in April 2017. Initially unsuccessful, NTU has continued to progress and learn from this experience and, in April 2019, was given a Bronze Award. NTU is building on this success with the ambition to gain a Silver Award at institutional level and further awards at more local levels. A number of clear actions in relation to supporting gender equality in the field of research were identified and have been actioned. These include increased funding support for women to access and attend the national Aurora leadership programme, the development of NTU's Women in the Academy network, and the introduction of the new Early Stage to Parenthood (ESP) Support Scheme. The ESP Scheme provides flexibility to the individual to safeguard research activity and/or continuity during such periods of maternity, adoption and/or shared parental leave. This should help to bridge potential negative impacts associated with such career gaps. NTU have also set a stretching KPI to achieve at least 35% representation of women amongst NTU Professoriate by 2022.

Furthermore, NTU have introduced School Athena SWAN Champions to support local level engagement and activity to pursue School and/or Department Athena SWAN Bronze and Silver Award submissions. A strategic approach has been adopted in order to leverage and embed good practice by ensuring that both Athena SWAN and Concordat Champions work collectively to support and promote equality, diversity and inclusion within School activities and action plans. A programme of development sessions, on topics such as Leading EDI Change and Privilege have been put in place to enable both sets of Champions the opportunity to meet, network and share good practice. NTU is therefore taking the necessary steps to ensure that Champions are supported to promote a culture of equality, diversity and inclusion.

3. *Online Researcher Development Gateway and Framework*

In 2017 NTU's Researcher Development team created and implemented an NTU Online Researcher Development gateway that is based upon Vitae's Researcher Development Framework. The Framework and its associated programme of researcher development and mentoring activities underpins NTU's ambition to grow its research capability by supporting and nurturing the career development of its researchers (post-doctoral researchers, research fellows, early- and mid-career academics) in order to create the next generation of research leaders.

4. *Unconscious Bias Training*

NTU's University Executive (UET) and University Leadership Teams (ULT) have all received Unconscious Bias training. In recognising the benefit and impact of such training upon culture and practice NTU has set an institutional KPI whereby 90% of staff (within 12 months of service) complete both online and face-to-face mandatory unconscious bias training requirements.

5. *The Vice-Chancellor's Outstanding Researcher Awards*

The Vice-Chancellor's Outstanding Researcher Awards scheme was established in 2015 and includes categories for both Early Career Researchers and Established Researchers. This initiative was introduced following the REF 2014 exercise as a vehicle to encourage engagement across all eight Schools, and to provide the opportunity to recognise and reward individual research excellence annually. Awards made to date indicate that women have been recognised within both the Early Career Researcher and Established Researcher categories.

6. *Staff Appraisals*

Since REF 2014, NTU has undertaken a step change in our strategic approach to appraisals. The appraisal process conversations are one of the most significant and important mechanisms to identify staff development needs and career aspirations that support both personal and organisational strategic goals. NTU's annual staff appraisal process, includes a mid-year review, and it has been successfully embedded across NTU for all academic staff.

The work has been underpinned by mandatory training for appraisers. All staff on a Teaching and Research Pathway also complete an annual Individual Research Plan (IRP) which helps to identify specific training and development needs. This enables individuals to be provided with appropriate mentoring and researcher development support so that they can achieve their research goals and ambitions. This holistic approach has led to significant increase in participation with the annual appraisal process, with completion levels rising from 60% (2015-6) to 99.2% (2017/18) across NTU.

Governance of NTU's REF 2021 Preparations

NTU has several groups and committees that act in either a decision-making or an advisory capacity for NTU's preparation for REF 2021:

Decision-making Groups/Committees

- i. University Executive Team
- ii. REF Planning Group and sub-groups;
 - i. ECR Status Panel

- ii. Research Independence Panel
- iii. An independent panel to consider Staff Circumstances

Advisory Groups/Committees involved

- i. Academic Board
- ii. University Research Committee
- iii. School Research & Innovation Committee
- iv. UoA Coordination Groups
- v. College Management Teams
- vi. Academic Research Leadership Team
- vii. Equality and Diversity Team

The REF Planning Group has strategic oversight of NTU's preparation for REF 2021. The University Executive Team (UET) has overall responsibility and will formally consider and approve recommendations from the REF Planning Group, including those decisions made by the Planning Group based on decisions from the REF Planning Sub-groups. See Appendix E for terms of reference and membership of REF 2021 decision-making groups.

Equality and Diversity Training

To ensure that the principles of consistency and inclusivity are discharged, training is necessary to ensure that all those supporting NTU's REF 2021 decision-making processes have an appropriate level of understanding of the University's equality and diversity policies and practice, its statutory equality duty, and the relevant legislative context which are all enshrined within NTU's Code of Practice (aims and practical implementation).

All NTU staff are required to undertake two mandatory online equality and diversity training modules (i. equality and diversity; ii. unconscious bias) in order to understand the significance of equalities legislation and practice to the exercise, including how they relate to staff circumstances.

Furthermore, additional bespoke REF-specific equality and diversity training will be delivered to all members of key decision-making groups (UET, REF Planning and sub groups, including the Staff Circumstances Panel) that provide governance and oversight for NTU's REF 2021 submission.

Those involved in the support and decision-making process for REF 2021 are also required to be aware of key principles of the Concordat to Support the Career Development of Researchers, namely:

- i. researchers are recognised and valued by their employing organisation as an essential part of their organisation's human resources and a key component of their overall strategy to develop and deliver world-class research;
- ii. researchers are equipped and supported to be adaptable and flexible in an increasingly diverse, mobile, global research environment;
- iii. diversity and equality must be promoted in all aspects of the recruitment and career management of researchers.

How the Code of Practice has been communicated to staff

Institutional Dissemination of the Draft Code of Practice

The draft Code of Practice has been communicated to all staff and staff representative groups using a broad range of mechanisms and channels to ensure that all academic and research-only staff receive the necessary information. These include the following:

- During the development of NTU's Code of Practice, and pending ratification by the Equality and Diversity Advisory Panel (EDAP), the draft Code of Practice has been published internally via a dedicated Code of Practice SharePoint site. This platform also provided a mechanism for supporting information such as Frequently Asked Questions (FAQs) to best support staff;
- Direct email communications, in the form of e-News (internal all staff announcements) to all staff, has been utilised;
- The Code of Practice has been made publicly available on the NTU website following EDAP approval.

Communication with Individual Staff

All staff have been emailed the draft Code of Practice. A hard copy of the draft Code of Practice has been sent by post to any staff identified as working outside the University, or who are absent from the University for any reason, where email contact is known to be a problem.

Staff Feedback on the Draft Code of Practice

Feedback on the draft Code of Practice was welcomed and various opportunities have been presented to staff to provide feedback prior to the draft Code of Practice submission to Research England (7th June 2019). These feedback channels are outlined below.

- Management representatives, including the Deputy Vice-Chancellor Research and Innovation (DVC R&I), have engaged with Trade Union representatives on the development of the draft Code of Practice, and continue to utilise the formal University and College Union (UCU) Joint Consultation Committee meeting structures at regular intervals;
- The draft Code of Practice was presented by the DVC R&I at the University's Academic Board on Wednesday 3 April, where it was approved.
- School Associate Deans for Research have and will continue to discuss the development of the draft Code of Practice at School Research & Innovation Committee meetings;
- Open staff meetings to discuss the draft Code of Practice, to which all staff were invited, have been held at each of the University's three sites, at which the Chair of the University's REF Planning Group (DVC R&I) facilitated a question and answer forum and/or explained any aspects of the Code of Practice, as requested by staff;

- The draft Code of Practice has been promoted through a live webinar, during which time the DVC R&I took questions from participants.

Feedback obtained from each of these channels will be used to inform the continued development of the Code of Practice in readiness for formal submission to Research England.

Part 2: Identifying Staff with Significant Responsibility for Research

'Category A Eligible Staff' and 'Category A Submitted Staff'

The funding bodies require institutions to submit all eligible staff with significant responsibility for research. Staff with significant responsibility for research are those for whom explicit time and resources are made available to engage actively in independent research, and for whom this is an expectation of their job role.

NTU will identify 'Category A Eligible Staff' using Research England's core eligibility criteria (see Appendix F) and will include academic staff:

- with a contract of employment of 0.2 FTE or greater;
- on the payroll of the submitting institution on the census date (31 July 2020);
- whose primary employment function is to undertake either 'research only' or 'teaching and research'.

'Category A Submitted Staff' are defined as 'Category A Eligible Staff' who have been identified as having significant responsibility for research on the census date. Staff on 'teaching and research' contracts must be included according to one of the following approaches:

- a. Where the 'Category A Eligible Staff' definition accurately identifies staff in the submitting unit with significant responsibility for research, the unit should submit 100 per cent of staff.
- b. Where the 'Category A Eligible' staff definition does not accurately identify staff (on 'teaching and research' contracts) in the submitting unit who have significant responsibility for research and are independent researchers, the institution will need to implement processes to determine this.

NTU will adopt approach (b) by utilising NTU's new Academic Career Pathways process to identify who among those meeting the definition of 'Category A Eligible Staff' have significant responsibility, and therefore who must be submitted.

NTU's Academic Career Pathways Framework

Since September 2016, NTU has recognised a framework (Appendix G) of three academic career pathways; Teaching and Research (T&R), Teaching and Scholarship (T&S) and Teaching and Practice (T&P).

NTU has adopted this academic pathway framework to:

- Recognise the significant academic contribution made by current and prospective staff;
- Attract internal and external applicants for new academic roles;
- Enable career progression and support talent management and succession planning;
- Ensure academics receive appropriate professional development support.

This academic career pathway framework, which was developed independently to the REF 2021 process, reflects the varied and valued contribution made by all academic staff to support delivery of NTU's strategic ambitions and helps to increase the profile and recognition of teaching, scholarship, research and practice activity.

This framework is specifically designed and structured to support individuals with their career development and facilitates both individual growth and the potential for career advancement. It is underpinned by appropriate professional development and researcher development support, internal communities of practice and networking opportunities, reward and recognition mechanisms, and effective processes for recruitment, promotion and appraisal.

The flexible academic career pathways framework enables NTU to be open and transparent about the expectations of different academic jobs at NTU. They carry parity of esteem, provide equal opportunities for recognition and progression, and as a framework contain the ability for movement between them (Appendix H).

Teaching and Research Pathway Staff have a significant responsibility for research

Staff on the Teaching and Research Pathway are given significant responsibility for research.

All NTU staff on the Teaching and Research Pathway have been assigned an appropriate workload allowance for research that provides them with the necessary time and resources to engage actively in independent research. Research is a clear expectation of their job role (see Appendix I) and this is reflected in their objective setting and appraisal. Separate criteria have not been created explicitly for Principal Lecturers as they have been for Professors, Associate Professors, Senior Lecturers and Lecturers. This is due to the nature of the Principal Lecturer role and its management function. This group of staff are supported at an individual level to ensure their personal career aspirations are met as and when they move beyond the Principal Lecturer role. For this group of staff the Lecturer/Senior Lecturer criteria will be applied as a guidance for the allocation of pathways. Senior staff, such as Deans, Deputy Deans and members of the University Executive Team do not have a pathway designation, but where they are classed as academic staff on the HESA return and they have appraisal objectives covering their own research, they will be included as having significant responsibility for research.

Thus, according to Research England's criteria NTU academic staff on the Teaching and Research Pathway will be NTU's 'Category A Submitted Staff' on the REF 2021 census date of 31 July 2020.

Agreeing the Academic Career Pathway Framework

NTU's academic career pathway framework has been consulted and agreed upon with UCU, who have formally, through a branch vote, accepted the framework in October 2018. This includes the use of the career pathway framework for determining staff with significant responsibility for research in the context of REF 2021. The criteria for alignment to an

academic career pathway, and therefore determining which staff have significant responsibility for research, is detailed in Appendix I.

Communication of Academic Career Pathway assignments to staff

To ensure transparency, consistency, accountability and inclusivity all individual academic staff received a letter (February 2019) that re-confirmed individual 2018-19 Academic Career Pathways assignments.

This communication activity will be repeated following the outcome of any changes across the framework arising from the 2019 annual appraisal discussions and/or in exceptional circumstances as part of a mid-year review appraisal conversation.

Process for staff not assigned to the T&R pathway to appeal this decision

Designed into the Academic Career Pathway Framework and embedded within the appraisal process are opportunities for review. This embedded process enables staff who believe that they have been incorrectly assigned to any of the three pathways the opportunity to request re-consideration. In particular, in the context of the REF, staff not assigned to the T&R pathway and thus not identified as having significant responsibility for research, may ask for re-consideration by the relevant Dean. Requests for re-consideration are made at the time of annual appraisals and, exceptionally, interim six-month reviews.

This structured approach provides three distinct opportunities over the lifetime of the Code of Practice for applicable staff on a Teaching and Scholarship or Teaching and Practice pathway to have a review considered before the final REF 2021 submission.

Equality Monitoring Activities for REF 2021

A key component of NTU's preparation for REF 2021 is to conduct an Equality Impact Assessment over the course of the current REF cycle (2014-2020). This includes the following elements:

- An Equality Impact Assessment of NTU's REF 2014 submission (see Appendix C);
- A programme of periodic equality monitoring activities (see Table 2);
- An Equality Impact Assessment of NTU's REF 2021 submission (to be conducted in Dec 2020).

This schedule aligns with key activities outlined in the Code of Practice (see Appendix D) and the outcomes from these equality monitoring activities will inform Equality & Diversity practice and policy across both Schools and NTU as a whole. Furthermore, outcomes will inform the development of both institutional and UoA level environment statements. NTU will exercise judgement and discretion to undertake additional relevant equality monitoring as necessary.

Table 2: Equality Monitoring Schedule

Anticipated Date	Rationale
Jan 2019	First Equality monitoring activity: comparison of REF 2021 eligible and envisaged submitted pools

Oct 2019	Second Equality monitoring activity following NTU Mock REF Exercise (Sep 2019)
April/May 2021	Final Equality monitoring activity: post REF 2021 submission

Part 3: Determining Staff with Research Independence

Independent researchers

REF guidance states that staff employed on 'research only' contracts must be independent researchers (defined below) to meet the definition of Category A eligible. All staff on 'research only' contracts who are independent researchers will have significant responsibility for research so should be returned as Category A submitted staff. It is noted that this determination does not apply to staff on a standard academic contract.

Research Only Staff

Research-only staff who are determined to have research independence will be included in NTU's REF 2021 submission. For the purpose of the REF 2021, Research England defines an independent as 'an individual who undertakes self-directed research, rather than carrying out another individual's research programme.'

Research assistants (sometimes also described as postdoctoral research assistants or research associates), are not eligible to be returned to the REF unless, exceptionally, they meet the definition of an independent researcher (defined below) on the census date and satisfy the definition of Category A Eligible Staff (see section 2).

Process for determining staff with research independence

A robust process for the determination of research independence for research-only staff (e.g. Research assistants and research fellows) will be conducted in December 2019 – January 2020 (Table 3). The assessment process will be conducted by a sub-panel of the REF Planning Group.

Table 3: Determining Research Independence

Determining Research Independence	
Timeline	December 2019 – January 2020
	June 2020 – July 2020
	All staff on research-only contracts will be assessed against the criteria listed below. Individual outcomes will be communicated to staff.

Criteria for determining research independence

A member of staff is not deemed to have undertaken independent research purely on the basis that they are named on one or more research outputs. The following indicators will be used to determine research independence. It should be noted that each indicator may not individually demonstrate independence and where appropriate multiple factors will be considered.

- i. Leading or acting as principal investigator or equivalent on an externally-funded research project;
- ii. Holding an independently won, competitively awarded fellowship where research independence is a requirement;

- iii. Leading a research group or a substantial work package, e.g. heading a research centre or UoA Coordination Group.

For individuals aligned with UsoA in Main Panels C and D the following additional criteria will also be considered:

- iv. Being named as a Co-I on an externally funded research grant/award.
- v. Having significant input into the design, conduct and interpretation of the research.

Appeals

Appeals can be submitted to the Research Independence Panel between February-March 2020 and only on the basis of the application of the criteria rather than the criteria themselves.

Part 4: Selection of Outputs

Process for the selection of outputs

The University will apply the following process with respect to the selection of outputs for submission to REF 2021.

External Assessment of Outputs

The selection of outputs to be returned in REF 2021 will be underpinned by a rigorous quality assessment process:

- Outputs will initially be assessed internally within submitting UsoA, by members of UoA Steering Groups. The process will be carried out by the UoA Coordination Groups and overseen by the relevant school associate dean for research;
- Those outputs deemed to have met a required quality threshold (see below) will be sent for assessment to expert external reviewers;
- External reviewers are selected for their disciplinary expertise and experience. UsoA propose relevant individuals to undertake the role of external assessor and the nominations are approved by the Deputy Vice-Chancellor - Research & Innovation;
- Each output will typically be reviewed by a minimum of two external reviewers;
- Overall ratings for outputs will be based on the ratings and commentary provided by external reviewers;
- Where external reviewer ratings are not aligned, UoA Coordination Groups will undertake a process of moderation which will be overseen by the REF Planning Group.

Staff who have had outputs assessed by external reviewers will be informed of ratings and any comments received.

University Strategy and Selection of Outputs

In selecting outputs to be returned, the University will seek to maximise the quality profile for each UoA. Modelling exercises, based on overall external review ratings given to each output, will be conducted in order to secure the highest quality of submitted outputs. Outputs to be returned in each UoA will be agreed by the University's REF Planning Group and ratified by the University Executive Team.

NTU will make clear that there is no expectation that all staff will contribute equally to the pool of outputs available for submission or the outputs included in the return for each UoA. Staff circumstances will be taken into consideration, as detailed below. Equally, decisions on which outputs are submitted will have no bearing on promotion, progression or performance review of staff.

Key Aspects for Output Selection

- To maximise the quality of outputs;
- Assessment by expert external reviewers will form the basis for output grading, ranking and selection;
- School Associate Deans for Research and UoA Coordination groups will play a key role in the internal review, grading, moderation and ranking of outputs;
- External assessment by at least two expert reviewers resulting in grading of outputs as 4*, 3*, 2*, 1*;
- UoA Coordination groups will provide a more detailed 10 point granular grading for relevant outputs (*4*, 4* minus; 3* plus, 3*, 3* minus; 2* plus, 2*, 2* minus; 1* plus, 1**) based on the assessments provided by external reviewers. UoA Coordination groups and School Associate Deans for Research will also make determinations on which outputs may qualify as double-weighted;
- School Associate Deans for Research and UoA Coordination groups will oversee the ranking of outputs by each individual academic on a Teaching and Research Pathway;
- NTU's new Research Management Information System has a REF Module which will facilitate output selection for all UoA in order to:
 - select the highest ranked output for each Category A staff member with Significant Responsibility for Research;
 - select the remaining highest ranked outputs from the UoA-wide ranked list so that for any staff member the maximum of 5 outputs is not exceeded;
- No distinction will be made during the review stage as to the employment status of authors i.e. current or former staff. At the selection stage, however, the intention will be to include only outputs produced by current staff where the exclusion of outputs produced by former staff does not have a detrimental effect on the GPA.
- NTU is not proposing to submit outputs by staff made compulsorily redundant. It is not, however, possible for the departing circumstances of former members of staff to be disclosed to those making decisions on output selection due to issues related to confidentiality. This leaves open the possibility that some outputs produced by staff made redundant will be selected.

Staff Circumstances

Individual staff circumstances in relation to the determination of Early Career Researcher (ECR) status will be conducted by a sub-group of the REF Planning Group.

Individual staff circumstances in relation to assessing periods of 'absence' and or exceptional personal circumstances will be considered by an independent Staff Circumstances Panel. Examples of circumstances resulting in 'absence' include:

i. Disability

ii. Ill health, injury, or mental health conditions.

iii. Constraints relating to pregnancy, maternity, paternity, adoption or childcare that fall outside of – or justify the reduction of further outputs in addition to – the allowances set out on page 14 and 15 of this Code of Practice.

iv. Other caring responsibilities (such as caring for an elderly or disabled family member).

v. Gender reassignment.

vi. Other circumstances relating to the protected characteristics or relating to activities protected by employment legislation.

The REF Staff Circumstances Panel has been deliberately designed to be small in view of the confidential nature of the information submitted by staff. The panel will be made up of staff with senior roles who have the professional expertise and experience within equality, diversity and people and policy management and who are therefore not involved in the line management structure of those affected by the decisions. The membership of the independent Staff Circumstances Panel is as follows:

- Head of EDI (Assessor of circumstances and applied calculations);
- Head of HR Operations (Validate against HR records).

The panel will be supported by one designated staff member to provide confidential administrative support.

The independent Staff Circumstances Panel will operate to safeguard the confidentiality of individuals who may need to disclose potentially sensitive and private information and data. It will operate independently of the REF decision-making and advisory group(s) and will play no part in the decisions made by the decision-making groups.

This panel's function is to apply Research England's criteria and tariff system and calculations (Tables 6 and 7) to determine whether an individual staff circumstance may qualify for a potential reduction in outputs for the UoA pool. Key points include:

- Due to the decoupling of outputs from individuals all potential reductions in outputs, will be applied to the overall UoA output pool;
- Where a potential reduction in output has been determined this reduction may then be applied to the UoA overall output pool; however, this will be determined by the REF Planning Group as deemed appropriate;
- All potential reductions to outputs that may be applied to a UoA's output pool will be subject to validation by EDAP;
- Where an individual's circumstances qualify for a reduction in output this will be communicated to the individual;
- A reduction will be applied only if the cumulative effect of circumstances has disproportionately affected the unit's potential output pool; however, this will be determined by the REF Planning Group as deemed appropriate;
- Regardless of whether or not the reduction is applied, staff who have declared circumstances will have the opportunity to discuss any potential individual adjustment to expectations held by an individual in terms of the contribution they will be expected to make to the overall UoA output pool;
- In addition to the above, and as part of the staff circumstances process, staff will be invited to hold a confidential discussion with the Head of EDI to explore any potential ongoing support needs and agree an approach to how they can be best met. With the employee's full consent, this may include:

i. The facilitation of a private and sensitive conversation between the staff member, HR and the line manager;

ii. The provision of information and advice;

iii. The facilitation of access to onward services

Staff who are eligible to be returned in the REF 2021 exercise will be invited to declare their staff circumstances via a declaration form housed on a secure online platform (Sep 19 – Dec 19). This will provide maximum opportunity for staff to make a declaration in good time for any qualifying circumstances and potential reductions to be considered as part of the UoA's circumstances and to ensure, where applicable, their inclusion for validation by EDAP.

Declaration of Staff Circumstances Process

Table 4: Invitation to Declare Staff Circumstances

Declaration of Staff Circumstances: Process and Activities across each Invitation Round			
Activity	All staff identified with significant responsibility for research will be invited to complete an online declaration form regarding individual staff circumstances Sep – Dec 2019	REF Staff Circumstances Panel assessment period, inclusive of individual communications supporting adjustments to the expectation of an individual's contribution to the UoA output pool. Oct 2019 – Jan 2020	Submission to Research England for EDAP approval Mar 2020
	All staff identified with significant responsibility for research will again be invited to complete an online declaration form regarding individual staff circumstances Jun – Dec 2020	REF Staff Circumstances Panel assessment period, inclusive of individual communications supporting adjustments to the expectation of an individual's contribution to the UoA output pool Nov 2020 – Dec 2020	Inclusion of output reductions with UoA submissions to REF 2021. Mar 2021

UoA Staff Circumstances Request for Reduction in Outputs to Research England

NTU will formally submit an application (Mar 2020) to request output reduction for any relevant Units of Assessment (UoA). Once EDAP validation is confirmed this will be communicated to applicable UoA Co-ordinators and REF Decision-Making groups.

Exceptional Individual Circumstances: Removing the 'minimum of one' output requirement for an individual

There may be staff who, during the REF 2021 assessment period 1st January 2014 to 31st July 2020, have experienced exceptional individual circumstances that have directly impacted upon their ability to work to produce an eligible output.

Such circumstances will be measured in time 'absent' from research during the assessment period and must meet the absence threshold totalling overall a period of 46 months or more. Where exceptional circumstances apply it is NTU's decision to apply such circumstances directly to the individual, but this will be subject to validation by EDAP.

If EDAP rejects the request for the removal of the required minimum one output then the individual concerned will be returned within the UoA without an output, and the 'missing' output will be graded as 'unclassified'.

Calculations and methodology for a reduction of outputs to the UoA pool.

The Staff Circumstances Panel will use the rules outlined in the REF 2021 Guidance on Submissions (REF 2019/01) in order to assess and calculate, any relevant qualifying reductions in outputs to be assigned to the UoA pool.

'Absence' from work due to secondments or career breaks

The permitted reduction in outputs without penalty in the assessment exercise for 'absence' from work due to secondments or career breaks (research breaks are not eligible) are detailed in Table 6.

Table 6: Secondments or career breaks: Permitted reduction in outputs

Total months absent between 1 January 2014 and 31 July 2020 due to a staff member's secondment or career break:	Output pool may be reduced by up to:
Fewer than 12 calendar months	0
At least 12 calendar months but less than 28	0.5
At least 28 calendar months but less than 46	1
46 calendar months or more	1.5

The allowances in Table 6 are based on the length of the individual's absence or time away from working in Higher Education. They are defined in terms of total months absent from work.

'Absence' from work due to a qualifying period of family-related leave

The total output pool may be reduced by 0.5 for each discrete period of:

- a. Statutory maternity leave or statutory adoption leave taken substantially during the period 1 January 2014 to 31 July 2020, regardless of the length of the leave.
- b. Additional paternity or adoption leave¹, or shared parental leave² lasting for four months or more, taken substantially during the period 1 January 2014 to 31 July 2020.

¹ 'Additional paternity or adoption leave' refers to leave of up to 26 weeks which is taken to care for a child where the person's spouse, partner or civil partner was entitled to statutory maternity leave or statutory adoption leave, and has since returned to work. The term 'additional paternity leave' is often used to describe this type of leave although it may be taken by parents of either gender. For the purposes of the REF, we refer to this leave as 'additional paternity or adoption leave'.

² 'Shared parental leave' refers to leave of up to 50 weeks which can be shared by parents having a baby or adopting a child. This can be taken in blocks, or all in one go.

Early Career Researchers (ECR)

For the purposes of the REF 2021, ECRs are defined as members of staff who meet the definition of 'Category A Eligible Staff' on the census date, and who started their careers as independent researchers on or after 1 August 2016. For the purpose of the REF, an individual is deemed to have started their career as an independent researcher from the point at which:

- a. They held a contract of employment of 0.2 FTE or greater, which included a primary employment function of undertaking 'research' or 'teaching and research', with any HEI or other organisation, whether in the UK or overseas, and;
- b. They first met the definition of an independent researcher.

The permitted reduction in outputs without penalty in the assessment exercise for ECRs who meet the definition are detailed in Table 7.

Table 7: Early career researchers: Permitted reduction in outputs

Date at which the individual first met the REF definition of an ECR:	Output pool may be reduced by up to:
On or before 31 July 2016	0
Between 1 August 2016 and 31 July 2017 inclusive	0.5
Between 1 August 2017 and 31 July 2018 inclusive	1
On or after 1 August 2018	1.5

Part 5: Providing Feedback on the draft Code of Practice

If you would like to provide feedback on this draft code of practice, and will not have the opportunity to take part in the various channels and opportunities that are scheduled, then you are welcome to contact the Research Office directly to provide your feedback REFCOP@ntu.ac.uk.

Feedback on this draft Code of Practice will be accepted until 12.00 noon on May 7th. This is to allow time to reflect the feedback in the final draft to be agreed by UET before submission to Research England for EDAP approval on 7th June 2019.

PART 6: Appendices

- Appendix A Guiding Principles of the Code of Practice and Summary of Equalities Legislation
- Appendix B NTU's Employment Framework: Policies, Practices and Procedures
- Appendix C Equality Monitoring and Analysis of NTU's REF 2014 submission
- Appendix D NTU's Preparation for REF 2021 Timetable
- Appendix E Terms & References - REF 2021 Decision-Making Groups
- Appendix F REF 2021 Staff Eligibility
- Appendix G NTU Academic Career Pathways and Staff Support Ecosystem
- Appendix H Process for transfer across the Academic Career Pathway Framework
- Appendix I NTU Academic Career Pathways Criteria
- Appendix J Frequently Asked Questions
- Appendix K Confirmation of agreement of this Code of Practice with Staff Representatives at NTU

Appendix A: Guiding Principles of the Code of Practice and Summary of Equality Legislation

The guiding principles of NTU's Code of Practice are laid out below and are intended to demonstrate fairness to staff.

- a. **Transparency:** All processes for identifying staff with significant responsibility for research, determining research independence, and selecting outputs for inclusion in REF submissions will be transparent. The Code of Practice will be made available in an easily accessible format and publicised to all academic staff across the institution.
- b. **Consistency:** The principles governing the processes covered by Code of Practice will be applied consistently across the institution.
- c. **Accountability:** Responsibilities are clearly defined, and individuals on decision-making and advisory bodies are identified by role.
- d. **Inclusivity:** The Code of Practice promotes an inclusive environment, enabling the institution to identify all staff who have significant responsibility for research, all staff who are independent researchers, and the excellent research produced by staff across all protected groups.

Equality Legislation

Age	<p>All employees within the higher education sector are protected from unlawful age discrimination, harassment and victimisation in employment under the Equality Act 2010. Individuals are also protected if they are perceived to be or if they are associated with a person of a particular age group.</p> <p>Age discrimination can occur when people of a particular age group are treated less favourably than people in other age groups. An age group could be for example, people of the same age, the under 30s or people aged 45-50. A person can belong to a number of different age groups.</p> <p>Age discrimination will not be unlawful if it is a proportionate means of achieving a legitimate aim. However, in the context of the REF, the view of the funding bodies is that if a researcher produces excellent research an HEI will not be able to justify not selecting their outputs because of the their age group.</p> <p>It is important to note that early career researchers are likely to come from a range of age groups. The definition of early career researcher used in the REF (see 'Guidance on submissions', paragraphs 144 to 147) is not limited to young people.</p> <p>HEIs should also note that, given developments in equalities law in the UK and Europe, the default retirement age has been abolished from 1 October 2011 in England, Scotland, Wales and Northern Ireland</p>
Disability	<p>The Equality Act 2010, prevents unlawful discrimination, victimisation and harassment relating to disability. Individuals are also protected if they are perceived to have a disability or if they are associated with a</p>

	<p>person who is disabled (for example, if they are responsible for caring for a disabled family member).</p> <p>A person is considered to be disabled if they have or have had a physical and/or mental impairment which has 'a substantial and long-term adverse effect on their ability to carry out normal day-to-day activities'. Long-term impairments include those that last or are likely to last for at least 12 months.</p> <p>Cancer, HIV, multiple sclerosis and progressive/degenerative conditions are disabilities too, even if they do not currently have an adverse effect on the carrying out of day-to-day activities. An impairment which is managed by medication or medical treatment, but which would have had a substantial and long-term adverse effect if not so managed, is also a disability.</p> <p>There is no list of day-to-day activities for England, Scotland and Wales but day-to-day activities are taken to mean activities that people, not individuals, carry out on a daily or frequent basis.</p> <p>While there is no definitive list of what is considered a disability, it covers a wide range of impairments including:</p> <ul style="list-style-type: none"> • sensory impairments • impairments with fluctuating or recurring effects such as rheumatoid arthritis, depression and epilepsy • progressive impairments, such as motor neurone disease, muscular dystrophy, HIV and cancer • organ specific impairments, including respiratory conditions and cardiovascular diseases • developmental impairments, such as autistic spectrum disorders and dyslexia • mental health conditions such as depression and eating disorders • impairments caused by injury to the body or brain. <p>It is important for HEIs to note that people who have had a past disability are also protected from discrimination, victimisation and harassment because of disability.</p> <p>Equality law requires HEIs to anticipate the needs of disabled people and make reasonable adjustments for them. Failure to make a reasonable adjustment constitutes discrimination. If a disabled researcher's impairment has affected the quantity of their research outputs, the submitting unit may return a reduced number of outputs (see 'Guidance on submissions', Part 3, Section 1, 'Staff circumstances').</p>
Gender Reassignment	<p>The Equality Act 2010 protect from discrimination, harassment and victimisation of trans people who have proposed, started or completed a process to change their sex. Staff in HE do not have to be under medical supervision to be afforded protection because they are trans and staff are protected if they are perceived to be undergoing or have undergone related procedures. They are also protected if they are</p>

	<p>associated with someone who has proposed, is undergoing or has undergone gender reassignment.</p> <p>Trans people who undergo gender reassignment will need to take time off for appointments and, in some cases, for medical assistance. The transition process is lengthy, often taking several years and it is likely to be a difficult period for the trans person as they seek recognition of their new gender from their family, friends, employer and society as a whole.</p> <p>The Gender Recognition Act 2004 gave enhanced privacy rights to trans people who undergo gender reassignment. A person acting in an official capacity who acquires information about a person's status as a transsexual may commit a criminal offence if they pass the information to a third party without consent.</p> <p>Consequently, staff within HEIs with responsibility for REF submissions must ensure that the information they receive about gender reassignment is treated with particular care.</p> <p>If a staff member's ability to work productively throughout the REF assessment period has been constrained due to gender reassignment, the unit may return a reduced number of research outputs (see 'Guidance on submissions', Part 3, Section 1, 'Staff circumstances'). Information about the member of staff will be kept confidential as described in 'Guidance on submissions', paragraph 191.</p> <p>HEIs should note that the Scottish government recently consulted on, and the UK government is currently consulting on, reform of the Gender Recognition Act 2004, which may include streamlining the procedure to legally change gender.</p>
Marriage and Civil Partnership	<p>Under the Equality Act 2010, individuals are protected from unlawful discrimination, harassment and victimisation on the grounds of marriage and civil partnership status. The protection from discrimination is to ensure that people who are married or in a civil partnership receive the same benefits and treatment in employment. The protection from discrimination does not apply to single people.</p> <p>HEIs must ensure that their procedures and decision-making processes in relation to REF 2021 do not inadvertently discriminate against staff who are married or in civil partnerships.</p>
Pregnancy and maternity	<p>Under the Equality Act 2010 women are protected from unlawful discrimination, harassment and victimisation related to pregnancy and maternity.</p> <p>Consequently, where researchers have taken time out of work, or their ability to work productively throughout the assessment period has been affected, because of pregnancy and/or maternity, the submitting unit may return a reduced number of research outputs, as set out in 'Guidance on submissions', paragraphs 169 to 172.</p>

	<p>In addition, HEIs should ensure that female researchers who are pregnant or on maternity leave are kept informed about and included in their submissions process.</p> <p>For the purposes of this summary it is important to note that primary adopters have similar entitlements to women on maternity leave.</p>
Race	<p>The Equality Act 2010 and the Race Relations (Northern Ireland) Order 1997 protect HEI staff from unlawful discrimination, harassment and victimisation connected to race. The definition of race includes colour, ethnic or national origins or nationality. Individuals are also protected if they are perceived to be or are associated with a person of a particular race.</p> <p>HEIs must ensure that their procedures and decision-making processes in relation to REF 2021 do not discriminate against staff based on their race or assumed race (for example, based on their name).</p>
Religion and belief including non-belief	<p>The Equality Act 2010 and the Fair Employment and Treatment (Northern Ireland) Order 1998 protect HEI staff from unlawful discrimination, harassment and victimisation related to religion or belief. Individuals are also protected if they are perceived to be or are associated with a person of a particular religion or belief.</p> <p>HEIs must ensure that their procedures and decision-making processes in relation to REF 2021 do not discriminate against staff based on their actual or perceived religion or belief, including non-belief. 'Belief' includes any structured philosophical belief with clear values that has an effect on how its adherents conduct their lives.</p>
Sex (including breastfeeding and additional paternity and adoption leave)	<p>The Equality Act 2010 and the Sex Discrimination (Northern Ireland) Order 1976 protect HEI staff from unlawful discrimination, harassment and victimisation related to sex. Employees are also protected because of their perceived sex or because of their association with someone of a particular sex.</p> <p>The sex discrimination provisions of the Equality Act explicitly protect women from less favourable treatment because they are breastfeeding. Consequently the impact of breastfeeding on a woman's ability to work productively will be taken into account, as set out in 'Guidance on submissions', Part 3, Section 1, 'Staff circumstances'.</p> <p>If a mother who meets the continuity of employment test wishes to return to work early or shorten her maternity leave/pay, she will be entitled to shared parental leave with the father or her partner within the first year of the baby's birth. Partners may also be eligible for shared parental leave or pay. Fathers/partners who take additional paternity or adoption leave will have similar entitlements to women on maternity leave and barriers that exist to taking the leave, or as a result of having taken it, could constitute unlawful sex discrimination. Consequently where researchers have taken additional paternity and adoption leave, the submitting unit may return a reduced number of</p>

	<p>outputs, as set out in 'Guidance on submissions', paragraphs 169 to 172.</p> <p>HEIs need to be wary of implementing procedures and decision-making processes in relation to REF 2021 that would be easier for men to comply with than women, or vice versa. There are many cases where a requirement to work full-time (or less favourable treatment of people working part-time or flexibly) has been held to discriminate unlawfully against women.</p> <p>HEIs should note that there are now requirements under UK and Scottish legislation for public authorities (including HEIs) to report information on the percentage difference amongst employees between men and women's average hourly pay (excluding overtime).</p>
Sexual Orientation	<p>The Equality Act 2010 and the Employment Equality (Sexual Orientation) Regulations (Northern Ireland) 2003 protect HEI staff from unlawful discrimination, harassment and victimisation related to sexual orientation. Individuals are also protected if they are perceived to be or are associated with a person who is of a particular sexual orientation.</p> <p>HEIs must ensure that their procedures and decision-making processes in relation to REF 2021 do not discriminate against staff based on their actual or perceived sexual orientation.</p>

Appendix B: NTU's Employment Framework: Policies, Practices and Procedures

A full [A-Z of NTU institutional policies](#) and associated guidance materials are available for all employees to access via the NTU internet (Staffnet). This includes direct links to the following policies and procedures that constitute NTU's framework of employment policies, practices and procedures:

- Adoption Leave and Pay Policy and Procedure
- Annual Leave
- Appraisal
- Career Break Policy and Procedure
- Dignity and Respect Policy
- Disciplinary Policy and Procedure
- Equality, Diversity and Inclusion Policy
- Flexible Working Policy
- Grievance Policy and Procedure
- Maternity Leave and Pay Policy Procedure
- Parental Leave Policy and Procedure
- Paternity Leave and Pay Policy and Procedure
- Probation Policy and Procedure
- Redundancy Policy and Procedure
- Sabbatical Leave Policy and Procedure
- Secondment Policy and Procedure
- Shared Parental Leave and Pay Policy and Procedure

Appendix C: Equality Monitoring and Analysis of NTU's REF 2014 submission

Table 1. Gender: REF 2014 eligible pool vs REF 2014 submitted pool

Gender	REF 2014 Eligible (e)		REF 2014 Submitted (s)		Headcount	% Gap	Submitted
	% of pool	Headcount	% of pool	Headcount			
Female	48.6%	532	38.1%	103	Difference F(e)-F(s) 429	-10.5	19.4% Submitted
Male	51.4%	563	61.9%	167	Difference M(e)-M(s) 396	+10.5	29.7% Submitted
<i>Total</i>	<i>100.0%</i>	<i>1,095</i>	<i>100.0%</i>	<i>270</i>	<i>-825</i>		<i>Gap 10.3% points</i>

F = female M= male (e)= eligible (s)=submitted

Notes: in the REF 2014 exercise 19.4% of the eligible female pool were submitted compared to 29.7% of males, creating a 10.3% percentage point gap.

Table 2. Ethnicity: REF 2014 eligible pool vs REF 2014 submitted pool

Ethnicity	REF 2014 Eligible (e)		REF 2014 Submitted (s)		Headcount	% Gap	Submitted
	% of pool	Headcount	% of pool	Headcount			
BME	9.5%	104	11.9%	32	Difference B(e)- B(s) = 72	+2.4	30.7% Submitted
White	85.4%	935	81.5%	220	Difference W(e)-W(s) = 715	-3.9	23.5% Submitted
Not known	3.3%	36	4.1%	11			
Prefer not to say	1.8%	20	2.6%	7			
<i>Total</i>	<i>100.0%</i>	<i>1,095</i>	<i>100.0%</i>	<i>270</i>			<i>Gap 7.2% points</i>

B= BME W= White (e)= eligible (s)=submitted

Notes: in the REF 2014 exercise 30.7% of the eligible BME pool were submitted compared to 23.5% of White, creating a 7.2% percentage point gap.

Table 3. Disability: REF 2014 eligible pool vs REF 2014 submitted pool

Disability status	REF 2014 Eligible (e)		REF 2014 Submitted (s)		Headcount	% Gap	Submitted
	% of pool	Headcount	% of pool	Headcount			
Disabled	6.4%	70	4.4%	12	Difference D(e)-D(s) = 58	-2.2%	17.1% Submitted
Not Disabled	75.6%	828	84.8%	229	Difference ND(e) - ND(s) = 599	+9.2%	27.6% Submitted
Not known	14.8%	162	8.5%	23			
Prefer not to say	3.2%	35	2.2%	6			
<i>Total</i>	<i>100.0%</i>	<i>1,095</i>	<i>100.0%</i>	<i>270</i>			<i>Gap 10.5% points</i>

D= Disabled ND= Not Disabled (e)= eligible (s)=submitted

Notes: in the REF 2014 exercise 17.1% of the eligible Disabled pool were submitted compared to 27.6% of Not Disabled, creating a 10.5% percentage point gap.

Appendix D: NTU's Preparation for REF 2021 Timetable

REF Code of Practice Timetable

	Dec-18	Jan-19	Feb-19	Mar-19	Apr-19	May-19	Jun-19	Jul-19	Aug-19	Sep-19	Oct-19	Nov-19	Dec-19	Jan-20	Feb-20	Mar-20	Apr-20	May-20	Jun-20	Jul-20	Aug-20	Sep-20	Oct-20	Nov-20	Dec-20	Jan-21	
CoP AREA																											
Research England REF Governance		Final REF Guidance published					CoP Submission				Staff Circum Opens*		Approved CoP published			REF Staff Circum Closes*					Census Date				REF Submission		
CoP Dev		CoP Development UET		CoP Consultation UET																							
Sig Res Research (SRR)		Staff on T&R Pathway confirmed		Re-confirmation of Pathway						Annual Appraisal Review					Appraisal Mid-Year Review												
Research Independence (RI)													Desktop Process: Identifying staff with Research Independence	Appeals													
Staff Circumstances										Request: NTU Staff Circum	Review NTU Staff Circum																
Output Selection		Grading (10 point scale) / Moderation			Output Selection / Modelling					Mock REF			Grading (10 point scale) / Moderation		Output Selection / Modelling			Mock REF	Final Selection	UET	Upload	UET					
Equality Impact assessment (EIA)		EIA									EIA														EIA (Final REF submission)		

* Autumn 2019 - proposed date for inviting reduction requests for staff circumstances

** March 2020 - deadline for staff circumstances requests

Appendix E: Terms & References - REF 2021 Decision-Making Groups

University Executive Team

Scope and Purpose

The Articles of Government prescribe that the Vice-Chancellor is responsible to the Board of Governors for the conduct of the University including:

- making proposals to the Board of Governors about the educational character and mission of the University, and for implementing the decisions of the Board of Governors;
- the organisation, direction and management of the University and leadership of the staff;
- the appointment, assignment, grading, performance review, suspension, dismissal, and determination of the pay and conditions of service of staff;
- the determination, after consultation with the Academic Board, of the University's academic activities, and for the determination of its other activities;
- preparing annual estimates of income and expenditure, for consideration by the Board of Governors, and for the management of budget and resources, within the estimates approved by the Board of Governors; and
- the maintenance of student discipline, the suspension or expulsion of students on disciplinary grounds and for implementing decisions to expel students for academic reasons.

The University Executive Team's role is to provide collective advice and guidance to the Vice-Chancellor in the areas noted below in the exercise of these responsibilities (undertaking individual responsibility where within role scope or when requested).

Duties and Responsibilities

1. To understand and interpret the strategic issues affecting the sector and review, discuss and disseminate analyses of the same with particular focus on how these impact the University.
2. To provide guidance and leadership on the academic direction of the University referring matters to the Academic Board or the Board of Governors as appropriate.
3. To provide guidance and leadership on the strategic direction of the University referring matters to the Board of Governors where appropriate.
4. To provide advice and leadership on the creation of the University Strategy ahead of this being considered and approved by the Board of Governors
5. To provide guidance and leadership on student facing initiatives at the University referring matters to the Academic Board, Nottingham Trent Students' Union or the Board of Governors where appropriate.
6. To formulate the University's Admissions Policy for each Academic Year ahead of this being endorsed by Academic Board and approved by the Board of Governors.
7. To provide advice and guidance in accordance with the financial parameters set out in the University's Scheme of Delegation in respect of capital projects (including construction, acquisition, refurbishment and leasing of properties relating to those projects) in the University's capital programme
8. To action business critical and operational issues allocating responsibilities to individual UET members or delegating to colleagues as appropriate.

9. To review and approve selected new and revised University policies.
10. To be responsible for ensuring that the implementation of University's strategies and policies is communicated effectively to all within the University.
11. To review the agenda and review the papers scheduled for discussion by the Board of Governors and its sub-committees.
12. To review and propose the University's budget to the Strategy, Policy, Finance and Resources Committee and the Board of Governors.
13. To receive and monitor School and Professional Services Reviews documentation.
14. To monitor and review the performance of individual Schools and Professional Service areas to maximise their contribution and impact within the University and the wider Higher Education environment.
15. To consider any proposed restructuring or realignment plans within the University.
16. To ensure the effective management of the University's financial, physical and human resources.
17. To ensure that the University complies at all times with legislation, regulations and advisory recommendations insofar as these affect the University.
18. To ensure that the University's activities reflect those of an environmentally responsible and sustainable organisation.
19. To ensure that the University's activities reflect those of an equal, diverse and inclusive organisation.
20. To establish such sub-committees of UET as may be required for particular projects/initiatives.
21. To convene separately the UET membership in order to meet other University objectives as required.
22. To retain ultimate responsibility for those areas reserved to UET within the University's Scheme of Delegation, such as the approval of the establishment of a University Spin-Out Company.

Membership

The University Executive Team comprises the following members (as may be amended from time to time):

- Vice-Chancellor (Chair) – Professor Edward Peck
- Deputy Vice-Chancellor (Academic Development and Performance) (Deputy Chair)
- Deputy Vice-Chancellor (Research and Enterprise) (Deputy Chair)
- Chief Operating Officer and Registrar
- Pro Vice-Chancellor (International)
- Interim Pro Vice-Chancellor (Education)
- Director of Business Development and Analytics
- Director of Finance
- Director of Human Resources
- Director of Marketing and Communications

NTU REF 2021 Planning Group

Scope and Purpose

The REF Planning Group will be responsible for overseeing the preparation of the University for the next REF. The Planning Group will:

- Advise UET, Academic Board, the Board of Governors, the Academic Schools, NTU Doctoral School and UoA Co-ordination Groups on the details of the REF process;
- Develop an overarching NTU-wide preparation timetable for REF and monitor and report progress against the actions in the timetable to UET and the academic governance structures for research within NTU;
- Ensure that mechanisms are in place to assure that the overall institutional quality level target for the next REF (output GPA 3.0) is met;
- Make recommendations to UET on which Units of Assessment (UoA) will be submitted to REF;
- Ensure that the Research Office provides timely and relevant research management information data to Schools and UoA and effectively manages NTU planning and preparation for REF 2021, including for the annual UoA REF output reviews;
- Pro-actively support the planning of the UoA submissions: including providing advice on strategy, highlighting areas for investment; sharing best practice between Schools and UoA. Through regular reporting at UET the Planning Group will be able to ensure that appropriate advice is acted upon;
- Oversee the appointment of appropriate external UoA/REF aspect assessors and advisors;
- Lead on/support the development and approval of any policies/procedures that are required by the REF process e.g. the Code of Practice on the Fair and Transparent Selection of Staff, Equality Analysis and, institutional REF narrative.
- Undertake the assessment of all aspects of potential UoA submissions in accordance with the UET agreed timeline.
- Oversee the actual submission process by NTU to REF 2021.

Reporting lines

In terms of governance the REF Planning Group will be constituted as a sub-group of UET. Termly reports will be provided to UET. In addition, Planning Group members will make timely and appropriate presentations at School Research Committees, the Deputy Vice-Chancellor Research and Enterprise will update the University Research Committee, Academic Board and the Board of Governors.

REF 2021 Planning Group Membership

- Deputy Vice-Chancellor (Research and Enterprise), Chair
- Vice-Chancellor
- Deputy Vice-Chancellor (Academic Development and Performance)
- Associate Deans for Research
- Executive Dean for Research
- Director the Doctoral School and Research Operations
- Director of Human Resources
- Researcher Development Manager
- Members of any REF Main Panels or Sub-Panels
- Research Governance and REF Manager (Secretariat)

REF Staff Circumstances Panel

Head of EDI (Assessor of circumstances and applied calculations)

Head of HR Operations (Validate against HR records)

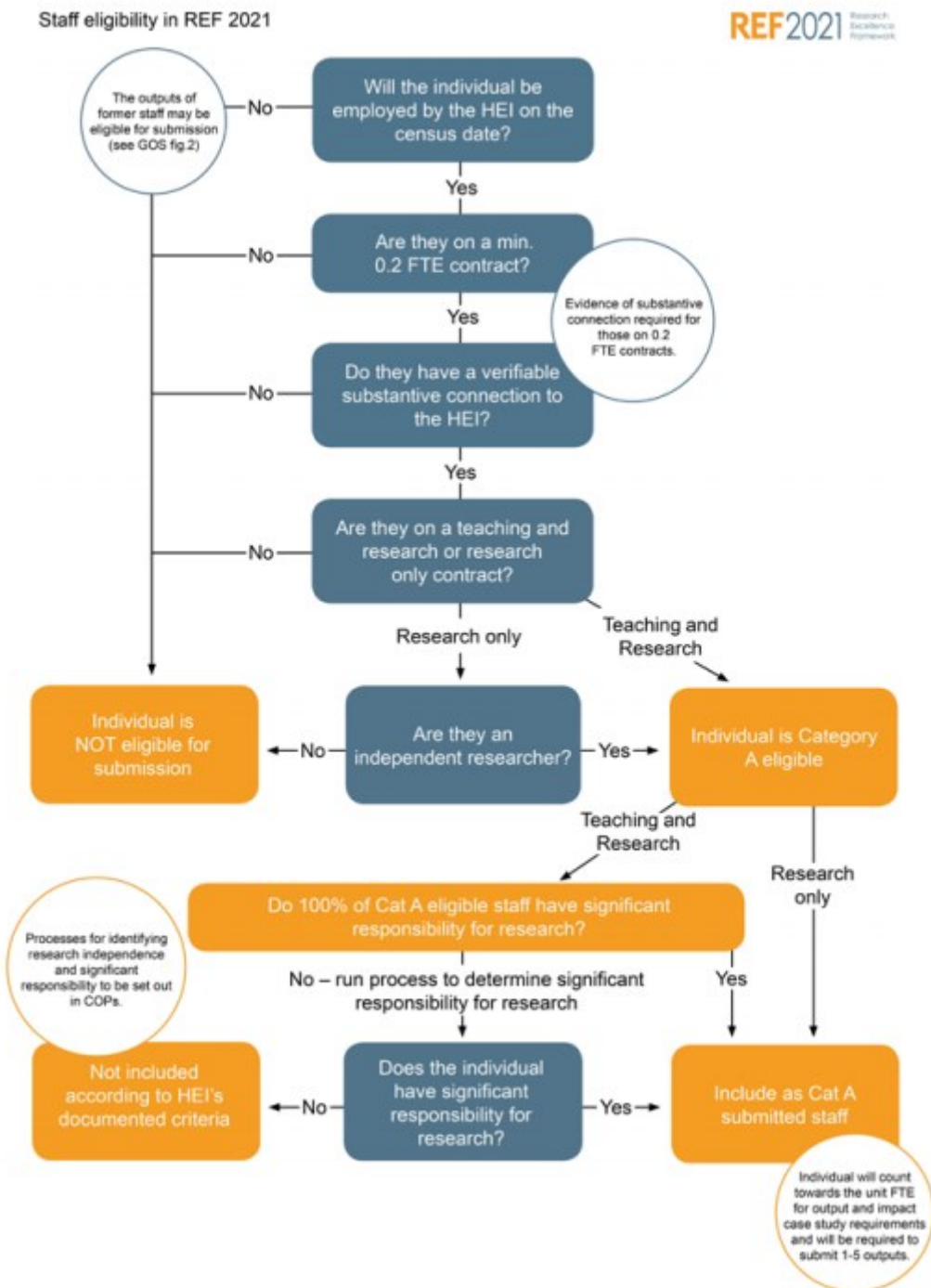
Early Career Researcher Status Panel

Sub-group of the REF Planning Group. Membership to be confirmed.

Research Independence Panel

Sub-group of the REF Planning Group. Membership to be confirmed.

Appendix F: REF 2021 Staff Eligibility



Appendix G: NTU Academic Career Pathways and Staff Support Ecosystem

		NTU Academic Career Pathways				
		Teaching	Teaching & Practice	Teaching & Scholarship	Teaching & Research	Research
Job Roles	Hourly Paid Lecturer Teaching Support roles	Professor Assoc. Professor Principal Lecturer Senior Lecturer Lecturer	Professor Assoc. Professor Principal Lecturer Senior Lecturer Lecturer	Professor Assoc. Professor Principal Lecturer Senior Lecturer Lecturer	Senior Research Fellow Research Fellow Research Associate Research Assistant	
Guiding principles for different jobs within each pathway		For different jobs/grade levels in each pathway, clarify: Role profiles/expectations/typical activity measures Qualification and professional recognition requirements Typical workload balance				
Reward and Recognition	Opportunity for fractional academic and/or Associate Lecturer contract	Annual appraisals, performance ratings and pay progression Contribution awards and Honoraria payments				
	Incremental pay progression	VC's Outstanding Teaching Awards				
		VC's Outstanding Practice Awards		VC's Outstanding Researcher Awards (including ECR Award)	VC's Outstanding Researcher Awards (including ECR Award)	
		External sector practice awards	External scholarship awards (e.g. National Teaching Fellows)	External research awards	External research awards	
Professional Development	Provision of development programmes/events to support different jobs/post-holders, e.g. Associate Lecturer Programme	Provision of development programmes/events to support different jobs/post-holders E.g. PGCAP, Course Leader Conference, Leading My Team, Leading My Department, ECADP				
	Trent Institute of Learning and Teaching	Learning & Teaching Professional Development Framework			Researcher Development Framework	Researcher Development Framework
	School Learning & Teaching events	Trent Institute of Learning and Teaching				Termly researcher forums
		Practice communities/ events	School Learning & Teaching events	Research communities/ events	Research communities/ events	
Policies, procedures and practices	Recruitment, appointment Workload planning NTU Hourly Paid Lecturers Scheme* HESA	Recruitment, appointments, promotions, transfers Workload planning, objectives, appraisal discussions Academic Data Report, Individual Research Development Plans Performance assessment/rating, pay moderation NTU Awards, external awards HESA, REF, TEF and other reporting Concordat (HR Excellence)				Recruitment, appointment Workload planning Performance assessment/rating, pay moderation HESA Concordat (HR Excellence)

*agreed with UCU

Appendix H: Process for transfer across the Academic Career Pathway Framework

Process for academic colleagues to transfer across the Academic Career Pathways			
<p>NTU strives to support staff to attain their aspirations and potential. Consideration of transfer between pathways would normally be done as part of the appraisal cycle. Transfer of a staff member from one pathway to another will be agreed if the staff member meets the expectations of the new pathway. If they do not meet the expectations at the time of the request but line management feels they will do so when appropriately supported over a reasonable period (e.g. 12-24 months), then this support will be provided if it is operationally possible. The nature of this support may include a reduction in current duties to allow more time to be focused on the requirements of the alternative pathway and/or provision of non-pay resource.</p>			
<p>ANNUALLY June – Aug</p>	<p>Year end appraisal discussions to include a 'sense-check' to either re-confirm existing pathway or consider proposals for transferring pathway.</p>	<p>Workload, objectives and development needs should reflect agreed pathway for the year ahead and potentially support an individual to transfer to a different pathway in the future.</p>	<p>If proposal for pathway transfer is supported, this should be:</p> <ul style="list-style-type: none"> • Discussed/agreed by the appraiser and Head of Dept. • Approved by the Dean of School • The new pathway and supporting rationale recorded on the appraisal form • Notified to HR for recording on the HR system <p>The new pathway will apply at the start of the next academic year</p>
<p>Notes:</p> <ul style="list-style-type: none"> • The timescales for holding appraisals and the setting of objectives, development actions and workload will be adjusted if appropriate, for example to take into account maternity/paternity/adoption leave, sabbatical or other long-term absence. • On an exceptions basis, the Head of Department and Dean may utilise interim appraisal discussions to review and approve cases for pathway transfer mid-way through the academic year. 			

Appendix I: NTU Academic Career Pathways Criteria

TEACHING AND PRACTICE

Lecturer

Indicative examples of activities that a Lecturer typically would undertake are provided below. This does not mean that an individual will necessarily meet all the measures set out at any given time.

Teaching, Learning and Assessment

Make an appropriate level of contribution to the University and relevant subject discipline(s) as a teacher, tutor, assessor and facilitator of undergraduate, postgraduate and other emerging strands of student learning (e.g. apprenticeships) and student experience. In so doing, deliver NTU's expectations of high quality evidence-based and inclusive teaching as defined in the Quality Handbook and other relevant documentation, guided by constructive reflection and development of personal practice and taking into account student feedback, course data, observation, peer review etc.

Lecturers will be involved with the delivery and on occasion leadership of modules, applying appropriate approaches to teaching materials, methods and assessment.

Design and deliver learning and teaching informed by specialist knowledge, discipline pedagogy and engagement with professional practice, with guidance and support from experienced colleagues and Course Leaders. Collaborate with the course team to ensure the effective running of programmes. This may include involvement in the accreditation of courses by professional bodies.

May supervise research students (including PhD, MRES, MPhil, Prof D), possibly as part of a supervisory team, in particular for those students undertaking a professional doctorate or practice-based research collaborations with employers.

Engage with the Trent Institute of Learning and Teaching to ensure that personal teaching skills and approaches reflect innovations being developed at NTU to enhance the student learning experience.

Practice Outputs and Impact

Establish a personal practice portfolio aligned to the strategic objectives of the department and/or discipline. This could include: preparing individual and/or collaborative proposals for professional consultancy; developing materials for publication or exhibition; developing bespoke teaching and learning activities for employers; developing outreach activities for the public; developing projects with professionals in the relevant field; international business development; and commercialising knowledge and research outcomes. These may be jointly authored.

Contribute to the delivery of the practice portfolio of senior colleagues, where appropriate.

Contribute to the development of innovative teaching materials and methods which reflect current professional practice and/or industry standards. This could include collaborating with colleagues on broader course and curriculum development based on understanding of trends and challenges within the area of professional practice.

Connect colleagues and students to external organisations undertaking relevant professional practice, where appropriate. This could involve developing and supporting student work-based learning activities.

Make an original and innovative contribution to the development of professional pedagogy and the scholarship of the professions which informs teaching outputs.

Contribute to the individual and/or collaborative development of impact case studies which inform research outputs and outcomes and which can be evidenced within the University and/or wider society.

Practice Collaboration and Esteem

Build and be directly involved with internal and extend external practice-based networks in order to exchange ideas on professional practice and establish relationships for future collaboration.

Participate in relevant societies, professional bodies or regulatory bodies.

Submit individual and/or collaborative proposals to contribute to national and/or international conferences and events in the area of professional practice.

Support the design and delivery of practice-based programmes, professional courses, CPD/executive education or other teaching and learning activities.

Contribute to developing knowledge-based commercial and wider enterprise-related entities and companies.

Practice Income Generation

Seek opportunities to prepare proposals and applications for both internal and external funding sources connected with the area of professional practice with the support of more senior colleagues. Subject to the norms of the subject area, a Lecturer would normally be expected to be involved in at least one funding application (as lead or co-applicant) in a three year period.

Contribute to proposals for new practice-based programmes, professional courses, CPD/executive education or other teaching and learning activities.

Contribute to proposals for establishing new degree apprenticeships.

Academic Leadership, Management and Associated Activity

Fulfil module leadership responsibilities, as and where assigned.

Provide appropriate level of input to departmental administration.

Contribute to effective student recruitment and retention, in line with any agreed Department/School plans and targets. For example this may include actively engaging in open days, admissions, course induction and Success for All.

Participate in department and/or discipline committees and/or working groups linked to development of professional practice.

Qualifications and Professional Recognition

Typically hold a postgraduate qualification in a relevant subject or hold a degree along with equivalent experience.

Hold a recognised practice or professional status accreditation, where available, and possess teaching and/or relevant professional experience within specialist subject area.

New Lecturer appointees will normally hold or be working towards a postgraduate qualification in higher education. Established Lecturers are required to gain Higher Education Academy Fellowship professional recognition.

TEACHING AND PRACTICE

Senior Lecturer

Indicative examples of activities that a Senior Lecturer typically would undertake are provided below. This does not mean that an individual will necessarily meet all the measures set out at any given time.

Teaching, Learning and Assessment

Make a sustained and appropriate level of contribution to the University and relevant subject discipline(s) as a teacher, tutor, assessor and facilitator of undergraduate, postgraduate and other emerging strands of student learning (e.g. apprenticeships) and student experience. In so doing, deliver NTU's expectations of high quality evidence-based and inclusive teaching as defined in the Quality Handbook and other relevant documentation, guided by constructive reflection and development of personal practice and taking into account student feedback, course data, observation, peer review etc.

Senior Lecturers typically hold Module and/or Course leadership responsibilities and make sustained contributions to the planning of innovative practice-informed curriculum design and its subsequent delivery. This may involve leading the accreditation of courses by professional bodies.

Aim to supervise research students (including PhD, MRES, MPhil, Prof D), as part of a supervisory team, in particular for those students undertaking a professional doctorate or practice-based research collaborations with employers.

Engage with the Trent Institute of Learning and Teaching to ensure that personal and course team teaching skills and approaches reflect innovations being developed at NTU to enhance the student learning experience.

Practice Outputs and Impact

Possess an established professional portfolio with clear deliverables for individual or joint projects aligned to the School's and/or department's priorities. This could include: preparing proposals for professional consultancy; developing materials for publication or exhibition; developing bespoke teaching and learning activities for employers; developing outreach activities for the public; developing projects with professionals in the relevant field; leading international business development; and commercialising knowledge and research outcomes.

Initiate innovative teaching materials and methods which reflect current professional practice and/or industry standards. Lead broader course and curriculum development based on understanding of trends and challenges within the area of practice.

Identify and connect colleagues and students to external organisations undertaking relevant professional practice. This could involve developing and supporting student work-based learning activities.

Subject to the norms of the subject area, a Senior Lecturer would normally be expected to produce or contribute to at least two subject or practice-based outputs, e.g. exhibitions, collections, government/industry reports, journal articles, consultation papers, within a six year rolling period. These may be jointly authored.

Contribute to and/or produce impact case studies which inform research outputs and outcomes and which can be evidenced within the University and/or wider society.

Practice Collaboration and Esteem

Demonstrable evidence of internal and/or external collaboration.

Evidence of active participation in and taking responsibility within relevant societies, professional bodies or regulatory bodies.

Contribute to, present at, or design and run national and/or international conferences and events in the area of professional practice.

Initiate and/or support the design and delivery of external practice-based programmes, professional courses, CPD/executive education or other teaching activities.

Develop knowledge-based commercial and wider enterprise-related entities and companies.

Practice Income Generation

Lead proposals and applications for both internal and external funding sources connected with professional practice activity. Subject to the norms of the subject area, a Senior Lecturer would normally be expected to achieve at least one successful funding application (as lead or co-applicant) in any rolling six year period.

Lead proposals for new practice-based programmes, professional courses, CPD/executive education or other teaching and learning activities.

Contribute to or lead proposals for establishing new degree apprenticeships.

Academic Leadership, Management and Associated Activity

Fulfil Module and/or Course leadership responsibilities.

Demonstrate leadership for course teams and ensure a high level of visibility for student representation.

Support and mentor less experienced colleagues.

Supervise or co-supervise members of project specific staff, where available.

Provide appropriate level of input to departmental administration.

Make a significant contribution to effective student recruitment and retention, in line with any agreed Department/School plans and targets. For example, this may include actively leading on course admissions, outreach activity, international recruitment and Success for All.

Lead Department and/or discipline committees and/or working groups linked to development of professional practice.

Initiate and/or contribute to TILT projects, for example related to practice-based pedagogy.

Qualifications/Professional Recognition

Typically hold a postgraduate qualification in a relevant subject or hold a degree along with equivalent experience.

Hold a recognised practice or professional status.

Possess teaching and/or relevant professional experience within specialist subject.

New Senior Lecturer appointees will normally hold a postgraduate qualification in higher education or equivalent level of experience. Senior Lecturers are required to gain Higher Education Academy Fellowship professional recognition.

TEACHING AND RESEARCH

Lecturer

Indicative examples of activities that a Lecturer typically would undertake are provided below. This does not suggest that an individual will necessarily meet all the measures set out at any given time.

Teaching, Learning and Assessment

Make an appropriate level of contribution to the University and relevant subject discipline(s) as a teacher, tutor, assessor and facilitator of undergraduate, postgraduate and other emerging strands of student learning (e.g. apprenticeships) and student experience. In so doing, deliver NTU's expectations of high quality, evidence-based and inclusive teaching, as defined in the Quality Handbook and other relevant documentation, guided by constructive reflection on and development of personal practice and taking into account student feedback, course data, observation, peer review etc.

Lecturers will be involved typically with the delivery and on occasion leadership of modules, applying appropriate approaches to teaching materials, methods and assessment to ensure these are research informed and support the development of students' research capabilities.

Design and deliver learning and teaching and assessment informed by specialist knowledge and discipline research with guidance and support from experienced colleagues and Course Leaders. Collaborate with the course team to ensure the effective running of programmes.

Aim to be a member of at least one research student supervision team (including PhD, MRES, MPhil, Prof D) within a three year period. Engage with collaborative bidding for the annual NTU funded PhD studentship scheme.

Engage with the Trent Institute of Learning and Teaching to ensure that personal teaching skills and approaches reflect innovations being developed at NTU to enhance the student learning experience.

Research Outputs and Impact

Establish a personal research portfolio and develop proposals for individual or joint research aligned to the School's Research Plan and at least one of the School Research Groups or Centres or NTU's Strategic Research Themes.

Conduct individual and/or collaborative research and publish findings in appropriate outlets. Subject to the norms of the subject area, a Lecturer would normally be expected to achieve at least one peer-reviewed output (paper, book chapter or discipline equivalent output) assessed at 3* or above within a three year period. Outputs may be jointly authored.

Contribute to individual and/or collaborative research underpinning or the development of impact case studies beyond academic publication where appropriate.

Research Collaboration and Esteem

Build internal and external research networks and participate in the research community associated with a Group/Centre/Research Theme to share information and establish relationships for research collaboration.

Put forward successful individual and/or collaborative submissions to present at national and/or international conferences.

Research Income Generation

Engage in the preparation of proposals for submission to external research funders in line with the University/School research proposal processes with the support of more senior colleagues and, potentially, external collaborators. Subject to the norms of the subject area, a Lecturer would normally be expected to achieve at least one successful funding application (as PI or CI) in a three year period, with income levels equivalent to at least 25% average income levels per FTE, in the subject area concerned, at other relevant comparator institutions.

Academic Leadership, Management and Associated Activity

Fulfil module leadership responsibilities, as and where assigned.

Provide appropriate level of input to departmental administration.

Contribute to effective student recruitment and retention, in line with any agreed Department/School plans and targets. For example this may include actively engaging in open days, admissions, course induction and Success for All.

Participate in department committees and/or working groups linked to development of a department or discipline research culture and/or specific related activity.

May be involved in mentoring research assistants, where available.

Qualifications and Professional Recognition

Post-holders will hold a postgraduate qualification (typically at doctorate level) in a relevant subject or exceptionally hold another bachelor or masters degree along with equivalent experience.

Post-holders should have teaching and/or research experience and, where deemed appropriate, a relevant professional qualification within specialist subject areas.

New Lecturer appointees will normally hold or be working towards a postgraduate qualification in higher education. Established lecturers are required to gain Higher Education Academy Fellowship professional recognition.

TEACHING AND RESEARCH

Senior Lecturer

Indicative examples of activities that a Senior Lecturer typically would undertake are provided below. This does not mean that an individual will necessarily meet all the measures set out at any given time.

Teaching, Learning and Assessment

Make a sustained and appropriate level of contribution to the University and relevant subject discipline(s) as a teacher, tutor, assessor and facilitator of undergraduate, postgraduate and other emerging strands of student learning (e.g. apprenticeships) and student experience. In so doing, deliver NTU's expectations of high quality, evidence-based and inclusive teaching as defined in the Quality Handbook and other relevant documentation, guided by constructive reflection and development of personal practice and taking into account student feedback, course data, observation, peer review etc.

Senior Lecturers typically hold Module and/or Course leadership responsibilities and make sustained contributions to the planning of research-informed curriculum design and its subsequent delivery to engage students in disciplinary research culture. This may involve leading the accreditation of courses by professional bodies.

Typically act as lead supervisor or member of a supervisory team for at least two research students at any one time (including PhD, MRES, MPhil, Prof D). Aim to achieve at least two research student completions as a member of a supervisory team in a rolling six year period. Engage with collaborative bidding for the annual NTU funded PhD studentship scheme.

Engage with the Trent Institute of Learning and Teaching to ensure that personal and course team teaching skills and approaches reflect innovations being developed at NTU to enhance the student learning experience.

Research Outputs and Impact

Possess an established personal research portfolio with clear deliverables for individual or joint research aligned to the School's Research Plan and at least one of the School Research Groups or Centres or NTU's Strategic Research Themes.

Conduct individual and/or collaborative research and publish findings in appropriate outlets. Subject to the norms of the subject area, a Senior Lecturer would normally be expected to achieve at least three peer-reviewed outputs (paper, book chapter or discipline equivalent output) in a rolling six year period, of which at least two are assessed at 3* or above and the remainder assessed to be 2* or above. These may be jointly authored.

Undertake individual and/or collaborative research activity which underpins the development of impact (beyond the production of academic outputs) which can be evidenced within the University and/or wider society.

Research Collaboration and Esteem

Demonstrable evidence of internal and/or external, potentially international, research collaboration, including joint authored academic outputs (or equivalent) and encompassing networks associated with an NTU Group/Centre/Research Theme.

Continued track record of successful individual and/or collaborative applications to participate in relevant national and/or international conferences. Potentially invited to contribute to the organisation of or delivery at such conferences.

Seek opportunities to undertake relevant peer review activities for publishers or for grant awarding bodies, e.g. journal editorships, external examining (including for research students).

Research Income Generation

Take an active role in developing and reviewing research proposals to external funding bodies through the University/School processes.

Demonstrate awareness of matching grant applications to the external funding environment. Subject to the norms of the subject area, a Senior Lecturer would normally be expected to achieve at least one successful grant application (as PI or CI) in any three year period with income levels equivalent to 50% average income levels per FTE in comparator institutions.

Show a track record of securing internal funding, for example to support a development plan for research grant capture through QR funding at School level.

Academic Leadership, Management and Associated Activity

Fulfil Module and/or Course leadership responsibilities.

Demonstrate leadership for course teams and ensure a high level of visibility for student representation.

Support and mentor early career colleagues, including PGR students.

Supervise or co-supervise a member of research staff, where available.

Provide appropriate level of input to departmental administration.

Make a significant contribution to effective student recruitment and retention, in line with any agreed Department/School plans and targets. For example, this may include actively leading on course admissions, outreach activity, international recruitment and Success for All.

Participate in departmental, school or University committees and/or groups, for example School Research Committee, and make an active contribution to the teaching and/or research culture of the Department and/or discipline.

Active support for research planning at Research Group/Centre or Theme level.

Initiate and/or contribute to TILT projects, for example related to research-based pedagogy.

Qualifications and Professional Recognition

Hold a postgraduate qualification at doctorate level in a relevant subject or, exceptionally, hold another bachelor or masters degree along with equivalent experience.

Possess teaching and/or research experience and potentially relevant professional qualification within specialist subject areas, where deemed appropriate.

New Senior Lecturer appointees will normally hold a postgraduate qualification in higher education or equivalent level of experience. Senior Lecturers are required to gain Higher Education Academy Fellowship professional recognition.

TEACHING AND SCHOLARSHIP

Lecturer

Indicative examples of activities that a Lecturer typically would undertake are provided below. This does not mean that an individual will necessarily meet all the measures set out at any given time.

Teaching, Learning and Assessment

Make an appropriate level of contribution to the subject discipline(s) as a teacher, tutor, assessor and facilitator of undergraduate, postgraduate and other emerging strands of student learning (e.g. apprenticeships) and student experience. In so doing, deliver NTU's expectations of high quality, evidence-based and inclusive teaching as defined in the Quality Handbook and other relevant documentation, guided by constructive reflection and development of personal practice and taking into account student feedback, course data, observation, peer review etc.

Lecturers will be involved with the delivery and on occasion leadership of modules, applying appropriate approaches to teaching materials, methods and assessment.

Design and deliver learning and teaching informed by pedagogic knowledge and discipline scholarship, with guidance and support from experienced colleagues and Course Leaders. Collaborate with the course team to ensure the effective running of programmes. This may include involvement in the accreditation of courses by professional bodies.

May supervise research students as part of a supervisory team (including PhD, MRES, MPhil, Prof D), in particular for those students undertaking a professional doctorate.

Engage with the Trent Institute of Learning and Teaching to ensure that personal teaching skills and approaches reflect innovations being developed at NTU to enhance the student learning experience.

Scholarly Outputs and Impact

Develop and adopt innovative, evidence-based teaching materials and methods within a discipline area and context, including the use of digital technologies and active collaborative learning, which is aligned with the departmental, School and University strategy.

Collaborate with colleagues on course and curriculum development.

Contribute to the scholarship (including subject knowledge) that underpins learning and teaching within a discipline, which may inform scholarly or pedagogic outputs, e.g. textbooks, journal articles, conference papers, comprehensive literature/book/media reviews, case studies or discipline equivalent. These may be jointly authored.

Lead students in enquiry-based activities within the curriculum, which may generate scholarly outputs, such as journal articles, conference papers and textbooks.

Scholarly Collaboration and Esteem

Build internal and external networks to exchange ideas and establish relationships for future scholarly collaboration to enhance the development of teaching and learning within a discipline.

Submit individual and/or collaborative proposals to contribute to national and/or international conferences, for example those associated with societies and professional bodies, which highlight innovation in scholarship and/or pedagogy.

Scholarly Income Generation

Prepare proposals and funding applications for both internal and external sources connected with learning, teaching and scholarship activity or other student/community engagement with the support of more senior colleagues. Subject to the norms of the subject area, a Lecturer would normally be expected to be involved in at least one funding application (as lead or co-applicant) in a three year period.

Contribute to proposals for new courses and new modes of study, at NTU and/or with collaborative partners.

Academic Leadership, Management and Associated Activity

Fulfil Module leadership responsibilities, as and where assigned.

Provide appropriate level of input to departmental administration.

Contribute to effective student recruitment and retention, in line with any agreed Department/School plans and targets. For example this may include actively engaging in open days, admissions, course induction and Success for All.

Participate in Department committees and/or working groups, for example those related to course development, course management and teaching quality.

Qualifications and Professional Recognition

Typically hold a postgraduate qualification in a relevant subject or hold a degree along with equivalent experience.

Possess teaching experience and/or relevant professional experience within a specialist subject area, where deemed appropriate, potentially including continued engagement with a professional or accreditation body relevant to the discipline.

New Lecturer appointees will normally hold or be working towards a postgraduate qualification in higher education. Established lecturers are required to gain Higher Education Academy Fellowship professional recognition.

TEACHING AND SCHOLARSHIP

Senior Lecturer

Indicative examples of activities that a Senior Lecturer typically would undertake are provided below. This does not mean that an individual will necessarily meet all the measures set out at any given time.

Teaching, Learning and Assessment

Make a sustained and appropriate contribution to the University and relevant subject discipline(s) as a teacher, tutor, assessor and facilitator of undergraduate, postgraduate and other emerging strands of student learning (e.g. apprenticeships) and student experience. In so doing, deliver NTU's expectations of high quality, evidence-based and inclusive teaching as defined in the Quality Handbook and other relevant documentation, guided by constructive reflection and development of personal practice and taking into account student feedback, course data, observation, peer review etc.

Senior Lecturers typically hold Module and/or Course leadership responsibilities and make significant and sustained contributions to the planning and delivery of curriculum design informed by current disciplinary understandings and, possibly, by evidence-based pedagogic approaches that are suited to context. They also make sustained contributions to the design of courses that deliver University-wide priorities for student outcomes. This may involve leading the accreditation of courses by professional bodies.

Aim to supervise research students as part of a supervisory team (including PhD, MRES, MPhil, Prof D), in particular for those students undertaking a professional doctorate.

Engage with the Trent Institute of Learning and Teaching to ensure that personal and course team teaching skills and approaches reflect innovations being developed at NTU to enhance the student learning experience.

Scholarly Outputs and Impact

Develop and disseminate innovative, evidence-based teaching materials and methods, including the use of digital technologies and active collaborative learning. These will have relevance beyond the discipline area.

Make a clear contribution to curriculum design, refresh and delivery within the discipline and/or department.

Ensure that students are engaged in enquiry-based activities within the curriculum and co-curriculum, which may inform scholarly outputs.

Lead the development of evidence that underpins learning and teaching within and beyond the discipline, including for example, evaluation and promotion of pedagogic innovation which may inform scholarly outputs. Subject to the norms of the subject area, a Senior Lecturer would normally be expected to produce or contribute to at least two subject and/or pedagogic outputs, e.g. textbooks, journal articles, conference papers, comprehensive literature/book/media reviews, case studies or discipline equivalent, within a six year rolling period. These may be jointly authored.

Scholarly Collaboration and Esteem

Demonstrable evidence of internal and/or external collaboration in pursuit of the development and dissemination of innovation in teaching and learning.

Contribute to national and/or international conferences, for example those associated with societies and professional bodies, which highlight innovation in pedagogy and/or subject knowledge.

Seek opportunities to undertake relevant peer review activities, e.g. external examining, membership of panels for course approval and periodic review, or peer review of publications and conferences.

Support the design and delivery of innovative programmes, collaborative partnerships and executive education activities.

Scholarly Income Generation

Lead proposals and funding applications for both internal and external sources connected with learning, teaching and scholarship activity. Subject to the norms of the subject area, a Senior Lecturer would normally be expected to achieve at least one successful funding application (as lead or co-applicant) in any rolling six year period.

Lead proposals for new courses and new modes of study, at NTU or with collaborative partners.

Academic Leadership, Management and Associated Activity

Fulfil Module and/or Course leadership responsibilities.

Support and mentor less experienced colleagues.

May supervise or co-supervise members of project-specific staff, where available.

Provide appropriate level of input to departmental administration.

Make a significant contribution to effective student recruitment and retention, in line with any agreed Department/School plans and targets. For example, this may include actively leading on course admissions, outreach activity, international recruitment and Success for All.

Demonstrate leadership for course teams and ensure a high level of visibility for student representation.

Initiate, convene and/or chair Department or School committees and/or working groups, for example those related to course development and review or management of teaching quality.

Contribute to institutional quality panels and committees.

Initiate and lead or contribute to TILT projects, for example related to pedagogy, curriculum and course design.

Qualifications/Professional Recognition

Typically hold a postgraduate qualification in a relevant subject or hold a degree along with equivalent experience.

Possess teaching and/or scholarship experience and/or relevant professional experience within specialist subject area including continued engagement with a professional or accreditation body relevant to the discipline.

New Senior Lecturer appointees will normally hold a postgraduate qualification in higher education or equivalent level of experience. Senior Lecturers are required to gain Higher Education Academy Fellowship professional recognition.

Associate Professor in Teaching and Practice - Performance Criteria

Overview:

The main focus of an Associate Professor in Teaching and Practice is to bring 'excellence in practice' into the NTU curriculum and, as a sector-leading practitioner, they will make a significant contribution to the design, delivery, and dissemination of innovative, high quality practice informed teaching and learning along with additional contribution to academic leadership and management activities within the School and University.

At NTU, Associate Professors in Teaching and Practice will have a national, and emerging international, reputation for their clear and sustained contribution to teaching and practice-based learning in the context of their sector and subject discipline.

Illustrative examples of activities that would demonstrate performance at this level are detailed below, but do not indicate an expectation that an Associate Professor would undertake all examples provided at any one time.

(Note: There is no weighting applied to the separate categories of activity)

Teaching, Learning and Assessment:

- Make a sustained, appropriate* level of contribution to the University and relevant subject discipline(s) as a teacher, tutor, and facilitator of taught and research student learning, including elements of:
 - Design and delivery of excellence in evidence-based teaching & learning informed by practice and scholarship.
 - Creation a stimulating environment for student learning through innovative practice-based pedagogy and its evaluation, including effective development of placements and work-like experience.
 - Maintenance of a practice-based learning environment, teaching the real-world application of theory and the fostering of professional knowledge.
 - Tutoring industrial or professional training year students and students in professional practice.
 - Supervising post-registration training and learning for specialist sectors.
 - Delivery of high quality learning opportunities which continuously improve the student experience. Evidenced by, for example;
 - consistently high student attraction, retention, satisfaction and achievement rates contextualised by key factors such as subject discipline or learners' prior qualifications
 - Evasys average score minimum 4.0, with clarification provided of personal contribution to shared Modules
 - contextualised student attainment
 - teaching observations
 - positive external examiner reports and feedback
 - nomination for internal/external awards for teaching and practice-based learning
 - positive NTU curriculum Development & Advisory Group feedback

- embedding employability and enterprise within the curriculum
- Encourage excellence in academic oversight of undergraduate and postgraduate students' progress via tutorials and supervisions.
- Lead on the provision of training and development workshops for Professional Doctorates and PhDs.
- Leadership of practice-based projects and/or policy development within the Trent Institute for Learning & Teaching.
- Encourage and ensure the enhancement of students' practical competencies to industry-standard.
- Lead on the modelling of sector-leading practice in methods, ethics and values.
- Utilise up to date professional skills and expertise in the relevant profession/discipline to complement the teaching and learning enterprise of the University.
- Exhibit leadership and currency of professional knowledge through remaining engaged in relevant professional activities
- Contribution to the adoption of new models e.g. Degree Apprenticeships and industry-led CPD programmes
- Possession of Higher Education Academy Senior Fellowship professional recognition.

(*Note: 'Appropriate' is determined by the manager and balanced with the range of other duties being undertake)

Contribution to Teaching and Practice Strategy or Building Practice Capability:

Sustained contribution to shaping and influencing academic strategy within the discipline and/or School by:

- Design and delivery of activities which support student/staff practice-based learning activities.
- Effective collaboration with the University Employability team in designing and securing high quality and placements.
- Contributing towards the delivery of components of the TILT PGCAP and NTU Doctoral School training courses.
- Co-ordinating knowledge exchange activities, for example, co-ordinating a seminar series for a subject group/School or Trent Institute of Learning & Teaching.
- Membership of School or University level Teaching & Learning Committee/Knowledge Exchange Committee and contribution to Unit of Assessment Advisory Committee as required.
- Supporting the career development of colleagues through personal mentoring and supervision of early career academics and staff entering HE from professional practice.
- Contributing to the development of School Teaching & Learning and Academic Plans, through professional practice activities.
- Maintaining extensive up to date practical experience in a relevant profession/discipline that contributes to the teaching, practice and reputational aims of the School.
- Ensuring teaching activities, especially student projects, are aligned with areas of focus detailed in the relevant School Research Plan.
- Ensuring that teaching activities, especially student projects, are employer-led and reflecting latest thinking relevant to the area of practice.

Outputs:

- A national and emerging international reputation, and the production of a broad range of scholarly, teaching and learning outputs that align to international, national and discipline based contributions to the individual subject or pedagogy as a whole, for example:
 - Sole or collaborative delivery of highly regarded and influential subject or pedagogic outputs e.g. films, exhibitions,

theatre/dance productions, media and performance, curated collections, textbooks, government/industry reports, consultation papers.

- Contribution to innovative e-enabled learning outputs e.g. distance or blended learning materials.

Subject to the norms of the discipline area, an Associate Professor would normally be expected to produce or contribute to at least 3 outputs within a six year rolling period

- Undertake knowledge exchange activities, for example:
 - Success in leading or managing successful spin-out or start-up companies, translating University-generated Intellectual Property into products and/or services.
 - Being instrumental in the launch of new business projects.
 - The development of successful knowledge exchange programmes with multiple external organisations over a sustained period.
 - Development and delivery of CPD programmes for external clients or professional organisations.
 - Development of outreach programmes to business and industry which provide financial and intellectual benefit to both the University and external partner.
 - Supporting technology transfers.
 - Promoting and undertaking external consultancy activities
 - Promoting and supporting the external use of University facilities and equipment
- Dissemination of theoretical work and practice-based artefacts at least at national level with the production of at least one quality conference paper or equivalent per year.

Evidence of active support to student employability and enterprise within curriculum design, refresh and delivery.

Impact:

- Undertake academic and professional practice activity which creates demonstrable impact upon the pedagogy of the University and/or a subject discipline at national level.
- Provide high value impact on key agendas such as widening participation and differential educational attainment is also valued.
- Attracts high quality postgraduate students, and builds academic capacity via career development of doctoral students.
- Active participation in activities to enhance individual, team and University profile, reputation, and esteem.
- Tangible contribution to supporting the currency and impact of the NTU Learning and Teaching Professional Development Framework.
- Contribute to the development of practice-based learning qualifications e.g. for professional, statutory and regulatory bodies (PSRBs).
- Contribute significantly to the outreach activities of the School using professional practice as a catalyst.
- Undertake academic and professional practice knowledge exchange activities that creates demonstrable impact on external partners or society more generally

External Esteem/Collaboration:

- Hold a national, with emerging international, reputation, with contribution to key practice-based learning and multi-disciplinary

networks.

- External recognition of teaching excellence including subject and national teaching awards.
- Evidence of initiating and developing effective teaching or practice collaborations with other HEIs or relevant bodies.
- Membership of national organisations, charitable bodies, expert committees etc.
- Active role in learned societies or professional bodies or comparable organisations e.g. on their education committees, maintaining a professional and external network that actively contributes to the success of the School.
- Advising and providing expert opinion and advice e.g. on accreditation panels, advisory boards, task forces.
- Relevant peer review activities e.g. external reviewer, external examining, editorial review panel membership.
- Conducting reviews of funding grants for prestigious external bodies.
- Invited to contribute to national/international conferences.
- Involvement in the organising of national/international level conferences/symposia/workshops.
- Working with external partners on external, student employability and enterprise activity.
- Undertake consultancy activities with external partners.
- Leading and delivering external focused continuous professional development and executive education type activities.
- Endorsement by external partners regarding the contribution to and impact on their activities.

Income Generation:

- A track record of having secured external income, as PI or Co-I commensurate with discipline norms, to support the development of innovative pedagogy at NTU and/or in the subject discipline, or from consultancy and other commercial services in recognition of leading expertise. Subject to the norms of the discipline area an Associate Professor would normally be expected to achieve at least two successful funding applications (as PI or CI) in any rolling six year period.

Academic Leadership, Management and Associated Activity:

Undertake an appropriate level of academic leadership, management and administration. Examples of relevant activity include:

- Financial management of personal grants and external income.
- Maintain oversight and active management of aspects of the relevant practice environment within the pedagogy or discipline area.
- Management and supervision of practice-based students and staff.
- Sustained contribution to relevant University and School committees for course development, approval and teaching.
- Leadership of practice-based learning activity within the Trent Institute of Learning and Teaching.
- Sustained contribution to curriculum design and development, particularly linked to relevant area of practice and based on employer-led approaches.
- Sustained oversight, leadership and management of a cluster of courses within the discipline/School.
- Leadership of specialist activity within the School, for example, coordinating and managing strategic objectives in relation to quality management, employability, internationalisation, external collaboration etc.
- Management and supervision on knowledge exchange activities and associated students and staff.

Associate Professor in Teaching and Research - Performance Criteria

Overview:

The main focus of an Associate Professor in Teaching and Research is to provide leadership for, and make a significant contribution to, the design, delivery and dissemination of high quality research, with additional contribution to high quality teaching, assessment and academic leadership and management activities within their host School. This additional contribution will be at a level proportionate to their role, and other activities being undertaken.

At NTU Associate Professors in Teaching and Research will have a national, and emerging international, reputation for their clear and sustained contribution to teaching and research.

Illustrative examples of activities that would demonstrate performance at this level are detailed below, but do not indicate an expectation that an Associate Professor would undertake all examples provided at any one time.

(Note: There is no weighting applied to the separate categories of activity)

Teaching, Learning and Assessment:

- Make a sustained, appropriate* level of contribution to the University and relevant subject discipline(s) as a teacher, tutor and facilitator of student learning, including:
 - Designing and delivering sustained excellence in research-informed, research-led and/or research based teaching that creates a stimulating environment for student learning and improves the student experience. Evidenced by, for example;
 - consistently high student attraction, retention, satisfaction and achievement rates, contextualised by key factors such as subject discipline or learners' prior qualifications
 - Evasys average score minimum 4.0, with clarification provided of personal contribution to shared Modules
 - teaching observations
 - external examiner reports and feedback

- contextualised student attainment

- Excellence in academic oversight of undergraduate and postgraduate students' progress via tutorials and supervisions.
- Training and development workshops for Professional Doctorates and PhDs.
- Possession of Higher Education Academy Fellowship professional recognition.

*(*Note: 'Appropriate' is determined by the line manager and balanced with the range of other duties being undertaken)*

Outputs:

- A national and emerging international reputation, and the production of outputs recognised as internationally leading in terms of originality, significance and rigour. Subject to the norms of the discipline area, an Associate Professor would normally be expected to achieve at least five research outputs, over a rolling six year period, of which a minimum of four are assessed to be 3* or above. *(Note: Inclusion in any future REF will depend on UoA selection at University level.)*
- Undertake knowledge exchange activities, for example:
 - Success in leading or managing successful spin-out or start-up companies, translating University-generated Intellectual Property into products and/or services.
 - Being instrumental in the launch of new business projects.
 - The development of successful knowledge exchange programmes with external organisations over a sustained period.
 - Development of outreach programmes to business and industry which provide financial and intellectual benefit to both the University and external partner.
- Evidence of recognition of contribution to discipline, eg. reviews, substantial citation counts, relative to discipline norms, for research outputs.

Impact:

- Undertake academic and research activity which creates impact which can be evidenced within the university and/or wider society.
- Active participation in activities to enhance the profile/reputation/esteem of both themselves and the University.

- Attract high quality postgraduate research students and build academic capacity via supervision of research students consistent with national discipline norms, and with completion rates above the HEFCE average research degree qualification rate.
- Examples of research impact could include supporting or contributing towards a REF impact case study or in the exploitation or adoption of research findings, perhaps developed on a contact or collaborative basis, by entities external to NTU for commercial, policy etc purposes.

External Esteem/Collaboration:

Hold a national, with emerging international reputation, with contribution to key discipline, and/or multi-disciplinary networks. Also provide evidence of a role in developing relationships and collaborations with external bodies, for example:

- Collaboration in research initiatives with other researchers within NTU and/or developing strong collaborations with other HEIs and relevant bodies.
- Membership of national organisations, charitable bodies, expert committees etc.
- Active role in learned societies or professional bodies or comparable organisations.
- Advising and providing expert opinion and advice.
- Relevant peer review activities e.g. external examining of research degrees, editorial review panel membership.
- Conducting reviews of research grants for prestigious external bodies.
- Invited to contribute to national/international conferences.
- Regular dissemination of research results through appropriate high profile national/international conferences and workshops.
- Involvement in the organising of a national/international level conferences/symposia/workshops.
- Undertaking contract and collaborative research with, and for, external partners.

Income Generation:

- Secure research income as PI or Co-I equivalent to 75% average income levels per FTE in competitor institutions or Alliance Group HEIs

- Attracting external funding for research students or staff.

Contribution to Research Strategy or Building Research Capability:

Sustained contribution to shaping and influencing academic strategy within the discipline and/or School by:

- Design and delivery of activities which support student/staff research activities.
- Contributing towards the delivery of Doctoral School activities.
- Co-ordinating research activities, for example, co-ordinating a seminar series for a subject group/research group/School.
- Membership of School Research Committee/Unit of Assessment Advisory Committee, where requested.
- Supporting the career development of colleagues through personal mentoring and supervision of research staff and other early career researchers.
- Contributing to the delivery of the School Research Plan, through research activities.
- Ensuring teaching activities, especially student projects, are in line with areas of focus as detailed in the relevant School Research Plan.

Academic Leadership, Management and Associated Activity:

Undertake an appropriate level of academic leadership, management and administration. Examples of relevant activity include:

- Management and supervision of research students, research staff and research focussed lecturing staff.
- Where relevant, maintain oversight and active management of aspects of the relevant research environment within the discipline area.
- Financial management of personal grants.
- Sustained contribution to relevant School's committees for teaching and/or research.
- Sustained contribution to curriculum design and development.

Associate Professor in Teaching and Scholarship - Performance Criteria

Overview:

The main focus of an Associate Professor in Teaching and Scholarship is to provide pedagogic leadership within and outside NTU, whilst making a significant contribution to the design, delivery, and dissemination of innovative, high quality teaching and learning informed by relevant research and scholarship, with additional contribution to academic leadership and management activities within the School and University.

At NTU, Associate Professors in Teaching and Scholarship will have a national, and emerging international, reputation for their clear and sustained contribution to research and scholarship in the context of university teaching and their subject discipline.

Illustrative examples of activities that would demonstrate performance at this level are detailed below, but do not indicate an expectation that an Associate Professor would undertake all examples provided at any one time.

(Note: There is no weighting applied to the separate categories of activity)

Teaching, Learning and Assessment:

- Make a sustained, appropriate* level of contribution to the University and relevant subject discipline(s) as a teacher, tutor, and facilitator of taught and research student learning, including:
 - Designing and delivering sustained excellence in evidence-based teaching & learning informed by research and scholarship.
 - Creating a stimulating environment for student learning through innovative pedagogy and its evaluation.
 - Delivery of high quality learning opportunities which continuously improve the student experience. Evidenced by, for example;
 - consistently high student attraction, retention, satisfaction and achievement rates contextualised by key factors such as subject discipline or learners' prior qualifications

- Evasys average score minimum 4.0, with clarification provided of personal contribution to shared Modules
 - contextualised student attainment
 - teaching observations
 - external examiner reports and feedback
 - nomination for internal/external awards for teaching and learning
 - NTU curriculum Development & Advisory Group feedback
 - Embedding employability and enterprise within the curriculum
- Excellence in academic oversight of undergraduate and postgraduate students' progress via tutorials and supervisions.
 - Training and development workshops for Professional Doctorates and PhDs.
 - Leadership of research projects and/or policy development within the Trent Institute for Learning & Teaching.
 - Possession of Higher Education Academy Senior Fellowship professional recognition.

*(*Note: 'Appropriate' is determined by the manager and balanced with the range of other duties being undertake)*

Outputs:

- A national and emerging international reputation in pedagogic innovation, research and practice with the production of a broad range of scholarly and teaching and learning outputs (including textbooks, survey articles, innovative teaching resources, media and performance) that align to international, national and discipline based contributions to the individual subject or pedagogy as a whole, for example:
 - Sole or collaborative delivery of highly regarded and influential subject or pedagogic outputs e.g. textbooks, films, exhibitions, theatre/dance productions, media and performance, textbooks, government/industry reports, consultation papers.
 - Contribution to innovative e-enabled learning outputs e.g. distance or blended learning materials

Subject to the norms of the discipline area, an Associate Professor would normally be expected to produce or contribute to at least 3 outputs within a six year rolling period.

- Undertake knowledge exchange activities, for example:
 - The development of successful knowledge exchange programmes with multiple external organisations over a sustained period.
 - Development and delivery of CPD programmes for external clients or professional organisations.
 - Development of outreach programmes to business and industry which provide financial and intellectual benefit to both the University and external partner.
- Evidence of recognition of contribution to discipline, eg. reviews, maximising citation counts, relative to discipline norms, for research outputs.
- Dissemination of theoretical pieces or research results at least at national level with the production of at least one quality conference paper or equivalent per year.
- Evidence of active support to student employability and enterprise within curriculum design, refresh and delivery.

Impact:

- Undertake academic and research activity which creates demonstrable impact upon the pedagogic practice of the University and/or a subject discipline at national level. High value impact on key agendas such as widening participation and differential educational attainment is also valued.
- Attracts high quality postgraduate students, and builds academic capacity via career development of doctoral students.
- Active participation in activities to enhance individual, team and University profile, reputation, and esteem.
- Tangible contribution to supporting the currency and impact of the NTU Learning and Teaching Professional Development Framework.

External Esteem/Collaboration:

- Hold a national, with emerging international reputation, with contribution to key pedagogic and multi-disciplinary networks.

- External recognition of teaching excellence including subject and national teaching awards.
- Present evidence of initiating and developing effective teaching and/or research collaborations with other HEIs or relevant bodies.
- Membership of national organisations, charitable bodies, expert committees etc.
- Active role in learned societies or professional bodies or comparable organisations e.g. on their education committees.
- Advising and providing expert opinion and advice e.g. on accreditation panels, advisory boards, task forces.
- Relevant peer review activities e.g. external examining, editorial review panel membership.
- Conducting reviews of applications for funding for prestigious external bodies.
- Invited to contribute to national/international conferences.
- Involvement in the organising of national/international level conferences/symposia/workshops.
- Working with external partners on external, student employability and enterprise activity.
- Undertaking consultancy activities with external partners.
- Leading and delivering external focused continuous professional development and executive education type activities.

Income Generation:

- A track record of having secured research, project and/or consultancy and other commercial services income to support the development of innovative pedagogy at NTU and/or in the subject discipline. Subject to the norms of the discipline area an Associate Professor would normally be expected to achieve at least two successful funding applications (as PI or CI) in any rolling six year period.
- Secure research income as PI or Co-I commensurate with discipline norms

Contribution to Teaching and Learning Strategy or Building Teaching Capability:

Sustained contribution to shaping and influencing academic strategy within the discipline and/or School by:

- Design and delivery of activities which support student/staff in the Scholarship of Teaching and Learning.
- Contributing towards the delivery of components of the TILT, PGCAP and NTU Doctoral School training courses.
- Co-ordinating research activities, for example, co-ordinating a seminar series for a subject group/research group/School or Trent Institute of Learning & Teaching.
- Membership of School or University level Teaching & Learning Committee/Unit of Assessment Advisory Committee.
- Supporting the career development of colleagues through personal mentoring and supervision of staff and other early career academics involved in the Scholarship of Teaching and Learning.
- Contributing to the development of School Teaching & Learning and Academic Plans.
- Ensuring teaching activities, especially student projects, are aligned to areas of research focus as described in the relevant School Research Plan.

Academic Leadership, Management and Associated Activity:

Undertake an appropriate level of academic leadership, management and administration. Examples of relevant activity include:

- Sustained contribution to relevant University and School committees for course development, approval and teaching.
- Leadership of activity within the Trent Institute of Learning and Teaching.
- Sustained contribution to curriculum design and development.
- Sustained oversight, leadership and management of a cluster of courses within the discipline/School
- Leadership of specialist activity within the School, for example, coordinating and managing strategic objectives in relation to quality management, employability, internationalisation, external collaboration etc.
- Management and supervision of students and staff.

- Where relevant, maintain oversight and active management of aspects of the relevant research environment within the pedagogy or discipline area.
- Financial management of personal grants and external income.

Professorial Criteria – Teaching and Practice

Band 1 Overview:	Band 2 Overview:	Band 3 Overview:
<p>Band 1 is the normal entry level for newly appointed Professors, allowing both development within the Band and progression to Band 2. It is expected that development within the Band will be such that progression to Band 2 should be possible, on the basis of performance, within five years.</p> <p>Band 1 Professors should focus on the design, delivery and wider impact of high quality practice-informed teaching and learning.</p>	<p>Appointment to Band 2 is achieved when the role of a Band 1 Professor has grown sufficiently to meet the relevant criteria below, or through the appointment of an external Professor already working at a comparable level. Band 2 Professors will perform at a significantly higher level than Band 1, have a sustained record of internationally recognised achievements in their field, and fulfil major international roles within HE pedagogy or the professional practice of their discipline.</p> <p>Examples of activities that would demonstrate performance at this level are detailed below.</p>	<p>Progression to Band 3 is achieved by a small number of unusually highly accomplished Professors, who bring great prestige to the University and have a reputation for attaining a sustained record of academic achievements at a world-leading level in their pedagogy or their professional practice. In exceptional cases an external Professor already recognised at this level may be appointed directly to Band 3.</p> <p>Examples of activities that would demonstrate performance at this level are detailed below.</p>

<p>At NTU Band 1 Professors will have a international reputation in some aspect of their field, often extending beyond academia, and will be able to demonstrate academic and professional practice leadership both within the University and externally.</p> <p>Examples of activities that would demonstrate performance at this level are detailed below.</p>		
<p>Band 1</p> <p>Teaching, Learning and Assessment:</p>	<p>Band 2</p> <p>Teaching, Learning and Assessment:</p>	<p>Band 3</p> <p>Teaching, Learning and Assessment:</p>
<p>Excellence in professional practice and practice-informed teaching that develops the reputation of the University and its academics by creating a stimulating, effective environment for real-world student learning and attainment.</p> <p>Including, for example;</p> <ul style="list-style-type: none"> • Design of successful new practice-based course models, approaches and innovative pedagogies with appropriate evaluation of their implementation. 	<p>Sustained excellence in professional practice and practice-informed teaching that develops the reputation of the University and its academics by creating a stimulating, effective environment for real-world student learning and attainment.</p> <p>Including, for example;</p> <ul style="list-style-type: none"> ○ Design of successful new practice-based course models, approaches and innovative pedagogies with appropriate evaluation of their implementation and that are adopted by others. 	<p>Sustained and exemplary professional practice and practice informed teaching that creates a stimulating environment for student learning and attainment and has sector-wide impact on the student experience.</p> <p>Evidenced by, for example;</p> <ul style="list-style-type: none"> • Design of successful new practice based course models, approaches and innovative pedagogies with appropriate evaluation of their implementation and that are adopted beyond the subject and institution.

<ul style="list-style-type: none"> • Initiating the resourcing and development of a practice-based learning environment, teaching the real-world application of theory and the fostering of professional knowledge by engaging with professional services. • Designing with employers and other stake-holders industrial or professional training, and developing new approaches for effective supervision of students in professional practice. • Setting industry standards for the supervising of post-registration training and learning for specialist sectors. • Create innovation through inclusion of stakeholders and/or service users in course development. <p>Delivery of excellent learning opportunities which continuously improve the student experience. Evidenced by, for example:</p> <ul style="list-style-type: none"> ○ Consistently high student attraction, retention, satisfaction and achievement rates, 	<ul style="list-style-type: none"> ○ Developing international-standard practice-based learning environments teaching the real-world application of theory and the fostering of professional knowledge. ○ Regular designing with employers and other stake-holders industrial or professional training, and promulgating new approaches for effective supervision of students in professional practice. ○ Regular setting of industry standards for the supervising of post-registration training and learning for specialist sectors. ○ Evaluation of the effectiveness of inclusion of stakeholders and/or service users in course development. <p>Delivery of excellent quality learning opportunities which are internationally</p>	<ul style="list-style-type: none"> • Developing world leading standard practice-based learning environments teaching the real-world application of theory and the fostering of professional knowledge. • Extensive designing with employers and other stake-holders industrial or professional training, and promulgating new approaches for effective supervision of students in professional practice. • Extensive setting of industry standards for the supervising of post-registration training and learning for specialist sectors. <p>Extensive evaluation of the effectiveness of inclusion of stakeholders and/or service users in course development.</p> <ul style="list-style-type: none"> • Delivery of exceptional, world leading practice-based learning opportunities ranging in scale and scope
---	--	--

<p>contextualised by key factors such as subject discipline benchmark or learners' prior qualifications. (Evasys average score minimum 4.0)</p> <ul style="list-style-type: none"> ○ teaching observation outcomes (at 'very high standard' if management- led observation) ○ external examiner reports ○ national personal and course recognition and awards ○ with students as contributors <ul style="list-style-type: none"> ● Academic oversight of undergraduate and postgraduate students' progress via tutorials and supervisions. <ul style="list-style-type: none"> ● Leadership of systematic improvements in the design and implementation of practice-based assessment and the feedback on student work. Evidenced by, for example; <ul style="list-style-type: none"> ○ student satisfaction rates and positive qualitative data from students ○ module/ course attainment data 	<p>recognised for innovation and quality. Evidenced by, for example:</p> <ul style="list-style-type: none"> ○ consistently high student attraction, retention, satisfaction and achievement rates, contextualised by key factors such as subject discipline benchmark or learners' prior qualifications. (Evasys average score minimum 4.2) ○ teaching observation outcome (at 'very high standard' if management- led observation) ○ external examiner reports ○ international personal and course recognition and awards ○ evidence of risk taking and innovation in practice ○ with students as partners <ul style="list-style-type: none"> ○ Excellence in academic oversight of undergraduate and postgraduate students' progress via tutorials and supervisions. <ul style="list-style-type: none"> ○ Regular leadership of systematic improvements in the design and implementation of practice-based 	<ul style="list-style-type: none"> ○ consistently high student attraction, retention, satisfaction and achievement rates, contextualised by key factors such as subject discipline benchmark or learners' prior qualifications. (Evasys average score minimum 4.5) ○ teaching observation outcomes (at 'excellent standard' if management- led observation) ○ external examiner reports or feedback ○ personal and course recognition and awards ○ evidence of risk taking and innovation in practice ○ with students as leaders of learning <ul style="list-style-type: none"> ● Regular excellence in academic oversight of undergraduate and postgraduate students' progress via tutorials and supervisions. <ul style="list-style-type: none"> ● Extensive leadership of systematic improvements in the design and implementation of practice-based
--	--	---

<ul style="list-style-type: none"> ○ NTU curriculum Development and Advisory Group (DAG) comments on assessment strategy 	<p>assessment and the feedback on student work. Evidenced by, for example;</p> <ul style="list-style-type: none"> ○ student satisfaction rates and positive qualitative data from students <ul style="list-style-type: none"> ○ module/ course attainment data ○ NTU curriculum Development and Advisory Group (DAG) comments on assessment strategy ○ External examiner reports 	<p>assessment and the feedback on student work. Evidenced by, for example;</p> <ul style="list-style-type: none"> ○ student satisfaction rates and positive qualitative data from students ○ module/ course attainment data ○ Development Advisory Group comments on assessment strategy ○ External examiner reports
<p>Band 1</p> <p>Contribution to Learning and Teaching Strategy or Building Knowledge Exchange Capability:</p>	<p>Band 2</p> <p>Contribution to Learning and Teaching Strategy or Building Knowledge Exchange Capability:</p>	<p>Band 3</p> <p>Contribution to Learning and Teaching Strategy or Building Knowledge Exchange Capability:</p>
<ul style="list-style-type: none"> • Contribution to shaping and influencing academic strategy within the School and University. • Support, advise and mentor post-graduate students and inspire their development as practitioners. • Design and delivery of staff development activities for practice-based learning, teaching & assessment. 	<ul style="list-style-type: none"> • Regular contribution to shaping and influencing academic strategy across the University using own innovative practice in the sector. • Support, advise and mentor post-graduate students and lead on their educational development as practitioners and teachers. • Regular design and delivery of staff development activities for practice- 	<ul style="list-style-type: none"> • Sustained contribution to shaping and influencing academic strategy across the University using own innovative practice in the sector. • Taking a lead role in developing capacity and capability of staff, including the design and delivery of staff development activities, advising on personal and career development plans, and providing mentoring and coaching to secure a high level of performance.

<ul style="list-style-type: none"> • Effective collaboration with the University Employability team in evaluating the success of placements and stakeholder engagement. • Leadership of technological innovations • Co-ordinate practice-based activities, for example, co-ordinating a seminar series for the School or the Trent Institute of Learning & Teaching. • Member of School Teaching & Learning Committee/Trent Institute Scholarship Committee. • Contribution to the development of the School Learning & Teaching Plan and the delivery of the University's Strategic Plan targets. 	<p>based learning, teaching & assessment.</p> <ul style="list-style-type: none"> • Regular leadership of technological innovations. • Regularly co-ordinate practice-based activities, for example, co-ordinating a seminar series for the School or the Trent Institute of Learning & Teaching. • Regular member of School Teaching & Learning Committee/Trent Institute Scholarship Committee. • Leadership of the practice-based learning element of the School Learning & Teaching Plan and the delivery of the University's Strategic Plan targets. 	<ul style="list-style-type: none"> • Support, advise and mentor post-graduate students and lead on their educational development as practitioners and teachers. • Sustained design and delivery of staff development activities for learning, teaching & assessment. • Sustained leadership of technological innovations. • Sustained co-ordination of practice-based evaluation activities, for example, co-ordinating a seminar series for the School or the Trent Institute of Learning & Teaching. • Sustained member of School Teaching & Learning Committee/Trent Institute Scholarship Committee. • Regular leadership of the practice-based learning element of the School Learning & Teaching Plan and the
---	--	---

		<p>delivery of the University's Strategic Plan targets.</p> <ul style="list-style-type: none"> Implementing approaches, methods and innovations that have been adopted internally, but also at national/international level, through pedagogic publications, teaching and learning strategies and consultancy.
Band 1	Band 2	Band 3
Outputs:	Outputs:	Outputs:
<p>Design and deliver sustained excellence in practice-based teaching and learning.</p> <p>Evidenced by the production of at least four outputs in a rolling six year period, assessed as internationally excellent in terms of originality, significance and rigour.</p> <ul style="list-style-type: none"> Development of highly regarded and influential subject or pedagogic outputs e.g. films, exhibitions, theatre/dance productions, curated collections, textbooks, government/industry reports, consultation papers. 	<p>Design and deliver sustained excellence in practice-based teaching and learning within and beyond a subject area.</p> <p>Evidenced by the production of at least four outputs in a rolling six year period, assessed as at least internationally excellent in terms of originality, significance and rigour, with at least one output recognised as world leading.</p> <ul style="list-style-type: none"> Evidence of significant influence in the University in support of strategic educational objectives. 	<p>Regularly design and deliver sustained excellence in practice-based teaching and learning within and beyond a subject area.</p> <p>Evidenced by the production of at least four outputs in a rolling six year period assessed as at least internationally excellent in terms of originality, significance and rigour, with at least two outputs recognised as world leading.</p> <ul style="list-style-type: none"> Acquire great prestige for the University through a sustained record of academic achievements at the highest level.

<ul style="list-style-type: none"> • Innovative e-enabled learning outputs e.g. distance or blended learning materials. • Creation of courses with national recognition for excellence & innovation • Development and evaluation of key tools to support learners in the workplace e.g. e-portfolios. • Initiation, leading and collaboration in pedagogic initiatives with other HEIs and relevant sector bodies such as the HEA and HEFCE. • Sector influence through dissemination of work via social media, blogs etc. • Creating inter-professional practice-based learning opportunities sharing standards and models across sectors. 	<ul style="list-style-type: none"> • Development of professional development e.g. mentoring, adopted by sector. • Creation of courses with international recognition for excellence & innovation. • Leadership of ongoing complex inter-disciplinary large scale projects. • Significant sector influence through dissemination of work via social media, blogs, regular columns etc. <p>Undertake knowledge exchange activities, for example:</p> <ul style="list-style-type: none"> • Outstanding on-going contribution to industry, the professions, commerce, public sector and voluntary organisations. 	<ul style="list-style-type: none"> • Creation of courses with international recognition for excellence & innovation, and approaches to learning which have been widely adopted. • Taking a leading role in complex high impact inter-disciplinary collaborations with a broad range of academic, industrial or governmental partners, or a position of international authority. • Very significant sector influence through dissemination of work via social media, blogs, regular columns etc. <p>Undertake knowledge exchange activities, for example:</p> <ul style="list-style-type: none"> • Outstanding, long-lasting contribution to industry, the professions, commerce, public sector and voluntary organisations. • Extensive service and leadership in an executive role, on advisory or other
---	---	--

<ul style="list-style-type: none"> • Developing new ethical frameworks for specific sectors. <p>Undertake knowledge exchange activities, for example:</p> <ul style="list-style-type: none"> • Excellent, on-going contribution to industry, the professions, commerce, public sector and voluntary organisations. • Service and leadership in an executive role, on advisory or other boards or learned societies, national and international organisations and agencies. • Lead role on Subject committees, professional institutes, benchmarking panels. • Excellent achievement in developing and sustaining links with external stakeholders e.g. industry and commerce. 	<ul style="list-style-type: none"> • Regular service and leadership in an executive role, on advisory or other boards or learned societies, national and international organisations and agencies. • Regular lead role on Subject committees, professional institutes, benchmarking panels. • Outstanding achievement in developing and sustaining links with external stakeholders e.g. industry and commerce. • Regular international contribution to developing the link between the discipline and its stakeholders through for example, influential roles on committees, publications, contribution to international conferences. • Regular leadership of significant Knowledge Exchange events. 	<p>boards or learned societies, national and international organisations and agencies.</p> <ul style="list-style-type: none"> • Extensive lead role on Subject committees, professional institutes, benchmarking panels. • Consistent outstanding achievement in developing and sustaining links with external stakeholders e.g. industry and commerce. • Extensive international contribution to developing the link between the discipline and its stakeholders through for example, influential roles on committees, publications, contribution to international conferences. • Extensive leadership of significant Knowledge Exchange events.
--	--	---

<ul style="list-style-type: none"> • International contribution to developing the link between the discipline and its stakeholders through for example, influential roles on committees, publications, contribution to international conferences. • Leadership of significant Knowledge Exchange events. 		
<p>Band 1</p> <p>Impact:</p>	<p>Band 2</p> <p>Impact:</p>	<p>Band 3</p> <p>Impact:</p>
<ul style="list-style-type: none"> • Development of quality and/or audit standards for placements or service learning which are adopted by sector bodies as good practice. • Create core curriculum delivery and assessment frameworks with stakeholders e.g. for apprenticeships adopted by the sector. • Undertake pedagogic evaluation (generic or subject based) activity which creates a positive impact upon the internal culture and practice of NTU in teaching and learning and the 	<ul style="list-style-type: none"> • Regularly undertake pedagogic evaluation activity which creates a positive impact upon the internal culture and practice of NTU in teaching and learning and the impact of which is recognised. • Active participation in activities to enhance the profile/reputation/esteem of both themselves and the University. • Internally, make a regular evident leadership contribution to the planning & organisation of innovative teaching and learning within the School. 	<ul style="list-style-type: none"> • Regularly undertake highly innovative academic or pedagogic evaluation activity which makes a major and lasting contribution to a mode of education, or education within a subject discipline. • Lead role in high-impact work which influences government. • Internally, leadership effects significant change for example in the uptake of innovative teaching and learning within the School.

<p>impact of which is recognised externally.</p> <ul style="list-style-type: none"> • Active participation in activities to enhance the profile/reputation/esteem of both themselves and the University. • Internally, makes an evident contribution to the planning & organisation of innovative practice-based teaching and learning within the School. • Attract high quality postgraduate students, and builds academic capacity via career development of doctoral students. • Leading role in delivering development activities for example mentoring of more junior colleagues in the context of the NTU Learning and Teaching Professional Development Framework. • Substantial contribution to employer and sector engagement activity which improves students' career outcomes 	<ul style="list-style-type: none"> • Regularly attract high quality postgraduate students, and builds academic capacity via supervision of doctoral students. • Regularly plays a leading role in delivering development activities for example mentoring of more junior colleagues and contributes to the development of the NTU Learning and Teaching Professional Development Framework. • Leads high quality initiatives with partners and develops academic practice for example, school improvement services. • Leadership of new, strategically aligned employer and sector engagement activity which improves students' career outcomes. 	<ul style="list-style-type: none"> • Extensive attraction of high quality postgraduate students, and builds academic capacity via supervision of doctoral students. • Extensively plays a leading role in creating and delivering development activities for example mentoring of more junior colleagues and contributes to the development of the NTU Learning and Teaching Professional Development Framework. • Regularly leads high quality initiatives with partners and develops academic practice for example, school improvement services. • Supports the infrastructure and facilities of their School in a variety of ways, examples of this could include direct involvement in staff development, undertaking formal secondment, receiving fellowships/awards, participating on government advisory boards. • Leadership of significant developments in employer and sector engagement
---	--	---

		activity which improve students' career outcomes and which are enriched by alignment with parallel activity in international institutional partnerships.
Band 1	Band 2	Band 3
External Esteem/Collaboration:	External Esteem/Collaboration:	External Esteem/Collaboration
<p>International reputation with contribution to key discipline, and cross-discipline networks; evidenced by some of the following, for example:</p> <ul style="list-style-type: none"> • Leadership roles within significant national organisations, charitable bodies, expert committees etc. • Active role in professional bodies or comparable organisations. • Advising and providing expert opinion and advice to sector and statutory bodies. • Invited to contribute to international conferences, with the production of at 	<p>Develop and maintain successful working relationships with various international bodies, evidenced by some of the following, for example:</p> <ul style="list-style-type: none"> • Expertise in significant demand from partners within and beyond academia and/or asked to fulfil major international roles within the discipline. • Achieving recognition both personally and for the University through leadership of highly prestige collaborations of national and international significance with public, private and third-sector partners. • Delivery of plenary and key note addresses at esteemed international conferences. 	<p>Holds a recognised position of leadership at international level evidenced by some of the following, for example:</p> <ul style="list-style-type: none"> • Being frequently called upon to advise agenda setting international bodies, or at inter-government level. • Maintain significant relationships with the educational industry and other end users of research. • Awards of patents or licences for example for e-materials or tools. • Membership of major/prestigious international bodies.

<p>least two quality conference papers/equivalent each year.</p> <ul style="list-style-type: none"> • Involvement in the organisation of international conferences. • Lead on strategic partnerships in teaching and practice. 	<ul style="list-style-type: none"> • Awarded or shortlisted for international awarded/prize. • Editor for leading international journal for the discipline. • High level association with internationally prestigious University. • Chairing of significant national/international organisations, charitable bodies, government bodies, trusts. • Regularly invited to contribute to international conferences, with the production of at least two quality conference papers/equivalent each year. • Organisation of international conferences. • Undertaking visiting professorships. 	<ul style="list-style-type: none"> • Editorship of internationally eminent journals. • Receiving awards of distinction and/or recognition from major societies and international bodies. • Chairing independent national level reviews and enquiries. • Regular invitations to give the most prestigious international lectures, with the production of at least two quality conference papers/equivalent each year. • Organisation of international conferences. • Election to chair of major international academic institutions or chairing the leading world conference for the discipline. • International visiting professorships.
--	--	---

Band 1 Income Generation:	Band 2 Income Generation:	Band 3 Income Generation:
<p>Evidence of a sustained track record of applying for, and securing external funding as PI or Co-I, commensurate with discipline norms.</p> <p>Subject to discipline norms, a Band 1 Professor would normally be expected to achieve at least three successful funding applications in a rolling six year period, ideally a minimum of one successful application every two years.</p>	<p>Secure at least one major successful funding application as PI, and securing income commensurate with discipline norms, taking into account the extent of professorial experience.</p> <p>Subject to discipline norms, a Band 2 Professor would normally be expected to achieve at least three major successful funding applications in a rolling six year period, ideally a minimum of one successful application every two years.</p>	<p>Secure at least one very significant successful funding application as PI, and securing income commensurate with discipline norms, taking into account the extent of Professorial experience.</p> <p>Subject to discipline norms, a Band 3 Professor would normally be expected to achieve at least three very significant successful funding applications in a rolling six year period, ideally a minimum of one successful application every two years.</p>
Band 1 Academic Leadership, Management and Associated Activity:	Band 2 Academic Leadership, Management and Associated Activity:	Band 3 Academic Leadership, Management and Associated Activity:
<p>Undertake relevant administrative and academic management duties as are expected of the role, for example:</p> <ul style="list-style-type: none"> A significant and sustained contribution to the management of the School / College / University (e.g. resource management, policy development etc.) and evidence that this has produced material benefits 	<p>Lead and influence relevant administrative and academic management duties as are expected of the role, for example:</p> <ul style="list-style-type: none"> Sustained leadership of elements of the School/College/ University (e.g. resource, management, policy development etc.) in the field of professional practice, with evidence of long-lasting benefits. 	<p>Transform the design of relevant administrative and academic management duties as are expected of the role, for example:</p> <ul style="list-style-type: none"> Management and supervision of entire course areas, clusters or levels. Extensive oversight and active management of aspects of the relevant

<ul style="list-style-type: none"> • Management and supervision of entire course areas, clusters or levels. • Oversight and active management of aspects of the relevant practice environment within the discipline area including the financial management of personal or project grants. • Leadership contribution to School, College and University key committees for teaching, learning and scholarship. • Delivery of projects within the Trent Institute of Learning & Teaching. • Delivery on strategic national collaborative partnerships. 	<ul style="list-style-type: none"> • Regular management and supervision of entire course areas, clusters or levels. • Regular oversight and active management of aspects of the relevant practice environment within the discipline area including the financial management of personal or project grants. • Regular leadership contribution to School, College and University key committees for teaching and scholarship • Leadership of projects within the Trent Institute of Learning & Teaching. • Leading and managing strategic collaborations with overseas partners. 	<p>practice environment within the discipline area including the financial management of personal or project grants.</p> <ul style="list-style-type: none"> • Sustained leadership contribution to School, College and University key committees for teaching and scholarship. • Regular leadership and shaping of the projects within the Trent Learning & Teaching Institute. • Be the cause of strategic relationships with overseas partners wanting to work with NTU.
---	---	---

Professorial Criteria – Teaching and Research

Band 1 Overview:	Band 2 Overview:	Band 3 Overview:
<p>Band 1 is the normal entry level for newly appointed Professors, allowing both development within the Band and progression to Band 2. It is expected that development within the Band will be such that progression to Band 2 should be possible, on the basis of performance, within five years. Band 1 Professors should focus on the design, delivery and dissemination of high quality research. However, and in addition, all Band 1 role holders are expected to contribute to high quality teaching and assessment and academic administration activities within their host School, at a level proportionate to the other activities being undertaken by the role holder.</p> <p>At NTU Band 1 Professors will have an international reputation in their field and will be able to demonstrate academic leadership both within the University and externally.</p>	<p>Appointment to Band 2 is achieved when the role of a Band 1 Professor has grown sufficiently to meet the relevant criteria below, or through the appointment of an external Professor already working at a comparable level. Band 2 Professors will perform at a significantly higher level than Band 1, have a sustained record of internationally recognised achievements in their field, and fulfil major international roles within their discipline. Professors who are research biased also undertake high quality teaching and assessment activities within their School, together with appropriate academic administration duties, at a level proportionate to the other activities being undertaken by the role holder.</p> <p>Examples of activities that would demonstrate performance at this level are detailed below.</p>	<p>Progression to Band 3 is achieved by a small number of unusually highly accomplished Professors, who bring great prestige to the University and have a reputation for attaining a sustained record of academic achievements at a world-leading level in their discipline. In exceptional cases an external Professor already recognised at this level may be appointed directly to Band 3. Professors who are research biased also undertake high quality teaching and assessment activities within their School academic administration duties, at a level proportionate to the other activities being undertaken by the role holder.</p> <p>Examples of activities that would demonstrate performance at this level are detailed below.</p>

Examples of activities that would demonstrate performance at this level are detailed below.		
Band 1 Teaching, Learning and Assessment:	Band 2 Teaching, Learning and Assessment:	Band 3 Teaching, Learning and Assessment:
<ul style="list-style-type: none"> • Make a sustained, appropriate level of contribution to the University and relevant subject discipline(s) as a teacher, tutor and facilitator of student learning, including: <ul style="list-style-type: none"> ○ Designing and delivering sustained excellence in research- informed teaching that creates a stimulating environment for student learning and improves the student experience. Evidenced by, for example; <ul style="list-style-type: none"> ▪ consistently high student attraction, retention, satisfaction and achievement rates, contextualised by key factors such as subject discipline 	<ul style="list-style-type: none"> • Make a sustained, appropriate level of contribution to the University and relevant subject discipline(s) as a teacher, tutor and facilitator of student learning, including: <ul style="list-style-type: none"> ○ Designing and delivering sustained excellence in research- informed teaching that creates a stimulating environment for student learning and improves the student experience. Evidenced by, for example; <ul style="list-style-type: none"> ▪ consistently high student attraction, retention, satisfaction and achievement rates, contextualised by key factors such as subject discipline or learners' prior qualifications 	<ul style="list-style-type: none"> • Make a sustained, appropriate level of contribution to the University and relevant subject discipline(s) as a teacher, tutor and facilitator of student learning, including: <ul style="list-style-type: none"> ○ Designing and delivering sustained excellence in research- informed teaching that creates a stimulating environment for student learning and improves the student experience. Evidenced by, for example; <ul style="list-style-type: none"> ▪ consistently high student attraction, retention, satisfaction and achievement rates, contextualised by key factors such as subject discipline or learners' prior qualifications.

<p>or learners' prior qualifications (Evasys average score minimum 4.0)</p> <ul style="list-style-type: none"> ▪ teaching observations (at 'very high standard' if management-led observation.) ▪ external examiner reports/feedback <ul style="list-style-type: none"> • Excellence in academic oversight of undergraduate and postgraduate students' progress via tutorials and supervisions. 	<p>(Evasys average score minimum 4.2)</p> <ul style="list-style-type: none"> ▪ teaching observations (at 'very high standard' if management-led observation.) ▪ external examiner reports/feedback <ul style="list-style-type: none"> • Excellence in academic oversight of undergraduate and postgraduate students' progress via tutorials and supervisions. 	<p>(Evasys average score minimum 4.5)</p> <ul style="list-style-type: none"> ▪ teaching observations (at 'very high standard' if management-led observation.) ▪ external examiner reports/feedback <ul style="list-style-type: none"> • Excellence in academic oversight of undergraduate and postgraduate students' progress via tutorials and supervisions.
<p>Band 1</p> <p>Outputs:</p>	<p>Band 2</p> <p>Outputs:</p>	<p>Band 3</p> <p>Outputs:</p>
<ul style="list-style-type: none"> • International reputation and the production of outputs recognised internationally in terms of originality, significance and rigour. 	<ul style="list-style-type: none"> • International reputation as a leading figure within the discipline, producing outputs of international excellence in terms of originality, significance and rigour. 	<ul style="list-style-type: none"> • Develop and lead world class, exceptional quality research activity, resulting in recognition as world leading within the discipline in terms of originality, significance and rigour. Acquire great prestige for the University through a

<ul style="list-style-type: none"> • The production of at least five original, peer-reviewed publications/equivalent outputs (e.g. a monograph – which may have a double weighting, an exhibition/installation) over a six year rolling period, with at least four outputs assessed as being equivalent to at least REF 3* quality. • Dissemination of research results through appropriate high profile national/international conferences and workshops. At least one quality conference paper/equivalent each year. • Initiation of, leadership of and/or collaboration in research initiatives with other HEIs and relevant bodies. • Aim to maximise citation counts, relative to discipline norms, for each output. 	<ul style="list-style-type: none"> • The production of at least five original, peer-reviewed publications/equivalent outputs (e.g. a monograph – which may have a double weighting, an exhibition/installation) over a six year rolling period. These should be assessed as being equivalent to at least REF 3* quality, and should include a number at REF 4* quality. • Research undertaken and its findings constitute major points of reference in discipline. • Leadership of complex single discipline and/or inter-disciplinary large scale research projects. • Aim to maximise citation counts, relative to discipline norms for each output. • Deliver inaugural lecture within one year of appointment (for newly appointed Professors). 	<p>sustained record of academic achievements at the highest level.</p> <ul style="list-style-type: none"> • The production of at least five original, peer-reviewed publications/equivalent outputs (e.g. a monograph – which may have a double weighting, an exhibition/installation) over a six year rolling period. A majority of these should be assessed as being equivalent to REF 4* quality. • Taking a leading role in complex high impact single discipline and/or inter-disciplinary collaborations with a broad range of academic, industrial, societal or governmental partners, or a position of unequivocal international authority. • Significant number of high impact citations where relevant to the discipline, and/or influential monograph(s). • Deliver inaugural lecture within one year of appointment (for newly appointed Professors).
---	--	---

<ul style="list-style-type: none"> • Deliver inaugural lecture within one year of appointment (for newly appointed Professors). 		
<p>Band 1</p> <p>Impact:</p>	<p>Band 2</p> <p>Impact:</p>	<p>Band 3</p> <p>Impact:</p>
<ul style="list-style-type: none"> • Undertake academic and research activity which creates demonstrable impact upon the university and/or wider society. • Attract high quality postgraduate research students and build academic capacity via supervision of research students consistent with national discipline norms, and with completion rates above the HEFCE average research degree qualification rate. • Active participation in activities to enhance the profile/reputation/esteem of both themselves and the University. • Undertake research that may be considered as a contribution towards an impact case study of 	<ul style="list-style-type: none"> • Undertake academic and research activity which creates demonstrable impact upon the university and/or wider society. • Attract high quality postgraduate research students, and build academic capacity via the supervision of research students, consistent with national discipline norms, and with completion rates above the HEFCE average research degree qualification rate. • Supports the development of enhanced research publicity for the School/research centre, group or NTU, including, e.g. disseminating research findings to the public. • Active participation in activities to enhance the profile/reputation/esteem of both themselves and the University. 	<ul style="list-style-type: none"> • Undertake highly innovative academic and research activity which makes a major and lasting contribution to the discipline and impacts upon the university and/or wider society. • Attract high quality postgraduate research students, and build academic capacity via the supervision of PhD students, consistent with national discipline norms, and with completion rates above the HEFCE average research degree qualification rate. • Supports the development of enhanced research publicity for the School/research centre or group or NTU, including, e.g. disseminating research findings to the public, receiving fellowships/awards, participating on government advisory boards.

<p>sufficient quality to be successfully submitted for REF.</p>	<ul style="list-style-type: none"> Undertake research that may be considered as a contribution towards an impact case study of sufficient quality to be successfully submitted for REF. 	<ul style="list-style-type: none"> Active participation in activities to enhance the profile/reputation/esteem of both themselves and the University. Undertake research that may be considered as a contribution towards an impact case study of sufficient quality to be successfully submitted for REF.
<p>Band 1 External Esteem/Collaboration:</p>	<p>Band 2 External Esteem/Collaboration:</p>	<p>Band 3 External Esteem/Collaboration</p>
<p>Hold an international reputation with contribution to key discipline, and cross- discipline networks. Also develop significant relationships and collaborations with external bodies, for example:</p> <ul style="list-style-type: none"> Membership of significant national organisations, charitable bodies, expert committees etc. ; Active role in learned societies or professional bodies or comparable organisations; Advising and providing expert opinion and advice; 	<p>Develop and maintain successful working relationships with various international bodies, for example:</p> <ul style="list-style-type: none"> Expertise in significant demand from partners within and beyond academia and/or asked to fulfil major international roles within the discipline; Achieving recognition both personally and for the University through leadership of high prestige collaborations of national and international significance with public, private and third-sector partners; Delivery of plenary and keynote addresses at esteemed international conferences; 	<p>Hold a recognised position of leadership at an international level achieved by, for example:</p> <ul style="list-style-type: none"> Being frequently called upon to advise agenda setting international bodies, or at inter-government level; Maintains significant relationships with industry and other end users of research; Membership of main or sub REF panel; Membership of major/prestigious international bodies; Editorship of internationally eminent journals; Receiving awards of distinction and/or recognition from major societies and

<ul style="list-style-type: none"> • High profile peer review activities; • Invited to contribute to international conferences; • Involvement in the organisation of international conferences. 	<ul style="list-style-type: none"> • Awarded or shortlisted for international award/prize; • Editor for leading international journal for the discipline or equivalent; • High level active association with internationally prestigious University; • Chairing of significant national/international organisations, charitable bodies, government bodies, trusts; • Organisation of international conferences; • Undertaking visiting professorships. 	<p>international bodies for contribution to world class research;</p> <ul style="list-style-type: none"> • Chairing independent national level reviews and enquiries; • Organisation of international conferences; • Election to chair of major international academic institutions or chairing the leading world conference for the discipline; • International visiting professorships.
<p>Band 1</p> <p>Income Generation:</p>	<p>Band 2</p> <p>Income Generation:</p>	<p>Band 3</p> <p>Income Generation</p>
<ul style="list-style-type: none"> • Secure research income as a PI or co-PI commensurate with discipline norms, as informed by national research assessment benchmarks, commensurate with practice within the discipline. • Secure funding from a range of sources for PhD students. 	<ul style="list-style-type: none"> • Secure research income commensurate with 1.25 X discipline norms, as informed by national research assessment benchmarks, commensurate with practice within the discipline, as either PI or as a Co-PI. • Secure funding from a range of sources for PhD students. 	<ul style="list-style-type: none"> • Secure research income commensurate with 1.75 x discipline norms, as informed by national research assessment benchmarks, commensurate with practice within the discipline, as either PI or as a Co-PI. • Secure funding from a range of sources for PhD students.

		<ul style="list-style-type: none"> Play a major role in the philanthropic strategy of the University.
Band 1	Band 2	Band 3
Contribution to Research Strategy or Building Research Capability:	Contribution to Research Strategy or Building Research Capability:	Contribution to Research Strategy or Building Research Capability:
<p>Sustained contribution to shaping and influencing academic strategy within the discipline and/or School by:</p> <ul style="list-style-type: none"> Designing and delivering staff development activities for research and/or research training, where requested; Contributing to the delivery of components of the NTU Graduate School training courses, as requested; Co-ordinating research activities, for example, co-ordinating a seminar series for a subject group/research group/School; Membership of School Research Committee/Unit of Assessment Advisory Committee, where requested; Supporting the career development of colleagues through mentoring of more junior colleagues; 	<p>Make a significant contribution to the development and successful implementation of research strategy within the School, which has resulted in demonstrable, measurable enhancements in research quality and volume by:</p> <ul style="list-style-type: none"> Designing and delivering NTU wide staff development activities for research and/or research training; taking a leading role in an internal research centre or cross campus theme; Supporting and mentoring less experienced academic colleagues; Co-ordinating research in a seminar series for a subject group/research group/School; Being an active member of a School based Unit of Assessment Advisory Group; Active contribution to other relevant fora, for example, research committees; 	<p>Make an exceptional contribution to the implementation of research strategy within the School, which has resulted in demonstrable, measurable enhancements in research quality and volume by:</p> <ul style="list-style-type: none"> Taking a lead role in developing capacity and capability of staff, including mid-career research staff, including the design and delivery of staff development activities, advising on personal and career development plans, and providing mentoring and coaching to secure a high level of performance; Co-ordination of research of a specific REF unit; Co-ordination of School research, contributing to research committees in a named role i.e. Chair, Vice Chair etc; Active contribution to other relevant fora, for example, research committees; Contributing to the development of the School Research Plan.

<ul style="list-style-type: none"> Contributing to the development of the School Research Plan. 	<ul style="list-style-type: none"> Contributing to the development of the School Research Plan. 	
<p>Band 1</p> <p>Academic Leadership, Management and Associated Activity:</p>	<p>Band 2</p> <p>Academic Leadership, Management and Associated Activity:</p>	<p>Band 3</p> <p>Academic Leadership, Management and Associated Activity:</p>
<ul style="list-style-type: none"> Undertake a proportionate level of academic management and administration, giving due consideration to the level of activity being undertaken within other performance criteria. Examples of relevant activity include: <ul style="list-style-type: none"> management and supervision of research students and research staff where relevant, maintain oversight and active management of aspects of the relevant research environment within the discipline area financial management of personal grants Sustained contribution to relevant School's committees for teaching. 	<ul style="list-style-type: none"> Undertake a proportionate level of academic management and administration, giving due consideration to the level of activity being undertaken within other performance criteria. Examples of relevant activity include: <ul style="list-style-type: none"> management and supervision of research students and research staff where relevant, maintain oversight and active management of aspects of the relevant research environment within the discipline area financial management of personal grants Sustained contribution to relevant School's committees for teaching. 	<ul style="list-style-type: none"> Undertake a proportionate level of academic management and administration, giving due consideration to the level of activity being undertaken within other performance criteria. Examples of relevant activity include: <ul style="list-style-type: none"> management and supervision of research students and research staff where relevant, maintain oversight and active management of aspects of the relevant research environment within the discipline area financial management of personal grants Sustained contribution to relevant School's committees for teaching.

Professorial Criteria – Teaching and Scholarship

Band 1 Overview:	Band 2 Overview:	Band 3 Overview:
<p>Band 1 is the normal entry level for newly appointed Professors, allowing both development within the Band and progression to Band 2. It is expected that development within the Band will be such that progression to Band 2 should be possible, on the basis of performance, within five years. Band 1 Professors should focus on the design, delivery and wider impact of high quality teaching and learning. All Band</p> <p>1 Professors are expected to contribute to high quality pedagogic, or subject research and academic administration activities, within their School, at a level proportionate to the other activities being undertaken by the role holder.</p> <p>At NTU Band 1 Professors will have an international reputation in some aspect of their field, often extending beyond academia, and will be able to demonstrate academic leadership both within the University and externally.</p> <p>Examples of activities that would demonstrate performance at this level are detailed below.</p>	<p>Appointment to Band 2 is achieved when the role of a Band 1 Professor has grown sufficiently to meet the relevant criteria below, or through the appointment of an external Professor already working at a comparable level. Band 2 Professors will perform at a significantly higher level than Band 1, have a sustained record of internationally recognised achievements in their field, and fulfil major international roles within HE pedagogy or their discipline. Professors who are focused on teaching and learning also undertake research and educational leadership activities within their School, together with appropriate academic administration duties, at a level proportionate to the other activities being undertaken by the role holder.</p> <p>Examples of activities that would demonstrate performance at this level are detailed below.</p>	<p>Progression to Band 3 is achieved by a small number of unusually highly accomplished Professors, who bring great prestige to the University and have a reputation for attaining a sustained record of academic achievements at a world-leading level in pedagogy or their discipline. In exceptional cases an external Professor already recognised at this level may be appointed directly to Band 3. Professors who are focused on teaching and learning also undertake research and educational leadership activities within their School, together with appropriate academic administration duties, at a level proportionate to the other activities being undertaken by the role holder.</p> <p>Examples of activities that would demonstrate performance at this level are detailed below.</p>

Band 1 Teaching, Learning and Assessment:	Band 2 Teaching, Learning and Assessment:	Band 3 Teaching, Learning and Assessment:
<p>Sustained excellence in research-informed teaching that creates a stimulating, effective environment for student learning and attainment and has impact on the student experience. Evidenced by, for example;</p> <ul style="list-style-type: none"> • Design of successful new course models, approaches and innovative pedagogies with appropriate evaluation of their implementation. • Delivery of high quality learning opportunities: <ul style="list-style-type: none"> ○ consistently high student attraction, retention, satisfaction and achievement rates, contextualised by key factors such as subject discipline benchmark or learners' prior qualifications. (Evasys average score minimum 4.0) ○ teaching observation outcomes 	<p>Sustained and continually developing excellence in research-informed teaching that creates a stimulating, effective environment for student learning and attainment and has wide-ranging impact on the student experience. Evidenced by, for example;</p> <ul style="list-style-type: none"> • Design of successful new course models, approaches and innovative pedagogies with appropriate evaluation of their implementation and that are adopted by others. • Delivery of excellent learning opportunities: <ul style="list-style-type: none"> ○ consistently high student attraction, retention, satisfaction and achievement rates, contextualised by key factors such as subject discipline benchmark or learners' prior qualifications. (Evasys average score minimum 4.2) ○ teaching observation outcome ○ (at 'very high standard' if management-led observation) 	<p>Sustained and exemplary research-informed teaching that creates a stimulating environment for student learning and attainment and has sector-wide impact on the student experience. Evidenced by, for example;</p> <ul style="list-style-type: none"> • Design of successful new course models, approaches and innovative pedagogies with appropriate evaluation of their implementation and that are adopted beyond the subject and institution. • Delivery of exceptional, wide high quality learning opportunities ranging in scale and scope <ul style="list-style-type: none"> ○ consistently high student attraction, retention, satisfaction and achievement rates, contextualised by key factors such as subject discipline benchmark or learners' prior qualifications. (Evasys average score minimum 4.5) ○ teaching observation outcomes (at 'very high standard' if management-led observation)

<ul style="list-style-type: none"> ○ (at 'very high standard' if management-led observation) ○ external examiner reports and feedback ○ personal and course recognition and awards with students as contributors • Demonstrated excellence in academic oversight of undergraduate and postgraduate students' progress via tutorials and supervisions. • Leadership of systematic improvements in the design and implementation of assessment and the feedback on student work. Evidenced by, for example; <ul style="list-style-type: none"> ○ student satisfaction rates and positive qualitative data from students ○ module/ course attainment data ○ Development Advisory Group comments on assessment strategy ○ External examiner reports 	<ul style="list-style-type: none"> ○ external examiner reports or feedback ○ personal and course recognition and awards ○ evidence of risk taking and innovation in practice with students as partners • Demonstrated excellence in academic oversight of undergraduate and postgraduate students' progress via tutorials and supervisions. • Leadership of systematic improvements in the design and implementation of assessment and the feedback on student work. Evidenced by, for example; <ul style="list-style-type: none"> ○ student satisfaction rates and positive qualitative data from students ○ module/ course attainment data ○ Development Advisory Group comments on assessment strategy ○ External examiner reports 	<ul style="list-style-type: none"> ○ external examiner reports or feedback ○ personal and course recognition and awards ○ evidence of risk taking and innovation in practice with students as leaders of learning • Excellence in academic oversight of undergraduate and postgraduate students' progress via tutorials and supervisions. • Leadership of systematic improvements in the design and implementation of assessment and the feedback on student work. Evidenced by, for example; <ul style="list-style-type: none"> ○ student satisfaction rates and positive qualitative data from students ○ module/ course attainment data ○ Development Advisory Group comments on assessment strategy ○ External examiner reports
---	---	---

Band 1 Outputs:	Band 2 Outputs:	Band 3 Outputs:
<p>Design and deliver sustained excellence in subject or pedagogic research to inform teaching and learning. Evidenced by the production of outputs recognised internationally in terms of originality, significance and rigour.</p> <ul style="list-style-type: none"> • Development of highly regarded and influential subject or pedagogic outputs e.g. textbooks, films, exhibitions, theatre and dance productions • Innovative e-enabled learning outputs e.g. distance or blended learning materials • Creation of courses with national recognition for excellence & innovation • Dissemination of research results through national/international conferences and workshops, with the production of at least two quality conference papers/equivalent each year • Initiation, leading and collaboration in pedagogic research initiatives with 	<p>Design and deliver sustained excellence in research to inform teaching and learning within and beyond a subject area.</p> <p>Evidenced by the production of outputs recognised internationally in terms of originality, significance and rigour.</p> <ul style="list-style-type: none"> • Evidence of significant influence in the University in support of strategic educational objectives. • International reputation as a leading figure within educational pedagogy, producing outputs of international excellence in terms of originality, significance and rigour • Creation of courses with international recognition for excellence & innovation • The award of prestigious prize, honour or recognition for teaching and learning • Research constitutes a major point of reference in discipline • Leadership of ongoing complex inter-disciplinary large scale research projects 	<p>Design and deliver sustained excellence in research to inform teaching and learning within and beyond a subject area.</p> <p>Evidenced by the production of outputs recognised internationally in terms of originality, significance and rigour</p> <ul style="list-style-type: none"> • Develop and lead world class, exceptional quality research activity, resulting in recognition as world leading within the discipline in terms of originality, significance and rigour • Acquire great prestige for the University through a sustained record of academic achievements at the highest level • Creation of courses with international recognition for excellence & innovation, and approaches to learning which have been widely adopted. • Taking a leading role in complex high impact inter-disciplinary collaborations with a broad range of academic, industrial or governmental partners, or a position of unequivocal international authority.

<p>other HEIs and relevant sector bodies such as the HEA and HEFCE</p> <ul style="list-style-type: none"> • Sector influence through dissemination of work via social media, blogs etc. • The production of at least four original, peer-reviewed publications/equivalent outputs (e.g. a monograph – which may have a double weighting, an exhibition/installation) over a six year rolling period, assessed as being at least internationally excellent quality. • Highly cited outputs and/or influential monograph(s) or refereed journal publications as appropriate to discipline 	<ul style="list-style-type: none"> • Significant sector influence through dissemination of work via social media, blogs, regular columns etc. • The production of at least four original, peer-reviewed publications/equivalent outputs (e.g. a monograph – which may have a double weighting, an exhibition/installation) over a six year rolling period, assessed as being at least internationally excellent quality with at least one that is assessed as world leading. . • A significant number of citations and/or influential monographs. 	<ul style="list-style-type: none"> • Very significant sector influence through dissemination of work via social media, blogs, regular columns etc. • The production of at least four original, peer-reviewed publications/equivalent outputs (e.g. a monograph – which may have a double weighting, an exhibition/installation) over a six year rolling period, assessed as being at least internationally excellent with at least two of these assessed as world leading . • Significant number of high impact citations and/or influential monographs.
<p>Band 1</p> <p>Impact:</p>	<p>Band 2</p> <p>Impact:</p>	<p>Band 3</p> <p>Impact:</p>
<ul style="list-style-type: none"> • Undertake pedagogic research (generic or subject based) activity which creates a positive impact upon the internal culture and practice of NTU in teaching and learning and the impact of which is recognised externally. • Active participation in activities to enhance the profile/reputation/esteem of both themselves and the University. 	<ul style="list-style-type: none"> • Undertake pedagogic research activity which creates a positive impact upon the internal culture and practice of NTU in teaching and learning and the impact of which is recognised and adopted externally. • Active participation in activities to enhance the profile/reputation/esteem of both themselves and the University. 	<ul style="list-style-type: none"> • Undertake highly innovative academic or pedagogic research activity which makes a major and lasting contribution to a mode of education or education within a subject discipline. This may result in an impact case study of sufficient quality to be successfully submitted for REF.

<ul style="list-style-type: none"> • Internally, makes an evident contribution to the planning & organisation of innovative teaching and learning within the School. • Attracts high quality postgraduate research students, and builds academic capacity via career development of doctoral students. • Plays a leading role in delivering development activities for example mentoring of more junior colleagues in the context of the NTU Learning and Teaching Professional Development Framework. • Substantial contribution to employer and sector engagement activity which improves students' career outcomes. 	<ul style="list-style-type: none"> • Internally, makes an evident leadership contribution to the planning & organisation of innovative teaching and learning within the School. • Attracts high quality postgraduate research students, and builds academic capacity via supervision of doctoral students. • Plays a leading role in delivering development activities for example mentoring of more junior colleagues and contributes to the development of the NTU Learning and Teaching Professional Development Framework. • Leads high quality initiatives with partners/recipients of pedagogic research and development of academic practice for example, school improvement services. • Leadership of new, strategically aligned employer and sector engagement activity which improves students' career outcomes. 	<ul style="list-style-type: none"> • A leading role in high-impact work which influences government. • Internally, leadership effects significant change for example in the uptake of innovative teaching and learning within the School. • Attracts high quality postgraduate research students, and builds academic capacity via supervision of doctoral students. • Plays a leading role in creating and delivering development activities for example mentoring of more junior colleagues and contributes to the development of the NTU Learning and Teaching Professional Development Framework. • Leads high quality initiatives with partners/recipients of pedagogic research and development of academic practice for example, school improvement services. • Supports the infrastructure and facilities of their School in a variety of ways, examples of this could include direct involvement in staff development, undertaking formal secondment, disseminating research findings to the public or leading interdisciplinary research, receiving
--	---	---

		<p>fellowships/awards, participating on government advisory boards.</p> <ul style="list-style-type: none"> • Leadership of significant developments in employer and sector engagement activity which improve students' career outcomes and which are enriched by alignment with parallel activity in international institutional partnerships.
Band 1	Band 2	Band 3
External Esteem/Collaboration:	External Esteem/Collaboration:	External Esteem/Collaboration
<p>International reputation with contribution to key discipline, and cross-discipline networks; evidenced by some of the following, for example:</p> <ul style="list-style-type: none"> • Membership of significant national organisations, charitable bodies, expert committees etc. • Active role in professional bodies or comparable organisations. • Advising and providing expert opinion and advice. • Invited to contribute to international conferences. 	<p>Develop and maintain successful working relationships with various international bodies, evidenced by some of the following, for example:</p> <ul style="list-style-type: none"> • Expertise in significant demand from partners within and beyond academia and/or asked to fulfil major international roles within the discipline. • Achieving recognition both personally and for the University through leadership of highly prestige collaborations of national and international significance with public, private and third-sector partners. 	<p>Holds a recognised position of leadership at international level evidenced by some of the following, for example:</p> <ul style="list-style-type: none"> • Being frequently called upon to advise agenda setting international bodies, or at inter-government level. • Maintains significant relationships with the educational industry and other end users of research. • Awards of patents or licences for example for e-materials or tools. • Membership of major/prestigious international bodies. • Editorship of internationally eminent journals.

<ul style="list-style-type: none"> • Involvement in the organisation of international conferences. 	<ul style="list-style-type: none"> • Delivery of plenary and key note addresses at esteemed international conferences. • Awarded or shortlisted for international awarded/prize. • Editor for leading international journal for the discipline. • High level association with internationally prestigious University. • Chairing of significant national/international organisations, charitable bodies, government bodies, trusts. • Regularly invited to contribute to international conferences, with the production of at least two quality conference papers/equivalent each year • Organisation of international conferences • Undertaking visiting professorships. 	<ul style="list-style-type: none"> • Receiving awards of distinction and/or recognition from major societies and international bodies for contribution to world class research/teaching. • Chairing independent national level reviews and enquiries. • Regular invitations to give the most prestigious international lectures, with the production of at least two quality conference papers/equivalent each year. • Organisation of international conferences • Election to chair of major international academic institutions or chairing the leading world conference for the discipline. • International visiting professorships.
<p>Band 1</p> <p>Income Generation:</p>	<p>Band 2</p> <p>Income Generation:</p>	<p>Band 3</p> <p>Income Generation:</p>
<p>Secure at least one successful funding application as principal or co-investigator every two years, securing income commensurate with discipline norms.</p>	<p>Secure at least one major successful funding application as principal investigator every two years, securing income commensurate with discipline norms and</p>	<p>Secure at least one very significant successful funding application as principal investigator every two years, securing income commensurate with discipline</p>

<p>Subject to discipline norms, a Band 1 Professor would normally be expected to achieve at least three successful funding applications in a rolling six year period, ideally a minimum of one successful application every two years.</p>	<p>practice within the discipline and taking into account the extent of professorial experience.</p> <p>Subject to discipline norms, a Band 2 Professor would normally be expected to achieve at least three major successful funding applications in a rolling six year period, ideally a minimum of one successful application every two years.</p>	<p>norms, as informed by national research frameworks, commensurate with practice within the discipline and taking into account the extent of Professorial experience.</p> <p>Subject to discipline norms, a Band 3 Professor would normally be expected to achieve at least three very significant successful funding applications in a rolling six year period, ideally a minimum of one successful application every two years.</p>
<p>Band 1</p> <p>Contribution to Learning and Teaching Strategy or Building Research Capability:</p>	<p>Band 2</p> <p>Contribution to Learning and Teaching Strategy or Building Research Capability:</p>	<p>Band 3</p> <p>Contribution to Learning and Teaching Strategy or Building Research Capability:</p>
<ul style="list-style-type: none"> • Sustained contribution to shaping and influencing academic strategy. • Support, advise and mentor post-graduate students. • Design and delivery of staff development activities for learning, teaching & assessment. • Leadership of technological innovations • Co-ordinate pedagogic research activities, for example, co-ordinating a seminar series for the School or the Trent Institute of Learning & Teaching. 	<ul style="list-style-type: none"> • Sustained contribution to shaping and influencing academic strategy. • Supporting and mentoring post-graduate students and leading on their educational development as teachers. • Design and delivery of staff development activities for learning, teaching & assessment. • Leadership of technological innovations. • Co-ordinate pedagogic research activities, for example, co-ordinating a 	<ul style="list-style-type: none"> • Sustained contribution to shaping and influencing academic strategy. • Taking a lead role in developing capacity and capability of staff, including the design and delivery of staff development activities, advising on personal and career development plans, and providing mentoring and coaching to secure a high level of performance. • Support, advise and mentor post-graduate students and lead on their educational development as teachers;

<ul style="list-style-type: none"> • Member of School Teaching & Learning Committee/Trent Institute Scholarship Committee. • Contribution to the development of the School Learning & Teaching Plan. 	<p>seminar series for the School or the Trent Institute of Learning & Teaching.</p> <ul style="list-style-type: none"> • Member of School Teaching & Learning Committee/Trent Institute Scholarship Committee. • Contribution to the development of the School Learning & Teaching Plan. 	<p>contributing to the international researcher development movement.</p> <ul style="list-style-type: none"> • Design and delivery of staff development activities for learning, teaching & assessment. • Leadership of technological innovations. • Co-ordinate pedagogic research activities, for example, co-ordinating a seminar series for the School or the Trent Institute of Learning & Teaching. • Member of School Teaching & Learning Committee/Trent Institute Scholarship Committee. • Contribution to the development of the School Learning & Teaching Plan. • Implementing approaches, methods and innovations that have been adopted internally, but also at national/international level, through pedagogic publications, teaching and learning strategies and consultancy.
<p>Band 1</p> <p>Academic Leadership, Management and Associated Activity:</p>	<p>Band 2</p> <p>Academic Leadership, Management and Associated Activity:</p>	<p>Band 3</p> <p>Academic Leadership, Management and Associated Activity:</p>

<p>Undertake relevant administrative and academic management duties as are expected of the role, for example:</p> <ul style="list-style-type: none"> • Management and supervision of entire course areas, clusters or levels. • Oversight and active management of aspects of the relevant research environment within the discipline area including the financial management of personal or project grants. • Sustained contribution to School, College and University key committees for teaching, learning and scholarship. • Delivery of projects within the Trent Learning & Teaching Institute. • Delivery on strategic national collaborative partnerships. 	<p>Lead and influence relevant administrative and academic management duties as are expected of the role, for example:</p> <ul style="list-style-type: none"> • Management and supervision of entire course areas, clusters or levels. • Oversight and active management of aspects of the relevant research environment within the discipline area including the financial management of personal or project grants. • Sustained leadership contribution to School, College and University key committees for teaching and scholarship • Leadership of projects within the Trent Learning & Teaching Institute. • Leading and managing strategic collaborations with overseas partners. 	<p>Transform the design of relevant administrative and academic management duties as are expected of the role, for example:</p> <ul style="list-style-type: none"> • Management and supervision of entire course areas, clusters or levels. • Oversight and active management of aspects of the relevant research environment within the discipline area including the financial management of personal or project grants. • Sustained leadership contribution to School, College and University key committees for teaching and scholarship. • Leadership and shaping of the projects within the Trent Learning & Teaching Institute. • Be the cause of strategic relationships with overseas partners wanting to work with NTU.
---	---	--

Appendix J: Frequently Asked Questions

Identifying Staff with Significant Responsibility for Research

Q. How will significant responsibility for research be determined at NTU?

Research England guidance states that staff with significant responsibility for research are those for whom explicit time and resources are made available to engage actively in independent research, and that is an expectation of their job role. At NTU staff on a teaching and research pathway are deemed to have significant responsibility for research. Staff on the teaching and research pathway will be expected to have research-focused objectives in their appraisals.

Q. Will staff on teaching and research contracts be required to demonstrate research independence?

No. Only staff on research only contracts will be required to demonstrate research independence.

Determining Research Independence

Q. Which groups are affected by the research independence test?

Staff on research only contracts.

Q. What type of roles would typically be associated with research only contracts?}

Roles would include, but are not necessarily limited to, Research Assistants, Research Associates, Research Fellows and Senior Research Fellows.

Selection of Outputs

Q. If there is a co-authored paper and both co-authors are in the same UoA, what process is used to determine who is assigned the output?

Outputs will be selected to ensure adherence to the minimum (1) and maximum (5) permitted per FTE and allocated in such a way to maximise the GPA of the Unit of Assessment. In cases where an output can be attributed to either co-author without impediment to the GPA and respecting the maximum/minimum requirements, it will be attributed to the corresponding author, where the corresponding author is one of the NTU authors. Where neither NTU author is the corresponding author the Unit of Assessment Coordination Group will be asked to make the determination. Research England have advised that a list of individuals who have contributed outputs to each Unit of Assessment will not be published.

Q. Will outputs produced by former members of staff be included in NTU's REF submission?

Outputs produced by former members of staff employed at NTU during the REF 2021 census period will be considered for inclusion in NTU's submission. Outputs will be selected to maximise the GPA of the Unit of Assessment and institutional GPA. No distinction will be made during the review stage as to the employment status of authors i.e. current or former staff. At the selection stage, where decisions are required on outputs of equal quality, priority will be given, where possible, to outputs produced by current members of staff.

Q. Will reductions in outputs associated with staff circumstances be applied at the individual member of staff or the Unit of Assessment in which they will have outputs returned?

As per Research England guidelines, reductions in outputs will be applied to the Unit of Assessment and not the individual member of staff.

Q. Will identified reductions in outputs associated with staff circumstances always be applied?

Reductions will only be applied if the cumulative effect of circumstances has disproportionately affected the Unit of Assessment's potential output pool.

Q. Which staff meet the definition of an Early Career Researcher?

For the purposes of the REF 2021, ECRs are defined as members of staff who meet the definition of 'Category A Eligible Staff' on the census date, and who started their careers as independent researchers on or after 1 August 2016.

Impact Case Studies

Q. Why is there no mention of processes associated with developing impact case studies in the Code of Practice?

The Code of Practice does not make reference to impact case studies for the reason that Research England have not requested us to include this aspect.

Q. Can research produced by staff without significant responsibility for research underpin impact case studies?

Research produced by staff without significant responsibility for research, i.e. those on a teaching and practice or teaching and scholarship pathway, can underpin impact case studies. Research produced by former members of staff can also underpin case studies, provided that the research was demonstrably generated while they were employed at NTU.

Appendix K: Confirmation of agreement of this Code of Practice with Staff Representatives at NTU

NOTTINGHAM
TRENT UNIVERSITY

Dr Steven Hill
Director of Research
Research England
Lime Kiln Close
Stoke Gifford
Bristol
BS34 8SR

Professor Edward W Peck PhD MA BA
DHSM DipM
Vice-Chancellor
Direct: +44 (0)115 848 6571
edward.peck@ntu.ac.uk

16 September 2019

Dear Steven

Further to your letter of 16 August 2019, I am writing to confirm how our Code of Practice for REF 2021 was agreed with appropriate staff representatives.

NTU consulted with the University College Union on our new Academic Career Pathway Framework and its use in REF during 2018. UCU agreed the framework through ballots of relevant staff groups and a branch vote which they confirmed in October 2018. The criteria for alignment to the Teaching and Research Pathway are detailed in our Code of Practice in Appendix 1.

In addition, after a broad consultation, NTU's Code of Practice was agreed unanimously by the Academic Board on 3 April 2019. Our Academic Board has members elected from each Academic School in the University.

Yours sincerely



Professor Edward Peck
Vice-Chancellor



Nottingham Trent University
50 Shakespeare Street, Nottingham NG1 4FQ
Tel. +44 (0)115 941 8418 www.ntu.ac.uk