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Code of Practice REF2021

University of the Arts London

Research Management and Administration

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Glossary of Terms

ACP	Academic Career Pathway
ADR	Associate Dean of Research
BAME	Black, Asian or Minority Ethnic
CRWG	College REF working Groups
ECR	Early Career Researcher
EDI	Equality Diversity and Inclusion
EIA	Equality Impact Assessment
FTE	Full Time Equivalent
HEI	Higher Education Institution
PRA	Planning, Review and Appraisal Process
PVC	Pro-Vice Chancellor
REF	Research excellence Framework
RMA	Research Management and Administration
RMG	Research Management Group
UoA	Unit of Assessment
UCU	University and College Union

Part 1: Introduction

The funding bodies require the head of each Higher Education Institute (HEI) making a submission to the Research Excellence Framework 2021 to develop, document and apply a code of practice on its approach to the fair and transparent:

- Identification of staff with significant responsibility for research

- Determining who is an independent researcher

- The selection of outputs, including approaches to supporting staff with circumstances

HEIs need to ensure that their REF procedures do not discriminate unlawfully against, or otherwise have the effect of harassing or victimising, individuals because of their race, sex, age, disability, gender identity, marriage and civil partnership, religion and belief, sexual orientation or because they are pregnant or have recently given birth or adopted a child.

A Code of Practice ensures fairness, transparency, consistency, accountability and inclusivity, as is highlighted in the Guidance on submissions, to ensure that all REF processes are fair throughout and from the outset.

HEIs are required to submit the Code of Practice to Research England for review and approval by the REF Equality and Diversity Advisory Panel (EDAP).

The University's Equality and Diversity Unit has advised on aspects of this Code.

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1.1 Institutional Policies

UAL is committed to creating a supportive, inclusive environment where students and staff can bring their 'whole selves' to their work, learning and creative practice, and reach their full potential. Our UAL Strategy, Dignity at Work (Appendix 1), and Equal Opportunities 2016 (Appendix 2) policies set out how we ensure equality, diversity and inclusion (EDI) on the grounds of age, caring responsibilities, disability and neurodiversity, gender and gender identity, pregnancy and maternity, nationality, race, religious belief (or no belief), and sexual orientation.

Part time and fixed term staff are supported via the University's Employment Policy. This policy is underpinned by the Equality Act 2010 in all aspects of employment. Fixed-term Employees (Prevention of Less Favourable Treatment) Regulations 2002 and the Part-time Workers (Prevention of Less Favourable Treatment) Regulations 2000 are also explicit in key employment policies such as recruitment and selection.

The University recognises the importance of the contribution of its Early Career Researchers (ECR's) in bringing diversity, creativity and sustaining high quality research. UAL is fully committed to valuing and promoting career development for our Early Career Researchers.

1.2 Legislative Context

The University has responsibilities as an employer and as a public-sector organisation under the Equality Act 2010. As an employer, the University must ensure that its policies do not directly or indirectly discriminate against its employees on the grounds of their Age, Disability, Gender Identity, Marriage and Civil Partnership, Pregnancy and Maternity, Sex (Gender), Race, Religion or Belief, Sexual Orientation. These obligations apply to all REF selection procedures.

> This Code of Practice applies to all members of staff involved in REF processes as well as any external advisors engaged by the University.

1.3 Equality Impact Assessments

The University will conduct equality impact assessments (EIAs) on; the committees, policies, and procedures for identifying staff with significant responsibility for research, determining research independence, and the selection of outputs including supporting staff with circumstances, to ensure there is no detrimental impact relating to any protected characteristic.

Actions taken since REF2014

Equality impact assessments carried out on UAL's submission to REF2014 identified an under representation of staff early in their careers. For all other protected groups representation was representative of, or exceeded, the University as a whole.

UAL has a number of initiatives to support the development of staff in various stages of their careers. The Early Career Researcher (ECR) scheme provides a training programme delivered by the UAL Teaching and Learning Exchange and remission from teaching activity. Annual reviews of the programme by the Teaching and Learning Exchange in collaboration with Research Management and Administration (RMA) ensures continued development of the programme to meet the needs of early career researchers. A set of criteria for ECRs to be allocated to the Research Oriented Pathway was introduced as part of the Academic Career Pathways project in 2017 recognition of different expectations of this group in terms of research productivity.

While the representation of Black, Asian or Minority Ethnic (BAME) staff in REF 2014 reflected the University as a whole UAL is committed to building on its support for BAME staff.

UAL's RACE Champions Forum was set up in 2014 and is made up of a broad range of staff and student representatives committed to progressing race equality at UAL. The forum meets termly to share good practice and report on progress towards UAL's bid for the Race Equality Charter.

The University is currently in the process of setting up a Race Equality Self-Assessment Team (SAT) that would analyse qualitative and quantitative data, establish an action plan and prepare the University submission for the Race Equality Charter award.

As part of the University's commitment to equality, diversity and inclusion, in 2018 the University joined the Stonewall Global Diversity Champions Programme, which will enable it to take a strategic and structured approach to LGBTQ+ initiatives as a global institution.

Work on the disability confident accreditation has been ongoing with many of the policies and processes already embedded into the culture of UAL. Through this work, UAL has updated and refreshed the workplace adjustments procedure, and delivered specialist disability equality training for line managers.

The University achieved Level 2, Disability Confident Employer, status in 2019. The University has also joined the Business Disability Forum, a leading disability advocacy and support organisation for employers. Through the partnership, UAL has access to best practice advice and guidance in advancing disability equality in the workplace.

UAL introduced the 'Mx' title category to its HR Management Information Systems in October 2016.

To tackle unconscious and implicit bias, the University launched a Breaking Bias online training module in 2017 which is now mandatory for all staff.

In 2019, the University introduced a new Equality and Privacy Impact Assessment toolkit to ensure that all its policies are inclusive. The toolkit will be applied to the policies and processes governing UAL's submission to REF2021.

Staff Networks

The University has in place staff diversity networks. These include:

- LGBTQ+ Staff Network
- Group for the Equality of Minority Staff (GEMS)
- Disabled and Neurodiverse Staff Network

1.4 Principles of the Code

Transparency

All REF-related processes will be transparent and clearly set out in this Code of Practice. The Code will be mainstreamed into all aspects of the REF process. It will be made available and easily accessible to all academic staff across UAL and drawn to the attention of staff absent from work. Communication methods will be agreed between individuals and line managers before any planned long-term absence. It will be accessible and made available in a diversity of formats on request. A campaign of communication activity will take place to disseminate the Code of Practice which will also be available on the University's website and intranet site, Canvas.

Consistency

All processes managed and supported centrally will follow an agreed and consistent process across the University. Benchmarking activities will be undertaken to ensure a consistent approach and application of policies and processes across the University. An appeals process will be in place for all stages of the process.

Accountability

Responsibilities will be clearly defined, and individuals and bodies that are involved in REF processes and submissions will be identified. This Code of Practice sets out the training requirements for those who are involved in the preparations for submission. Operating criteria and terms of reference for individuals, committees, advisory groups and any other bodies concerned will be set out and made available.

Inclusivity

All types of research and all forms of research outputs across all disciplines shall be assessed on a fair and equal basis. This Code of Practice aims to ensure that all staff with significant responsibility for research are identified and submitted to REF2021 and that all research outputs submitted by these staff are considered for submission on a fair and equal basis. Members of staff involved in selecting outputs and impact case studies for REF submission will, where possible, reflect the diversity of research and researchers within the University.

1.5 Communication

The University is committed to communicating and disseminating the Code to all eligible staff, their managers and anyone involved in the REF process. It will:

- Make the Code widely available throughout the University by publishing it, and other relevant documents, on its research webpages and on the staff intranet site.

- Circulate an email from the Vice Chancellor to all academic and research staff in November 2019 to disseminate the Code of Practice.

- Present the Code of Practice at staff meetings and through College research communications.

- Encourage staff to discuss questions they may have on the University's preparation for REF with their College Associate Dean of Research (ADR), the Dean of Research or the Deputy Director of RMA (Environment and Communications).

- Make the approved Code of Practice available and easily accessible to all academic staff across the institution and drawn to the attention of those absent from work. Communication methods will be agreed between individuals and line managers before any planned long-term absence. Unplanned absence will be handled on an individual basis via the usual line manager and/or HR

- Ensure that all eligible staff are notified in writing about University decisions with regard to their eligibility, submission and inclusion of outputs in the REF submission and provide appropriate and timely feedback for appeals to be considered before the final selection is made.

Part 2. Identifying staff with significant responsibility for research

Each HEI must return <u>all</u> eligible staff with significant responsibility for research. Eligible staff are academic staff with a contract of 0.2 FTE or greater with a primary employment function of 'research and teaching' or 'research only'. Where the eligible staff definition does not accurately identify staff in a HEI with significant responsibility for research, the HEI must develop and apply a consistent process for identifying staff with significant responsibility for research. UALs academic activity spans teaching, research and knowledge exchange, all are valued and contribute to the success of the University. However as indicated by our student numbers and sources of income, UAL is a teaching intensive university.

> The eligible staff definition for REF2021 does not accurately identify staff in UAL with significant responsibility for research.

2.1 Policies and Procedures

UAL's Academic Career Pathways were developed to recognise, reward and develop academic staff who have different skills in delivering teaching, research and knowledge exchange. To ensure that all academic staff have the opportunity to progress their career in their own relevant area of expertise and to recognise existing excellent practice of academic staff. In 2017/18, following extensive consultation, UAL introduced 3 Academic Career Pathways; the Teaching Oriented Pathway; the Knowledge Exchange Oriented Pathway, and the Research Oriented Pathway.

Academic Career Pathway principles:

- All academic staff teach as part of their contract
- All 3 Pathways have a clear route from Grade 5 to Professor
- Academics are placed on a pathway through an open, transparent process
- There is a clear process for academics to switch pathway at different points in their career

2.2 Development of Processes

The Academic Career Pathway project was approved by the Executive Board and led by the Academic Pathways Project Board who looked at policies and practices across the sector and held a number of focus groups with academic staff. While a key driver for the project was to provide clarity on those academic staff conducting research to inform the REF submission, the project has a much wider scope and as such the process to assign staff to a pathway is carried out independently of preparations for REF2021. The Universities and College Union were consulted on the proposals and throughout the development of the pathways.

Focus groups for Deans and Associate Deans

All Deans and Associate Deans were invited to attend one of two focus groups held in the summer term 2016 to get their input into the process and to ensure that the Pathways are fit for purpose and meet the needs of staff, and contribute to the delivery of excellent teaching, research and assist in building strong links with industry. The objective of the sessions was to share the work done so far on the pathways and to get views and ideas on how the pathways could be developed further.

Open focus groups for all staff

All staff were emailed and invited to attend focus groups held in summer term 2016 to get their input into the process and to ensure that the pathways are fit for purpose and meet the needs of staff, and contribute to the delivery of excellent teaching, research and assist in building strong links with industry. The objective of the sessions was to share the work done so far on pathways and to get views and ideas on how the pathways could be developed further. Seven focus groups were held in total.

Project Briefing Sessions for Academic Managers

Session were led by the Academic Career Pathway project lead and gave more information on the project, including the detailed criteria for the research pathway, the amendments to pathway criteria and the proposed system for placing staff on the pathway. It provided an opportunity for academic managers to explore with colleagues how each pathway. would work and to address specific academic questions that came up. It also provided an opportunity for academic managers to comment on the pathways. Nine sessions were held across all sites between December 2016 and February 2017.

Consultation with the University and College Union (UCU)

A regular schedule of meetings between UAL Senior Management and UCU was established to share proposals on pathways, criteria and surrounding processes with trade union colleagues and draw on their expertise and experience. A number of changes were made to the pathways processes, criteria and documentation following discussions with UCU.

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In Oct 2018 UCU and UAL management issued a joint statement confirming agreement on the following:

The titles of the three pathways would be; the Teaching Oriented Pathway, the Knowledge Exchange Oriented Pathway and the Research Oriented Pathway, and that the three pathways would have a descriptor of the ways in which each represents career orientations for staff (figure 1.).

To enhance the existing role profiles to show the range of duties that staff are expected to undertake according to their grade and across different pathway orientations.

Activities, outcomes and outputs relevant to all pathways should be recognised, celebrated and shared.

The value of both existing and new academic activities and a commitment to offering support, staff development, and the opportunity to apply for funding and remission to all.

In July 2019 the Joint Working Group on Academic Career Pathways issued a statement on the progress made through joint UCU/UAL Management discussions on the Academic Career structures, description and processes.

'*These pathways will enable the university to respond constructively to the various external challenges of the TEF and upcoming KEF, as well as including staff on the Research Pathway in REF*'
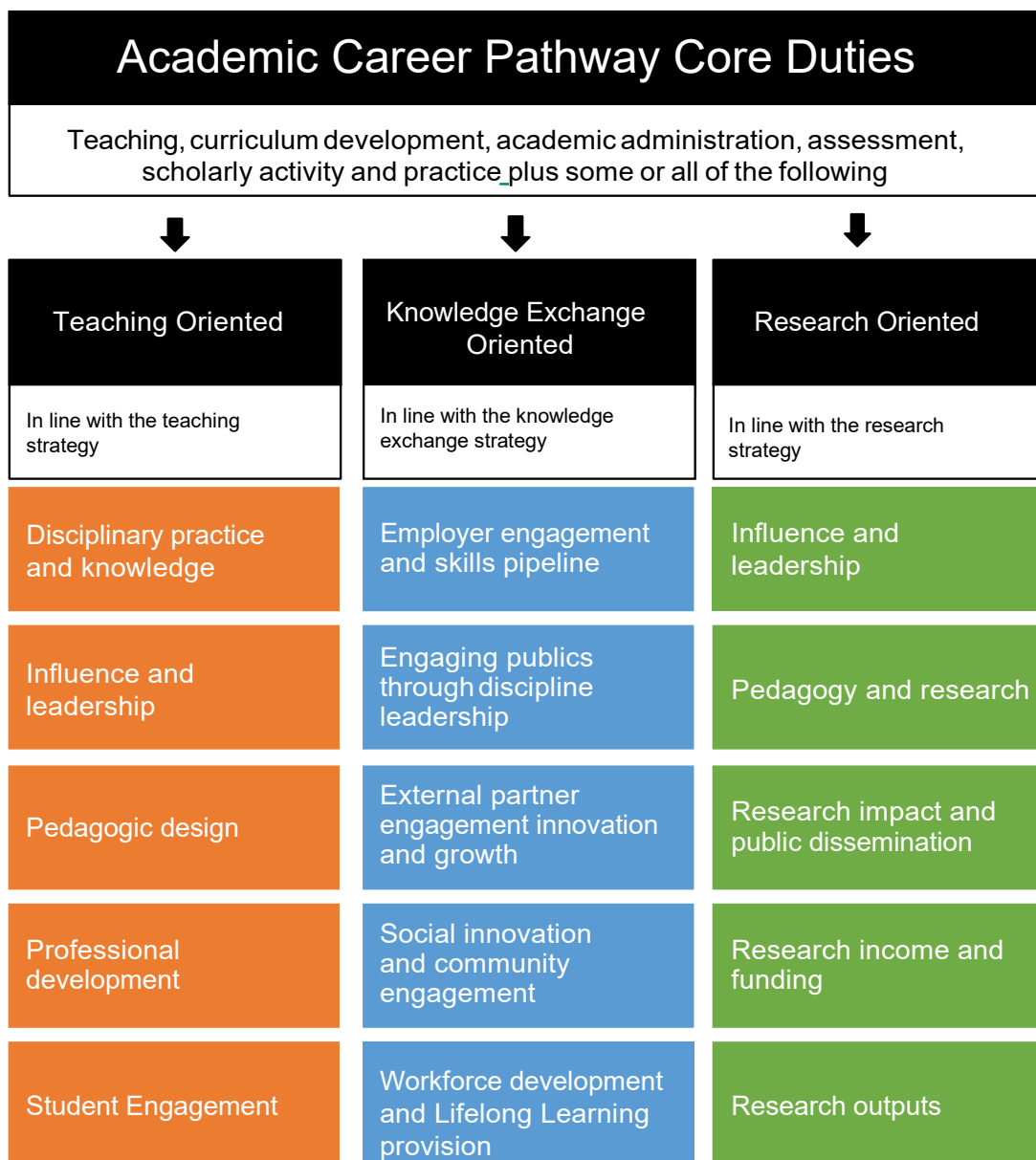
Academic Career Pathway Core Duties		
Teaching, curriculum development, academic administration, assessment, scholarly activity and practice plus some or all of the following		
↓	↓	↓
Teaching Oriented	**Knowledge Exchange Oriented**	**Research Oriented**
In line with the teaching strategy	In line with the knowledge exchange strategy	In line with the research strategy
Disciplinary practice and knowledge	Employer engagement and skills pipeline	Influence and leadership
Influence and leadership	Engaging publics through discipline leadership	Pedagogy and research
Pedagogic design	External partner engagement innovation and growth	Research impact and public dissemination
Professional development	Social innovation and community engagement	Research income and funding
Student Engagement	Workforce development and Lifelong Learning provision	Research outputs

Figure 1. Descriptors for the three academic career pathways

2.3 Process for allocating to an Academic Career Pathway

Placement of the majority of current staff onto Academic Careers Pathways were made in August 2017, following a clearly defined application process (Appendix 3). New staff are placed on a pathway during their probation. The process for assignment to a pathway is described in figure 2. A key principle of the pathway is permeability and staff will also have the opportunity to switch pathways as part of their career progression using this process. While teaching and research oriented pathways fall within current academic contractual arrangements, knowledge exchange is a new term that represents the academic enterprise and related activity that is undertaken by some academic staff.

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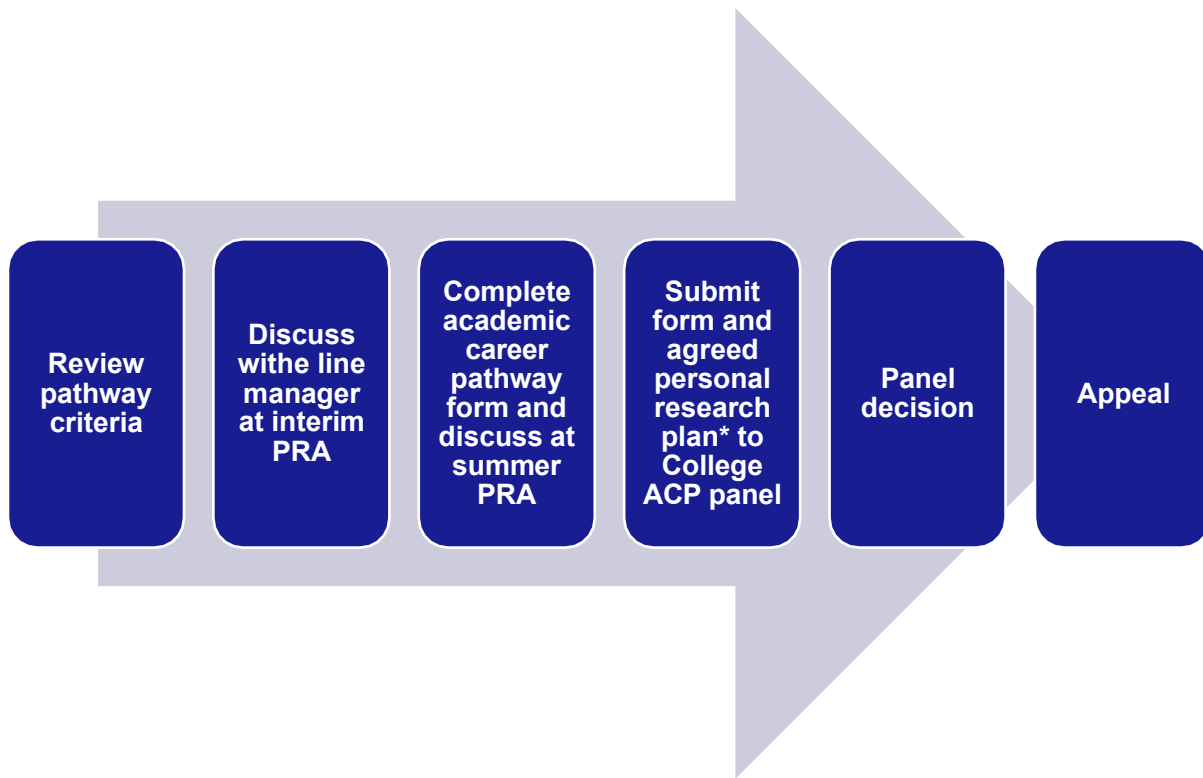| Review pathway criteria | Discuss withe line manager at interim PRA | Complete academic career pathway form and discuss at summer PRA | Submit form and agreed personal research plan* to College ACP panel | Panel decision | Appeal |

Figure 2. Process for allocation to an Academic Career Pathway (*Research Oriented Pathway only)

Each pathway has specific descriptors that outline the responsibilities and for staff on each pathway. To support the principle of permeability all staff who want to develop their research focus are able to access staff development opportunities regardless of their pathway. Through the academic workload planner all staff will have 339 hours per year (pro rata) assigned for scholarly activates aligned with their pathway.

UAL proposes to identify staff as having significant responsibility for research for submission to REF2021 as those staff on the Research Orientated Academic Career Pathway.

2.4 Staff and Committees

UAL's academic committees seek to ensure that the decisions which shape our academic activities are made in a representative and accountable way. It is vital that staff from diverse backgrounds are represented within our decision-making processes. Greater diversity helps us to make more innovative decisions, by drawing on a broader range of perspectives and experiences.

Academic Board sits at the head of the Academic Committee structure and is responsible for oversight of all the University's academic activities (Appendix 4). UAL committees are governed by the Academic Board Standing Orders, which are the regulations that outline committees' roles, responsibilities and membership, including the process for nominated members, as well as the rules of conduct and management (Appendix 5).

Staff from ethnically diverse backgrounds are currently under-represented on UAL's academic committees and we are taking steps to address this imbalance. Committees must consider selecting a colleague from a BAME background when making selection decisions, and all committees will have an additional co-option position to be used to increase BAME membership.

To support these initiatives, a Committee Membership Pool has been established with the aim of encouraging staff from BAME backgrounds interested in the work of our academic committees to put themselves forward as potential committee members.

The Academic Career Pathway Project Board, University Academic Career Pathways Panel and College Academic Pathways Panel will apply the principles of the Academic Board Standing Orders that outlines UAL committees' roles, responsibilities and membership as well as the rules of conduct and management. They will also apply UAL's policy on diverse committees to ensure that staff from diverse backgrounds are represented on within the process.

Executive Board

The Vice-Chancellor's advisory board and the senior executive decision-making body in the University, responsible for all matters of executive and resource policy.

Chair: Vice Chancellor
Membership: Deputy Vice Chancellor (Academic)
Deputy Vice Chancellor (Operations)
Pro Vice Chancellors and Heads of College (x4)
University Secretary and Registrar
Director of Human Resources
Chief Financial Officer
Director of Planning
Director of Communications and External Affairs

Academic Career Pathways Project Board

Appointed by the Executive Board to overseas the development and implementation of the academic pathways and ensure effective consultation. Reports to the Executive Board.

Chair: Director of Human Resources
Membership: Pro Vice Chancellors and Heads of College (x2)
Dean of Research
Dean of Learning, Teaching and Enhancement
Director of Knowledge Exchange
Deputy Director of Human Resources
Deans (x 2)
Head of Internal Communications
ACP Project Manager

University Academic Career Pathways Panel

Conducts a moderation of College Panel decisions and also be the appeals/review panel for individuals who disagree with College Panel decisions. Appointed by the Project Board Reports to Academic Board. Responsible for ensuring consistency in the application of policies and procedures by College Panels

Chair: Deputy Vice Chancellor (Academic)
Membership: Dean of Research
Dean of Learning, Teaching and Enhancement
Director of Knowledge Exchange
Director of Human Resources

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College Academic Pathways Panel

Reviews applications for pathway allocation or requests to switch pathways against the criteria for each pathway. Appointed by the College Executive Committee. Reports to College Executive Committee.

Chair: Head of College
Membership: College Associate Dean of Research
College Associate Dean of Teaching and Learning
Knowledge Exchange Specialist (to be identified in each College)
Human Resources Business Partner

College Associate Deans of Research

College Associate Deans of Research are permanent appointments made through an open and transparent recruitment process as set out in UALs recruitment and selection policy. Associate Deans for Research signpost staff considering the research pathway to appropriate support and training and review the personal research plan.

Line Managers

Conduct annual planning, review and appraisal (PRA) process which includes a discussion of assignment to the appropriate academic pathway

Academic Career Pathways Project Manager

As a member of the Project Board, the project manager is involved in and managing the process for developing the pathways including consultation events.

2.5 Training

While the pathways process will inform the REF submission in regards to identifying those with significant responsibility for research, it is conducted independently of the REF submission and this is reflected in the training for those involved in the pathways process.

Members of the Executive Board, Academic Career Pathway Project Board, University Academic Career Pathways Panel, College Academic Pathways Panel, and any individuals that may be part of the academic career pathways process will be expected to have participated in, and passed, the most recent version of the Breaking Bias training package.

In addition, the University's Head of Diversity and Inclusion will deliver EDI training for the University Academic Career Pathways Panel and College Academic Pathways Panel which will include reference to the fixed term and part time regulations in addition to the Equality Act 2010. Training will not only address fair and equal consideration of those who have submitted an application for assignment to a pathway but the fair and equal consideration of the working practices, contribution, input and decisions of all those involved in the process.

2.6 Appeals

When staff are placed on a pathway by the College Pathway Panel they are given the opportunity to have the placement reviewed by the University Academic Career Pathways Panel chaired by the Deputy Vice Chancellor (Academic). When notified of the outcome of their application for assignment to a pathway, staff who are not allocated to their chosen pathway are invited to submit evidence to support their desired pathway placement which is reviewed by the Panel. The Panel decision is final.

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2.7 Equality Impact Assessments (EIAs)

EIAs will be conducted on the composition of committees, policies and procedures for allocating staff to an academic pathway. This will include a comparative equality profile report on of the diversity characteristics of those who apply for, and are allocated to, each of the three pathways routes, as well as successful and unsuccessful appeals. The University will seek to achieve best practice in the area of equality and diversity by involving, where possible, staff with protected characteristics in the Equality Impact Assessments. EIAs will be reviewed by the University Academic Pathways Panel who will develop and implement an action plan where any issues are identified.

Data on protected characteristics has been collected for the initial placements in 2017 and is under review by the Head of Diversity and Inclusion and the Academic Pathway Panel. Further EIAs will be carried out in August 2019 and August 2020 following the annual performance review and appraisal cycle.

Part 3: Determining Research Independence

3.1 Policies and Procedures

All academic staff with a contract of 'teaching and research' or 'research only' and having gone through a process of assignment to the Research Orientated Pathway will have demonstrated their independence as researchers. All other staff on a contract that specifies 'research only', including research fellows and those employed on fixed term funding, will need to demonstrate that they meet the criteria for an independent researcher as set out in the REF Guidance on submissions.

For the purposes of the REF, an independent researcher is defined as an individual who undertakes self-directed research, rather than carrying out another individual's research programme. Possible indicators of independence include:

- Leading or acting as principal investigator or equivalent on an externally funded research project

- Holding an independently won, competitively awarded fellowship where research independence is a requirement.

- Leading a research group or a substantial or specialised work package.

- Being named as a Co-I on an externally funded research grant/award.

- Having significant input into the design, conduct and interpretation of the research.

A member of staff is not deemed to have undertaken independent research purely on the basis that they are named on one or more research outputs.

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All non-academic 'research only' staff will be invited to submit evidence of independence as set out in the Guidance on Submissions. This staff group will be identified by HR and will be invited by the Dean of Research to submit an application if they consider that they meet the criteria of an independent researcher (figure 3.). Staff who are absent from work on a long-term basis due to sickness, maternity or other circumstance will be contacted by human resources and adjustment to the timelines for their applications made accordingly.
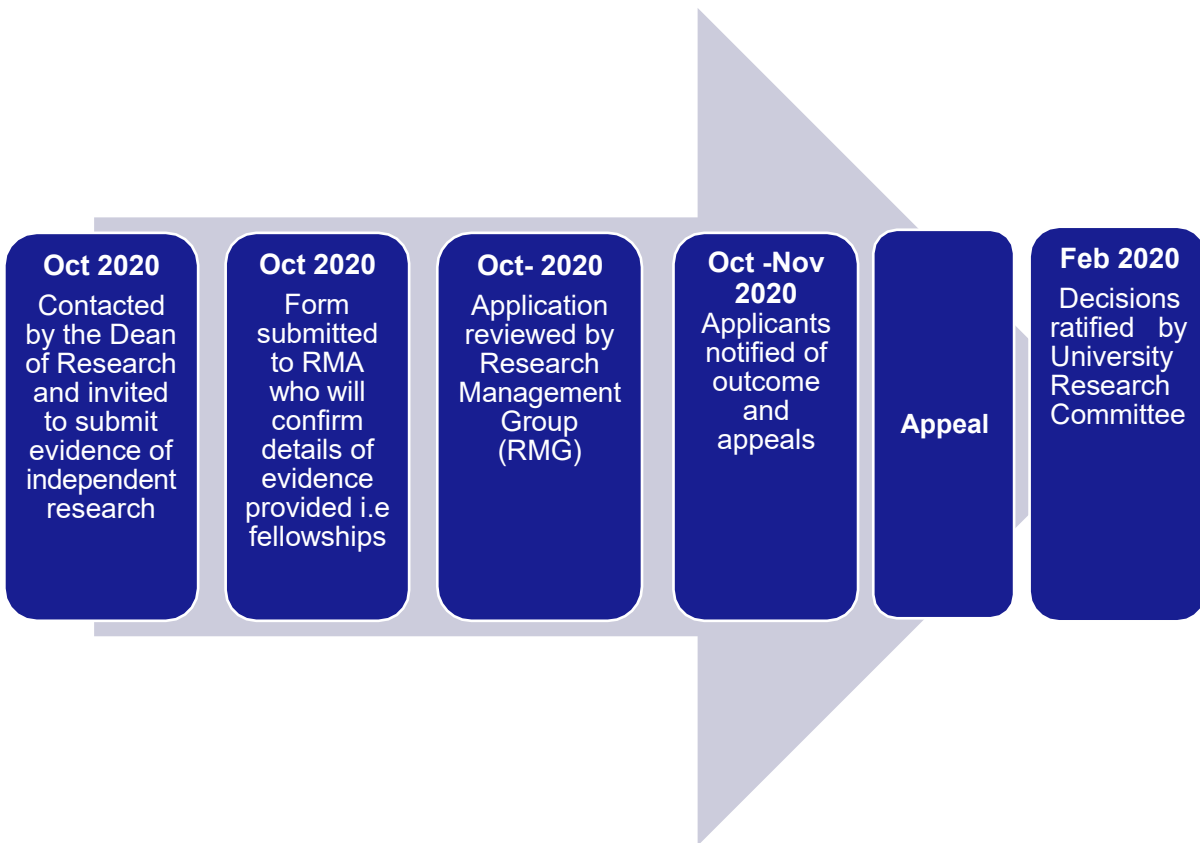
| **Oct 2020** Contacted by the Dean of Research and invited to submit evidence of independent research | **Oct 2020** Form submitted to RMA who will confirm details of evidence provided i.e fellowships | **Oct- 2020** Application reviewed by Research Management Group (RMG) | **Oct -Nov 2020** Applicants notified of outcome and appeals | **Appeal** | **Feb 2020** Decisions ratified by University Research Committee |

Figure 3. Process for submitting evidence of research independence

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3.2 Staff and Committees

Academic Board

Academic Board sits at the head of the Academic Committee structure and is responsible for oversight of all the University's academic activities (Appendix 6). The Academic Board will approve all aspects of the REF submission for sign-off by the Vice Chancellor.

Chair: Vice Chancellor
Appointed: 17* members (Academic Heads or equivalent)
Nominated: 18 members
Tenure: Three years (for nominated staff members)

University Research Committee

Reports directly to Academic Board and is responsible for formulating and implementing UAL's research strategy and for assuring the standards of the University's research projects and awards. University Research Committee will review and approve outcomes of the process and report decisions to the Academic Board. (Appendix 7)

Membership
Chair: Pro Vice-Chancellor (Research)
Ex Officio: Deputy Vice-Chancellor Academic
Appointed: Pro Vice-Chancellors (x4)
                 Dean of Research
                 College Associate Deans of Research (x4)
                 Dean of Learning Teaching and Enhancement
                 Chair, Research Degrees Sub-Committee
                 Chair, Research Ethics Sub-Committee
Nominated: 2 x student representatives
                 Academic Deans' representative
                 Libraries and Academic Support Services representative
Co-opted: Diversity Co-option appointed by the Chair
Secretary: Deputy Director RMA (Funding and Finance)

Academic Board and University Research Committee are governed by the Academic Board Standing Orders, which are the regulations that outline committees' roles, responsibilities and membership as well as the rules of conduct and management. This includes the process for appointment of nominated members.

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Research Management Group

A sub-group of University Research Committee, Research Management Group will review all applications for recognition as an independent researcher for all against the REF2021 criteria, notify applications of application outcomes and report outcomes to University Research Committee for review and ratification.

Membership
Chair: Dean of Research
Appointed: College Associate Deans of Research (x 4)
                    Director of Knowledge Exchange
                    Deputy Directors RMA (x2)

All members of the Research Management Group are permanent appointments made through an open and transparent process in line with the University's recruitment and selection policy.

The Research Management Group will apply the principles of the academic board standing orders that outlines UAL committees' roles, responsibilities and membership as well as the rules of conduct and management. They will also apply UAL's policy on diverse committees to ensure that staff from diverse backgrounds are represented within the process.

UAL REF Appeals Panel

Review appeals for individuals who disagree with the decisions of the Research Management Group for recognition as an independent researcher and declaration of circumstances.

Chair: Pro Vice Chancellor (Research)
Appointed: Director of Human Resources
                    Head of Diversity and Inclusion

Research Management and Administration (RMA)

Are the central administrative professional services team providing support for all aspects of research across the University. RMA will provide administrative support and verify information provided to demonstrate independence i.e. receipt of a fellowship and notify applicants of outcomes.

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The Dean of Research is the Director of Service. There are two deputy Directors of RMA, the Deputy Director (Funding and Finance) and the Deputy Director (Environment and Communications). The Dean of Research is the academic lead for REF 2021.The Deputy Director RMA (Environment and Communications) is the administrative lead for REF 2021.

3.3 Training

Members of the University Research Committee, Research Management Group and any individuals that may part of the REF preparation and submission process will be expected to have participated in, and passed, the most recent version of the Breaking Bias training module. In addition, the University's Head of Diversity and Inclusion (EDI) will deliver EDI training specifically tailored to the REF process, which will include reference to the fixed term and part time regulations in addition to the Equality Act 2010.

The face to face training will include case studies specific to the processes and decisions that each committee, panel or group of individuals will be involved in and will provide an opportunity to apply learning. The case studies will be developed by the Head of Equality and Diversity based on anonymised cases from REF2014. Training will not only address fair and equal consideration of those applying for recognition as an independent researcher but the fair and equal consideration of the working practices, contribution, input and decisions of all those involved in the process.

3.4 Appeals

An appeals process forms an integral part of the Code of Practice and seeks to address any perceived unfair discrimination or concerns about process or circumstances where previously unavailable information has come to light. Disagreement with the decision alone would not be appropriate grounds for an appeal. Appeals will come from procedural concerns or the availability of information, that is relevant but was not considered in the process. The REF2021 guidance on submission clearly sets out the criteria that staff must meet to be considered as an independent researcher. Where staff apply but are not considered to meet the criteria as an independent researcher, they will be given clear and prompt feedback including any action they might take to meet the criteria and available support and development opportunities.

An individual who wishes to appeal against the decision on the grounds of discrimination or process concerns should notify the Deputy Director RMA (Research Environment and Communications) stating the reason for appeal and including any supporting evidence by the end of November 2020, appeals will be considered by the UAL REF Appeals Panel in December 2020. Applicants will be notified of the outcome of the appeal within one week of the meeting. The decision of the appeal panel is final. Applicants who subsequently meet the criteria can resubmit an application.

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3.5 Equality Impact Assessments

EIAs will be conducted on the composition of committees, policies and procedures for the review and assessment of applications for recognition as an independent researcher for the purposes of REF2021. This will include a comparative equality profile report on of the diversity characteristics of non-academic staff on research only contracts, those who submit an application and those who are confirmed as meeting the criteria as an independent researcher, successful and unsuccessful appeals.

EIAs will be carried out in December 2020 following the application process, and in March 2020 on the final submission. The University will seek to achieve best practice in the area of equality and diversity by involving, where possible, staff with protected characteristics in the Equality Impact Assessments. EIA's will be reviewed by the Research Management Group who will develop and recommend an action plan, where any issues are identified, to the University Research Committee.

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Part 4. Selection of Outputs

4.1 Policies and Procedures

In response to recommendations from the Stern Review of the Research Excellence Framework important and significant changes have been made to the requirements for output submission.

Outputs have been 'decoupled' from individual researchers with the focus now on institutional rather than individual productivity. Whereas in REF2014 all staff submitted were required to have 4 outputs, all staff submitted to REF2021 will need to submit a minimum of 1 output but can submit a maximum of 5 outputs (figure 4.).
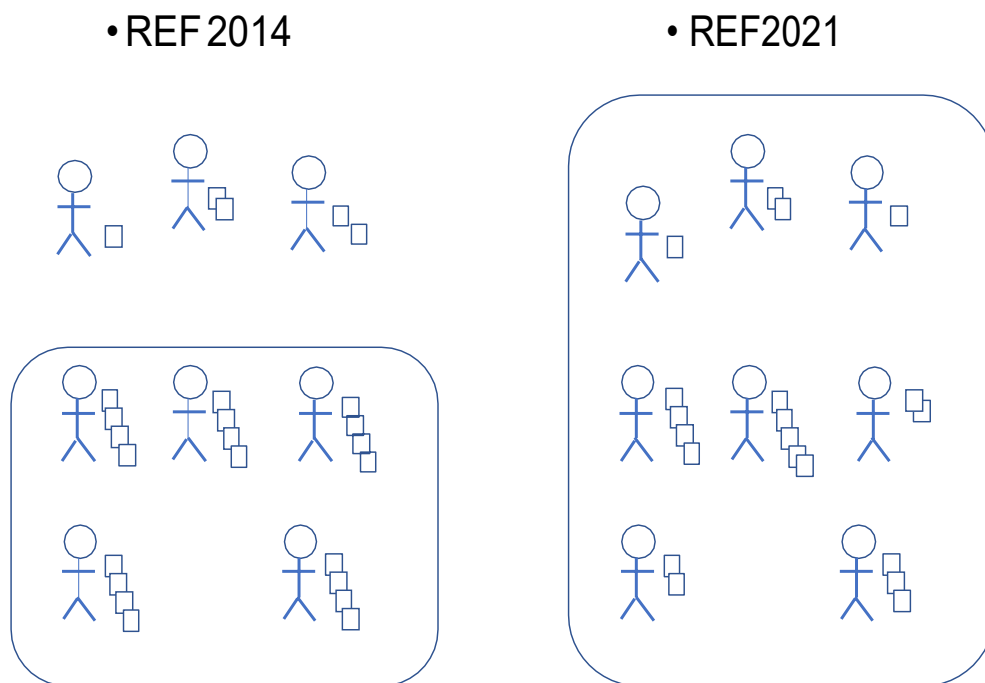

Figure 4. Comparison of the number of outputs required for individuals for REF2014 v REF2021

The total number of outputs to be submitted by the University is based on the total FTE of staff the University submits and will be 2.5x the total FTE of staff with significant responsibility for research.

Outputs will be selected for submission with reference to: the requirement for all staff with significant responsibility for research to return a minimum of 1 output, on a judgement of quality, and with reference to the UAL Research Strategy. The University's criteria for the judgement of quality will relate to the REF criteria on originality, significance and rigour.

Four star	Quality that is world-leading in terms of originality, significance and rigour.
Three star	Quality that is internationally excellent in terms of originality, significance and rigour but which falls short of the highest standards of excellence.
Two star	Quality that is recognised internationally in terms of originality, significance and rigour.
One star	Quality that is recognised nationally in terms of originality, significance and rigour.
Unclassified	Quality that falls below the standard of nationally recognised work. Or work which does not meet the published definition of research for the purposes of this assessment.

It is not expected that all submitted staff return the same number of outputs to REF2021. All staff with significant responsibility for research are expected to return a minimum of 1 output.

UAL Recognises that there are many factors which can affect research productivity and as such will make full use of the decoupling of outputs to manager differences in research productivity.

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Outputs for staff with significant responsibility for research will be identified through two routes.

- RMA will access outputs for logged in the University research repository, UAL Research Online

- Staff will be contacted to provide information on any additional outputs not logged in UAL Research Online and on forthcoming outputs

All outputs for individual members of staff will be reviewed unless they have in excess of 5, in such cases staff can nominated outputs for review.

College REF Working Groups will assess outputs for staff on the <u>Research Orientated Academic Pathway only</u>, or research-only staff recognised as independent researchers, against the REF criteria for originality, significance and rigour. This will be through a process of peer review, carried out by members of the Working Group, and will not use citation data or other quantitative metrics. UAL is committed to submitting our best research to the REF and as such all output formats, for both text and practice, will be assessed on a fair and equal basis.

College REF Working Groups will make recommendations to the Dean of Research and Research Management Group on:

- The highest quality output for each person on the research pathway to meet the minimum requirement of 1

- Of the remaining total pool, the outputs that meet the highest quality ratings in respect of the REF criteria

- Double-weighted outputs

- The presentation of practice-based outputs.

College REF Working Groups will not be involved in decisions or discussions as to whether staff have significant responsibility for research.

All College REF Working Groups will receive administrative support from a member of the RMA team who will: ensure Working Groups are conducted in line with the Code of Practice, maintain consistent application of policies and process across the Working Groups, and advise Working Group chairs on queries relating to the REF Guidance on Submission, or Panel Criteria and Working methods.

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A small number of academic and research staff do not sit within the College structure, for example they are based in Institutes. Staff with significant responsibility for research who are not part of a College will have their outputs assessed by the College which has the most relevant expertise in the subject area, to be decided by the Dean of Research in consultation with the College Associate Deans of Research.

The final selection of outputs will be made by the Dean of Research and the College Associate Deans of Research, in consultation with the UAL REF Panel, with reference to:

- The requirement for all staff with significant responsibility for research to submit a minimum of 1 output

- An assessment of quality, as carried out by College REF Working Groups

- The UAL Research Strategy

- Representation of staff across the submitted outputs

The final selection of outputs will be approved by the University Research Committee at their Autumn term 2020 meeting.

Portability of outputs/submission of outputs for staff who have left

UAL will seek to submit outputs that meet the highest levels of quality for staff who have left the organisation where the following criteria are met: there is evidence of an ongoing relationship (i.e. visiting academic, ongoing research project collaboration or PGR student supervision), and where UAL has made a clear contribution to the output. UAL will seek to obtain agreement from staff who have left the University to submit their outputs to REF2021.

UAL do not intend to submit outputs for staff who have been made redundant.

4.2 Staff Circumstances

In addition to the decoupling of outputs and the flexibility this provides in enabling different numbers of outputs to be returned by staff and as part of the University's commitment to supporting equality and diversity in REF, we have put in place safe and supportive structures for staff to declare information about any equality-related circumstances.

Equality-related circumstances have been identified that, in isolation or together, may significantly constrain the ability of submitted staff to produce outputs or to work productively throughout the assessment period (Table 1).

Following dissemination of the Code of Practice to all staff in November 2019 all staff with significant responsibility for research, as determined by their allocation to the Research Oriented Pathway, will be invited to submit an application for consideration of circumstances. Staff who are identified as research independent as set out in the process in section 3 of the Code of practice will be invited to submit an application for consideration of circumstances in December 2019 following the outcome of that process.

Staff invited to submit applications for consideration of circumstances → HR verify recorded circumstances → Panel reviews the application against REF criteria → Appeal → Recommendations made to URC on whether to request reductions
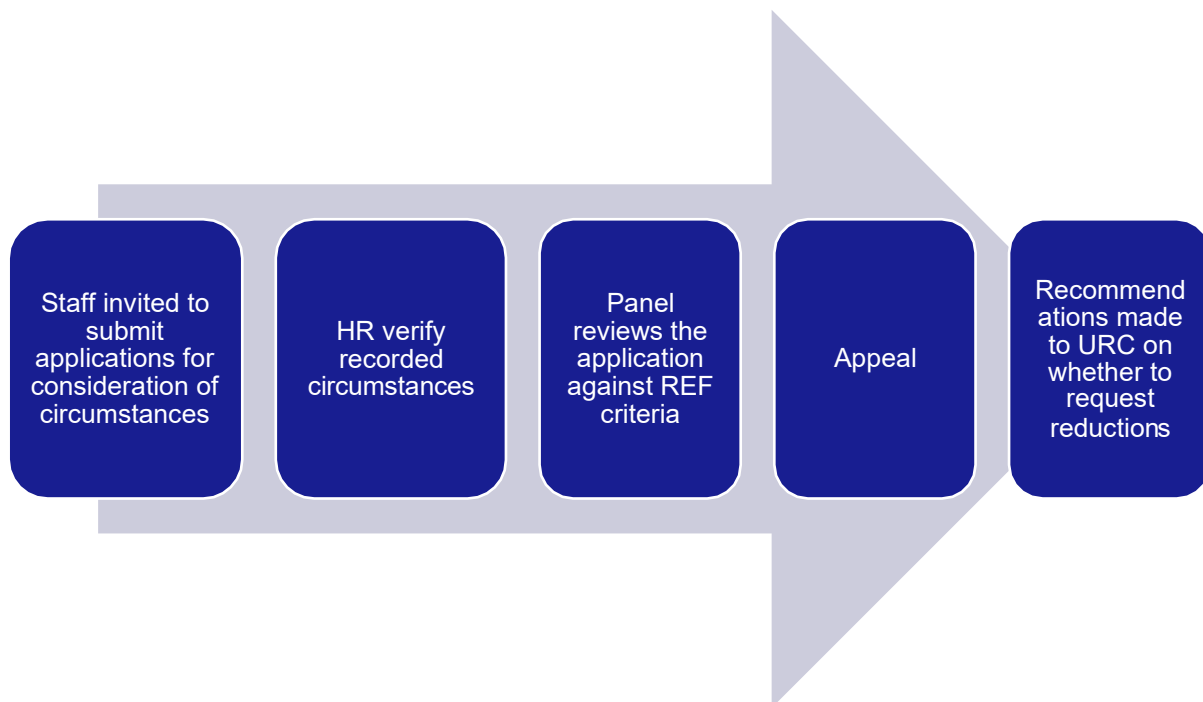
Figure 5. Process for declaring equality related circumstances

Information will be collected on circumstances that may have affected the ability to research productively during the assessment period (1 January 2014 – 31 July 2020), and particularly the ability to produce research outputs at the same rate as staff not affected by such circumstances. The REF guidance on submissions sets out specific circumstances that could have had an impact on an individual's research productivity (Table 1.)

Staff who wish to declare circumstances should complete a declaration form (Appendix 8) which will be available on the staff intranet, Canvas. The form is submitted to HR who will provide confirmation where circumstances have been recorded. Forms will be reviewed by the UAL REF Circumstances Panel in Jan 2020 (figure 5.).

If the Panel decide that a person's ability to produce research outputs has been affected by equality related circumstances, they will receive notification from the Panel and will be directed to appropriate sources of support. While the details of the circumstances will be confidential, the line manager and College Associate Dean of Research will be notified of the outcome and what unit level reductions could be requested based on the REF Guidance on Submissions. All requests and decisions will be confidential and will be known only to those staff and individuals involved in the decision-making process.

As the minimum number of outputs for each person submitted is one, only in exceptional circumstances can a HEI make a request for a further reduction to zero for a member of staff. While a university can make a request for a reduction in the total number of outputs to be submitted at the unit level for declared circumstances, it is UAL's intention to manage differences in productivity through the flexibility provided through the decoupling of outputs.

> While we will fully support staff who wish to declare equality related circumstances, declaration of circumstances is not compulsory, there will be no unfavourable or unequal treatment for staff who choose not to declare circumstances.

The assignment of Academic Career Pathways is independent of the outputs review for REF, where a staff member believes they have circumstances that have affected their ability to meet the criteria to be assigned to the Research Oriented Pathway this should be addressed through the Academic Careers Pathway application and appeals processes.

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Table 1. Equality related circumstances that in isolation or together, may have significantly constrained the ability of submitted staff to produce outputs or to work productively throughout the assessment period.

- Qualifying as an ECR

Members of staff who meet the definition of Category A eligible on the census date, **and** who started their careers as independent researchers on or after 1 August 2016. For the purposes of the REF, an individual is deemed to have started their career as an independent researcher from the point at which: 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** they first met the definition of an independent researcher.

- Absence from work due to secondments or career breaks outside the HE sector.

- Qualifying periods of family-related leave.

- Circumstances with an equivalent effect to absence, that require a judgement about the appropriate reduction in outputs, which are:

  - Disability: this is defined in the 'Guidance on codes of practice', Table 1 under 'Disability'.
  - Ill health, injury, or mental health conditions.
  - Constraints relating to pregnancy, maternity, paternity, adoption or childcare that fall outside of – or justify the reduction of further outputs in addition to – the allowances set out in Annex L.
  - Other caring responsibilities (such as caring for an elderly or disabled family member).
  - Gender reassignment.
  - Other circumstances relating to the protected characteristics listed in the 'Guidance on codes of practice', Table 1, or relating to activities protected by employment legislation.

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4.3 Staff and Committees

University Research Committee

Will receive and discuss updates on the progress of the review of outputs and development of the presentation of practice outputs. Will review recommendations from Research Management Group and approve final selection of outputs for submission. Will receive, discuss and decide on recommendations to request unit level reductions in outputs based on declared circumstance.

Chair: Pro-Vice Chancellor (Research)
For full membership see section 2.5 or Appendix 7

UAL REF Panel

Appointed by the University Research Committee, the UAL REF Panel are responsible for benchmarking the reviews of outputs across the University to ensure consistency of outputs evaluation and advise the Dean of Research on the final submission in terms of, the final selection of outputs, the presentation of practice research, outputs that should be submitted as double weighted.

Chair: Pro-Vice Chancellor (Research)
      Dean of Research
      College Associate Deans of Research
      Staff with experience of REF UoA panel membership
      External academic advisor
      Academic staff representatives not on a College Working Group (x2)
      Deputy Director RMA (Environment and Communications)

College REF Working Groups

Appointed by College Research Committees and approved by University Research Committee, the College Research Excellence Framework Working Groups (CRWGs) are responsible for overseeing the College's preparations and proposals for UAL's submission of outputs to the Research Excellence Framework (Appendix 9).

Chair: College Associate Dean of Research
      Representative from each Research Centre hosted within the College
      Active Researchers who are full time or fractional members of staff.

Membership will ensure that both text and practice research are represented.

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Research Management Group

Will review the recommendations made by College REF Working Groups and in consultation with the UAL REF Panel make a recommendation on the final selection of outputs to University Research Committee. The Research Management Group will also make recommendations on the submission of outputs that are co-authored, double weighted outputs and the presentation of practice research for submission.

Chair: Dean of Research
See section 3.2 for full membership

REF Staff Circumstances Panel

Will receive and consider whether declarations of circumstances meet the criteria as set out on the REF guidance on submission.

Appointed by Academic Board
Chair: Dean of Research
             Deputy Director RMA (Environment and Communications)
             Nominated HR Business Partner for REF2021

REF Staff Circumstances Appeal Panel

Will consider appeals on the outcomes of declarations of circumstances.
Appointed by Academic Board
Chair: Pro Vice Chancellor (Research)
             Director of Human Resources
             Head of Diversity and Inclusion

University Research Committee is governed by the Academic Board Standing Orders, which are the regulations that outline committees' roles, responsibilities and membership as well as the rules of conduct and management. This includes the process for appointment of nominated members.

The UAL REF Panel, College REF Working Groups, Research Management Group, REF Staff Circumstances Panel, and Appeal Panel will apply the principles of the Academic Board Standing Orders that outlines UAL committees' roles, responsibilities and membership as well as the rules of conduct and management. They will also apply UAL's policy on diverse committees, as appropriate while maintaining confidentiality, to ensure that staff from a range of backgrounds are represented within the process.

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4.4 Training

Members of the University Research Committee, UAL REF Panel, College REF Working Groups, and any individuals that may part of the REF preparation and submission process will be expected to have participated in, and passed, the most recent version of the Breaking Bias Training package. In addition, the University's Head of Equality and Diversity will deliver EDI training specifically tailored to the REF process, which will include reference to the fixed term and part time regulations in addition to the Equality Act 2010.

The face to face training will include case studies specific to the processes and decisions that each committee, panel or group of individuals will be involved in and will provide an opportunity to apply learning. The case studies will be developed by the Head Diversity and Inclusion based on anonymised cases from REF2014. Training will not only address fair and equal consideration of those whose outputs are being reviewed, or who are declaring circumstance but the fair and equal consideration of the working practices, contribution, input and decisions of all those involved in the process.

4.5 Appeals

Staff who declare circumstances will be notified of the appeals process when they are notified of the outcome of their declaration. A request to appeal the outcome outlining the grounds upon which the appeal is being made, along with any supporting evidence, should be sent to the Deputy Director of RMA (Environment and Communications) the Appeals Panel will meet to consider the case, usually within six weeks of receiving the appeal. Should the Panel need to meet an individual, a work colleague or trade union representative may accompany the individual. The decision of the Appeals Panel is final.

4.6 Equality Impact Assessments

EIAs will be conducted on the composition of committees, policies and procedures for selecting outputs including the processes for considering declaration of equality related circumstances. This will include a comparative equality profile report on of the diversity characteristics of those whose outputs are selected for submission from the pool of outputs, allocation of co-authored outputs and decisions on outputs to submit as double weighted. It will also include a comparative equality profile report on of the diversity characteristics with a specific focus on intersectionality, of those who declare equality related circumstances and who submit and those who submit an appeal where there is sufficient data to ensure confidentiality.

For the selection of outputs EIAs will be carried out in November 2019 following the initial review of outputs. In August 2020 following the REF census date on the proposed outputs for submission once eligible staff and those with significant responsibility have been confirmed, and on the final submission. For the process for declaring staff circumstances EIAs will be carried out in April 2020 following the process, in Aug 2020 following the REF2021 census date and in November 2020 on the final submission.

The University will seek to achieve best practice in the area of equality and diversity by involving, where possible, staff with protected characteristics in the Equality Impact Assessments. EIAs will be reviewed by the Research Management Group who will develop and recommend an action plan, where any issues are identified, to the University Research Committee.

Part 5. Appendices

1. Dignity at Work Policy
2. Equal Opportunities Policy 2016
3. Academic Career Pathways criteria and application form
4. Academic Committee Structure
5. Academic Board Standing Orders
6. Academic Board Terms of Reference and Membership
7. University Research Committee Terms of Reference and Membership
8. Staff Circumstances Form
9. College REF Working Groups terms of Reference and Membership

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dignity
at work
policy

1.0 introduction

This policy is part of the suite of People policies and procedures.

It underpins and supports the way we work together as colleagues and should be read in conjunction with the current UAL Strategy and the Staff Charter in terms of our values and expected behaviours.

2.0 purpose, principles and values

At UAL we believe all employees should be treated with dignity and respect at work. We aim to provide a safe and supportive place to work and study, where everyone is valued for their contribution.

Any form of bullying and harassment will not be tolerated. We expect employees to treat each other with respect, dignity, courtesy and consideration; relating to one another professionally.

These principles extend to visitors, contractors and any other third parties with whom UAL employees have contact with as part of their working day or related activities.

We will support, develop and encourage employees to challenge unacceptable behaviour either informally or formally. This policy sets out guidance and information regarding bullying, harassment as well as related discrimination and victimisation, and how these are dealt with at UAL.

All complaints of bullying and harassment will be dealt with confidentially and sensitively.

3.0 who does this policy cover?

This policy applies solely to UAL employees. For the purposes of clarification this means those who are permanent, have a fixed term contract or who are HPLs.

Any complaints made by or involving students would be dealt with under the appropriate student policy. (See related policies and references)

4.0 remit of the policy

This policy covers any complaints of a bullying and harassment nature or where an employee feels victimised due to making such a complaint. Any complaints outside of this scope will be dealt with under the grievance policy. It is at the point of initial assessment of a complaint that HR will ensure the correct policy is used.

Where there are other processes or issues being pursued, if these are deemed related they may be combined and dealt with together.

5.0 what is bullying and harassment?

There are many definitions of bullying and harassment and these can be difficult to recognise due to the subtlety of behaviours, succinct definitions are laid out in **Appendix A**.

It is important to recognise that bullying and harrassment is not necessarily face to face, it may occur through written communications, visual images, email or phone as well as via social media.

Differences of attitude, background or culture and the misinterpretation of social signals can mean that what is perceived as bullying or harassment by an individual may not seem so to another; nevertheless, this does not make it acceptable. It is the **perception** of the recipient and the **impact** of the behaviour which is most relevant, not the motive or **intent** behind it.

The test of whether the behaviour amounts to bullying or harassment is whether the behaviour is unacceptable by reasonable normal standards and is unwelcome to the person subjected to it or witnessing it.

Examples of **bullying** and **harassment** include spreading malicious rumours, deliberate exclusion from conversations or social activities, name calling, teasing or unwelcome physical contact. (**See Appendix B for further examples**).

6.0 what can I do if I experience unacceptable behaviour?

We encourage you to deal with complaints of unacceptable behaviour as soon as possible. Sometimes people are not aware that their behaviour is unwelcome and an informal approach can lead to greater understanding and an agreement that the behaviour will stop.

Whilst you have the opportunity to make a formal complaint at any stage, where possible and appropriate, we encourage you to try to sort out the issue yourself informally by either speaking to, or if you feel unable to, writing to the person responsible explaining how their behaviour makes you feel and asking them to stop.

If this does not resolve the situation you should then speak to your line manager informally and ask them to speak to the other person on your behalf, or arrange an informal joint meeting to discuss how you feel.

If you have a complaint about the behaviour of your immediate line manager you should approach your manager's manager. It is a good idea to keep a record of any unacceptable behaviour you have experienced, including dates, times and details of any witnesses, in case this information is needed later on. Section 9.0 provides a useful list of individuals or external links where you can seek support.

7.0 what should I do if this involves behaviour of people who are not employees?

UAL has a duty to protect its employees from bullying and harassment by people who are not our employees such as third party suppliers/freelance consultants. We encourage employees to seek to resolve this informally with the person concerned as outlined above in section 6, keeping your line manager informed of the incident or issue. Your line manager will liaise with the manager responsible for the third party if informal resolution is not successful.

Where a third party supplier/freelance consultant raises a complaint against an employee, this should be referred to the employee's line manager who will take this forward in line with the process above.

8.0 what should I do if I witness unacceptable behaviour directed at someone else?

In line with the process in section 6.0 if you witness behaviour directed towards another employee which is unacceptable we encourage you to report this to that employee's line manager or your own line manager.

It is a good idea to keep a record of any unacceptable behaviour you have witnessed, including dates, times and details of any other witnesses, in case this information is needed later on. Section 9.0 provides a useful list of individuals or external links where you can seek support as it is recognised witnessing unacceptable behaviour can be difficult to deal with.

9.0 where can I access support?

Employees affected by bullying and harassment may find it helpful to seek support from:

- a colleague
- their line manager
- HR
- trade union representative
- a counsellor through UAL's Employee Assistance Programme
- a trained mediator

10.0 resolution

UAL will always seek to resolve complaints. Please refer to the process below which is also laid out in a simple flow chart. (**Appendix C- Dignity at Work Flowchart)**

11.0 mediation/informal resolution

Mediation is a voluntary process which can be helpful in resolving workplace disputes early and informally. UAL has a pool of trained internal mediators who can arrange an impartial three way meeting. Where appropriate, mediation with external mediators can also be arranged via HR.

For more information about mediation please see the mediation page on the HR intranet.

12.0 seeking formal resolution

If you are unable to resolve the complaint informally or feel unable to enter into mediation due to the nature of your complaint, you may raise a formal complaint using the formal complaint form (**Appendix D: Dignity at Work Formal Complaint Form**), and sending this to the relevant HR Consultant. On receipt of your complaint HR will assess the nature of the case and determine next steps.

13.0 the formal procedure

13.1 the investigation and outcome

If it is considered a formal complaint, a suitably qualified investigator will be appointed and they will arrange to meet with you to hear your case. It may be necessary to use an external investigator in certain cases. You may be accompanied at any investigation meeting by your trade union representative or a work colleague. The person who is the subject of the complaint will be sent a copy of the Formal Complaint Form, invited to respond to the allegations and meet with the investigator.

The investigator may also meet with any witnesses. The subject of the complaint and witnesses may also be accompanied by their trade union representative or a work colleague.

UAL recognises that being involved in a complaint of bullying or harassment can be distressing for those involved. Our aim is to complete the formal process as thoroughly and quickly as possible. Timescales will depend on the complexity of the complaint, you will be kept informed if there are likely to be any delays.

The investigator will consider all the available evidence and decide whether on the balance of probability, there is a case of bullying or harassment to answer. The report will then be considered by an appropriate commissioning manager and the outcome will be confirmed as follows :

(i)   If your complaint is not upheld:-

No case to answer – no formal action will be taken. Mediation, training or coaching may be recommended to support those involved to repair working relationships.

(ii)   If your complaint is upheld:-

A case to answer by the subject of the complaint under UAL's Staff Disciplinary Code and a sanction may result.

(iii)   If the complaint is found to be false/malicious/vexacious:-

A case to answer by the person who made the complaint under UAL's Staff Disciplinary Code and a sanction may result.

13.2 the appeal

If the investigator concludes there is no case to answer, you will have the right to appeal on the following grounds:

- Substantial new evidence is now available which was not presented at the original investigation

- Procedural grounds which may have affected the outcome

- Why you think the decision was unfair

If you wish to appeal you should write to the Deputy Director of HR within 7 calendar days of receiving the outcome letter, setting out the grounds of appeal and your desired outcome of any appeal. The appeal will be heard by a panel, supported by HR who will also provide advice.

The panel composition will be as follows:

- A senior manager - normally the Chair – independent of the case in question

- A member of the recognised unions independent of the union representative supporting you

- An additional panel member (eg from a specific Equality and Diversity steering group) may be included at the discretion of the Chair.

The panel will make, a unanimous or majority, decision on the main substance of the appeal point/s put forward by the complainant/you.

13.3 related disciplinary action

Serious cases of bullying or harassment will be treated as gross misconduct (which may lead to dismissal without notice). Where the misconduct is found to be less serious - a first or final written warning may be issued.

14.0 what if a complaint is made against me?

We recognise that being accused of unacceptable behaviour can be distressing. In most situations if another employee raises a complaint informally, listening to their perspective, acknowledging how they may feel and where appropriate apologising or giving an assurance that you will change your behaviour,will be enough.

If a formal complaint is made against you, it will be investigated in line with this policy. You may find it helpful to seek support as outlined above in section 9.0.

15.0 monitoring and review of this policy

UAL will regularly monitor the implementation of this policy jointly with the key stakeholders. The aim is to review this policy one year after initial implementation and every three years thereafter.

Ratified by: Joint Panel   **Date:** 28.03.17   **Proposed Review Date:** June 2018

Useful References	Related Policies
HR Contacts	Grievance Policy
UAL Diversity	Disciplinary Policy
Mediation	Student Complaints Procedure
ACAS	
Equality and Human Rights Commission	
Employee Assistance Programme	
Staff Charter	
National Bullying Helpline	

Appendix A: Definitions

Bullying (as defined by ACAS)

Is characterised as "Offensive, intimidating, malicious or insulting behaviour, an abuse or misuse of power through means that undermine, humiliate, denigrate or injure the recipient".

Harrassment (as defined by ACAS and as under the Equality Act 2010)

Is "unwanted conduct related to a relevant protected characteristic, which has the purpose or effect of violating an individual's dignity or creating an intimidating, hostile, degrading, humiliating or offensive environment for that individual".

The relevant protected characteristics relating to harassment claims are age, disability, gender reassignment, race, religion or belief, gender and sexual orientation.

Discrimination

Discrimination is mentioned within this policy in so far as it relates to protected characteristics being the basis of any bullying and harassment complaint.
It is unlawful (discriminatory) to harass someone because of a protected characteristic.

The behaviour or treatment may relate to a person's gender, disability, gender reassignment, race, religion/belief, sexual orientation, age, maternity or pregnancy, marriage or civil partnership. (This being the full list of legally defined protected characteristics)

Victimisation

A person is victimised if they are treated less favourably because they have made a complaint, brought legal proceedings, or given evidence, or supported someone who has made a complaint of unlawful discrimination. Victimisation is unlawful during employment and after the termination of employment (for example when providing a reference).

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Appendix B: Examples of Unacceptable Behaviour

The following may constitute bullying, harassment, discrimination and victimisation. The list is not exhaustive, however, they are indicative of behaviour that would be considered unacceptable conduct by UAL.

Harassment can take many forms and may, for example, occur in a face-to-face setting, by telephone, or in written or electronic communications

- Insults, name-calling and offensive language and gestures
- Inappropriate jokes
- Ridiculing and undermining behaviour
- Inappropriate or unnecessary physical contact
- Physical assault or threats of physical assault
- Intimidating, coercive or threatening actions and behaviour
- Unwelcome sexual advances
- Isolation, non-cooperation or deliberate exclusion
- Inappropriate comments about a person's appearance, intrusive questions or comments about a person's private life and malicious gossip
- Offensive images and literature
- Sexually suggestive behaviour, or compromising sexual invitations or demands.
- Racial harassment – including racist jokes
- Verbal or written abuse including non-communication and deliberate and/or inappropriate exclusion from social events or day to day activities
- Victimisation because of someone's gender or gender identity, race, disability, sexual orientation, age, religion or other beliefs
- Abuse of power by someone in authority
- Incitement of others to commit harassment
- Electronic bullying
- Use of social networking sites to post derogatory messages about someone
- The use of inappropriate literature, pictures, books or tapes to bully or harass others
- Systematic ostracism or exclusion from normal conversation in the work environment or work related social events

Bullying can take the form of physical, verbal and non-verbal conduct. The following list provides examples of the type of behaviours that could amount to bullying:

- Verbal or practical jokes
- Shouting at, being sarcastic towards, ridiculing or demeaning others
- Physical or psychological threats

- Overbearing and intimidating levels of supervision
- Inappropriate and/or derogatory remarks about someone's performance.
- Abuse of authority or power by those in positions of seniority, or
- Deliberately excluding someone from meetings or communications without good reason
- Making someone's working life unreasonably difficult, for example, setting of impossible deadlines, objectives and deliberately imposing an intolerable workload
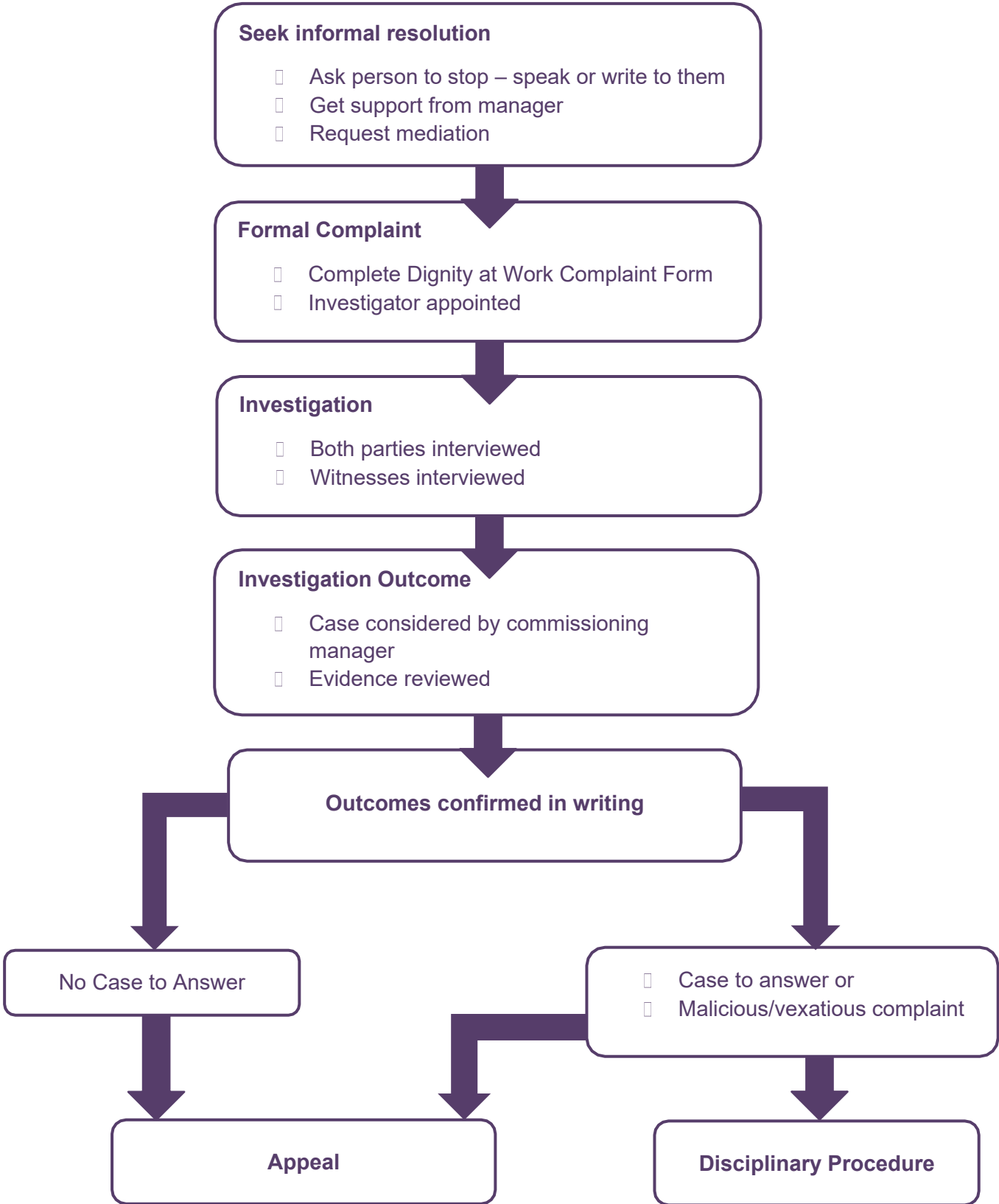- Incitement of others to do any of the above

Discrimination happens when one person is treated less favourably than others because of a protected characteristic:

- age
- disability
- gender reassignment or gender identity
- race
- religion or belief
- gender
- sexual orientation
- marriage and civil partnership
- pregnancy and maternity

Victimisation can take many forms:

- Penalising someone for making a complaint of discrimination, harassment or bullying. For example, this might involve giving the person unrealistic or impossible deadlines or deciding not to nominate someone for contribution pay even though they deserve such a nomination.

- Excluding a person from work-related activities or conversations in which they have a right or legitimate expectation to participate because they have made a complaint of discrimination, harassment or bullying.

- Creating a difficult or oppressive environment for an individual because they have made a complaint – whether informal or formal – of discrimination, harassment or bullying. This might involve, for example, talking negatively about the person behind their back or making disparaging, ridiculing or mocking comments or remarks.

Appendix C: Dignity at Work Process Flow Chart

Seek informal resolution

- Ask person to stop – speak or write to them
- Get support from manager
- Request mediation

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Formal Complaint

- Complete Dignity at Work Complaint Form
- Investigator appointed

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Investigation

- Both parties interviewed
- Witnesses interviewed

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Investigation Outcome

- Case considered by commissioning manager
- Evidence reviewed

↓

Outcomes confirmed in writing

No Case to Answer

- Case to answer or
- Malicious/vexatious complaint

Appeal

Disciplinary Procedure

Appendix D: Dignity at Work Formal Complaint Form

Private and Confidential
Dignity at Work – Formal Complaint Form

This form should be completed by any employee wishing to raise a formal complaint of bullying, harassment or victimisation.

Part 1: To be completed by the employee making the complaint

Name of employee:	Job Title:
College/Service:	Location:
Telephone Number:	Email address:
1. Have you tried to resolve this matter informally? Yes/No: Please give details:	
2. Has the respondent (person you are complaining about) been informed of your complaint? Yes/No:	
3. Do you wish to try mediation? Yes/No: (Please see advisory leaflet on mediation available on the HR intranet)	
4. If you are disabled - Do you wish to request any reasonable adjustments to this process?	
5. Name of person this complaint is about:	
6. Their job title or relationship to UAL:	
7. Their College/Service:	
8. Please give full details of your complaint including times, dates, number of incidents, and names of any witnesses.	
9. If you have attached any additional documents to support your complaint, please list below:	
10. If you wish to be accompanied at any investigation meetings please provide the name of that work colleague or trade union representative.	
11. Resolution: What outcome would you like from this process?	
18. Signed:	Date:

The completed form should be returned to your HR Consultant.

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Equal Opportunities Policy

The University's Equal Opportunities Policy embodies its vision to integrate equality and diversity into all areas of the institution's ethos, policy and practice. The rich diversity of our students, staff and alumni is core and vital to the University's distinctive and global reputation for academia and enterprise in the arts, communication and design. Our diversity informs our practice-led teaching and learning traditions, our innovation and our employment practices, producing inspired practitioners who are a dynamic, influential and leading force in the creative industries. Our vision is underpinned by the following values that we will work towards:

1.1. Overview

- We believe that equality and diversity is integral to our inclusive curriculum, our creative innovation, our global reputation and the richness of our University life. We are committed to addressing inequality and celebrating diversity in order to sustain an accessible and inclusive environment for all students, staff, alumni, governors, visitors, community and commercial partners with whom we engage.

- Reminding, developing and supporting our staff, students, governors, service users and external partners in understanding how equality and diversity is meaningful and relevant to the University on an individual, collective and institutional level.

- Prohibiting unlawful discrimination, harassment or victimisation on grounds of age, caring responsibilities, disability, gender, nationality, race, religious belief (or no belief), sexual orientation socio-economic class or trans and whether such an identity is actual or *perceived* or whether this is by *association* with persons from any of these equality strands. This will apply to all stages of the student and staff life cycle and to our engagement with service users, suppliers and external partners. Non-compliance will be investigated seriously within the University's complaints and disciplinary procedures.

- Complying with the requirements of equality legislation and fulfilling all our statutory and regulatory duties. In specific circumstances where differential treatment may be required, we will use lawful exception or exemption, apply a genuine occupational requirement or positive action intervention to address historical and persistent disadvantage or under-representation, apply an

academic admission requirement, or provide objective justification that constitutes a proportionate means of achieving a legitimate aim.

- Setting and monitoring targets to increase the presence of those traditionally under-represented and in accordance with the provision made by equality legislation, develop interventions to address the imbalance as appropriate.

- Regularly monitoring the recruitment, progress and experiences of all students and staff, paying particular attention to those protected in the aforementioned equality strands. We will endeavour to publish the results of our monitoring on an annual basis.

- Assessing University policies, strategies and functions for adverse impact upon staff and students, with respect to all the equality strands.

- Actively consulting on, communicating and promoting our Equality and Diversity Framework, ensuring accessibility for all students, staff, service users and partners and in particular, involve disabled people in these processes.

- Benchmarking our performance against the best and endeavour to network, collaborate and learn from best practice in the HE sector, equality and diversity field and from institutions and practitioners in the creative industries.

1.2 The Student Experience

Students will have a holistic University experience which is positive, fair and inclusive, from application to opportunities for employment and volunteering. To this end, we will work towards:

- **Application** — encouraging applications from a diverse range of potential students, and where appropriate, undertaking initiatives to attract applications from under-represented groups. We will ensure the publicity, information and guidance we produce displays diverse images, is available in accessible formats and meets the needs of potential students from diverse backgrounds.

- **Admission** — basing admissions solely on the student's ability to meet the requirements of the selection criteria for competitive admissions and their potential to benefit from a successful completion of study. We aim to ensure that students of all backgrounds are not discriminated against at all points of the admissions process. Disabled applicants will be encouraged to discuss their particular requirements post-acceptance so that we can identify and accommodate reasonable adjustments that will enable them to participate fully as a student of the University.

- **Induction** — making all our students aware at induction of the ways in which this Policy affects them and their rights and responsibilities in relation to equal opportunities. This will apply particularly to equalities monitoring, opportunities to be involved in future equality research and the consultation activities and mechanisms that are in place to support and guide students with diverse needs.

We will endeavour to inform all students of the facilities and resources available to them.

- **Academic Progression** — providing academic guidance and tutoring to support academic progression and with recognition and sensitivity to the different needs of students in relation to further education, undergraduate and postgraduate study.

- **Withdrawal and Transfer** — ensuring students have access to academic advice and guidance when considering withdrawal or transfer and monitoring any significant variations between different groups, including those belonging to the equality strands of age, caring responsibilities, disability, gender, nationality, race, religious belief (or no belief), sexual orientation, socio-economic class or trans.

- **Curriculum and Course Design** — regularly reviewing the design and content of the curriculum, timetabling and the teaching methods and materials used will be as part of existing processes to ensure that they are appropriate for our diverse student body and are compliant with our commitment to equality and accessibility.

- **Assessment** — ensuring that no bias exists in our assessment policy and practice and making reasonable adjustments to assessment methods to meet the needs of disabled students.

- **Work Placements** — ensuring that where work placements are offered the arrangements are proportionate, transparent and provide students with comparable opportunities and experiences as far as possible. Providers will be informed of their responsibilities through our Equality Framework and we will incorporate measures to monitor progress to ensure that the learning opportunities provided are appropriate and will refer to relevant sectoral guidance. Employment obstacles faced by disabled and BME students will receive particular attention.

- **Research** — encouraging and supporting diversity in both staff and student research activities and addressing the recruitment of postgraduate research students from under-represented groups.

- **Student Support Services** — offering support services that provide information, advice, guidance and counselling sensitive to the background, learning and support needs of all students. Accessibility issues will be reviewed as regularly as possible.

- **Complaints and Appeals** — All students will be made aware of the mechanism for reporting instances of discrimination or harassment through the University complaints procedure.

- **Course Validation** – We aim to include equality considerations into the course validation process.

- **Employment Outcomes** — Ensuring employability is an important element of the learning experience and we will work towards monitoring any significant differences in first destination between all groups of students of all backgrounds and academic levels.

1.3   The Staff Experience

This policy covers every aspect of the employment of staff, and will be issued to all following appointment at the University. Working in the ways described will mean we recruit and retain staff of the highest quality who will be motivated by the creative and diverse environment in which they work. To this end, we will work towards:

- **Recruitment and Selection** — ensuring that no bias exists in all stages of the recruitment and selection process. We will encourage applications through open competition and from all groups. Word of mouth recruitment as the sole method of selection will be unacceptable. Advertisements, placement of advertising and recruitment information will reflect this. Appointments will be made on personal merit and performance. Every member of a selection panel will be required to attend the University's 'Managing Equality and Fairness in Recruitment and Selection' training programme. Each panel should aim to be diverse in terms of its gender and ethnic mix. Recruitment will be sensitive to the access requirements of disabled applicants at all stages of the process.

- **Contractual Status and Work-Life Balance** — where possible and on request, giving due regard to offering contracts that are appropriate to the type of work and accommodate the needs of those who wish to balance employment with caring responsibilities, reasonable adjustment needs, faith observance or other interests.

- **Job Description, Grading, Pay and Benefits** — through job descriptions and person specifications, job evaluation and reward policy, ensuring that there is equal pay for work of equal value.

- **Induction** — as part of their inductions, making sure staff, and in particular line managers, are aware of their responsibilities through online diversity training, in their Welcome Packs and in the setting of their objectives for Planning, Review and Appraisal.

- **Probation** — ensuring decisions on probation are based solely on the ability of staff to undertake duties and responsibilities of the role, to the standards required, and take into consideration any reasonable adjustments made to meet individual needs.

- **Planning, Review and Appraisal** — ensuring that through our Planning, Review and Appraisal scheme everyone has a regular opportunity to discuss their role, contribution and development. Decisions arising from these discussions will be fair and transparent. All staff will be required to comment on

how they have demonstrated the University's commitment to equality and diversity in their role.

- **Employee Relations** — ensuring that procedures to handle complaints or conduct disciplinary matters are enacted fairly and effectively. A Dignity at Work and in the Learning Environment programme will provide advice, support and the formal procedures for redress for those who believe they are experiencing or for those who have received allegations against them of harassment, bullying, victimisation or any other form of unlawful discrimination.

- **Staff Development** — ensuring fair access for all staff development opportunities. To maintain the University's commitment to equality and diversity, every member of staff will be required to undertake mandatory training in equality and diversity. Managers will also receive specific training in addition to other support and resources from the Diversity Team and Human Resources.

- **Career Progression** — promotion being on merit. Those who have been given less opportunity in the past may benefit from targeted development programmes to enable them to compete fairly.

- **Length of Service and Retention** — aiming to create an environment where staff satisfaction levels are high and hence encourage loyalty, commitment and prolonged lengths of service at the University.

Please contact the Diversity Team for further information or alternative formats by email: diversity@arts.ac.uk or telephone: 0207 514 9862.

ual:

Academic Career Pathways

Completing the Academic Career Pathways Form

This form should be completed at either the interim or the summer PRA meeting. Once completed by both yourself and your line manager it should be passed, along with any supporting evidence, by your line manager to your Human Resources Business Partner for consideration by your College Pathways Panel.

Information on the Pathways

For further information and guidance on the pathways please refer to the Academic Career Pathways page Here Once you have reviewed this information, please consider which pathway best reflects your current activities. Remember that it is possible to switch pathways once a year and if you feel that you may not meet the criteria of one of the pathways at the moment but would aspire to meet the criteria in the future, you should discuss with your line manager how you may get support to develop your work to meet the criteria. The College Pathways Panel will however only place individuals on the pathway who can show that they currently meet the criteria.

The form also asks for your line manager's view on pathway placement and whether they agree or disagree with your choice.

Name:

Job title:

College:

Date:

Line Manager's Name:

Line Manager's Job Title:

1. Teaching Oriented Pathway

If you consider that your activities place you on the Teaching Oriented Pathway then please sign below. The UAL Teaching Oriented Profile, will guide you on what UAL is looking for in terms of Teaching Oriented this is available on the ACP documents page Here

The 5 headings of the Profile are listed below. It would be helpful if you could provide some details of activities in the areas below:

- Professional Development
- Influence & Leadership
- Student Engagement
- Disciplinary & Practice Knowledge
- Pedagogic Design

I consider the Teaching Oriented Pathway as my appropriate Academic Career Pathway.

Details:

Signature:

Line Manager (please tick the appropriate box)

☐   I agree with this choice   ☐   I disagree with this choice

Line Manager's Comments:

Line Manager's Signature:

2. Knowledge Exchange Oriented Pathway

The term 'knowledge exchange' (KE) is shorthand for the multiple interactions between HEIs and businesses, public services, charities and communities to create societal and economic benefit."

2.1   5 main criteria of Knowledge Exchange are set out below (A-E)

Please review the criteria and provide details of your activities against the appropriate areas. The panels will be looking for leaders of Knowledge Exchange so do ensure that you provide examples of where you have initiated, designed or lead on a particular activity. You should address 2 or more of the main criteria providing details in the space provided below each criteria. You should also indicate how you meet some of the peer esteem criteria detailed at the end of this section. (A Personal Knowledge Exchange Plan proforma is currently being developed.)

A)   Public/Private/Third Sector partner engagement innovation and growth
Initiating, designing and/or leading on the development and delivery of:

- in-curriculum and extra-curricula projects that enable students and graduates to work on 'live projects', where the brief has been co-developed with a client or partner from the private, public or third sector
- funded collaborative KE projects with partner organisations from the private, public or third sector, such as Knowledge Transfer Partnerships (KTPs)
- the UAL provision of consultancy services to organisations from the private, public or third sector, based on your academic area of expertise
- start-up and growth support to external businesses, as part of wider University business support programmes

Details:

B)   Employer engagement & skills pipeline
Initiating, designing and/or leading on the development and delivery of:

- the management and organization of placements, internships and/or volunteering
- curriculum development in liaison with private, public or third sector partners and advisors
- student and graduate enterprise and employability initiatives, particularly those that reinforce the Creative Attributes Framework

Details:

    C)   **Social innovation and community engagement**
    Initiating, designing and/or leading on the development and delivery of:

- students, graduates and/or staff social and community engagement projects, , which either address specific challenges faced by these communities, or which otherwise impact positively upon their environment including:

  - Place-making
  - Tackling local issues
  - Participation / Co-creation
  - Creating cultural capital
  - (Social) Entrepreneurship

Details:

    D)   **Workforce development / Lifelong Learning provision:**
    Initiating, designing and/or leading on the development of:

- credit-bearing executive education or other professional training provision, which draws on the input of industry partners/networks

Details:

    E)   **Engaging publics through creative practice / discipline leadership:**
    Initiating, designing and/or leading on the development of:

- the production of work in public / industry domain: designs, artefacts, shows, exhibitions, performances, events, publications which demonstrate Oriented in creative practice and/or subject leadership (where such work is not intended to meet the eligibility criteria for REF submission)
- consultancy services to organisations from the private, public or third sector, based on your academic area of expertise

- undertaking secondments, exchanges or placements with external organisations from the private, public or third sector, for the purposes of delivering a structured form of KE activity, (via sabbaticals/staff development etc.)

Details:

UAL will expect the above activities to generate significant positive outcomes and impacts for UAL and/or third parties (e.g. reputational, financial, educational, social, cultural or environmental). KE activities should leverage additional external resources (income or in-kind) into UAL to help enhance the delivery of UAL's academic mission. Activities undertaken will need to specify what these outcomes and impacts are, and how their achievements are evidenced.

2.2 In addition to identifying which of the above criteria you rely on, you should also indicate, by ticking the appropriate boxes, which of the Peer Esteem Criteria you believe you meet and provide brief details:

- ☐ membership of external national or international judging/selection/evaluation panel
- ☐ executive-level membership of professional/cultural/charitable organisation (e.g. Fellow of RSA, Board Membership)
- ☐ invitation to act as sector/discipline expert witness
- ☐ invitation to speak at nationally or internationally significant sector events
- ☐ invitation to curate/lead the organisation of nationally or internationally significant sector events
- ☐ invitation to exhibit at nationally or internationally significant sector events
- ☐ award winner or short-listed for nationally or internationally significant sector awards or prizes
- ☐ invitation to editor or author nationally or internationally significant sector publications (non-research publications)

Details:

I believe I meet the criteria to join the Knowledge Exchange Oriented Pathway

Signature:

Line Manager (please tick the appropriate box)

☐   I agree with this choice   ☐   I disagree with this choice

Line Manager's Comments:

Line Manager's Signature:

3   Research Oriented Pathway

Please review the criteria below tick the relevant boxes and provide evidence as required. The evidence should be contained within your agreed Personal Research Plan and attached links to research outputs. The criteria is set out below, please note there are separate criteria for staff participating in the Early Career Researcher Scheme. The definition of Research is available on the ACP documents page Here.

3.1 Research Oriented Pathway Full time and Part-time staff

A) Required (please tick which one applies)

☐   Evidence of recent research outputs of demonstrably high quality recognized as making a contribution within their field.

Or

☐   Evidence of planned delivery of research outputs (exhibitions, designs, performances or publications etc.) already accepted through a peer review context or public commissioning process.

B) Additionally to the above, at least one of the following (please tick which apply)

☐ Supervised at least one PhD to successful completion
☐ Research funding counted as research income (that is at least £10,000 returned to HESA as such by a research organisation) or contractual evidence of Arts Council or other charity funding
☐ A proven track record of research achievement (i.e. evidence of sustained research-based practice in the public domain)
☐ Evidence of peer esteem for research activity (i.e. membership of editorial boards, peer review college membership, juries, selection panels for acquisitions and other recognised activities within the field.) recorded within Elements

C) Have a Personal Research Plan approved by your college Associate Dean Research

☐   Yes

3.2 Early Career Researchers
Required (please tick which one applies)

The member of staff:

A) Has been approved as an ECR within the UAL ECR scheme since 2012/13

☐   At least one recent research output of recognised high quality demonstrating their commitment to a chosen field of enquiry.

Or

☐ Evidence of planned delivery of research outputs (exhibitions, designs, performances or publications etc.) already accepted through a peer review context or public commissioning process.

B) Has a Personal Research Plan approved by your college Associate Dean Research

☐   Yes

Note: Recently recruited staff the outputs may not have been produced when employed by UAL but may still meet this criteria for pathway placement.
Account will be taken of part time working and career breaks.

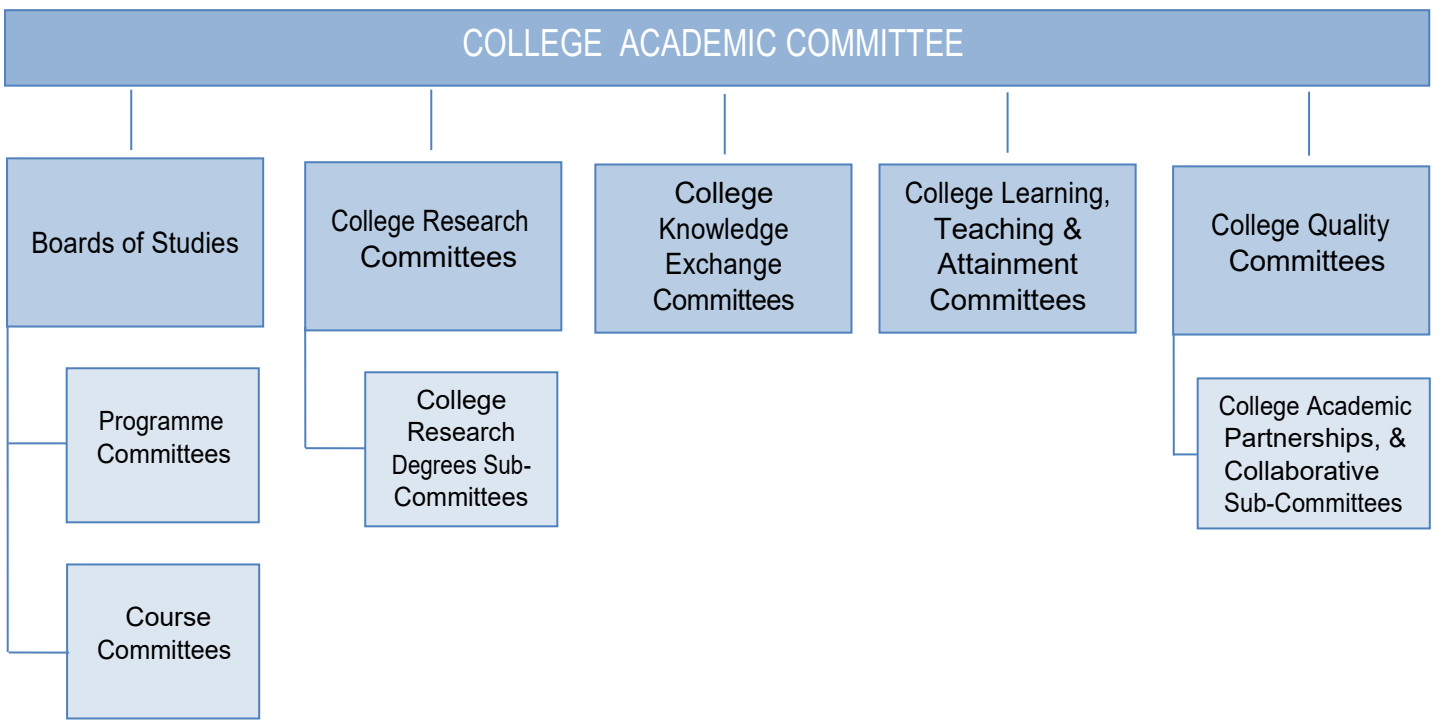I believe I meet the criteria to join the Research Oriented Pathway
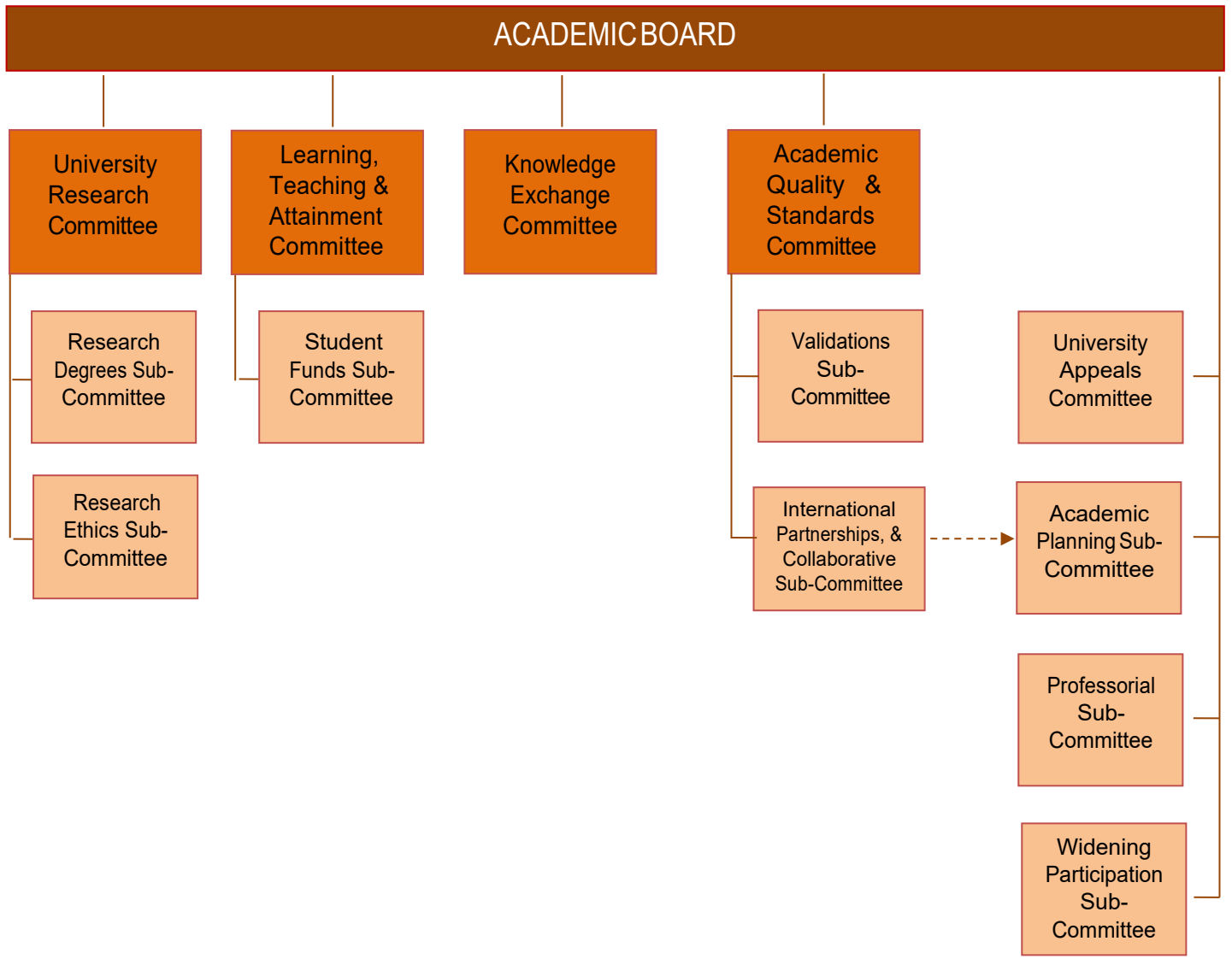
Signature:

Line Manager (please tick the appropriate box)

☐   I agree with this choice   ☐   I disagree with this choice

Line Manager's Comments:

Line Manager's Signature:

ACADEMIC BOARD

- **University Research Committee**
  - Research Degrees Sub-Committee
  - Research Ethics Sub-Committee

- **Learning, Teaching & Attainment Committee**
  - Student Funds Sub-Committee

- **Knowledge Exchange Committee**

- **Academic Quality & Standards Committee**
  - Validations Sub-Committee
  - International Partnerships, & Collaborative Sub-Committee → Academic Planning Sub-Committee

- University Appeals Committee
- Academic Planning Sub-Committee
- Professorial Sub-Committee
- Widening Participation Sub-Committee

COLLEGE ACADEMIC COMMITTEE

- **Boards of Studies**
  - Programme Committees
  - Course Committees

- **College Research Committees**
  - College Research Degrees Sub-Committees

- **College Knowledge Exchange Committees**

- **College Learning, Teaching & Attainment Committees**

- **College Quality Committees**
  - College Academic Partnerships, & Collaborative Sub-Committees

University of the Arts London
Academic Committees
March 2018

UNIVERSITY OF THE ARTS LONDON

ACADEMIC BOARD STANDING ORDERS

ACADEMIC BOARD STANDING ORDERS

Application

1   These standing orders apply to Academic Board, its standing committees and sub-committees, and all subsidiary bodies.

Committee Structure, Constitution and Terms of Reference

2   The Academic Board shall approve its committee structure. The Clerk to the Academic Board shall keep a register of the approved structure, constitution and terms of reference of each body. All such bodies shall be reviewed following any reconstitution.

3   The Board shall monitor the work and, where appropriate, receive the recommendations of the University's academic bodies through the receipt of minutes and such other means as it may determine either directly or through its committees.

4   All Boards, Committees and Sub-Committees and have a specific responsibility for equal opportunities in so far as the issue relates to its business.

Membership Rules

5   The Clerk to the Board shall ensure that the current composition and membership of the Board and its committees is properly recorded and maintained.

6   Ex officio members of committees and sub-committees may with the approval of the Chair, nominate an alternative member of their staff to attend on their behalf, provided that the alternative nominee is an ongoing replacement and not a replacement per meeting.

Quorum

7   Having regard to the University's Instrument and Articles of Government, the quorum for each committee has been determined using 40% of the membership as the basis for calculation. A new appointment should be notified in writing to the Clerk prior to the attendance of the member.

Eligibility, Elections and Term of Office

8   Membership shall be restricted to staff and registered students of the University, including sabbatical appointments, except where external membership is prescribed in the constitution.

9   The term of office for nominated staff members will normally be three years.

10   Student members' term of office shall be one year and a process of selection shall be conducted annually according to arrangements made by the Students Union with the approval of the Academic Board.

11   The Academic Board has approved separate election rules for the conduct of elections where membership nominations are to be determined by open election (Annex 1 refers).

Chair

12   The Academic Board shall be chaired by the Vice Chancellor or in his/her absence a Deputy Vice Chancellor.

13   The College Academic Committee shall be chaired by the appropriate Pro Vice Chancellor or in his/her absence a member of senior staff nominated by the Pro Vice Chancellor or Vice Chancellor. The College Research Committee shall be chaired by the Associate Dean of Research or in his/her absence a member of senior staff nominated by the Pro Vice Chancellor or Vice Chancellor. The School Boards of Studies shall be chaired by the Dean of School or in his/her absence by a member of senior staff nominated by the Pro Vice Chancellor or Vice Chancellor.

Role of Clerk

14   Each board and committee should have a named Clerk responsible for despatch of agendas, taking of minutes in an appropriate format, ensuring the proper conduct of elections, and upkeep of records as set out in these standing orders.

Attendance by non-members, including observers or advisors

15   The Chair of Academic Board and the Deputy Vice Chancellors shall be entitled to attend any academic meeting. A Pro Vice Chancellor may attend any academic meeting within his/her College's academic committee structure.

16   Any student or staff member of the University may attend the Academic Board or a standing committee as an observer subject to the Chair's agreement. The consent, which shall not be unreasonably withheld, should be obtained at least two hours before the start of the meeting and may be withdrawn with immediate effect if an item of a confidential nature is to be discussed (see SO 30-32 below).

17   Subject to the approval of the Vice Chancellor for Academic Board and the relevant Chair for all other committees, other staff, students or external advisors may be invited for particular meetings or specific agenda items if beneficial or necessary.

Attendance, absences and vacancies

18   Attendance and absences for all meetings shall be recorded and the Clerk shall draw the Chair's attention to absences which cause a constituent interest to be under-represented for a number of consecutive meetings.

19   In the event of a vacancy, the Board or appropriate committee/subsidiary body shall decide on the long-term arrangements for the nomination, or co-option to that vacancy, except where the provisions of the Election Rules apply.

20   In case of temporary absence or vacancy, the Chair of the academic body may make a temporary appointment or co-option which shall be reported to the next meeting of the academic body for confirmation. The appointment or co-option must conform to any membership requirements for the composition of the board or committee.

Meetings

21   Meetings shall take place at least once a term unless otherwise agreed by the relevant Chair or board/committee. The Clerk in liaison with the Chair should ensure that an

annual cycle of meetings is fixed, together with an outline schedule of potential business, so that regular referral of minutes to superior bodies is ensured and the availability of an annual report is considered.

Special Meetings

22   Special meetings may be called:

    i   by the Chair

    ii   by a resolution at an ordinary meeting

    iii   by written request to the appropriate Clerk of at least one-third of the defined total membership

RULES OF PROCEDURE

Agenda and documentation

23   Any member may submit items for the agenda up to 14 days prior to the date of the meeting. Such items will be considered for inclusion on the agenda by the Chair, with whom the final decision and responsibility for the content of the agenda rests.

24   The meeting Clerk shall be responsible for circulating an agenda at least five working days prior to a meeting. As far as practicable, agenda reports and supporting papers will also be circulated five working days in advance of the meeting.

Order of Business

25   The Chair will approve the order of business which is likely to include the following:

Part 1: Business

    i   to note changes in membership, welcome new members and others in attendance and declare any interests

    ii   to receive apologies for absence

    iii   to note where items may contain reserved information under the Freedom of Information Act and agree to take those parts of the item in private, if appropriate

    iv   to approve minutes of the previous meeting as a correct record

    v   to consider matters arising from the minutes

    vi   to confirm actions taken by the Chair

    vii   to receive, and consider, reports and recommendations from subordinate and/or parallel committees

    viii   to consider new business

    ix   to decide or confirm the date of the next meeting

    x   to consider any other business of an urgent nature

Part 2: Closed Business:

    xi   to consider and decide upon any reserved items or information under the Freedom of Information Act

26   Urgent business may be considered providing the Clerk is notified at least 24 hours before the meeting and it is accepted by the Chair and supported by a two thirds majority of those present.

27   The Chair may change the order of business at the meeting at his/her discretion, and in particular, it may be appropriate for reserved items under the Freedom of Information Act ie private and confidential matters to be considered either at the beginning or at the end of the meeting to keep any exclusions from the meeting to a minimum.

Openness and Confidentiality

28   Whilst proceedings of certain committees and/or particular meetings may by their nature be private and confidential and exempt under the Freedom of Information Act, there shall otherwise be a presumption in favour of openness in the availability of agenda reports, papers and minutes as required by the Act.

29   Consequently, it is the responsibility of the author of an agenda report to consult with the Clerk and the Chair if an item and/or its supporting papers is thought to be exempt (private and confidential) under the Freedom of Information Act. If in doubt, advice should be obtained from the University Secretary and Registrar. The final decision shall rest with the University Secretary and Registrar and, in such cases, both the author and the Clerk should ensure that papers are marked 'Reserved under the Freedom of Information Act'. Such items will not be recorded in minutes made public but shall be recorded in a separate minute marked 'Private and confidential minute, reserved under the Freedom of Information Act 2000 - not for circulation'.

30   Except where an item is reserved under the Freedom of Information Act, copies of the agenda and supporting documents of University Committees shall be available to all members of staff and students on the University's Committees web page, where appropriate, and as follows:

Location:	Board/Committee:
Academic Registry (Assessment and Quality)	Academic Board; Academic Quality and Standards Committee; Learning, Teaching and Enhancement Committee; NB University Appeals Committee papers, Professorial Sub-Committee papers and Validations Sub-Committee papers are reserved
Research Management and Administration	Research Standards & Development Committee; Research Degrees Sub-Committee; Research Ethics Sub-Committee; NB Some of these Sub-Committee papers may be reserved
Department for Widening Participation	Widening Participation Sub-Committee
University Central Planning Unit	Academic Planning Sub-Committee;

Declaration of Interests Policy and Procedure

31   A member of any academic body who has an **interest** in a matter under discussion, shall declare the nature of that interest, withdraw from the room, and not participate in the item in any way. An interest may arise as a result of a personal, financial or family matter or relationship. If a member has any interest in the matter under discussion, which may create the perception of bias, that is, the interest affects him/her in some way, or he/she has a personal connection with the matter under discussion, more than

the generality affected by the decision, he/she should declare the nature of the interest and withdraw from the room, unless he/she has been given a dispensation to speak on a factual matter by the Chair. Such a member should not participate in any vote.

32 If a member is in any doubt about these rules, he/she should consult the Chair and/or University Secretary and Registrar

33 All declarations will be minuted in terms of the nature of the interest and whether the member withdrew from the room or participated in the discussion or decision in any way. The above rules apply equally to observers and advisers.

Rules of Debate

34 Debating Procedure: Business will normally be dealt with through free discussion and agreement by consensus. Members shall address remarks to the Chair and speak only to the item under discussion. The Chair shall determine the order of speakers and have the final word in determining procedure.

35 Non-members may speak during a meeting only at the invitation of the Chair and shall not vote.

36 Confidentiality: The Chair may deem the discussion of any agenda item reserved under the Freedom of Information Act, even if the report and accompanying papers have already been made freely available. In any circumstances when discussion is ruled reserved, those in receipt of the document(s) or present during the discussion, whether members or not, shall be bound by confidentiality, unless the board or committee unanimously decides otherwise.

37 Save in exceptional circumstances expressly approved by the Chair, advisors and observers shall not be allowed to remain in a meeting when such items are discussed and shall not be given copies of the agenda item and supporting papers.

38 Motions: If it becomes clear that a formal motion is required, the Chair shall call for one. There must then be a proposer and seconder of the motion.

39 Amendments: An amendment of any motion may be moved by a member at any time prior to the motion being put to the vote. An amendment shall be relevant to the motion and shall alter the motion by addition or omission of words but not negate the motion. Every amendment must be proposed and seconded, only one amendment being taken at a time. An amendment, if carried, takes the place of the original motion. The Chair has discretion to rule an amendment out of order.

40 Voting: Every matter shall be decided by a simple majority of those voting. The voting shall be by a show of hands, unless a ballot is proposed and supported by a majority of those present. In case of an equality of votes, the Chair shall have a second or casting vote.

41 Resolutions: The result of a formal motion must be clearly recorded including the voting to show the number voting for and against and the issue resolved upon shall not be further debated or the resolutions rescinded or amended within a period of six months unless a proposal to do so is supported by a two thirds majority of those present.

Minutes

42 Minutes shall be made of the proceedings of each meeting. At every meeting the minutes of the last ordinary meeting, when accepted as accurate, shall be recorded as

so. The minutes of any special meeting shall be considered at the next ordinary meeting.

43   In the record of a meeting, whether minutes or report, views expressed during debate shall normally not be identified by the speaker's name except to record proposers and seconders or otherwise in circumstances agreed by the Chair.

44   Minutes as cleared by the Chair shall be circulated to all members of the board or committee in advance of the next meeting and if possible, no later than one month after the meeting. Minutes of all university academic committee meetings will be made available on the University's web pages where possible and appropriate.

Retention of Documents

45   Signed minutes of the Academic Board shall be retained, in perpetuity, within the minute book, as maintained by the Clerk to the Board. Minutes of committees shall be kept for a minimum of six academic years from the first day of September following the meeting.

46   Supporting documents for Academic Board meetings shall be kept for a minimum of six academic years from the first day of September following the meeting. Supporting documents of committees and sub-committees shall be retained at the Clerk's discretion, except that copies of policy and regulation approved by a subordinate committee shall be retained as originally presented throughout the currency of the policy.

Chair's Action

47   In urgent circumstances and where the relevant board or subsidiary body is unable to meet, the Chair may take action falling within the terms of reference of that body, providing consultation has taken place where appropriate. All members of that body should be informed of the action that has been taken within 10 working days of the decision and the action must be reported to the next meeting of the relevant body. In circumstances where a Chair is unable to act due to absence or illness, the Vice Chancellor or a Deputy Vice Chancellor will act instead of the Chair, and subject to the same conditions.

Amendments to Standing Orders

48   Standing Orders may only be varied with the approval of a majority of the members of the Academic Board. Proposed amendments must be sent out in full on an agenda as circulated for an ordinary meeting. The Academic Registrar should be referred to in all cases of dispute on the application of these Standing Orders.

Distribution

These Standing Orders shall be available for reference on the Committees web page.

ANNEX 1

Election Rules

1. *Supervision of Elections*

1.1 The University Secretary and Registrar or his/her nominee shall be responsible for supervising elections for staff members of Academic Board in accordance with the University's arrangements as set out in the Elections Manual.

1.2 The Clerk to the appropriate committee or body shall be responsible for conducting all other elections as required by its constitution, under the University's arrangements and as set out in the Elections Manual, with advice from the University Secretary and Registrar or his/her nominee where necessary. Therefore the Rules below shall also apply to elections conducted for committees and subsidiary bodies of the Board.

1.3 These rules only apply to categories of membership where an election is stipulated. Any query as to procedure shall be referred to the University Secretary and Registrar for decision.

2. *Eligibility*

2.1 Membership of the Academic Board and its subsidiary bodies shall be restricted to members of staff and registered students of the University, including sabbatical appointments, except where external membership is prescribed in the constitution.

2.2 The term "member of academic staff" is defined as those members of staff on a research and/or teaching academic contract. It includes Professors and any other senior managers on an individual contract who manage, direct or lead academic or academic research activities.

2.3 The term "member of support staff" is defined as all other staff not falling into the above definition.

2.4 Any queries as to eligibility in relation to staff elections shall be determined by the University Secretary and Registrar.

2.5 Any member of staff employed by the University at the time of the ballot, whether full-time or part-time, regardless of the duration of the contract, may stand or vote in an election providing they are willing and able to carry out the duties required of them by the Academic Board.

3. *Nominations*

3.1 Wherever possible, and unless otherwise agreed by the Academic Board or appropriate committee/subsidiary body, no later than 1 June in any year that a vacancy for an elected staff member is due to occur, the University Secretary and Registrar or his /her nominee or the appropriate Clerk shall invite nominations for election to the requisite category of membership by notice in writing to members of staff.

3.2 Each person nominated for election shall be nominated by two permanent members of staff eligible to vote and nominations must reach the University Secretary and Registrar or his /her nominee or the appropriate Clerk in writing by the closing date given in the notice, which shall normally be not less than two weeks from the date of that notice. The person nominated must countersign the nomination paper to indicate that he or she is prepared to stand for election.

3.3 If only sufficient nominations are received to fill the expected vacant places, those nominated will be declared elected without a ballot.

3.4 If insufficient nominations are received, those nominated shall be declared elected without a ballot and the remaining place or places shall remain vacant for a further year, at which point the University Secretary and Registrar or his/her nominee or the appropriate Clerk will invite nominations in accordance with Paragraph 3 of these Rules or such other date as agreed by the Academic Board or appropriate committee/subsidiary body.

4. *Ballot*

4.1 If more nominations are received than there are vacancies, a secret ballot will be held for that group of membership. The method of ballot will normally be by an in person ballot or postal ballot or such other method as may be agreed by the Academic Board.

4.2 The ballot notice shall include in each case only the candidate's name and appointment in the University, together with the names of the proposer and seconder who shall be permanent members of staff. Each candidate may include with the ballot notice an election address and brief autobiographical details of no more than 500 words in total. The ballot notice must state the closing date for the election, which shall normally be not less than two weeks from the date of that notice. The persons to be elected shall be determined by the operation of the single transferable vote (STV) system unless agreed otherwise by the University Secretary and Registrar or unless there is such a small constituency of voters, the STV system is inappropriate.

4.3 Arrangements for any canvassing of voters shall be as determined by the University Secretary and Registrar. Anyone acting outside those agreed arrangements will automatically be disbarred from participating in the election.

4.4 Should any candidate act in any way causing a complaint to be made by an elector, or should any other type of complaint be received, the University Secretary and Registrar will consider and decide on the complaint. Sanctions may include the disbarring of the candidate from further participation in the election. The decision of the University Secretary and Registrar on the complaint is final.

4.5 As soon as possible after the closing date for the election, the University Secretary and Registrar or his/her nominee or the appropriate Clerk shall inform the candidates, their proposers and seconders of the result, which may also be made available by notice and on the University's website as soon as possible thereafter.

5. *Casual Vacancies*

5.1 In the event of a vacancy occurring before the end of the elected period, the University Secretary and Registrar or his/her nominee or the Clerk to the appropriate committee or subsidiary body shall decide whether to arrange for an election forthwith to fill that vacancy for the remainder of the period of office outstanding in accordance with the procedures outlined above.

6. *Period of Office*

6.1 Elected members shall normally be elected for a period of three years and shall be eligible for re-election except that members shall not normally serve for more than two consecutive terms of three years.

6.2 Periods of office of elected members shall normally commence on 1 October or such other date as agreed by the Academic Board or appropriate committee/subsidiary body, save that any member elected to fill a casual vacancy shall be a member only for the unexpired portion of the period of appointment or election of the member replaced, but any such period shall be disregarded in determining that member's eligibility for further election.

7. *Cessation of Membership*
7.1 Elected members shall cease to be members if they cease to be eligible in the categories in which they were elected or if they send notice of resignation in writing to the University Secretary and Registrar or appropriate Clerk.

8. *Interpretation*
8.1 The University Secretary and Registrar shall be responsible for the interpretation of and decisions on the application of these Rules.

ACADEMIC BOARD

Purpose

To advise on the University's academic activities, exercising appropriate delegated authority.

Terms of reference

Subject to the provision of the Articles of Government, to the overall responsibility of the Board of Governors, and to the responsibilities of the Principal, the Academic Board shall be responsible for:

A   general issues relating to the research, scholarship, teaching and courses at the University, including FE and HE term dates; criteria for the admission of students; the appointment and removal of internal and external examiners; policies and procedures for assessment and examination of the academic performance of students; the content of the curriculum; academic standards and the validation and review of courses; the approval of Collaborative Links and development and approval of Collaborative Courses of Study; the procedures for the award of qualifications and honorary academic titles; and the procedures for the expulsion of students for academic reasons. Such responsibilities shall be subject to the requirements of validating and accrediting bodies

B   considering the development of the academic activities of the University and the resources needed to support them, and for advising the Principal and the Board of Governors thereon

C   advising on such other matters as the Board of Governors or the Principal may refer to the Academic Board and on any other matter on which the Board considers it necessary to give advice in the exercise of its responsibilities.
The Academic Board may establish such committees as it considers necessary to enable it to carry out its responsibilities provided that each establishment is first approved by the Principal and Board of Governors. The number of members of any such committee and the terms on which they are to hold and vacate office shall be determined by the Academic Board.

Constitution and membership

Total number of members: 35*

Tenure: Three years (for nominated staff members)

Chair: Vice Chancellor

Appointed: 17* members (Academic Heads or equivalent)
- Two Deputy Vice Chancellors
- Four Pro Vice Chancellors
- Director of Library and Student Support Services
- Dean of Learning, Teaching & Enhancement
- Dean of Research
- University Secretary & Registrar
- Dean of Students
- Academic Registrar
- Director of Student Marketing and Recruitment

- Four Deans elected from their number

*Plus the Chair of any Standing Committee if not otherwise a member

Nominated: 18 members

- Four members of academic staff one elected by each College Academic Committee
- One representative of college LLR staff nominated by the Director of Library and Student Support Services
- One representative of the College Associate Deans of Research
- Three academic staff elected by the academic staff across the University
- Two support staff and one technical staff elected by the support staff across the University
- Three students representing the student body, nominated by the Students' Union
- One member co-opted by the Academic Board
- One Head of Technical Resources nominated by the Heads of Technical Resources Group
- One member of academic staff who is a National Teaching Fellow of the Higher Education Academy, nominated by the Dean of Learning, Teaching and Enhancement
- Diversity co-option nominated by the Chair

Quorum: 40%

*NB   The Court of Governors, on 30 October 2000, agreed to provide a co-option facility for any Chair of a standing Academic Board Committee to sit on the Board, who otherwise would not do so.

University Research Committee

Terms of Reference

Purpose

To formulate and monitor the implementation and operation of the research strategy across the University, and to ensure College research plans are aligned with this strategy. To assure the standards of the University's research projects and awards. To promote the creation of a sustainable and enterprising research culture for the benefit of staff, students, colleges and the University, including knowledge transfer and the commercial exploitation of intellectual property.

Terms of Reference

1. Delegated authority to act in the following:

    a) To set and monitor standards for the award of research degrees.
    b) To set and monitor standards for research ethics.
    c) To monitor and enhance the quality of research programmes, projects and the research infrastructure within colleges and across the University, including the research student experience.
    d) To develop and co-ordinate the implementation of the University's procedures relating to the management and monitoring of research projects, such as:
        i)   The Full Economic Cost methodology
        ii) The Research Centre designation procedures
    e) To develop a model for and monitor the distribution of the research budget.
    f) To be responsible for policy and procedures related to the admission, progression and examination of research degree students.

2. Requirement to recommend on the following:

    a) To discuss and formulate research policy and strategy in the light of the external context and the University's mission for the development of the overall research environment.
    b) To discuss and advise on the relationship of research with teaching and knowledge exchange.
    c) To advise Academic Planning Committee and Academic Board upon the range, quantity and appropriateness of research across the University, and the disposition of resources allocated for the purposes of research against the Medium Term Strategy, including funds for the support of research degree students.
    d) To develop mechanisms to support collaborative research both within the University, including Research Centres, and with other appropriate academic, institutional and business partners.
    e) To advise on reports received from and sent to external bodies
    f) To influence professorial, readership and Research Centre developments for the growth of co-ordinated university research networks

3. Monitoring responsibilities:

    a) To respond to HEFCE, Research Councils and other agencies as appropriate and necessary on behalf of the University.
    b) To monitor the use of research grant income.

c) Research Degrees Sub-Committee, Research Ethics Sub-Committee, Research Management Group, and Research Data Management Group.

4. To produce an annual report to Academic Board on research standards and research undertaken at the University.

Note: This body, its sub committees and groups have a specific responsibility for equal opportunities in so far as the issue relates to its business.

University Research Committee

Constitution and Membership

Chair:
Pro Vice-Chancellor (Research)

Ex Officio:
Deputy Vice-Chancellor Academic
Pro Vice-Chancellors (x4)
Dean of Research
4 x Associate Deans of Research (x4)
Dean of Learning Teaching and Enhancement
Chair, Research Degrees Sub-Committee
Chair, Research Ethics Sub-Committee

Nominated:

2 x student representatives
Academic Deans' representative
Libraries and Academic Support Services representative

Co-opted:
Diversity Co-option appointed by the Chair

REF2021 Research Excellence Framework

Declaration of Individual Staff Circumstances template

This document is being sent to all Category A staff whose outputs are eligible for submission to REF2021 (see 'Guidance on submissions', paragraphs 117-122). As part of the university's commitment to supporting equality and diversity in REF, we have put in place safe and supportive structures for staff to declare information about any equality-related circumstances that may have affected their ability to research productively during the assessment period (1 January 2014 – 31 July 2020), and particularly their ability to produce research outputs at the same rate as staff not affected by circumstances. The purpose of collecting this information is threefold:

- To enable staff who have not been able to produce a REF-eligible output during the assessment period to be submitted to REF without the minimum requirement of one output where they have;
  - o circumstances that have resulted in an overall period of 46 months or more absence from research during the assessment period, due to equality-related circumstances (see below)
  - o circumstances *equivalent* to 46 months or more absence from research due to equality-related circumstances
  - o two or more qualifying periods of family-related leave.
- To recognise the effect that equality-related circumstances can have on an individual's ability to research productively, and to adjust expectations in terms of expected workload / production of research outputs.
- To establish whether there are any Units of Assessment where the proportion of declared circumstances is sufficiently high to warrant a request to the higher education funding bodies for a reduced required number of outputs to be submitted.

Applicable circumstances

- Qualifying as an ECR (started career as an independent researcher on or after 1 August 2016)
- Absence from work due to secondments or career breaks outside the HE sector
- Qualifying periods of family-related leave
- Disability (including chronic conditions)
- Ill heath, injury or mental health conditions
- Constraints relating to family leave that fall outside of the standard allowances
- Caring responsibilities
- Gender reassignment

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

Ensuring Confidentiality

All declarations of circumstances will be submitted directly to the Human Resources REF Business Partner who will verify any information that HR already hold on declared circumstances. The information in the form will be shared with the REF Circumstances Panel composed of the Dean of Research, the Deputy Director RMA, and the HR REF Business Partner. Where circumstances declared are of a particularly sensitive nature the form will be anonymised by the HR Business Partner before sharing with the panel. The panel will review the information in the form against the REF Guidance on Submissions in deciding if circumstances would have affected the researchers' productivity and the appropriate reduction that should be reflected at the unit level if a unit level reduction is sought. The outcome of the panel's decision will be communicated to your line manager and your College Associate Dean of Research in terms of reduction of outputs but the circumstances for the reduction will not be shared with your line manager, Associate Dean of Research or any other member of staff outside of the REF Circumstances Panel.

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

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

Changes in circumstances

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

To submit this form you should email the completed for to the HR REF Business Partner (current contact details on Canvas) with the subject line Confidential REF Staff Circumstances

Name: Click here to insert text.

Department: Click here to insert text.

Do you have a REF-eligible output published between 1 January 2014 and 31 July 2020?

Yes ☐

No ☐

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

Circumstance	Time period affected
Early Career Researcher (started career as an independent researcher on or after 1 August 2016). *Date you became an early career researcher.*	Click here to enter a date.
Career break or secondment outside of the HE sector. *Dates and durations in months.*	Click here to enter dates and durations.
Family-related leave; • statutory maternity leave • statutory adoption leave • Additional paternity or adoption leave or shared parental leave lasting for four months or more. *For each period of leave, state the nature of the leave taken and the dates and durations in months.*	Click here to enter dates and durations.
Disability (including chronic conditions) *To include: Nature / name of condition, periods of absence from work, and periods at work when unable to research productively. Total duration in months.*	Click here to enter text.
Mental health condition *To include: Nature / name of condition, periods of absence from work, and periods at work when*	Click here to enter text.

unable to research productively. Total duration in months.	
Ill health or injury *To include: Nature / name of condition, periods of absence from work, and periods at work when unable to research productively. Total duration in months.*	Click here to enter text.
Constraints relating to family leave that fall outside of standard allowance *To include: Type of leave taken and brief description of additional constraints, periods of absence from work, and periods at work when unable to research productively. Total duration in months.*	Click here to enter text.
Caring responsibilities *To include: Nature of responsibility, periods of absence from work, and periods at work when unable to research productively. Total duration in months.*	Click here to enter text.
Gender reassignment *To include: periods of absence from work, and periods at work when unable to research productively. Total duration in months.*	Click here to enter text.
Any other exceptional reasons e.g. bereavement. *To include: brief explanation of reason, periods of absence from work, and periods at work when unable to research productively. Total duration in months.*	Click here to enter text.

Please confirm, by ticking the box provided, that:

- The above information provided is a true and accurate description of my circumstances as of the date below
- I realise that the above information will be used for REF purposes only and will be seen by The REF HR Business Partner, the Dean of Research, the Deputy Director of RMA (Environment and Communications)
- I realise it may be necessary to share the information with the REF team, the REF Equality and Diversity Advisory Panel, and main panel chairs.

    I agree ☐

Name: Print name here

Signed: Sign or initial here

Date: Insert date here

☐ I give my permission for an HR partner to contact me to discuss my circumstances, and my

☐ I give my permission for the details of this form to be passed on to the relevant contact within
my department/faculty/centre. (Please note, if you do not give permission your department may

I would like to be contacted by:

       Email ☐   Insert email address

       Phone ☐   Insert contact telephone number

The College Research Excellence Framework Working Groups: Terms of Reference

The College Research Excellence Framework Working Groups (CRWGs) are responsible for overseeing the College's preparations and proposals for UAL's submission of outputs to the Research Excellence Framework (REF).

AIM: To optimise proposals for inclusion of outputs to UAL's REF submission and deliver them in a timely manner.

Terms of Reference

In pursuance of its aim, each College REF Working Group has the following terms for reference:

i. To maximise the benefit of the REF to the College and the University.
ii. To evaluate individual research outputs for staff with significant responsibility for research according to the criteria set out for REF 2021 and consistent with Research England's equal opportunities guidance, equal opportunities legislation and UAL's REF Code of Practice.
iii. To propose the outputs for inclusion in the submission based according to (ii) consistent with Research England's equal opportunities guidance, equal opportunities legislation and UAL's REF Code of Practice.
iv. To support the development of integrated presentations of research for practice outputs.
v. To assist in identifying the strengths and weaknesses of the College's outputs and, having identified weaknesses, recommend solutions to improve the University's submission.
vi. To report to the University's Research Management Group and University Research Committee and the Chair of the College REF working group.
vii. To comply with all equal opportunities legislation in its decision-making capacity and to operate under the terms of the UAL Equality Code of Practice for the preparation of the REF 2021 submission at all times.

Operation

The College RWG reports to the College Research Committee and the University's Research Management Group.

The Research Management and Administration (RMA) REF team will support College RWGs, supplying information on research outputs, supporting the collation of information on practice outputs for review, as well as clerking the meetings.

RWG members are appointed by the College Research Committees. Appointed members will be expected to remain on the working group until after the submission deadline (27 November 2020) to ensure consistency of approach. Should additional expertise be needed the College Research Committee will appoint new members in accordance with the membership profile. In line with UALs policy on developing diverse committees the membership should represent staff from diverse backgrounds.

Membership
Maximum: 12
Minimum: 8
Quorum: 40% of membership
College REF Working Groups should comprise the following expertise:

Associate Dean of Research (Chair)
Member of staff of hosted Research Centre
Active Researchers who are full-time or fractional members of staff