

**University of Bradford**  
**REF 2021 Code of Practice**

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## Part 1: Introduction

1. The University of Bradford is committed to supporting research in an environment that values and celebrates the diverse nature of its staff and their contributions. This Code of Practice confirms the University's commitment to equality of opportunity and is consistent with University Policy and relevant legislation.

2. This Code of Practice is concerned with issues of equal opportunities in the context of the identification of staff with significant responsibility for research and sets out the processes for identifying independent researchers and output selection for inclusion in our Research Excellence Framework (REF) 2021 submission. This Code of Practice operates across the institution and is applicable to all staff directly involved in research activity and others associated with the research function of the University.

3. It should be noted that the University's performance measurement and management of individual members of staff is independent of the REF exercise, having a broader remit and being guided by the University's Corporate, Financial and Research strategies. The REF exercise is completely independent of, and decoupled from, any staff re-grading exercises. This is discussed further in the section relating to Individual Circumstances (paragraphs 67 – 74).

4. The University's commitment to equality of opportunity, to principles of fairness, inclusivity, consistency, accountability and transparency as detailed in the University Strategy and supporting strategies, the Research England (RE) "Guidance on Submissions (REF 2019/01), "Panel Criteria and Working Methods" (REF 2019/02) and "Guidance on Codes of Practice" (REF 2019/03) will be applied to all processes regarding the selection of staff for inclusion in the REF submission.

5. The University of Bradford is committed to implementing an inclusive process for our REF 2021 submission that is free from discrimination, harassment, or victimization on the grounds of age, disability, gender reassignment, marriage and civil partnership, race, religion or belief, sex, sexual orientation or because of pregnancy, maternity, paternity, or any other inappropriate distinction.

6. The University has taken actions to build on its approach to equality of opportunity since its REF 2014 submission. Between January 2013 and June 2017, the University coordinated a FP7-funded action research project, GENOVATE, led by Professor Archibong (Strategic Advisor for Equality, Diversity and Inclusion). The focus of this project was to ensure equal opportunities for women and men by encouraging a more gender-competent management in research, innovation and scientific decision-making bodies, with a particular focus on universities. Many of the outcomes and strategies for successful transformation of organisational structures towards more gender-competent management are now incorporated into the University's workforce plan and implementation is being monitored by the Equality and Diversity Committee (EDC), chaired by the Vice-Chancellor.

7. Since REF 2014 we have made explicit our approach and strategies to create equality of opportunity for all staff to reach their maximum research potential. We have institutionalised gender equality in different university structures, resources, working methods and approaches. This has been recognised externally by the achievement of an institutional Bronze Athena SWAN award in November 2015 and a departmental bronze

award in November 2017 for the School Chemistry and Biosciences. Plans are well underway for all Faculties/Schools to submit for Bronze awards in 2019.

8. In addition, since REF 2014, the University has procured a new, integrated Research Information System. The process for reviewing outputs for REF, as described in this Code of Practice, has been live since January 2019. This has increased the involvement of all academics in building our REF submission by allowing them to nominate their own choice of papers for review without pressure. In addition, this process is open to all staff, whether they are physically present in the University during the REF review periods or not, as the system can be accessed remotely. It has also enabled the introduction of a more consistent reviewing process for all outputs.

9. The University management and the University's research community as a whole share responsibility for the successful application of this Code of Practice. Specific responsibility for implementation of the principles set out in this Code of Practice rests with members of University staff involved with the REF processes.

10. This Code of Practice will continue to be made accessible to all and will be applied consistently across the University. However, in order to recognise the contribution of a diverse research community, the University of Bradford will ensure that variations of working practices are considered appropriately and transparently. The Code is being communicated to all staff across the institution and a process of meaningful consultation is being undertaken. Communication routes have been via:

- i. dedicated intranet page, where all staff can access official guidance and information provided by Research England (via [www.ref.ac.uk](http://www.ref.ac.uk)), copies of Town Hall presentations, a regularly updated Frequently Asked Questions (FAQs) section, and the latest version of the Code of Practice,
- ii. dedicated email address to which staff are able to send their comments and feedback,
- iii. inclusion in regular staff briefings,
- iv. Town Hall meetings hosted by the Pro Vice Chancellor (Research & Knowledge Transfer) and Academic REF Lead,
- v. University Assembly,
- vi. direct email and letter to all staff on leave of absence, from the Pro Vice Chancellor (Research & Knowledge Transfer), with links to the information included in the intranet page and encouragement to comment on the draft Code via the dedicated email address,
- vii. meetings with the relevant trade union (UCU).

11. Managerial decisions, including cross-Unit of Assessment (UoA) decisions, concerning the eligibility of staff and their independence and level of responsibility for research will be in line with Research England Guidance, this Code of Practice and the University's Corporate and Financial Strategies.

12. The University of Bradford will comply with all the legal duties that follow from legislation that is valid at the time of REF submission and listed in REF 2019/03.

13. Any staff member who believes that they may have been the victim of discrimination, whether it be direct discrimination, indirect discrimination, lawful discrimination, discrimination through association, harassment, or victimisation in relation to the REF 2021

submission shall have full rights of protection under the University's 'Dignity and Respect Policy' (attached at Appendix A) and 'Grievance Policy' (attached as Appendix B).

14. Further information on the procedure for dealing with complaints made in relation to decisions about the level of responsibility for research and research independence of staff in the REF submission can be found in Parts 2 and 3 of this Code of Practice.

## **Part 2: Identifying staff with significant responsibility for research**

### **Policies and procedures**

#### **Significant responsibility for research:**

15. The University of Bradford is not submitting 100 per cent of its Category A eligible staff. Here we detail the criteria and processes, agreed via consultation with staff, for identifying those with significant responsibility for research. Following Research England guidance (REF 2019/01), we will use the University of Bradford Academic Workload Model (AWLM) as the principal basis for identifying staff with significant responsibility for research at census date. Full details of the AWLM are included at Appendix C.

16. The University Research and Knowledge Transfer Strategy (RKTS) Committee agreed that the normal allocation of University Funded Research time for staff for whom research is an expectation of their job role is 15%. Faculties can vary this with the approval of the Faculty Dean. Line Managers may wish to allocate an allowance greater than 15% for specific individuals but this needs to be justified on a case-by-case basis approved by the Faculty Dean. The AWLM is equality impact assessed to identify and address any potential issues of discrimination.

17. For the purposes of identifying staff with significant responsibility for research, a threshold value of 15% allocation for research at the REF census date is to be applied initially to identify staff with significant responsibility for research. This approach has been adopted for all units of assessment.

18. Irrespective of the time allocation described above, there must also be a clear expectation of research activity leading to output or impact generation as part of the role, as stated in PDR documentation and supported by the completion of an annual Personal Research and Innovation Plan (PRIP). This recognizes the fact that the University employs a number of second career academic staff who are currently focussed primarily on teaching professional programmes, but for whom a research allowance has been provided as a development opportunity (possibly for undertaking PhD study). In such cases there may be no current expectation regarding research performance and such staff are not considered to have significant responsibility for research.

19. Decisions regarding significant responsibility for research are implicitly confirmed to staff via line managers who agree workload allocations with each member of staff. Workload allocations for the academic year 2019/20 are set in summer 2019, i.e. after the Code of Practice consultation exercise, and therefore all staff are made aware of the implications of

their personal, agreed allocations with regard to REF submission at the time that the workload allocations are agreed. To increase transparency and consistency this will be additionally confirmed in writing by the corresponding Dean or their Associate Dean (RKT) (AD (RKT)).

20. For Deans and PVCs the workload model does not apply. Where appropriate in these cases the Vice Chancellor (VC) will confirm in writing that the individual is expected to undertake research as part of their professional activity and that it is considered a significant responsibility.

## Development of processes

21. Processes to be followed were consulted on and agreed with staff representative groups and the UCU as outlined above (paragraph 10). The timescale for consultation and approval of the Code of Practice is outlined below.

6 <sup>th</sup> February 2019:	Draft CoP principles to Executive Board
11 <sup>th</sup> February 2019:	Staff and Union Consultation commences
15 <sup>th</sup> & 19 <sup>th</sup> February, 15 <sup>th</sup> & 26 <sup>th</sup> March 2019:	Town Hall events
1 <sup>st</sup> April 2019:	Draft CoP discussion at Equality and Diversity Committee
9 <sup>th</sup> April 2019:	Staff and Union Consultation closes
10 <sup>th</sup> April 2019:	Draft CoP to Executive Board
1 <sup>st</sup> May 2019:	Final CoP to Senate for sign-off
15 <sup>th</sup> May 2019:	Final CoP to Council for information

## Staff, committees and training

22. The University's REF Steering Group was constituted in 2017 and held its first meeting on 5 February 2017. The REF Steering Group is chaired by the Pro Vice Chancellor (Research and Knowledge Transfer) (PVC (RKT)) and brings together staff of all levels from across the University to provide leadership and guidance on the development of the University's submission for REF 2021.

23. The Group reports to the Research and Knowledge Transfer Strategy Committee and then to Senate. The Group meets every two months with all meetings documented and an action plan with responsibilities and timelines created after each meeting. Minutes are approved at the following meeting. This provides a complete record of how the REF submission has been developed and the decisions made affecting that submission. The REF Steering Group approved the preparation of, and timetable for, developing the Code of Practice at its meeting on 6 December 2018. The terms of reference and membership for the REF Steering Group are attached as Appendix D.

24. The REF Steering Group is supported by the Impact Working Group, the REF Review Groups, the Outputs and Environment Working Group and the Data Quality Working Group. Appendix B also includes the corresponding schedule of delegation and an organogram showing the structure, relationships and responsibilities of the groups and individuals involved in preparing the REF submission.

25. The Impact Working Group deals only with the identification, development and assessment of potential impact case studies. It has no input into the identification of staff with significant responsibility for research, the identification of independent researchers, or the selection of outputs. The terms of reference for this group are attached as Appendix E.

26. The REF Review Groups are constituted by Unit of Assessment and meet approximately every 6 months. They are chaired by the PVC (RKT), with membership comprising the ADs (RKT) for the Faculty or Faculties covered by the UoA, the Unit of Assessment (UoA) Co-ordinator, the Impact Lead or Faculty Impact Champion, the University Impact Officer, the Research and Innovation Performance Manager and the REF Academic Lead. The Research Performance Administrator attends to take notes and an action list agreed by all is produced. The REF Review Groups' role in identifying staff with significant responsibility for research is to report to the PVC (RKT) those staff within their UoAs whose Academic Workload Model (AWLM) includes a 15% or greater allocation for research and whose role includes an expectation that they will be actively engaged in research. Terms of reference for these REF Review Groups are attached as Appendix F.

27. The Outputs and Environment Working Group provides data on outputs in each UoA and is responsible for the completion of both Institutional- and UoA-level environment templates. It also provides data on staff with significant responsibility for research and outputs of staff who have left during the current REF period. The membership consists of the PVC (RKT), the REF Academic Lead, the Research and Innovation Performance Manager and the UoA Co-ordinators. The University Impact Officer and the Research Performance Administrator are asked to attend as appropriate. Terms of reference for this group are attached as Appendix G.

28. The Data Quality Working Group is responsible for the preparation of the Code of Practice, carrying out equality impact assessments and analysis on the Code of Practice and the REF submission and monitoring the quality of data used in the preparation of the environment documents and REF4a/b/c. The membership and terms of reference are attached (Appendix H).

29. The role descriptors for the ADs (RKT), the University REF Impact Lead (i.e. Chair of the Impact Working Group), the University Impact Officer, the Research and Innovation Performance Manager, the Deans' representative, the Early Career Researcher representative, the University REF Academic Lead, the PVC (RKT), and the Associate Director of HR Operations are all attached (Appendices I to Q). For the other members of the supporting working groups (who do not form part of REF Steering Group), the role descriptors for UoA co-ordinators, Faculty Impact Champions, and UoA Impact Leads are attached (Appendices R, S(i) and S(ii)).

30. All staff (including all members of the REF SG and supporting groups) completed a compulsory online module "Diversity in the Workplace" during the first half of 2016. A module on Unconscious Bias is a mandatory requirement for all staff involved in recruitment processes and the aforementioned institutional REF 2021 groups. These modules deal with



general equality and diversity issues in the workplace. The PVC (RKT) has undertaken Athena SWAN training for Panel Members and Chairs and has chaired Equality Challenge Unit Athena SWAN Panel meetings for the assessment of Bronze and Silver awards at Departmental and Institutional level. The REF Academic Lead has undertaken and delivered equality and diversity training, as well as unconscious bias training in the context of European Union projects.

31. In addition to this general training, the PVC (RKT) and REF Academic Lead have attended several Research England fora specifically about REF 2021. The Research and Innovation Performance Manager and the REF Academic Lead have attended Inside Government events on REF 2021 during 2017 and 2018, webinars on REF 2021 (including the development of Codes of Practice) and other REF-related training from bodies such as ARMA. The PVC (RKT), the Chair of the Impact Working Group, the REF Academic Lead and the Research and Innovation Performance Manager were all involved in supporting and developing REF 2014 submissions.

32. The University has run a series of briefings and training events for all staff on the guidelines and requirements for REF 2021 including the identification of staff with significant responsibility for research and the criteria defining research independence. Communication of this information to staff involved in the REF process is ensured by briefing the REF Steering Group and all its supporting groups on the relevant sections of the guidance. There is also a dedicated intranet site with information on the REF in general, links to the REF guidance documents and support sites, FAQs and other relevant information including this Code of Practice.

33. The PVC (RKT), REF Academic Lead and Research and Innovation Performance Manager will provide mandatory REF-specific training to individuals and working groups involved in identifying staff with significant responsibility for research during summer 2019. This will have a focus on fair implementation of the criteria and methodology outlined in this Code of Practice and incorporate material from the 'Equality briefing for REF panels' available on the REF 2021 website.

## Appeals

34. In line with the University's commitment to equality of opportunity, appeals on grounds of discrimination against staff relating to the process of identification of significant responsibility for research will be taken seriously, whether on the grounds of age, disability, gender reassignment, marriage and civil partnership, race, religion and belief, sex, sexual orientation, or because of pregnancy or maternity, or any other inappropriate distinction.

35. It should be noted that a member of staff raising an appeal may only do so in terms of process issues and/or personal circumstances relating to their identification as having significant responsibility for research. Staff do not have the right of appeal against the academic judgement of those involved in the process of identification.

36. The University is committed to protecting individuals from any form of victimisation arising from their making any appeal or taking other action in line with the Dignity and Respect Policy.

37. Those members of staff involved in any part of the process of identification of staff with significant responsibility for research are required to observe this REF 2021 Code of Practice. The individuals handling appeals will be independent of the decisions regarding identification of staff with significant responsibility for research and will receive generic training on dealing with appeals from Human Resources, and on this Code of Practice and the wider REF 2021 guidance. Any proven breach of the Code by any staff member may result in an investigation, and commensurate and appropriate action will be taken.

38. Data on appeals and their outcomes will be monitored and considered by the Equality and Diversity Committee (EDC), terms of reference attached as Appendix T.

## **Appeals Procedure**

39. Every eligible staff member will receive formal written communication of their status with regard to significant responsibility for research and an assessment of whether research is a requirement of their role from the relevant Faculty Dean or their Associate Dean (RKT) as soon as is practical following workload allocation for academic year 2019/20. This written communication will include details of the appeals process described below.

### Stage 1

40. Following the above formal communication, each staff member will have the opportunity to provide additional information within 10 working days about their own circumstances.

41. At Stage 1, other than in exceptional circumstances, the persons designated to deal with the matter will be the Pro Vice Chancellor (Academic, Teaching and Innovation) (PVC(ATI)) who will assess the appeal within 10 days of its submission. In the event that the PVC (ATI) holds a senior position in one of the Faculties, and where an appeal relates to that Faculty, the person designated to deal with that matter will be the VC.

42. Following the consideration of any new information provided by the staff member, the outcome in respect of their status with regard to significant responsibility for research and an assessment of whether research is a requirement of the role will be confirmed by the PVC (ATI) (or VC as appropriate) who will also advise the UoA co-ordinator within five working days of the decision being reached.

### Stage 2

43. If their status with regard to significant responsibility for research and an assessment of whether research is a requirement of the role is unchanged and the staff member believes there is evidence of discrimination, they may decide to pursue the matter further. Appeals of this kind must be raised within one calendar month of receiving the outcome of their Stage 1 appeal.

44. Stage 2 will involve the case being presented to a REF 2021 Appeals Panel. The membership of the panel will consist of:

Associate Director of HR Operations;

Trade Union Representative, or other arrangement as in all cases of appeal;

Independent Faculty Dean.

45. Timescales for submission, assessment and communication of the outcome will be the same as for Stage 1.

### Stage 3

46. If the individual would like to take the matter further, they retain the right, under Statute, to lodge a formal grievance with the University. Details of the process are contained in the Grievance Policy (Appendix B).

## **Equality impact assessment**

47. The University will monitor the equality profile of eligible staff identified as having significant responsibility for research and will undertake an equality impact assessment and analysis (EIAA) at each stage of the process.

48. EIAs will be conducted following each round of REF Review meetings at UoA and institutional levels from March/April 2019 onwards. Following each REF Review meeting from and including March/April 2019, the University will investigate any potential *prima facie* imbalance and consider ways in which the information obtained may be used to inform positive change. The EIAA will also be reviewed when considering appeals and when preparing the final REF 2021 submission.

49. The University will carry out the EIAA over four stages:

- i. Developmental stage of the Code of Practice: this includes the selection of staff that is based upon the principles of transparency, consistency, accountability and inclusivity so staff are clear about who makes the decisions, when these are made and the steps taken to ensure there has been fairness in the process – as outlined in this document and to be completed by October 2019.
- ii. Analyse the equality data after the REF Review meetings to improve the Code and, if needed, to develop and implement an action plan. Future REF Review meetings will take place biannually: September 2019, February 2020 and June 2020.
- iii. Analyse the outcomes of the appeals decision(s) and final submission to the REF and publish this information externally on the University web pages.
- iv. Review the REF 2021 process for identification of significant responsibility for research and implement recommendations to improve equality, diversity and inclusion for the next submission.

## Part 3: Determining research independence

### Policies and procedures

50. For the purposes of determining staff who meet the definition of an independent researcher, the University will follow the criteria laid out in Research England guidance (REF 2019/01); i.e. staff who, at census date:

- i. lead or act as principal investigator or equivalent on an externally funded research project
- ii. hold an independently won, competitively awarded fellowship where research independence is a requirement as listed in the REF 2021 independent research fellowships document
- iii. act as a co-investigator on an externally funded research project
- iv. lead a research group or a substantial work package
- v. make a significant input into the design, conduct and interpretation of research.

51. Recommendations regarding research independence will be made by UoA coordinators having assessed each staff member's contribution to research activities at each REF Review meetings and then finally immediately before census date. These recommendations are discussed at REF Review meetings. From September 2019, after REF Review meetings Deans or ADs (RKT) will inform staff of their status with respect to research independence at the same time as being advised of their responsibility for research (see paragraphs 15 - 19 above). Decisions will be reviewed at each subsequent REF Review meeting, meaning that changes in research activity and independence can be recorded, so enabling staff to be included in the return if appropriate. In this way staff are continually aware of their current status.

### Staff, committees and training

52. Decisions regarding research independence status of all eligible staff will be made by the relevant REF Review Group, via delegated authority from the REF Steering Group.

53. Training for staff involved is as addressed in Part 2.

### Appeals

54. The process for staff wishing to appeal against their classification of research independence will follow the same process and timescales as that described for establishing significant responsibility for research, as outlined in Part 2.

### Equality impact assessment

55. The equality impact assessments will follow the same process and timescales, as outlined in Part 2.

## Part 4: Selection of outputs

### Policies and Procedures

56. The University is committed to the use of responsible metrics in assessing research in line with the principles laid out in the Leiden Manifesto and the San Francisco Declaration on Research Assessment (DORA). In the light of this, selection of outputs for inclusion in the submission will be based primarily on the quality of outputs as determined by peer review, and the fit with the relevant UoA environment statement. Output metrics such as journal rankings and citation data will not be used to determine the inclusion or exclusion of an output, although the open access status of journal articles and peer-reviewed conference papers will be taken into consideration. This is in line with the Research England criteria for assessing the quality of outputs submitted to REF 2021 and their eligibility for inclusion as well as their recommendations for the selection of outputs by HEIs (REF Guidance on Submissions, paragraph 292, p67).

57. The process will be organised through the University of Bradford Research Information System (RIS) with ADs (RKT) (or deputed senior academics) or UoA Co-ordinators in charge of the workflow. All eligible staff members have been asked to nominate outputs for inclusion in the peer review process. In addition, UoA Co-ordinators can nominate outputs from staff who are no longer employed by the institution where those outputs are eligible. Basic eligibility checks are carried out and the outputs sent to two reviewers. At the point of reviewing, all reviewers are anonymous both to the authors and each other.

58. Reviews are carried out based on the three key criteria of originality, rigour and significance combined to give an overall star rating as defined by Research England in the REF 2021 guidance. Reviewers are also required to submit comments on each aspect of the output and on its overall quality. Reviewers are given a reasonable but clear deadline by which each review must be completed. If the overall star ratings from the two reviewers agree, no further review is required. If the two reviewers disagree, a third reviewer or moderation panel, depending on UoA, is appointed by the corresponding UoA coordinator to determine the final quality score.

59. Once all reviews have been completed, a star rating is confirmed for the output that is recorded in the system and added to a database of reviewed outputs. At the end of each REF Review cycle, individual staff are informed of the star ratings of the outputs they have nominated and offered face-to-face feedback.

60. For the regular REF Review meetings, a list of graded outputs will be presented for each Unit of Assessment, and the most appropriate outputs selected both to comply with the REF 2021 requirements and to best represent the research within the UoA. These groups will present recommendations to the REF Steering Group for the final decisions on the selection of outputs.

61. To evaluate the transparency and fairness of the processes for selecting outputs, each Unit of Assessment is required to record how outputs are evaluated and selected for potential inclusion in the REF 2021 submission. A list of reviewers used and the process of reviewing, including confirmation that citation data or journal ranking data has not been inappropriately used, is requested at each REF Review Meeting. Reviewers are required to

attend the training mentioned in Part 1, and the recording of the reviewer pool used by each Unit of Assessment in their selection of outputs enables the monitoring and enforcement of this requirement. In addition, the use of citation or journal ranking data is not compatible with this Code of Practice or panel criteria and working methods as published in [www.ref.ac.uk](http://www.ref.ac.uk). Any outputs found to have been selected using these metrics will be required to be re-assessed using the peer review process described in the Code of Practice.

62. The University reserves the right to submit outputs from staff who have left where those outputs were produced by authors when employed by the University. Outputs of all staff who have left for whatever reason during the REF period are reviewed in the same way as those who are in post at census date. Having assessed the quality of outputs from staff who have left, including those who have left as a result of redundancy, the University adopts the following guidelines for selection purposes:

- i. Where a UoA would not be strengthened by inclusion of outputs from staff who have left (i.e. there are no outputs attributed to staff who have left that are of a higher quality than those attributed to staff employed by the University at census date), the University would not include any such outputs.
- ii. Where a UoA would be strengthened by inclusion of outputs from staff who have left the University and no equivalent quality outputs from current staff were displaced as a consequence, then the University will consider the inclusion of such outputs on a case-by-case basis.
- iii. The University will seek not to disadvantage an existing member of staff where that individual has co-authored an output with someone who has subsequently left the University.
- iv. The University will not include outputs from staff who have been dismissed as a result of misconduct.

63. A flow chart is attached showing the full process at Appendix U.

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

64. The staff involved in the selection of outputs include the ADs (RKT), UoA co-ordinators, academics reviewing outputs, the REF Review Groups and all academics nominating their outputs for review. The role descriptors and ToRs for relevant staff and groups are attached (Appendices G, Q and D).

65. In each UoA a group of reviewers has been appointed to assess staff outputs. All members of these groups are experienced academics who have carried out peer review or editorial work for journals. In addition, specific training on reviewing papers for REF has been provided across the University through regular rounds of workshops that have been running since 2015 and include input from a REF 2014 panel member. All reviewers are required to have attended one of these workshops.

66. In addition, all academic and some support staff, for example from Library Services and the Repository Team, have been provided with information about the requirements for REF outputs, primarily the eligibility criteria (including open access) and how outputs are

assessed. Communication has been via workshops, the regular weekly staff briefings, e-mail circulation and town hall meetings. Presentations have also been given at Faculty and research group meetings and away days.

67. For all staff, training has also been offered on the operation of the Research Information System through drop-in and taught sessions, online help is available on the University's internal website and super-users are available to offer help with individual problems, initially by e-mail but in person if necessary.

### **Individual staff circumstances**

68. The University recognises that eligible staff may have individual circumstances that may have affected the volume of research that they have been able to undertake and publish.

69. The University's inclusive annual Performance Development Review (PDR) process affords all academic staff (irrespective of REF eligibility) the opportunity to discuss research activity and outputs with their line manager and to advise of any individual circumstances that may have affected research activity.

70. This is an annual, consistent, transparent and business-as-usual process that operates at a local level and is used by managers and employees to discuss and agree individual performance objectives. It is important to note that the University does not apply blanket performance measures to academic staff either within or across disciplines; rather the expectations of managers and employees are discussed and agreed annually on an individual basis, taking into account other workload factors and disciplinary norms.

71. Since March 2018, the University has introduced a Personal Research and Innovation Plan (PRIP) for all academic staff. Focussing only on research and knowledge transfer activities, the PRIP requires academics to consider their likely research activities (grant applications, publications, industrial liaison, etc.) for the forthcoming five years. This is reviewed on an annual basis and is used to inform PDR discussions and hence research performance expectations. The PRIP enables managers at School and Faculty level to understand the pipeline of RKT activity at those levels and to form robust institutional plans.

72. Whilst the above robust processes represent our transparent, consistent and inclusive approach to support staff and are embedded within business as usual activities for the University, we have developed them further to accommodate the robust consideration of individual circumstances with specific regard to the institution's REF 2021 submission.

73. Throughout the development of this Code of Practice and the procedures contained therein, the University has made significant efforts to detail the change to a decoupling of papers from individuals, and to reinforce the message that there is no stigma (or prestige) attached to the quantum of an individual's contribution to a UoA's return. It is anticipated that a consistent reinforcement of this message will lead to a greater sense of freedom for academic staff to disclose individual circumstances where appropriate.

74. Having disseminated this message, the University's process for consideration of individual circumstances is as follows:



- i. The Pro Vice Chancellor (Research & Knowledge Transfer) contacts all eligible staff in October 2019 offering them the opportunity to disclose, on a completely voluntary and confidential basis, any individual circumstances that they feel appropriate in the context of the REF submission. This contact from the Pro Vice Chancellor (Research & Knowledge Transfer) is via email for all eligible staff currently at work, or a personal letter to the home address of any eligible member of staff currently absent from the University.
- ii. All staff who wish to disclose personal circumstances will be asked to complete a standard form (see Appendix V) based on the template provided by Research England detailing the circumstances that they believe have significantly constrained their ability to undertake research and produce outputs at their normal rate throughout the assessment period.
- iii. Details will be provided confidentially and electronically to a central email address and will be managed by the Research and Innovation Performance Manager and a dedicated HR Partner to eliminate any perceived issues of confidence that may arise at the local level, and to ensure GDPR compliance. Where staff need, or prefer, an alternative to electronic submission, a paper-based template will be provided for completion, on request.
- iv. A University Individual Circumstances Panel (ICP) will be convened to assess submissions. The ICP will comprise
  - The Pro Vice Chancellor (Research & Knowledge Transfer) (Chair).
  - The Associate Director of HR Operations.
  - The Strategic Advisor on Equality, Diversity and Inclusion.
- v. The ICP will assess all submissions on an anonymous basis (i.e. the name of the academic(s) concerned will not be made available to the ICP). ICP assessments will be undertaken in line with REF 2021 guidance and associated tariff reductions.
- vi. The ICP will meet on an as-needs basis in order to assess submissions within two weeks and feedback will be provided to the academic(s) concerned in writing by the Research and Innovation Performance Manager five working days after the decision is reached.
- vii. In recommending an adjustment of expectations of an affected individual's contribution to the unit's output pool the ICP will adhere to the tariffs and recommendations listed in Annex L of the REF2021 Guidance on Submissions. In addition, and with the agreement of the individual (see form in Appendix V), the ICP will refer the individual to their line manager for a discussion regarding the provision of appropriate support.
- viii. The Research and Innovation Performance Manager will provide feedback (limited to academic name and reduction applied) to the relevant UoA co-ordinator in order that they can assess and understand any implications for the UoA submission and any possible need to request a reduced required number of outputs to be submitted in that UoA.
- ix. In the event that the cumulative effect of decisions on individual cases is considered by the UoA coordinator to have a material effect on the overall outputs of the UoA,



the UoA coordinator shall advise the REF Steering Group and seek approval to request from Research England a reduced required number of outputs for the UoA, in line with Research England guidelines.

- x. Post-submission, the REF Steering Group will consider an anonymised aggregation of the Individual Circumstances requests and outcomes to identify any trends at UoA, Faculty or career stage. Such data will be submitted to Research England as required and also used internally to inform staff welfare provision as appropriate.

75. This Individual Circumstances process will be rolled out across the University over Autumn 2019. No specific interim deadlines will be enforced, allowing staff to take ample time to come to an informed decision as to whether they would like to make a submission. The REF Academic Lead and the Research and Innovation Performance Manager will both be available for confidential discussions regarding potential submissions should that be required. A final deadline for submission of Individual Circumstances cases will be set for February 2020 to provide sufficient time for assessment and any subsequent liaison with Research England.

## **Equality impact assessment**

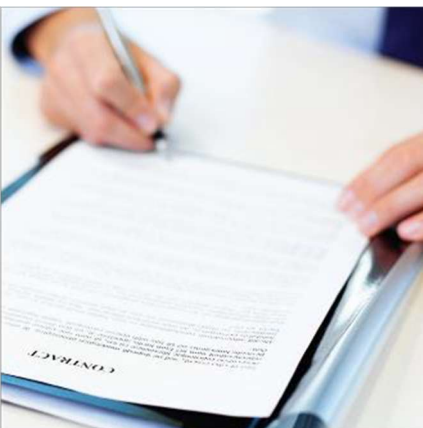
76. Equality impact assessments and analysis will be undertaken in accordance with REF 2021 guidelines. Specifically, the Data Working Group will conduct EIAs on output decisions following each series of REF Review Preparation meetings at UoA and institutional levels. This will compare the distribution of selected outputs across staff with the equality profile of eligible staff identified as independent researchers having significant responsibility for research. If discrimination is identified, a consultation will be held with the Equality and Diversity Committee and other groups representing protected characteristics within the University of Bradford with the aim of redressing any unfairness, inconsistency, lack of inclusivity or discrimination in the process for the selection of outputs prior to final submission. This will be carried out at Institutional and Unit of Assessment levels with the acknowledgement that, for small Units of Assessment, results may have no statistical significance.

## **Appendices to the University of Bradford REF2021 Code of Practice**

### **Appendix A: University of Bradford Dignity and Respect Policy**

**Downloaded 17 May 2019**

# Dignity and Respect Human Resources



## Version Control

Policy Number:	15
Approved by:	Executive board
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Next Review Date:	December 2019
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Equality Impact Assessment	December 2017

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# Policy

## 1 Introduction

The UOB is committed to Equality, Diversity and Inclusion and believes that everyone should be treated with dignity and respect at our University at all times. The University requires a culture of respect to create a productive working environment as it fits strongly with its values and principles.

Our University is committed to providing a supportive and inclusive environment for work and study. In accordance with this, all members of the University community have a personal responsibility to treat each other with dignity and respect.

Bullying, harassment and victimisation could be deemed unlawful or even a criminal offence and are considered unacceptable by the University. Any forms of these behaviours will not be tolerated and the University will respond promptly and confidentially to formal complaints, disciplinary action may be taken where appropriate.

The purpose of this policy is to;

- Encourage understanding of what is and isn't appropriate behaviour;
- What you can do if you witness or experience inappropriate behaviour;
- The support that is available if you witness or experience inappropriate behaviour;
- Develop a safe working/ learning environment;
- Develop a culture where individuals feel it is safe to raise concerns about bullying and harassment, confident that this will be dealt with fairly and consistently;
- Eliminate all forms of offensive behaviour and prevent discrimination, bullying and harassment, exclusion, unfair treatment;
- Ensure staff and students are aware bullying and harassment is unacceptable, that such

# Policy

Be a fairer will be challenged and disciplinary action will be taken where there is management concern;

- Encourage, where possible informal resolution of complaints.



# Policy

## Continued

### 2 Scope

The scope of this policy applies to students, employees, contractors, suppliers and visitors to the University:

- When on any of the University's premises;
- When at place of work;
- When attending any work-related event (e.g. conferences, training courses, work-related social events);
- At any time or place where you are representing the University or can be clearly identified as being a University employee. This includes business trips (domestic and international);
- When using social media.

Issues relating to an employee's performance against any objectives set for their individual role are not covered by this policy. By this, we mean those work targets agreed between employees and their line, project or matrix manager.

Performance issues can be managed separately by following the Performance and Development Review (PDR) process or Capability Policy. However behaviours in meeting objectives are covered by this Policy.

### 3 Definitions

This section provides definitions and some illustrative examples of bullying, harassment and victimisation to enable an informed judgement about whether a particular type of behaviour falls within the scope of this policy. Please note the examples are not an exhaustive list of what is deemed to come under each definition.

# Policy

The University recognises that there can often be a significant amount of overlap between these different types of behaviour.

## 3.1 Dignity

Dignity focuses on the value of an individual and means respecting other's views, choices and decisions. To treat someone with dignity is to treat them in a way that is respectful of them as valued individuals.

## 3.2 Respect

Respect is to be mindful and hold in due regard the feelings, wishes, and rights of others.

## 3.3 Bullying

Bullying is not defined by law but for the purpose of this policy the ACAS definition of bullying will be used. Bullying is defined by ACAS as "offensive, intimidating, malicious or insulting behaviour, an abuse or misuse of power through means that undermine, humiliate, denigrate or injure the recipient".

Bullying takes many forms and can create a threatening or intimidating environment. It may also occur in a peer group such as a workplace team or a student group. Conduct may be physical, verbal or non-verbal. It may also be face to face or electronic.

The following examples of what may be considered to constitute bullying:

- Derogatory and/or threatening remarks;
- Insulting or aggressive behaviour;
- Jokes or pranks;
- Ignoring, marginalising or excluding the individual(s);
- Setting unrealistic deadlines or objectives;

# Policy

## Continued

- Public criticism;
- Substituting responsible tasks with menial or trivial ones;
- Withholding necessary information;

- Constantly undervaluing effort;
- Belittling efforts;
- Withholding praise while giving this to all others present at that time;
- Unreasonable denial of promotion, training or other job related opportunities;
- Unfair and unjustified comparisons with other colleagues or employees.

## 3.4 Harassment

Harassment is unacceptable behaviour and can subject the recipient to unwelcome attention, intimidation, ridicule, or offence.

Differences in attitude, upbringing or culture can mean that harassment can be perceived differently by different people. Behaviours can be unintentional; the most important element to consider is if the comments or conduct are viewed as demeaning or unacceptable by the recipient.

Harassment is covered in law by The Equality Act 2010 and The Protection of Harassment Act 1997.

Under the Equality Act 2010, harassment is defined in three ways:

- Unwanted conduct that has the purpose or effect of violating an individual's dignity and creating an intimidating, hostile, degrading, humiliating or offensive environment for them. For the harassment to constitute as unlawful it has to be related to any of the following protected characteristics;
  - Age;
  - Disability;

# Policy

## Continued

- Gender reassignment;
- Race;
- Religion/belief;
- Sex;
- Sexual orientation.

The University also recognises harassment on the following grounds;

- Marriage or civil partnership;
- Membership/ non-membership of a staff association/ trade union;
- Status as an ex-offender;
- Unwanted conduct of a sexual nature (sexual harassment);
- Treating someone less favourably because they have either submitted to or rejected sexual harassment, or harassment related to sex or gender reassignment.

### **3.4.1 Associative and Perceptive Harassment**

The Equality Act 2010 protects against harassment based on perception and association. This can apply as follows:

- Harassment based on a perception that an individual is associated with a protected characteristic even if that perception is incorrect. For example a lecturer who refuses to teach a student because they believe that individual is transgender.
- Protection from harassment which stems from an individual's association with a protected characteristic. For example, treating someone less favourability because they have a close relative who is disabled.

It gives people the ability to complain about behaviour that isn't targeted at them, but they may find offensive. For example an individual can complain about sexist jokes made about a colleague regardless of if they are present when the jokes are made.

It gives people the ability to complain about behaviour that is related to their personal identity, even if it not correct. For example, a student takes a dislike to another student and decides to taunt them about being gay, even though they are straight. The recipient would be entitled to complain under the Equality Act as this harassment is related to sexual orientation which is a protected characteristic.

### **3.4.2 The Protection from Harassment Act 1997**

# Policy

## Continued

The Protection from Harassment Act 1997, which prohibits harassment was always intended to tackle stalking, by making it a criminal offence. This act covers any form of persistent conduct which causes another person alarm or distress, therefore the range of behaviour that is capable of constituting an offence under the **Act** is potentially very wide.

5

HUMAN RESOURCES

15

DIGNITY AND RESPECT POLICY AND PROCEDURE



### 3.4.3 Continued Examples of Harassment

**Sexual Harassment** is any unwanted behaviour of a sexual nature and may include the following:

- Any unwanted physical contact ranging from touching or patting to serious assault;
- Sexually degrading or provocative comments or gestures;
- Sexual jokes or propositions;
- Electronic forms of communication with sexual content;
- Physical advances;
- Demands for sexual favours or assault.

**Racial Harassment** can include jokes in reference to a person's race, religion, or nationality. It can include offensive remarks about dress, culture and customs which attempt to ridicule and create prejudice towards individuals or groups.

**Harassment on the grounds of religion and belief (including non-belief)** can take the following form:

- Threatened or actual physical abuse;
- Verbal or written expressions of prejudice which are offensive to others;
- Ridiculing religious customs and observance;
- Religious stereotyping and profiling.

Comments may not necessarily be directed at an individual, but may consist of a general culture which is intolerant of another person's religion or beliefs.

# Policy

## Continued

**Harassment on the grounds of sexual orientation** may include:

- Homophobic, biphobic comments;
- Threats to disclose a person's sexual orientation or disclosing this without their permission;
- Any abuse relating to HIV or AIDS status.

Religious belief is not a foundation on which sexual orientation related harassment can be defended.

**Harassment on the grounds of disability** can include:

- Ignoring an individual;
- Mimicking a disability or making offensive references to an individual's appearance, behaviour or speech;
- Further excluding people from activities due to their disability;
- An unreasonable denial of promotion, training or other job related opportunities.

**Harassment on the grounds of age** may include:

- Offensive jokes;
- Teasing and nicknames related to age. It may consist of a general culture where ageist jokes are tolerated.

It is important to note that the legislation covers individuals of all ages and applies equally to younger and older employees.

**Harassment on the grounds of gender reassignment** relates to transphobic remarks and comments. It also can include refusal to relate to the individual by the gender the person lives their life and/or a person's chosen pronouns, unwanted intrusive questions about an individual's domestic/personal circumstances, and deliberate exclusion from work-related social activity which is related to work.

**Harassment on the grounds of sex/gender** can include but is not limited to offensive comments, or less favourable treatment in relation to;

# Policy

## Continued

- Pregnancy;
- Maternity/paternity leave;
- Marriage.

## 3.5 Victimisation

Victimisation occurs when an employee is treated differently because they have made or supported an informal complaint or raised a formal grievance under the Equality Act; or because they are suspected of doing so.

The following are given as examples of what may be considered victimisation:

- Bullying and intimidation from co-workers;
- Denial of promotion;
- Dismissal.

## 4 Responsibilities

### 4.1 Managers

Managers must:

- Manage staff fairly and in line with all University Policies and Procedures; and communicate this policy and procedure to their staff;
- Support and motivate employees to work in culturally competent ways within an environment free from harassment, bullying and discrimination;
- Ensure all employees are aware of their personal and professional responsibilities, and expected standards of behaviour and conduct;
- Take appropriate and timely action when aware of inappropriate behaviour in the workplace;
- Continuously work towards ensuring the working environment, services and facilities

# Policy

## Continued

provide for dignity and respect in all aspects of employment;

- Ensure they and their employees undertake equality and diversity training;

- Ensure that recruitment and selection processes are fair and do not discriminate on the grounds of any protected characteristics in the Equality Act;

The employee responsibilities below apply to managers also.

## 4.2 Employees and Students

Employees and students must:

- Treat all others with dignity and respect;
- Maintain cordial, respectful and professional relationships with everyone encountered in the course of the working day;
- Raise problems such as complaints, criticisms and misunderstandings openly with their manager/appropriate person in a timely way;
- Challenge inappropriate behaviour in a positive manner and be prepared to formally report issues when necessary;
- Promote positive behaviour;
- Respect confidentiality and ensure sensitive information is protected appropriately (refer to data protection principles on University intranet site);
- Observe professional codes of conduct (where applicable);
- Respect the diversity encountered in working life;
- Undertake equality and diversity training;
- If you feel an incident has occurred, then identify and involve the support of other parties (i.e. Human Resources Service, Occupational Health Service, Employee Assistance

# Policy

## Continued

helpline or Health, Safety & Wellbeing Service) as required.

### 4.3 Human Resources Service

The Human Resources Service will:

- Oversee the introduction, operation and monitoring of the Dignity and Respect Policy and Procedure;



# Policy

## Continued

- Provide advice, guidance and support to managers and employees on the interpretation and application of the Dignity and Respect Policy and Procedure;
- Identify and involve the support of other parties (i.e. Occupational Health Service or Health, Safety & Wellbeing Service) as required;
- Review changes in employment law to ensure that the Dignity and Respect Policy and Procedure remains relevant and up to date;
- Ensure that the Dignity and Respect Policy and Procedure are applied fairly, equitably and consistently;
- Provide guidance and support to line managers and employees on the implementation of the policy and procedure.

## 4.4 Contractors and Suppliers

Contractors and Suppliers will:

- Identify and involve the support of other parties (i.e. Human Resources Service or Health, Safety & Wellbeing Service) as required;
- Maintain cordial, respectful and professional relationships with everyone encountered in the course of the working day;
- Raise problems such as complaints, criticisms and misunderstandings openly with an appropriate person within the University in a timely way;
- Challenge inappropriate behaviour in a positive manner and be prepared to formally report issues when necessary;
- Promote positive behaviour;

# Policy

## Continued

- Respect the diversity encountered in working life.

# Policy

Continued

## 5 General Principles

### 5.1 Malicious/Vexatious Complaints

Where there is a deliberate intention to deceive or mislead the investigation of a complaint or in the case of a malicious/vexatious complaint this will be taken very seriously by the University and can itself lead to disciplinary action.

### 5.2 Confidentiality

The application of this policy will be undertaken in a manner that ensures confidentiality of the issues and of the individual. No information relating to action taken as a result of this procedure will be divulged to other individuals who are not involved.

### 5.3 Complaints against External Parties

Complaints against external parties such as contractors, consultants and visitors should be made to an individual's line manager or equivalent. The line manager or equivalent should seek to establish from the individual the nature and circumstances of the complaint before engaging with the external party. The external party should be provided with a copy of the complaint and asked to respond to this. The line manager or equivalent will form a view as to what further action may be required including whether any further investigation is necessary.

Complaints against external contractors, consultants and visitors will be dealt with under the appropriate University Procedure.

In the case of external contractors, Estates Services hold a central record of which contractors the University is engaging for works within the estate. If the person receiving the complaint does not know who the internal contact is for the external contractor, their line manager or Head of Department should contact the Estates & Facilities Service for this information.

### 5.4 Values

# Policy

## Continued

The implementation of this policy is in accordance with the University values, which are:

- We encourage participation and openness;
- We encourage creativity and innovation;

- We support academic freedom and respect the right to express diverse points of view;
- We provide equal opportunities for all staff and students to achieve their full potential;
- We apply the best ethical standards in everything we do.

## 5.5 Implementation and Training

The policy will be uploaded on HR ServiceNow.

The approval of the policy will be communicated in the University staff briefing.

Services that engage contractors and suppliers are responsible for making them aware of the policy.

Line managers are responsible for raising awareness of all new/updated policies through their normal Faculty/Directorate communication channels.

The Human Resources Service will ensure the provision of training, guidance and support to line managers and employees on the implementation of the policy.

## 5.6 Monitoring

The number and nature of formal dignity and respect at work issues will be monitored by the HR Service and any identified themes or trends will be raised with the appropriate member of SMT to address as appropriate.

Any informal dignity and respect related concerns which are reported to the Dignity and Respect Advice Service will be recorded anonymously by Equality and Diversity.

The HR Service will provide quarterly workforce dashboard reports to the Executive Board and Equality and Diversity Committee.

# Policy

## Continued

The Equality and Diversity Service will provide an equality and diversity report to the Equality and Diversity Committee.

Through the use of feedback forms and questionnaires, Equality and Diversity will evaluate regularly the Dignity and Respect Advice Service. All feedback is voluntary and anonymised, and will help making improvements to the service.

## 5.7 Sources of Guidance and Support

The following specialised services are available to support all parties involved in the dignity and respect concern during and after any informal or formal process:

- Human Resources Service:
  - <http://www.bradford.ac.uk/human-resources>
- Mediation Service:
  - <http://www.bradford.ac.uk/equality-and-diversity/mediation>
- Dignity and Respect Advice Service (for further information on the service please refer to section 6.1 of the procedure):
  - [equality@bradford.ac.uk](mailto:equality@bradford.ac.uk) or 01274 236049
- Trade Unions:
  - <http://www.bradford.ac.uk/other/unions/unison>
  - <http://www.bradford.ac.uk/ucu/index.html>
- Counselling Service:
  - <http://www.bradford.ac.uk/counselling/>
- Equality and Diversity Representatives
- Employee Assistance helpline:
  - <https://your.helpeap.com> or 0800 019 3485

# Procedure

## 6 Dignity and Respect Procedure

The aim of the procedure is to deal with a complaint in a supportive and constructive manner and resolve it as quickly as possible using an informal approach wherever possible, as detailed in section 6.2. In cases where this is not possible, provision has been made for a formal procedure to be followed.

### 6.1 Initial Advice

An individual who believes that they are being bullied, harassed or victimised may initially wish to seek advice and support before taking the matter further. Such advice and support will be provided in confidence without any obligation to take a complaint further and is available at any time from:

- Line Management;
- Human Resources Service;
- Trade Union Representative;
- Employee Assistance helpline;
- Equality and Diversity Advisor;
- Dignity and Respect Advice Service (co-ordinated by Equality and Diversity).

The University of Bradford has a Dignity and Respect Advice Service consisting of trained staff who are available to discuss and provide advice and support around any aspect of behaviour that causes concern. The Dignity and Respect Support Contacts are trained on subjects including equality and diversity, bullying, harassment, and discrimination. Support Contacts have excellent listening skills and can provide comprehensive impartial advice, options and information on our policies and current legislation. Staff involved with the Dignity and Respect Advisory Service work across a range of faculties and services from within the University. This service is coordinated by the Equality and Diversity Team and anyone who contacts the service



# Procedure

can be assured that the call will be answered by a member of the Equality and Diversity Team and the conversation will be confidential.

An individual who witnesses bullying, harassment or victimisation should raise this with their line manager or a member of the Human Resources Service.

# Procedure

## Continued

Those approached must recognise the sensitive nature of bullying or harassment complaints. For this reason, if requested, they must make every effort to provide the complainant with a suitable person with whom they can discuss the matter e.g. a person of the same gender, etc.

## 6.2 First Stage – Informal Approach

Wherever possible, every effort must be made to resolve the matter informally. There are a number of informal routes that may be explored which are detailed below.

### 6.2.1 Personal Action

If an individual feels that they have been or are being harassed, bullied or victimised they are encouraged to raise the matter with the person(s) concerned. Asking the person concerned to stop this behaviour at an early stage may be sufficient to end the behaviour.

In some cases it may be that the individual is not aware that the behaviour is inappropriate or it may be the case that the individual's behaviour is being misinterpreted.

Examples of personal action that may be considered include:

- Keeping a note of the details of the incident and the names of any witnesses;
- A conversation with, or written correspondence to, the person(s) concerned which explains what aspect of their behaviour is considered to be unacceptable and request that he/she stop behaving in this way.

### 6.2.2 Facilitated Discussion

Where an individual feels unable to raise and explore a resolution to a dignity and respect at work concern on a one to one basis with the other party it may be considered appropriate to explore a facilitated discussion. A facilitated discussion involves an individual such as an employee's line manager, or a manager in the line management structure, facilitating an

# Procedure

informal discussion, in a safe, professional environment, between both parties with an aim of them reaching resolution on the concerns raised.

# Procedure

Continued

## 6.2.3 Mediation

The University has a network of impartial trained mediators who can be engaged at an early stage to assist with issues of conflict, including issues that would be considered under this policy.

Mediation is a voluntary process where an impartial third party enables two individuals to work through issues of conflict or disagreement with the aim of improving the working relationship.

The focus within mediation is on moving forward rather than attribution of blame. As mediation is a voluntary process, employees have a choice as to whether they wish to participate. Where individuals agree to mediation, they should engage in the process in a positive and constructive manner with a view to achieving resolution.

Individuals who are interested in exploring mediation should contact the Head of HR Operations and Employee Relations. More information on mediation can be obtained from the Mediation Procedure available on HR ServiceNow.

## 6.3 Second Stage–Formal Procedure

If inappropriate behaviour continues after you have highlighted your concerns with the relevant people on an informal basis, you should raise your concerns formally in the first instance with your line manager or HR Business Partner.

**Allegations will be dealt with as follows:**

- Formal concerns relating to alleged bullying and harassment by staff against another member of staff will be dealt with according to the University Disciplinary Policy and Procedure;
- Formal concerns relating to alleged bullying and harassment by Students against

# Procedure

Students will be dealt with through the Student Disciplinary Regulations;

- Formal concerns relating to alleged bullying and harassment by Staff against Students will be dealt with through the University Disciplinary Procedure. Concerns can be raised by a student as a student complaint;
- Formal concerns relating to alleged bullying and harassment by Students against staff will be dealt with through the Student Disciplinary Regulations.

# Procedure

## Continued

If an individual raising a dignity and respect concern is both an employee and a student they should follow the procedure/regulations applicable based on the role they were in i.e. student or employee at the time the behaviour of concern was carried out.

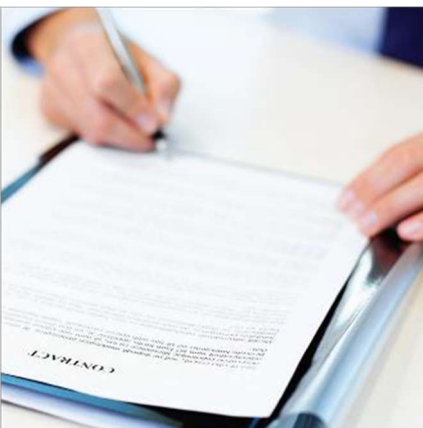
If a formal concern is to be dealt with through the University Disciplinary Procedure an investigation into the alleged bullying and harassment will be undertaken. Following completion of the investigation an investigation report will be produced and reviewed by an appropriate level of manager. A decision will then be reached as to whether the concerns should be progressed to a disciplinary hearing in accordance with the University Disciplinary Procedure. For further information on the disciplinary investigation process and disciplinary hearing please refer to sections 7.2 and 7.3 of the University Disciplinary Procedure.

**Appendix B: University of Bradford Grievance Policy**

Downloaded 17 May 2019

# Grievance

# Human Resources





## Version Control

Policy Number:	9
Approved by:	Executive Board
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Next Review Date:	December 2019
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Equality Impact Assessment Completion Date:	December 2017

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# Policy

## 1 Introduction

The University of Bradford (the University) is committed to promoting a positive working environment where employees feel that they can raise work related concerns, problems or complaints with their managers both informally and formally if required. The Grievance Policy and Procedure provides the framework for such issues to be dealt with fairly and quickly without fear of recrimination.

Dealing effectively with employee's grievances about work related issues is essential to the effective working of the University, and to ensure the safety and wellbeing of employees, and that they do not feel they are being treated unreasonably by managers and colleagues. It is expected that most issues will be discussed and dealt with satisfactorily within the course of normal working relationships. An issue must be settled as quickly as is reasonably practicable and as near to its source as possible.

The formal Grievance Procedure should normally be used only where an informal resolution has been unsuccessful.

## 2 Scope

The policy applies to all employees of the University. There will be a separate procedure for the Vice Chancellor and Executive Directors.

Issues that are the subject of national collective negotiation or consultation with the recognised University's trade unions will not normally be considered under the Grievance Policy and Procedure.

## 3 Definitions

The definitions applicable to this policy are as follows:

**Respondent** – At the formal stage the employee responding to the grievance is

# Policy

referred to as the Respondent.

**Complainant** – At the formal stage the employee or employees raising the grievance is referred to as the Complainant.

**Grievance** – Official complaints by employees or groups of employees to their employer.

# Policy

## Continued

While it is not appropriate to provide an exhaustive list of all the issues that might give rise to a complaint, some examples include:

- Application of terms and conditions of employment;
- Health and safety;
- Relationships at work;
- New working practices;
- Working environment;
- Equal opportunities.

**Collective Grievance** – Where two or more employees raise a grievance over the same concerns in connection with their employment. This does not preclude the right of an employee to raise an individual grievance instead.

**Statement of Case** – A document that provides detail of/response to the complaint raised along with supporting evidence.

**Mediation** – A structure discussion, conducted by two (or more) individuals, facilitated by a neutral mediator. It is a voluntary process which can only take place if all parties are willing.

**Grievance Submission Form** – The form should outline the reasons for the formal grievance and the employee should state why the outcome of the informal stage is not to their satisfaction and what resolution they are seeking.

**Case Manager** – An employee in the Human Resources Service who has an overview of formal grievance cases and monitors that they progress to conclusion in a timely manner and that

# Policy

## Continued

any recommendations from a hearing are considered and where appropriate implemented.

**Investigating Officer** – An impartial person appointed to fact find in relation to grievance(s) made against an employee.

# Policy

Continued

## 4 Responsibilities

### 4.1 Managers

Managers will:

- Be responsible for ensuring that this policy is applied sensitively, fairly, transparently and consistently within their own area in a timely manner;
- Ensure that all employees within their area are aware of and understand the grievance procedure;
- Ensure that all issues are properly and sensitively heard and dealt with as a matter of urgency;
- Embrace, promote and assist in creating a climate in which employees feel able to raise concerns without fear of victimisation or detriment and, equally, are able to raise concerns with them without the need to use formal procedures.

### 4.2 Employees

Employees will:

- Aim to resolve issues through normal workplace communications or informally wherever possible;
- Enter into and participate in the procedure in good faith, with the aim of positively resolving a particular issue, and cooperate at all stages;
- Embrace a culture and assist to create a climate in their area of work in which all employees feel able to raise their concerns with their manager;

# Policy

## Continued

- Keep the Human Resources Service informed as to whom their representative is, should they wish to be represented, and be responsible for ensuring that their representative is kept up to date with proceedings.

### 4.3 Human Resources Service

The Human Resources Service will:

- Oversee the operation and monitoring of the policy, ensuring that the policy and procedure is applied consistently;
- Provide advice and guidance to managers and employees on the policy and procedure;
- Review changes in employment law to ensure that the policy and procedure is relevant and up to date;
- Work with line managers to ensure that grievances/complaints are addressed promptly, and there are no unreasonable delays in arranging meetings and reaching and confirming decisions;
- Ensure that Complainants will be heard in good faith and no pre-judgements made on issues raised.

### 4.4 Investigating Officer

Investigating Officers will:

- Be competent to undertake an investigation;
- Be objective and impartial when conducting the investigation;



# Policy

## Continued

- Explain the Investigating Officer's role to all parties involved in an investigation;
- Ensure that the Investigation Report is completed within two working weeks of the conclusion of the investigation, unless there are exceptional circumstances;
- Explain the purpose of an investigation to all parties involved in an investigation;
- Explain the structure of an investigation to all parties involved in an investigation;

# Policy

## Continued

- Periodically update the complainant and respondent on progress in completion of the investigation;
- Write an investigation report summarising all the facts/findings obtained through the investigation process without stating an opinion;
- Present the investigation report if an allegation progresses to a grievance hearing;
- Ensure the investigation is concluded in a timely manner.

### 4.5 Case Manager

Case Managers, at the formal stage, will:

- Allocate a member of the Human Resources Service to provide advice and support to both parties to the grievance;
- Ascertain, in collaboration with the Human Resources Service Support and the line manager, or manager to whom the issue has been raised, whether or not the Grievance Policy and Procedure is the appropriate route to pursue the issue(s) being raised;
- Decide, in collaboration with the Human Resources Service support, whether or not to accept the formal grievance and where appropriate refer the grievance back the informal stage;
- Reach decision, in collaboration with the Human Resources Service support, as to whether a grievance and disciplinary issue are related;
- Appoint an investigating officer if it is felt appropriate to undertake an investigation prior to a grievance hearing being arranged;

# Policy

## Continued

- Obtain a grievance timeline from the Human Resources Service support to the grievance issue;
- Obtain regular updates on progress against the grievance timeline with the Human Resources Service support to the grievance issue;
- Identify reasons for not meeting any of grievance deadlines detailed in the grievance timeline from the Human Resources Service support to the grievance issue;

## Continued

- Review reasons for not meeting any of the grievance deadlines and where appropriate provide professional advice to the Human Resources Service support to the grievance issue on how to address any issues impacting on the timely conclusion of the case;
- Obtain an update from the Human Resources Service support to the grievance issue with regard to the consideration and where appropriate implementation of any recommendations from a grievance hearing.

## 5 General Principles

### 5.1 Values

The University is committed to the implementation of this policy in accordance with the University values which are:

- We encourage participation and openness;
- We encourage creativity and innovation;
- We support academic freedom and respect the right to express diverse points of view;
- We provide equal opportunities for all staff and students to achieve their full potential;
- We apply the best ethical standards in everything we do.

### 5.2 Application

The procedure will be applied in such a way as to promote the best possible relations between employees, while respecting each other's dignity and point of view. All parties are required to adopt a reasonable and responsible attitude to resolve issues.

The Case Manager, in collaboration with the Human Resources Service Support and the line

# Policy

## Continued

manager, or manager to whom the issue has been raised, will review whether or not the Grievance Policy and Procedure is the appropriate route to pursue the issue(s) being raised. The employee raising the grievance will receive an explanation of which policy will be applied, and the process by which the issue will be taken forward.

Complaints in relation to Dignity and Respect are considered matters of conduct and will be dealt with under the Dignity and Respect Policy and Procedure and Disciplinary Policy and Procedure.

## Continued

The following policies contain their own agreed procedures and separate rights of appeal. Concerns in relation to the application of these policies should be raised through the appeal process of the policy concerned and not through the Grievance Procedure.

- Dignity and Respect;
- Discipline;
- Capability;
- Attendance Management;
- Organisational Change;
- Special Leave;
- Flexible Working;
- Job Evaluation.

Any genuine concerns about a risk, malpractice or wrongdoing at work (such as a risk to safety, fraud or breaches of confidentiality) which may affect students, the public, other employees, or the organisation itself should be raised through the University Whistle Blowing Policy.

Where a grievance and disciplinary case are related, both issues will be dealt with concurrently. The decision as to whether grievance and disciplinary issues are related will be taken by the Case Manager in collaboration with the Human Resources Service support. The Human Resources Service will explain to parties why grievance and disciplinary issues are related or not.

The University reserves the right to refuse to accept a grievance/complaint that is considered to be repetitious and/or vexatious, malicious or false. Those grievances found

# Policy

## Continued

to be vexatious, malicious or false will be treated as a potential misconduct issue and shall be progressed via the Disciplinary Policy and Procedure.

In all cases employees should raise issues as soon as reasonably possible after the event/incident without any undue delay, unless there are exceptional circumstances. For example, it is not conducive to the timely resolution of a matter to raise it some months after the issue has arisen;

# Policy

## Continued

The University will accommodate reasonable adjustments to ensure that employees are supported throughout the procedure in accordance with the Equality Act 2010.

Anyone involved in, or who might be considering entering into grievance/complaints process can seek help from the following sources:

- The University Counselling Service;
- A Trade Union representative;
- The Human Resources Service.

An employee may withdraw their grievance at any point in the informal or formal grievance process. However in such circumstances the line manager will work with both parties to clarify the reason for the withdrawal, and to ensure a positive working environment.

Complainants and respondents have the right to be accompanied at meetings held under the formal stages of this policy by a work colleague or Trade Union representative.

## 5.3 Confidentiality

Matters dealt with through the grievance procedure will be kept confidential by those involved. However, in some instances this may not be possible where, in order to take action or make a decision, a manager may need to explain, discuss or describe the contents of the grievance.

If an employee submits a 'confidential' grievance and does not wish to make a written statement or have their name mentioned as the complainant, the manager may be unable to take any formal action. However, there may be occasions when the manager has an obligation to deal with the issue despite the employee's request for confidentiality. Advice should be sought from the Human Resources Service in these circumstances.



# Policy

Continued

## 5.4 Working arrangements during proceedings

Under normal circumstances, whilst the grievance procedure is being followed, the “status quo” will be maintained. This means the practice, previously agreed or established, that was in operation prior to the grievance being raised, should stand pending the completion of the procedure.

# Policy

## Continued

The status quo may be disregarded, where maintaining it would have a detrimental effect on student or employee health and safety. Such concerns and appropriate arrangements regarding these should be agreed by any appropriate manager and the Human Resources Service.

Where a grievance is about the immediate line manager, the employee may raise the issue with either the line manager's manager, or another appropriate manager, or the Human Resources Service.

Where a grievance is raised about an outside worker, the University will work in partnership with the other organisation to resolve the issue(s).

## 5.5 Records

It is important and in the interests of both employee and employer, to keep full written records during the grievance process. In accordance with the Data Protection Act 1998 records should include:

- The nature of the grievance including a written copy;
- The complainant and respondent's statements of case;
- The grievance hearing outcome letter;
- Where there was an appeal the appeal hearing outcome letter, and;
- Evidence of completion of an action plan, if required.

The line manager should notify their Human Resources Service representative of the informal grievance process and outcome so it can be anonymously recorded on HR ServiceNow to enable monitoring of whether there are any patterns/trends.

# Policy

Continued

## 5.6 Timescales and Non-attendance

The time limits which apply can be altered in order to allow flexibility as necessary, but should not be used as a means of delaying the speedy resolution of a grievance. For example, time limits may be extended by mutual agreement if a person involved in the grievance is on annual leave.

The first hearing date may be postponed by the Chair of the hearing if:

# Policy

## Continued

- Either of the parties or their representatives are unable to attend;
- The members of the hearing panel are unable to attend;
- The witnesses are unable to attend;
- For other good reason.

In any of the above instances at least 14 calendar days' notice will be given on the rearranged date of the hearing and no further postponements to the re-arranged hearing will be made. Failure of a complainant or respondent to attend a rearranged hearing without good reason may lead to a decision being made in their absence.

## 6 Implementation and Training

The Policy will be uploaded onto HRServiceNow.

The approval of the Policy will be communicated in the weekly University staff briefing.

Line managers are responsible for raising awareness of all new/updated policies through their normal Faculty/Directorate communication channels.

The Human Resources Service will work with Faculties/Directorates to identify appropriate provision of training, guidance and support to line managers on the implementation of this Policy.

## 7 Monitoring

An annual report specifying the number of grievance issues and identification of any patterns/trends will be developed.

# Policy

## Continued

Debrief sessions will be undertaken within the Human Resources Service following the conclusion of a grievance process to monitor the effectiveness of the procedure.

# Procedure

## 8 Informal Resolution

If an employee has a grievance in the first instance, they should discuss the matter informally with their line manager with the aim of achieving a resolution. Grievances which are dealt with informally and in a timely manner can often be resolved quickly and effectively, and maintain a positive working environment.

Where a grievance is about the immediate line manager, the employee may raise the issue with either the line manager's manager, or another appropriate manager, or the Human Resources Service

There are a number of ways in which grievances can be resolved informally, and these are listed below:

- Discussion with the individual

An informal meeting/discussion(s) between two (or more) individuals is the logical first step and can often result in a quick resolution. This could include the relevant manager being requested to sit in any such meeting to witness and/or facilitate the discussions that take place.

- Discussion with the line manager

Where a direct approach is considered inappropriate, or it has been attempted and the issue remains unresolved, the employee may ask their line manager to look into the matter and try to resolve it informally on their behalf.

- Mediation

In some cases, it may be appropriate to try to resolve disputes constructively through mediation. The Human Resources Service can provide further advice and details on how to access the mediation service.

# Procedure

Once an employee raises an issue with their manager, the manager should arrange for a meeting to discuss the matter as quickly as possible. This meeting is not only to understand the issue further but also to understand the desired outcome or resolution(s) from the employee concerned. If appropriate, the employee and manager may agree an action plan, or alternatively following the meeting the manager will confirm their decision within a timeframe agreed with the employee.

# Procedure

## Continued

It is the responsibility on both management and the employee(s) involved to attempt to implement actions agreed from grievance meetings. Specific action plans resulting from the discussions that take place will be proposed or agreed at the end of any stage in the grievance procedure, and both the manager and the employee(s) will have a responsibility to work towards the proposed agreed actions. A template Action Plan is available on HRServiceNow.

Where the employee feels that the outcome of the informal stage has not be resolve their grievance to their satisfaction, the employee has the option to progress to the formal stage of the procedure.

If it is felt that those and/or any outstanding issues should and/or could be resolve informally then such matters will be referred back to the relevant manager to review the situation and deal with it appropriately. There is no right of appeal against any such decision to refer the matter to be dealt with informally.

The outcome of the informal stage, whether successful or unsuccessful, will be confirmed in writing to all parties.

The University hopes that the majority of concerns will be resolved at this stage.

## 9 Formal Stage

When the employee considers that the grievance has not be resolved at the Informal Stage, and that all efforts to resolve the matter informally have been exhausted, the complainant can raise the matter formally.

The employee should raise a grievance in writing by using the University Grievance Submission Form (available on HR ServiceNow).

The Grievance Submission Form should outline the reasons for the formal grievance and the



# Procedure

## Continued

employee should state why the outcome of the informal stage is not to their satisfaction and what resolution they are seeking. It is important that the full nature of the grievance is documented on this form as it will be shared with the other party to enable them to formulate their statement in order to respond.

A case manager will be appointed who will be a member of the Human Resources Service.

# Procedure

## Continued

A member of the Human Resources Service and the case manager will review the Submission Form to:

- Ascertain whether or not the Grievance Policy and Procedure is the appropriate route to pursue the issue(s) being raised. The employee raising the grievance will receive an explanation of which policy will be applied, and the process by which the issue will be taken forward;
- Decide whether or not to accept the formal grievance. The University reserves the right to refuse to accept a formal grievance where the employee is unable to provide this information or it is considered that the management have not been given the opportunity for the informal stage to be fully explored. If this is the case the grievance will be referred back the informal stage;
- Appoint an investigating officer if it is felt appropriate to undertake an investigation prior to a grievance hearing being arranged.

The respondent will be provided with the Grievance Submission Form at the earliest opportunity, if they have not already been made aware.

If it is felt that the matter(s) should be dealt with formally a grievance hearing will be arranged and an employee will be given a minimum of 21 calendar days' notice of the date of the grievance hearing.

- **Grievance Hearing without Investigation**

If it is not considered that an investigation is appropriate, the respondent and complainant will be invited to submit a statement of case in relation to the grievance detailed in the Grievance Submission Form to a grievance hearing panel.

# Procedure

## Continued

- **Grievance Hearing with Investigation**

If an investigation is appropriate, the case manager will appoint an Investigating Officer. Prior to the commencement of an investigation an Investigating Officer will be provided with terms of reference by a member of the Human Resources Service detailing the remit of the investigation they are to undertake. The terms of reference does not need to be agreed with either the complainant or respondent. The Investigating Officer will investigate the issues raised by the complainant and the response by the respondent, and will provide a written report of their findings for consideration at the grievance hearing. A timeline for the investigation will be agreed with the investigating officer, and the complainant and respondent informed. If there are proposed changes to the timescale the Investigating Officer will discuss and agree these with the case manager and a member of the Human Resources Service. The complainant and respondent will be kept up to date on any changes.

Each party will then receive a copy of the grievance investigation report 21 calendar days prior to the grievance hearing.

The parties will be invited to the grievance hearing and will be notified of:

- The date, time and location of the grievance hearing;
- Their entitlement to be represented by a Trade Union representative or work colleague;
- Their entitlement to call witnesses and for their names to be provided no later than 14 calendar days before the hearing;
- The requirement to submit their statement of case, if appropriate, 14 calendar days prior to the hearing.

All parties will be notified of any witnesses that are to be called to the grievance hearing and

# Procedure

## Continued

provided with any statements of case submitted seven calendar days prior to the grievance hearing.

Each party is responsible for notifying their witnesses of the date and time of the grievance hearing. The University will allow internal witnesses time off to attend grievance and appeal hearings.

The grievance panel will comprise of:

## Continued

- A Chairperson who is a Dean/Director; and
- A senior representative of the same job family as the person raising the grievance.

A representative from the Human Resources Service will assist the Chair during the grievance hearing.

The purpose of the grievance hearing is to allow the grievance panel the opportunity to consider the grievance raised. There may be circumstances where the Chair requests the meeting to be adjourned if it is felt that an investigation into the grievance may be necessary. A second hearing may then be arranged to discuss the findings from the investigation with all parties.

The objective of the grievance hearing is to consider and reach decision on the grievances raised and where issues are identified develop a recommended action plan to resolve the issues. It will be determined who is to monitor the implementation of the action plan. Sometimes the recommendations may be beyond the authority of the Chair to implement. In this instance, the issue should be raised with the Director of Human Resources and Organisational Development for further advice.

The Chair of the grievance hearing panel will, normally, write to the parties within seven calendar days to give their decision and the recommended action plan. This timeline may vary dependent upon the number and complexity of the issues raised, in such circumstances the Chair will confirm the amended timeline to all parties

A complainant who is dissatisfied with the outcome of the grievance hearing should proceed to the appeal stage of the University Grievance Procedure.

## 10 Appeal

The complainant will have the right of appeal and this will be confirmed to them in the

outcome letter. The appeal can be submitted for one of the following reasons:

- A procedural irregularity;

# Procedure

## Continued

- New evidence not presented at the original grievance hearing;
- Some other justifiable reason. The Chair of the grievance appeal panel has grounds to review and reject the 'some other justifiable reason' if felt not to be justifiable.

The appeal must be in writing to the Director of Human Resources and Organisational Development. This must be submitted within two working weeks of the date of the written outcome of the formal grievance hearing, and should state clearly, and in full, the basis on which the appeal is to be made.

The appeal hearing will consider the specific matter of the appeal rather than reconsider all matters raised within the original grievance/complaint.

The appeal panel will comprise of:

- A Chairperson who is a member of the Council or in exceptional circumstances a Dean/Director; and
- A senior representative of the same job family as the person who raised the grievance.

A representative from the Human Resources Service will assist the Chair during the grievance hearing.

Those required to attend the appeal hearing will be the complainant, and the Chair of the grievance hearing.

The employee will be invited to the grievance appeal hearing and will be notified of:

- The date, time and location of the grievance appeal hearing;
- Their entitlement to be represented by a Trade Union representative or work colleague.

# Procedure

## Continued

The employee is also required to confirm who will accompany him/her to the grievance appeal hearing if they have chosen to be accompanied at least 14 calendar days prior to the hearing;

- Their entitlement to call witnesses and for their names to be provided no later than 14 calendar days before the grievance appeal hearing.



# Procedure

## Continued

- The opportunity to submit a statement of case 14 calendar days prior to the grievance appeal hearing. Failure to submit the information within this timescale may result in the information not being considered at the grievance appeal hearing;

All parties will be notified of any witnesses that are to be called to the grievance appeal hearing and provided with any statements of case submitted seven calendar days prior to the grievance appeal hearing.

The Chair of the appeal hearing panel will, normally, write to the parties within seven calendar days to give their decision and the recommended action plan. This timeline may vary dependent upon the number and complexity of the issues raised, in such circumstances the Chair will confirm the amended timeline to all parties.

The decision of the appeal panel will be final.

## 11 Collective Grievances

Collective grievances will follow the same informal and formal grievance process as an individual grievance.

The hearing panels for collective grievances will have a minimum of two members, one of which will be the Chair, and will be supported by a member of the Human Resources Service who will not constitute the second member. Any person directly involved in the dispute may not be appointed to the panel.

Trade Union disputes are excluded from this process.

## **Appendix C: University of Bradford Academic Workload Model Handbook**

UNIVERSITY OF BRADFORD

# University of Bradford Academic Workload Model Handbook – Version 2

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A Guide to the Purpose, Principles, Activity  
Structure and Hourly Allowances for the 2018/19  
Academic Year

**Workload Model Project Board**

**27<sup>th</sup> June 2018**

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University of Bradford  
Academic Workload Model Handbook  
Version 2 – May 2018

## 1 Introduction

Version 2 of this handbook has been prepared to support the University of Bradford's (UoB) Academic Workload Model (WLM). The handbook covers the purpose and principles of the model, a detailed description of the academic activities captured in the model, as well as details of the hourly workload allocation for each activity. The handbook also describes how the WLM will be administered and **subject to revision both within year and at the end of each year based on staff feedback.**

The University WLM Handbook should be read alongside the Strenton Workload Plan (WLP) *End User Guide* which provides detailed instructions on how to use the software. Both of these documents are fully available to staff and updated on a regular basis to reflect changes and revisions to the WLM process. All academic staff will have *view-only access* to the WLP software. To ensure transparency, staff will eventually be able to view the workload allocations of all academics in their subject area and Faculty. Only Heads of Schools and Divisions and key administrative staff have data entry access.

This handbook is not intended to be a completely prescriptive and definitive handbook because the University has a diverse range of academic disciplines and approaches to delivering teaching and research. As a result, it has been recognised that it is not possible to introduce detailed common hourly allowances for every academic activity in all circumstances which will be applicable to all subject areas and Faculties. **Therefore, although this handbook presents a detailed activity structure (Annex 1) and associated allowances, it also recognises the need for flexibility to cater for the variations associated with the diverse range of subject areas and teaching and learning pedagogy currently employed across the University.**

## 2 Rationale and Principles of the Academic Workload Model

The WLM supports the University in achieving its strategic objectives and provides tangible benefits for individual academics and students. In particular, the WLM will promote a constructive dialogue between academics and their managers that will help elicit a shared understanding and approach to University priorities, academic activities, new developments and resource allocation.

The development of a University WLM represents a change to the way academic workloads have been understood, agreed and evaluated. The requirement for a University WLM was agreed as part of the University's approach to increasing its efficiency and effectiveness, and will support the goal of supporting academics to focus their time and resources on research, teaching and knowledge transfer in accordance with School and Faculty plans.

The model will support the University to achieve its ambition to be excellent in:

- the creation of knowledge through fundamental and applied research;
- the dissemination of knowledge by teaching students from all backgrounds;
- the application of knowledge for the prosperity and wellbeing of people from all backgrounds.

The following three principles underpin the model:

- Equity - the WLM will be applied across all Faculties and will include all academic teaching and research staff. It will ensure an equitable and consistent approach to the allocation of workloads;
- Transparency – the WLM approach will be clearly understandable and will provide appropriate visibility of all staff activities and how they have been allocated;
- Efficiency and Effectiveness – the WLM will provide a more efficient way to plan and implement academic workloads and will lead to more effective outcomes in the allocation of scarce staff and financial resources.

### 3 Purpose and Benefits of the Academic Workload Model

The purpose of the WLM is to promote fairer working practices and to improve the working environment and culture of the University, and to prevent individual staff work overload, thereby contributing to improved staff satisfaction. More specifically, the purpose is to:

- support high quality research led personalised approaches to teaching and learning;
- ensure staff are given the time and opportunity to develop and publish their research;
- provide for parity of treatment in the allocation of work to academic staff in each Faculty, taking account of discipline-specific characteristics;
- provide a management tool to incorporate quality assessment, quality assurance and enhancement activity undertaken by academic staff;
- assist the University to address its obligations to manage the health and safety of its staff, particularly with regard to stress, well-being and work-life balance;
- assist the University in meeting its equality and diversity obligations, including for staff working on a part-time basis;
- provide a management tool to support improved module and programme costing for Bradford based UG and PG programmes and externally contracted collaborative programmes and contracted research projects;
- support and complement the annual staff performance management process and the annual research monitoring exercise;
- provide robust data for external stakeholders and funding bodies.

### 4 Principles and Assumptions of the Academic Workload Model

The WLM is based on several principles and assumptions. It will:

- cover the work of all academic staff undertaking all academic activities including teaching and learning; citizenship and scholarship; research and knowledge transfer and academic leadership, and management and administration;
- ensure consistency of treatment within and across Faculties, while allowing for differences in approaches to teaching, research and administration between academic disciplines;
- adopt a TRAC-compliant approach which means that the model can directly inform the TRAC returns and avoid the need for existing TRAC diary exercises. TRAC compliancy will be assured by ensuring that all activities and *managed hours* are formally approved at both the planning and end year stage; be informed from planned activities such as expected student numbers and actual modules being delivered; and recording research in the appropriate research categories;
- adopt an *input based* methodology based on the ex-ante allocation of activities measured in *hours*. For example, using hourly allocations for the delivery of a teaching module based on contact time specified in the module descriptor supplemented by allocations for preparation time, marking and feedback;
- adopt a working year of 1,580 hours which equates to approximately 220 working days. This takes into account annual leave, bank holidays and customary holidays. The annual allocation will be adjusted where appropriate to take into account individual contract and FTE variations;
- adopt a hierarchical framework which will be developed from the bottom up e.g. Module – Programme – Division – School - Faculty – University. Oversight will be provided at Faculty and at University level through the central oversight team providing management information for all levels in the hierarchy;
- provide for the workload of individual staff to be appropriately distributed over time, so that imbalances in one year are rectified in-year if possible or in subsequent years;
- be developed in partnership with academic staff in the Faculty;

## 5 Workload Model Structure, Activities and Hourly Allowances

The WLM will capture activities under four categories which are summarised in Activity Level 1 (Column 1) of Annex 1. This includes:

- Teaching and Learning Related Activities
- The Individual, Citizenship and Scholarship
- Research and Knowledge Transfer
- Academic Leadership, Management and Administration

The approach and content of the activity structure outlined in Annex 1 is designed to be as flexible as possible to reflect the different needs of each academic subject area and Faculty. **The activity structure and associated hourly allowances will be subject to revision on an annual basis and in-year as feedback is received from academic managers and staff.**

## 5.1 Teaching and Learning Related Activities

This section covers all *modular* based activities and includes all teaching and dissertation supervision with a module code including Bradford based programmes, overseas partnerships and externally contracted programmes. This section measures the time taken for teaching preparation, delivery, assessment and feedback and dissertation and project supervision (see Activity Level 2, Column 2 in Annex 1). It is important in this section to distinguish between:

- **Student Contact time** – is specified in the Module Descriptor and is made up of the number of lectures, seminars, workshops and laboratory sessions etc.;
- **Staff Contact Time** – is the student time + preparation + assessment and feedback + repeat session delivery time. This is important to establish the true representation of the time required to deliver a module and how these hours are allocated between academic staff.

The '**one source of truth**' for the student contact time is the module ingredients specified in the approved **Module Descriptors** for each module. This module information will be uploaded from *the* Module Descriptors into the WLP software at the beginning of the planning stage for each academic year. This process will also be linked to the teaching timetabling process. A detailed description of all activities captured in the Activity Structure (Annex 1) and how they will be measured is given in the sections below.

### 5.1.1 Preparation

Academic staff will be allocated an appropriate amount of preparation time for all modular based teaching and learning activities. This will vary depending on different academic subject areas and the type of delivery being prepared (lectures, laboratories, workshops or seminars). The amount of time allocated for teaching preparation may vary depending on whether it is a new module which may require more preparation time, or whether it is an existing module which has been delivered many times before using existing material.

Activities included under preparation time cover the preparation of handouts, presentations, reading lists, and uploading material onto CANVAS. Preparation time will be specified in terms of the number of additional minutes per hour of delivery time. A range of allocations for preparation from 10 minutes to 2 hours per hour of delivery is available to select in the WLP *drop-down* menu. A reasonable approach adopted in many academic areas is to use from between 30-60 minutes preparation time for every one hour of delivery. The amount may differ for the preparation of lectures compared to seminars or laboratory sessions for example. Significant amounts of preparation time should not be added in situations where an academic is delivering a repeat seminar, tutorial or laboratory session where the preparation has been carried out by the Module Leader for example. The calculation of preparation time is carried out in the Contact Time Calculator (CTC) (see page 18 of the Strenton WLP End User Guide).



### 5.1.2 Teaching Delivery

Teaching and learning deliverable items and types of contact will be uploaded into the WLP from the Module Descriptor at the start of the workload process each year. The list of deliverable items currently used in the WLP are based on those used in Worktribe (see Table 1 below). These items can be added to by contacting your Faculty Business Manager. The *student contact* time for each of the deliverable items will be specified in the Module Descriptors. **It is important therefore, that Module Descriptors are kept up to date and accurately reflect the approved version of hourly contact time for the forthcoming academic year.**

**Table 1: Teaching Deliverable Items and Activity Type in New Module Descriptors**

Code	Contact Type
FIELD	Fieldwork
LANCONT	Laboratory
LECT	Lecture
PRACW	Practical Classes and Workshops
PROJS	Project Supervision
SEM	Seminar
STWS	Supervised time in studio/workshops
TUT	Tutorials
TBL	Team Based Learning
RAP	Readiness Assurance Process
DISPRA	Dissertation and Project Report Supervision

### 5.1.3 Assessment and Feedback

Information on the types of assessment used for each module will be loaded into the WLP at the start of the WLM process each year. The assessment types currently in the WLP *drop down* menu in the CTC are listed in Table 2 below. These items can be added to by contacting your Faculty Business Manager. The amount of time allocated will vary depending on the type of assessment and the module level. The amount of time allocated for assessment, feedback and moderation can be determined by each academic area with approval of the Dean. Additional hours can be added to the CTC to cater for the additional work involved in marking supplementary assessment. A range of allocations for assessment and feedback from 10 -120 minutes is available to select in the WLP *drop-down* menu.

**Table 2: Assessment Types Currently in the Strenton WLP Drop-Down-Menu**

Code	Assessment Type
CLIN	Clinical assessment
COM	Computer based assessment
COMEXM	Written examination with use/sight of computer
EXAMC	Examination (Closed Book)
EXAMO	Examination (Open Book or Seen)
EXAMP	Examination (Practical Laboratory)
EXAMV	Examination (Oral/Viva Voce)

EXCOMP	Computerised Examination
LAB	Laboratory Report
PRES	Presentation
TEST	Classroom Test
DISPRA	Dissertation and Project Report Assessment
CSWK	Coursework
ESSAY	ESSAY
OTHER	Other Forms of Assessment

#### 5.1.4 Dissertation and Project Supervision

The number of academic contact hours for dissertation and project supervision will be determined by the **number of student contact hours specified in the module descriptor multiplied by the number of students allocated to each academic**. Some dissertation Module Descriptors also include provision for academic writing and research methods lectures to the whole group which must also be added to the total academic staff time required using the *CTC* in the Strenton WLP.

#### 5.1.5 Personal Academic Tutoring

The University Personal Academic Tutoring (PAT) system is described in detail in the PAT Guide for Staff (Sept'16) which is available on the CED website. The WLP software is programmed based on the number of meetings per year and the duration of each meeting and summarised in Table 3 below. The duration of each meeting is approximately 30 minutes includes preparation time and writing-up time at the end of each meeting (see PAT Guide for details). The recommended maximum number of students is 20 (made up of a portfolio of students from different years). Academics may meet with students in small groups as well as one-to-one meetings. The duration of meetings with small groups will be longer than 30 minutes and will need to be agreed with Head of School and/or Programme Leader.

**Table 3: PAT Meetings Per-Year and Duration**

	Number of Meetings Per Year	Duration Hours
Year 1	6	0.5
Year 2	4	0.5
Year 3	4	0.5
Year 4	3	0.5
PG	3	0.5

## 6 The Individual, Citizenship and Scholarship

The contribution of academic staff to the working life of the University and the wider academic community is extremely important. A summary of the activities captured and guidelines for hourly allocations are presented in below and summarised in Annex 1 (Section 2, Activity Levels 1, 2 and 3).

### 6.1 Citizenship

Citizenship includes any activity that academics undertake where they are representing the University either internally or externally. This includes for example any public engagement activity, Graduation Days, Open Days, Applicant Experience Days, contribution to staff recruitment and selection process, external examining and external PhD Vivas, community work and external advisory roles. Additional activities can be added to the list specified in Annex 1 with the agreement of a line manager. Although the importance of these activities is recognised, it is not expected that an academic will devote excessive amounts of time to external advisory work at the expense of home based teaching, research and administration. A balanced portfolio of work needs to be agreed with line managers.

**Hourly allocations for Citizenship are not general allowances for all staff; they are specific allocations for individually agreed activities.** These activities appear in the WLP *drop-down* menu and can be added at the planning stage if known, or they can be added during the year with the approval of line managers. The hourly allowances for these activities are based on the nature and duration of the activity and should be agreed with line managers. Table 4 gives an indication of current practice in parts of the University and suggested allowances and acceptable tolerance ranges for these types of activity.

**Table 4: Indicative Hourly Allocations for Citizenship**

Activity	Indicative Hourly Allocation Per Event	Comments
External Examining	15	To include reading and comment time plus travel time per event. Maximum of two external examiner roles at any one time. Suggested 5 hours reading and marking plus one day travel to external University event.
External PhD Vivas	15	To include reading and comment time plus travel time per event
Internal Chair of Viva Panel	5	Meeting time plus some preparation.
Graduation Days	6	Based on attendance of ceremony, attending parties and meeting students and parents
Open Days, Applicant Experience Days	6	Six-hours if attending full event. Plus, additional hours if preparation required
Clearing	-	As per clearing rota agreed with line manager.
Staff Recruitment & Selection Interviews	10	Based on attending panel plus reading. Will vary according to number of applications and number of final interviewees
Community Work	To be agreed	Based on type of activity and agreed hourly contribution
External Advisory Role	To be agreed	Based on type of activity and agreed hourly contribution
Other Citizenship Roles	To be agreed	Other Citizenship roles can be included with agreement of the Dean, Head of School or Division

## 6.2 The Individual

This section will include any individual activity that academics are engaged in including Unavailable Time (e.g. maternity or paternity leave, sickness, jury service); probation allowance for new members of staff; professional experience time, and allowances for staff undertaking PGCHEP and HEA Fellowship (Table 4). Additional activities to those listed in Table 5 and Annex 1 can be undertaken with the agreement of line managers. **Hourly allocations for the individual are not general allowances for all staff; they are specific allocations for specified agreed activities.** Recognition for these activities can be added at the planning stage if known or it can be added during the year. The hourly allowances for these activities will be based on the nature and duration of the activity and will be agreed with line managers within an agreed tolerance range. These activities appear in the WLP on a *drop down* menu and agreed hourly allowances can be entered directly by the line manager or administrator.

**Table 5: Indicative Hourly Allocations for the Individual**

Activity	Indicative Hourly Allocation Per Event	Comments
Unavailable Time	-	To be agreed with line manager. Allowance depends on nature and duration of absence – sickness, maternity, paternity, jury service etc.
PGCHEP Allowance	300 (over 2 years)	Guidelines from CED – PGCHEP = 60 credits = 600 learner hours. 300 hours will be participant learner hours from carrying out normal professional duties. Therefore, 600 hours for lectures and coursework over 18 months + Year 1 200 hours, Year 2 100 hours.
HEA Fellow Allowance	36	Estimated to be 12 weeks at 3 hours per week.
Probation Allowance	20%	20% allowance currently to be used pending development and approval of new HR probation policy. Care must be taken to avoid double counting by adding additional time for PGC-HEP, the HEA, research time and additional preparation time for early career staff in addition to the full 20% probation allowance.
Professional Experience Time	-	To be agreed with line manager depending on professional requirements
Other Individual Time	-	Other Individual time can be included with agreement of the Dean, Head of School or Division

## 6.3 Scholarship

This section recognises the work necessary to enhance and further develop and academic's professional profile and practice. This is a general allowance allocated to all academics. It has been agreed that a 10% workload allocation which equates to 158 hours per year or approximately half-a-day per week. A detailed list of activities covered by this allocation is given below:

- Reading journals, professional magazines and evaluating text books;
- Keeping up-to-date with developments in subject area;
- Reading and evaluating textbooks, teaching software and case studies;
- Maintaining and developing relevant skills such as Blackboard and learning and teaching software;

- Keeping up to date with University and HEFC regulations and procedures relating to teaching and research;
- Attending the annual University Learning and Teaching Conference;
- Attending Assemblies, away days, planning events and reading committee minutes;
- Participating in performance review process (completing forms and attending meetings);
- Undertaking required staff development and training activities including on-line training courses.

## 7 Research and Knowledge Transfer

### 7.1 Externally Funded Knowledge Transfer Projects

This section of the WLM captures all Knowledge Transfer activities that are subject to an external agreement and contract that have been approved through the RKT office Project Approval Form (PAF) process. This includes co-ordination and delivery of contracted consultancy projects and contracted continuing professional development short (CPD) short courses and the delivery of other KT activities such as Knowledge Exchange Programmes and KT partnerships (see section 3.1 of Annex 1). Other types of KT activities not specified in section 3.1 can be added by using one of the four broad headings in 3.1 and adding the detail in the **Comments Box** of the *drop-down menu*.

**The allocation of hourly allowances to staff undertaking these activities is based on the hours agreed in the project costing approved under the PAF process and specified in the contract.** Given the importance of the PAF form and the contract to the allocation of hours, only hours from PAFs approved by the Dean and/or the AD RKT and subject to a signed contract can be included.

### 7.2 Externally Funded Research Projects

This section of the WLM (Annex 1, Section 3.2) captures all contracted externally funded research projects that are subject to an external agreement and contract that have been approved through the RKT Office Project Approval Form (PAF) process. This includes all funded research from research councils, government departments, the European Union, UK charitable organisations, industry and overseas sources. All of these grants will be coded for external reporting purposes using the TRAC codes summarised in Annex 2.

**The allocation of hourly allowances to staff undertaking these activities is based on the hours agreed in the project costing and approved under the PAF process and specified in the contract.** Given the importance of the PAF form and the contract to the allocation of hours, only hours from PAFs approved by the Dean and Associate Dean RKT and subject to a signed contract can be included.

### 7.3 University Funded Research

The University RKT committee has agreed that the normal allocation of University Funded Research time is 15% to all research active academic staff. Faculties can vary this with the approval of the Dean and staff

who are deemed to be non-RKT active over a period of time may not be awarded this allowance. Faculties may wish to allocate an allowance greater than 15% for specific individuals but this needs to be justified on a case-by-case basis reflecting the RKT and REF priorities and approved by the Dean.

#### 7.4 PGR Supervision

This section captures time allocated for Postgraduate Research (PGR) supervision. The University's Learning and Teaching committee and the RKT committee have approved the following guidelines. The guidelines specify that the total staff contact time allocated to each doctoral student for supervision is 48 hours per year per student. This hourly allowance is shared between the Principal Supervisor and Associate Supervisor. The maximum hourly allocation for the Principal Supervisor should be 70% of 48 hours (34 hours) and the minimum hourly allocation for the Associate Supervisor should be 30% (14 hours). In addition, an upper limit of 4 FTE students per academic has been established. In practice, this can mean that an academic can be a Principal Supervisor for 4 students (head count) which gives an FTE total of  $4 \times 0.7 = 2.8$  FTE. In addition, an academic may have an additional 4 students as Associate Supervisor (head count) which gives an FTE of  $4 \times 0.3 = 1.2$  FTE. It is recognised that it will not be possible to achieve the 4 FTE maximum level for some time given that some supervisors currently have a larger number of students and that it will take some time for these to pass through the system.

#### 7.5 Research Support Activities

This section captures time allocated to research support activities including internal Vivas, grant proposal writing, internal and external peer reviewing and REF article grading; editor of discussion paper series; seminar series lead; external research related advisory work and panels (see Table 6).

Some external roles have been included in the WLM even though the academic will receive personal financial remuneration for the activity. This is because the UoB benefits from the reciprocal nature of these arrangements with other Universities and external bodies. Although these external research advisory roles and panel work benefit the University, they can only be carried out and be captured in the WLM with the approval of the Dean or Head of School or Division. This is because academics cannot independently decide to spend too much time on this type of activity. It needs to be part of an agreed balanced portfolio of work.

Because these roles in many parts of the University have not been quantified in terms of hours, academics and line managers will have to agree the allowances for these activities based on the nature, size and duration of the proposed undertaking. Internal and external research support roles not currently specified in the *drop-down menu* can be captured using the '**Other Research Support Roles**' and the '**Comment**' field.

**Table 6: Indicative Hourly Allocations for Research Support Roles**

Activity	Suggested Indicative Hourly Allocation Per Event	Comments
Grant Proposal Writing	0-40	Depending on size and complexity of application. 1. Application under £50k = no additional hours – treated as part of Research Allowance 2. Between £50k & £1m = 50 hours (approx. 3 days) per application 3. Greater than £1m + 100 hours per application.
Director of RKT Centres	158	10% of annual workload (can be varied with agreement from dean or PVC RKT depending on size of the centre. Must fulfil RKT centre requirements including minimum of 4 active members and appropriate level of governance.
Ethics Review Panel – Panel Member	30	Ethics panel member – 2-3 hours per application x approximately 10 applications per year.
Ethics Panel Chair	240	Ethics panel Chair – 10% per year.
Internal REF Grading for papers and impact studies	2	2 hours per paper or approximately 50 hours per year for full committee membership.
Impact case study development	40	40 hours per case study.
Internal Peer Review of Grant Applications	2	2 hours per application.
External Research Related Advisory Work and Panels	TBA	To be agreed with line manager and ADRKT depending on size of role
Other Research Support Roles (Internal & External)	TBA	Other Individual time can be included with agreement of the Dean, Head of School or Division

## 8 Academic Leadership, Management and Administration

### 8.1 Academic Leadership

A list of the key academic leadership roles currently being used across the University is given in the WLM activity structure presented in Annex 1 (Section 4, col 3). The items in this section will appear in a *drop-down menu* in the WLP. This is not an exhaustive list and scope for flexibility has been built into the WLP by using the **‘Other Academic Leadership Roles’** category and specifying the nature of the activity in the **‘Comment Box’**. At the end of each academic year, the **‘Other’** category will be reviewed to see if it is necessary to add other frequently used categories to the main *drop-down menu*. The hourly workload allowance allocations for these roles will be based on the % FTE specified in the HR Letters of Appointment for each role. These allocations will be calculated on a pro-rata basis to take into account mid-year appointments or job-shares. A summary of activities and allowances is given in Table 7 below:

**Table 7: Academic Leadership Roles and Allowances**

Activity	Indicative FTE	Comments
Associate Dean T&L	0.60	As per Letter of Appointment, ToR & specified FTE
Associate Dean RKT	0.50	As per Letter of Appointment, ToR & specified FTE
Associate Dean Internat'	0.50	As per Letter of Appointment, ToR & specified FTE
Head of School	0.50	Size dependant - as per Letter of Appointment, ToR & specified FTE
Head of Division	0.35	Size dependant - as per Letter of Appointment, ToR & specified FTE
Director Roles	0.25	Size dependant - as per Letter of Appointment, ToR & specified FTE
University & Faculty Committee Lead	-	Hourly allocation based on the number of meetings and required pre-reading, preparation and agenda setting etc.
University/Faculty-Committee Member	-	Based on the number of meetings and required pre-reading – if any
Staff Mentoring	6 hours	Based on suggested 3 meetings per year each of 2 hours duration

## 8.2 Programme and Module Management

A list of the key programme and management roles currently being used across the University is given in the WLM activity structure presented in Table 8 and in Annex 1 (Section 4, col 3). The items in this section will appear in the *drop-down menu* in the Strenton WLP. This is not an exhaustive list and scope for flexibility has been built into the Strenton WLP by using the '**Other Programme Management Roles**' category and specifying the nature of the activity in the *Comment Box*. These allocations will be calculated on a pro-rata basis to take into account of fractional FTE contract variations.

**Table 8: Academic Leadership Roles and Allowances**

Activity	Hourly Equivalent	Comments
Programme Leader	-	See Section 8.2.1 and Table 9 below. See also Programme Leader Role Descriptor at Annex 3.
Module Leader	50	See Section 8.2.2 and Table 10 below. See also Programme Leader Role Descriptor at Annex 4.
Significant new curriculum development work	-	As agreed with line manager. This is for large initiatives outside of the normal curriculum development work covered under the Programme and Module Leader ToR
Outreach & School Liaison	-	Role to be specified by each Faculty (where used) and hourly allocation to be agreed between academic and line manager
Distance Learning Lead		As above
Academic Partnership Lead	-	As above
Placement Lead	-	As above
Student Exchange Lead	-	As above
Admissions Lead	158	A 10% allocation is the upper limit for programmes with a large number of applications. This role can be divided between a number of staff on a pro-rata basis.
Marketing Lead	158	A 10% allocation is the upper limit for programmes with a large number of applications. This role can be divided between a number of staff on a pro-rata basis.



### 8.2.1 Programme Leader

The activities carried out by the Programme Leader are detailed in the Role Descriptor at Annex 3 which was approved by the University Teaching and Learning committee (June'16). A copy of the Role Descriptor is available on the Centre for Educational Development (CED) website by clicking on Role Development or by using the link <http://bradford.ac.uk/educational-development/>. The hourly allocation for Programme Leaders depends upon the number of students and Table 9 below gives four bands to take account of the range of student numbers with indicative percentage and hourly allocations for each band. **The percentages expressed in Table 9 are indicative and can be varied by Faculties with the approval of the Dean depending on the programme needs which may involve professional practice and practice learning for example.**

**Table 9: Programme Leader Banded Hourly Allocations**

Activity	Size (3/4 Year Programme)	Indicative %	Total Hours
Band 1	> 250	20%	316
Band 2	200 - 250	15%	237
Band 3	100-199	10%	158
Band 4	0 - 99	5.0%	79

### 8.2.2 Module Leader

The activities carried out by the Module Leader are detailed in the Role Descriptor at Annex 4 which was approved by the University Teaching and Learning committee. A copy of the Role Descriptor is available on the CED) website. Table 10 below gives a detailed breakdown of the hourly allocations for six key activities undertaken by the Module Leader as specified in the role descriptor. The suggested 50 hours is greater than is currently used by some Faculties because it includes activities for the Teaching Excellence Framework (TEF) which are not uniformly carried out by all staff across the University.

**Table 10: Module Leader Activities and Indicative Hourly Allocations**

Activity	Hours
General - Student Contact - 13 weeks x 2 hours	26
Preparing Assessments - 2 hours per piece assessment	4
Programme Management Enhancement - 2 x 2 hour meetings	4
Completing Module Review Forms	5
Responses to External Examiner	2
Teaching Observation - Observing and Writing-up	4
Miscellaneous	5
Total	50

### 8.3 General Administration

This is a general allowance allocated to all academics. It has been agreed that a 30-hour workload allocation will be allocated as a general administration allowance. This allocation will be applied on a pro-rata basis to reflect fractional FTE contracts and mid-year appointments for example. This allowance covers a range of miscellaneous activities not captured under other activity headings including attending meetings and answering e-mails unrelated to any allocated administrative roles and tasks.

## 9 Administration, Oversight, Transparency, Reporting and Preparation Timetable

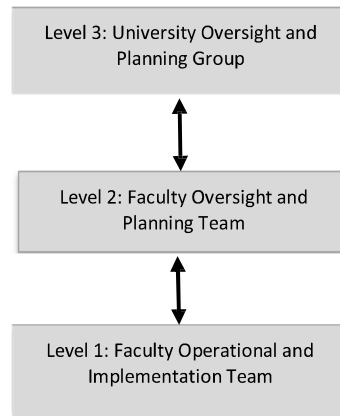
### 9.1 Administrative Structure, Oversight & Transparency

A three-level administrative structure is necessary to support the operation and maintenance of the annual WLM process (see Diagram 1 below). At Level 1 the preparation of the WLM for academic staff will continue to be carried out by academic heads of School and Divisions and supported by designated administrators. The WLM and the WLP software package will standardise the workload allocation preparation and make the process more efficient.

At Level 1, only designated Heads of School/Division and administrative staff will be able to enter data and edit the individual WLM of academic staff. All other academic staff will have '*read-only*' access to their individual workload report but will not be able to edit or change their personal entry. At Level 2, it is envisaged that the Faculty senior management team will have an important planning and oversight function and will be required to consider the workload allocations of all staff as well as analysing the additional management information provided by the new system (Diagram 1). The WLM will support and enhance the effectiveness of existing Faculty academic planning and management structures.

A University AWLM Steering Group will be established in July 2018 to ensure equity and transparency of the application of the process and to effectively utilise the management information produced by the WLM. The WLM Oversight, and Planning Group will be led by the DVC (Academic), with representatives from Human Resources, Finance and Planning plus a Dean and an Academic Lead and a Faculty Business Manager (Diagram 1). This group will oversee the development, revision and evolution of the workload model, develop and analyse WLM data and reports to inform University planning processes and external data requirements. The WLP software will produce a range of reports that provide information at Module, Programme, Division, School or Faculty level.

**Diagram 1: Outline of WLM Management and Administrative Structure**



## 9.2 Annual Preparation Timetable

Existing workload preparation timetables vary between Faculties but generally take place between January and July before the forthcoming academic year. An annual timetable for the operation of the WLM will need to be consistent with the needs of various internal stakeholders and processes such as module revisions, Worktribe, timetabling and the external TRAC process. An indication of how this timetable might look is given below in Table 11.

**Table 11: Indicative WLM Annual Preparation Timetable**

Date	Activity
<b>Feb-April</b>	HoSs, Departmental Heads, Programme Leaders and academic staff begin workload planning for the forthcoming academic year. Discussion and agreement with staff. Data entered into software as proceed.
<b>April/May</b>	First draft of workload model complete. Identification of gaps in the programme.
<b>June</b>	Further staff discussions and negotiation at Faculty & Departmental level – production of second draft.
<b>July</b>	Consideration and approval of the draft by Faculty. Draft agreed before the end of July. Management team should also be aware of the remaining gaps in workload by the end of July
<b>September</b>	Final adjustments made at start of academic year during late August and early September.
<b>November</b>	WLM revised following confirmation of student numbers.
<b>January/Feb</b>	WLM updated and revised at the beginning of Semester 2 to reflect any changes to module delivery and new externally funder RKT projects.
<b>March</b>	Final version approved for TRAC submission and to support Staff Performance Review and Annual Research Monitoring process.

## Annexes

### Annex 1: Workload Model Activity Structure

Activity Level 1	Activity Level 2	Activity Level 3 (Drop down list)
<b>1. Teaching &amp; Learning and Related Activities</b>	1.1 Preparation	Handouts, Presentations, Blackboard
(This section all module related)	1.2 Delivery	Lectures, Seminars, Workshops, Tutorials, Labs
	1.3 Assessment and Feedback	Exam, Coursework, Practicals, Groupwork
	1.4 Dissertation Supervision (UG/PG)	Dissertations, Projects Supervision
	1.5 Personal Academic Tutoring	For Levels 3, 4, 5, 6 and 7 as specified in the PAT handbook
<b>2. The Individual, Citizenship &amp; Scholarship</b>	2.1 Citizenship	External Examining & External PhD Vivas
		Graduation, Open Days, Applicant Exper Days
		Clearing
		Staff Recruitment & Selection - Interviews
		Community Work and External Advisory Role
	2.2 Individual	Unavailable Time
		PGCHE or HEA Allowance
		Probation Allowance
		Professional Experience Time
	2.3 Scholarship	Scholarship
<b>3. Research and Knowledge Transfer</b>	3.1 Knowledge Transfer	Contracted Consultancy Work - Delivery
		Contracted CPD & Short Courses - Delivery
		Contracted KT, CPD, Short Course Admin/Co-ord
		Knowledge Exchange Programmes
	3.2 Research - Funded Projects	Research Externally Funded
	3.3 Research - Non Funded Project	University Funded Research
		Research Study Leave and Sabbaticals
	3.4 Research - PGR Supervision	PGR Principal Supervisor
		PGR Associate Supervisor
		Internal Vivas (Chair & Internal Examining)
	3.5 Research Support	Grant Proposal Writing
		Director of RKT Centres
		Internal & External Peer Reviewing & REF Grading
		External Research Related Advisory Work & Panels
		Other Research Support Roles (Internal & External)
<b>4. Academic Leadership, Management &amp; Administration</b>	4.1 Academic Leadership	Associate Dean
		Head of School

		Head of Division
		Faculty Director PGR
		School or Divisional Research Leads
		University and Faculty Committee
		Staff Mentoring
		Other Academic Leadership Roles
	4.2 Programme & Module Management	Programme Leader
		Module Leader
		Additional Curriculum Development Work
		Outreach and School Liaison
		Academic Partnership Lead
		Distance Learning Lead
		Placement Lead
		Student Exchange Lead
		Admissions Lead
		Marketing Lead
		Other Programme and Management Roles
	4.3 General Administration	General Administration Allowance

## Annex 2: Summary of TRAC Categories & Codes

All activities in the WLM will be based on the 16 TRAC categories which are summarised and coded in Annex 2 below. The detailed list of activities contained in Annex 1 are those currently used by Finance for the coding and preparation of the annual TRAC returns.

No	Category	CODE
1	Undergraduate Teaching - Publicly Funded	T-PF-UG
2	Postgraduate Teaching - Publicly Funded	T-PF-PGT
3	Teaching - Non-Publicly Funded	T-NPF
4	Teaching - Support	T-SUPP
5	Research – Own Institution Funded	R-OIF
6	Research - Council Funded	R-CF
7	Research - Other Government Departments	R-OTH-GVT
8	Research – EU/EC Bodies	R-EU-GVT
9	Research – UK Charities	R-UK-CHAR
10	Research – Industry, Overseas, Other Sources	R-IND- OSEAS
11	Postgraduate Research Students - Training & Supervision	PGR-TS
12	Research - Support	R-SUPP
13	Professional Development and Scholarly Activity	PROF-DEV
14	Other Externally Funded Activities	OTHER
15	Support for Other Activities	O-SUPP
16	Support-General	G-SUPP

### **Annex 3: Programme Leader**

#### *Role and responsibilities*

The role of Programme Leader is to provide academic leadership and oversee the academic standards and quality of the learning opportunities offered to students. The Programme Leader, supported in their role by the programme team and administrative staff, has academic responsibility for the following for each academic programme within their remit:

1. Ensuring standards and academic quality.
2. Promoting student engagement in learning and teaching and QA/QE matters, and the implementation of the student charter.
3. Working with others to ensure all published information is fit for purpose, accessible and trustworthy.
4. Developing peer networks to keep abreast of practice across the HE sector.
5. Leading on the production of all monitoring and review documentation.
6. Communicating with the Associate Dean Learning and Teaching (ADLT), the Academic Quality and Partnerships Office and professional, statutory and regulatory bodies (PSRBs) as appropriate.
7. Working with the programme team to ensure that all University targets set for the programme are met.
8. Engaging with continuing professional development and Scholarship of Teaching and Learning.
9. Attending staff/student liaison meetings, programme team meetings and other school/faculty committees as required.
10. Reporting matters of concern to the ADLT and discuss at Performance Development Review.

#### *Programme design and delivery*

11. Provide academic leadership of the programme.
12. Overall responsibility for curriculum, learning and teaching approaches, and assessment and feedback strategy for the programme ensuring alignment with the Curriculum Framework and other related strategy documents.
13. Ensure constructive alignment across the programme aims, learning outcomes, learning activities and assessment and feedback strategy.
14. Oversee all minor and major modifications on an annual basis.

15. Responsibility for the programme specification, ensuring that it is formally reviewed on an annual basis and it and its associated module descriptors are up to date and in line with the University's guidelines.
16. Responsibility for preparing the Programme Handbook on an annual basis using the University template and ensuring timely availability via the University's VLE/website.
17. Oversee the quality of all module handbooks and their timely availability via the University's VLE.
18. Ensure that members of the programme team have appropriate expertise/development opportunities.

#### *Admissions*

19. Ensure the provision of timely information required for centralised [timetabling](#) to meet institutional deadline dates.
20. Oversight of the marketing, recruitment and admission for the programme, including the provision of published information and promotional events such as open days, school visits etc.

#### *Student Experience*

21. Oversee programme induction and transition activity for all cohorts of students.
22. Ensure effective communication to students of information regarding academic matters falling within the scope of a programme.
23. Oversee attendance monitoring, its analysis and subsequent action plan.
24. Oversee the needs of those with learner support profiles.
25. Manage matters of academic concern relating to the programme or which students raise in accordance with University policy and procedures.
26. Ensure effective staff-student liaison and personal academic tutoring.
27. Work with others to ensure students have access to appropriate learning resources.
28. Promote a student centred approach to the management and delivery of the programme.
29. Promote all student survey activity amongst staff and students and provide regular feedback on participation rates to the programme management team.

#### *Evaluation*

30. Participate in academic audit activity as appropriate.
31. Oversee preparation of any reports to professional bodies/external stakeholders.

#### *Academic quality*

32. Co-ordinate the preparation for Assessment Committees, [Boards of Examiners](#), and Extenuating Circumstances Committee.



33. Oversee the preparation for internal and [external](#) review including all associated documentation.
34. Ensure compliance with Professional, Statutory and Regulatory Board requirements.
35. Ensure compliance with the [UK Quality Code](#).
36. Oversee the implementation and effectiveness of action plans resulting from student feedback including both internal and external surveys, module questionnaires and Staff Student Liaison committees.
37. Oversee the implementation and effectiveness of action plans resulting from external examiner and stakeholder feedback.
38. Meet all aspects of the UK Quality code concerning [external examining](#).
39. Make full use of management information and lead in the preparation and submission of the programme monitoring reports.
40. Contribute to academic appeals and complaints procedures as appropriate.

## Annex 4: Module Leader

### *Role and responsibilities*

The Module Leader is an important member of the Programme Team. The main focus of the role is to provide the academic focus for the cohorts of students in a given module and to act on behalf of teaching colleagues in the administration of module issues. However, it is also important for the Module Leader to work with the Programme Team to ensure the module's fit within the overall focus of the programme and to provide students with appropriate context and support for meeting programme learning outcomes.

### *Module design and delivery*

1. Overall responsibility for curriculum, learning and teaching approaches and [assessment](#) and feedback strategy for the module, ensuring alignment with the overall design of the academic programme, the Curriculum Framework and other related strategy documents
2. Ensure constructive alignment across the module learning outcomes, learning activities and assessment and feedback strategy.
3. Responsibility for the module descriptor ensuring that it is up to date, in line with the University's [guidelines](#) for writing module descriptors and aligned with the overall design of the programme and programme specification.
4. Responsibility for preparing the Module Handbook on an annual basis using the university template and ensuring its timely availability via the University's virtual learning environment.
5. Ensure guest speakers, or any postgraduates who teach on the module are briefed on their role and undertake appropriate development.
6. Engage with continuing professional development and Scholarship of Learning & Teaching.

### *Admissions*

1. Coordinate the provision of information required for centralised [timetabling](#) to meet institutional deadline dates.
2. Liaise with colleagues where the module is taken by students from another Faculty or Programme within the same Faculty.
3. Support the Programme Team, School and/or Faculty with promotional events such as open days, optional module fairs, company visits, etc.

### *Student experience*

4. Organise an [induction](#) and summary seminar for each cohort of students.
5. Communicate to the cohort of students any information regarding academic matters which fall inside the scope of a single module.

6. Act as the academic specialist advisor to students for the module.
7. Responsibility for providing study materials via the virtual learning environment, ensuring its accessibility, accuracy, currency and adherence to University guidelines.
8. Provide appropriate guidance to students for using the virtual learning environment and other technologies for effective learning.
9. Oversee attendance monitoring at module level and liaise with administrative staff, Personal Tutors, Year Tutor and Programme Leaders, as appropriate, in monitoring and confirming attendance.
10. Provide up-to-date information required for Programme Handbooks.
11. Attend to matters of academic concern relating to the module or which students raise after having discussed them with the responsible member of staff.
12. Check the needs of those with learner support profiles and follow recommendations.

*Evaluation*

13. Co-ordinate the issue and return of Module Evaluation Questionnaires.
14. Complete an annual Module Review Form which reviews student engagement, retention, attainment and feedback on the module for that year.
15. Formulate an action plan in response to the annual review of each module.

*Academic quality*

16. Ensure compliance with appropriate [policies/codes of practice](#) and the requirements of professional statutory and regulatory bodies.
17. Academic responsibility for marks provided to Assessment Committees and [Boards of Examiners](#).
18. Be aware of and report on all student retention and progression targets.
19. Attend staff/student liaison meetings, programme team meetings and other school/faculty committees as required.
20. Report matters of concern to the Programme Leader and discuss at Performance Development Review.

## Appendix D: Terms of Reference of the REF Steering Group

### University of Bradford

#### REF2021 STEERING GROUP

#### Terms of Reference and Membership

##### 1. Overview

The role of the group is to have oversight of the University's preparation and submission for the Research Excellence Framework (REF) 2021 exercise. The group brings together senior staff from across the University to provide leadership and expert guidance on the development of the University's submission for REF2021 in order to deliver the best institutional outcome.

##### 2. Terms of Reference

- To determine University REF strategy
  - i. The strategy will be dependent on the requirements finalised by Research England.
  - ii. The strategy will cover all aspects of the submission including outputs, impact and research environment as well as developing the Code of Practice.
- To ensure the effective communication of the strategy and processes throughout the institution.
- To make decisions on, co-ordinate and monitor the details of REF planning, preparation and submission across the University.
- To assure the quality and robustness of the University's submission to REF2021.
- To assure that equality and diversity issues are considered at every stage of the REF2021 preparation process.
- To provide reports to Senate via RKTS Committee on the progress of the REF2021 submission.
- To determine University REF strategy
  - i. The strategy will be dependent on the requirements finalised by Research England.
  - ii. The strategy will cover all aspects of the submission including outputs, impact and research environment as well as developing the Code of Practice.
- To ensure the effective communication of the strategy and processes throughout the institution.
- To make decisions on, co-ordinate and monitor the details of REF planning, preparation and submission across the University.

- To assure the quality and robustness of the University's submission to REF2021.
- To assure that equality and diversity issues are considered at every stage of the REF2021 preparation process.
- To provide reports to Senate via RKTS Committee on the progress of the REF2021 submission.

### 3. Membership

Name	Position
Professor John Bridgeman (Chair)	Pro-Vice-Chancellor (Research and Knowledge Transfer), Chair Data Quality & Modelling Working Group
Dr Refaat B. Hamed, FoLS	Early Career Representative
Professor Martin Priest, Dean FEI	Dean's Representative
Professor Felician Campean	Associate Dean for Research and Knowledge Transfer (FEI)
Professor Abigail Locke	Associate Dean for Research and Knowledge Transfer (FSS)
Professor Anne Graham	Associate Dean for Research and Knowledge Transfer (FLS)
Dr Jing Li	Interim Associate Dean for Research and Knowledge Transfer (FML)
Professor Allan Kellehear	Associate Dean for Research and Knowledge Transfer (FHS)
Professor Marina Bloj	REF Academic Lead and Chair, Outputs and Environment Working Group
Dr Chris Gaffney	University Impact Lead and Chair, Impact Working Group
Professor Udy Archibong	University Strategic Advisor on Equality and Diversity
Dr Val Steele	R&I Performance Manager
Ms Ira Jeffers	Associate Director of HR Operations
Dr Emma Brown	Research Impact Officer
In attendance by invitation as required	
Ms Emma Bridge	Associate Director (Marketing)
Ms Jodie Johnson	Associate Director Financial Management

In Attendance:

Name	Position
Mrs Jagruti Lad	Research Performance Administrator

The group will also co-opt members as needed for particular sub-groups and meetings as required and will advise or recommend in the following areas:

Detail	Power Delegated From:
Recommendations on REF2021 preparation and submission	Senate and RKTS Committee

The group will make the following decisions:

Detail	Power Delegated From:
Decisions on REF2021 preparation and submission	Senate and RKTS Committee

#### 4. Sub-Groups of REF2021 Steering Group

Name	Chair of Sub-Committee
Data Quality and Modelling Working Group	Pro-Vice-Chancellor (Research and Knowledge Transfer)
REF Preparation Review Groups	Pro-Vice-Chancellor (Research and Knowledge Transfer)
Impact Working Group	University Impact Lead
Output and Environment Working Group	REF Academic Lead

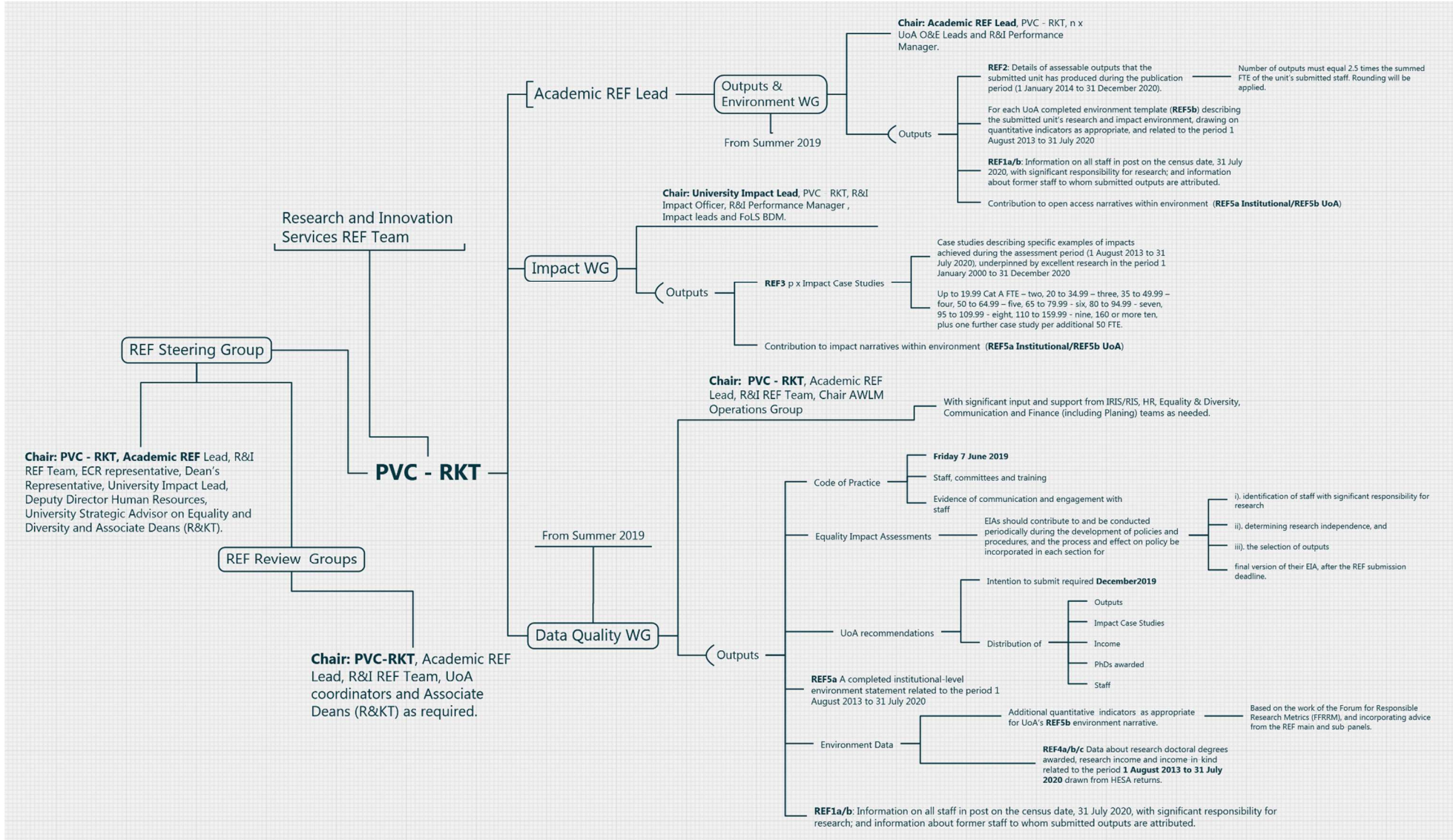
Serviced by: Mrs Jagruti Lad, [J.Lad1@bradford.ac.uk](mailto:J.Lad1@bradford.ac.uk)

## University of Bradford REF Code of Practice Advisory and Decision-Making Scheme

Ref	Decisions	Advisory role	Decision-making body	Ratification
1	Selection of outputs	Outputs and Environment WG via REF Review Team	REF SG	Senate
2	Selection of Impact Case Studies	Impact Working Group	REF SG	Senate
3	Identification of independent researchers	UoA Co-ordinator via REF Review Team	REF SG	Senate
4	Identification of staff with significant responsibility for research	Data Quality Working Group via REF Review Team	REF SG	Senate
5	Appeals	N/A	University Secretary, REF Appeals Panel	N/A
6	Development of the institutional Code of Practice	Data Quality Working Group	REF SG	Senate
7	Undertake REF-related equality impact assessments	Data Quality Working Group	REF SG	N/A
8	Unit of Assessment selection	Data Quality Working Group	REF SG	Senate
9	To complete the Institutional level environment template	Outputs and Environment WG	REF SG	Senate
10	To complete the Institutional UoA level environment template	UoA Co-ordinator via Outputs and Environment WG	REF SG	Senate
11	Individual Circumstances assessment	N/A	Stage 1: University Secretary Stage 2: Individual Circumstances Panel	



# Organogram showing University of Bradford REF responsibilities and reporting structure





## Appendix E: Terms of Reference for the Impact Working Group

### REF2021 Impact Working Group Terms of Reference

This group will have delegated responsibility for selection and development of Research Impact Case Studies forming part of the University's submission to REF2021.

This group will report regularly to the REF Steering Group.

The group will:

- Provide leadership and support for the selection and development of the University's impact case studies.
- Work with UoAs and individual authors to develop high quality case studies, including offering editorial advice.
- Work with UoAs and authors to ensure that case studies are based on University of Bradford research of at least 2\* quality, and that the resulting studies are robust and well-evidenced.
- Develop a set of criteria for reviewing impact case studies and providing feedback to authors.
- Implement and co-ordinate regular review of draft impact case studies at each stage of the process.
- The group will ensure that feedback following review of case studies will be provided to UoA co-ordinators and individual authors at the earliest opportunity.
- Advise the REF Steering Group and PVC RKT on decisions relating to selection of case studies for the final submission.
- The group will review all draft impact case studies at each stage of the process to ensure that processes are in accordance with University policy and strategy.

## Appendix F: Terms of Reference for the REF Review Groups

### REF Review Groups

#### Terms of Reference and Membership for 2019/21

#### 1. Overview

These groups have delegated responsibility for assessing the component elements of each UoA's submission (i.e. outputs, impact case studies and environment statement) that form part of the University's submission to Research Excellence Framework (REF2021). There is one group for each UoA. The groups report regularly to the REF Steering Group.

#### 2. Terms of Reference

1. To confirm the working practices adopted for gathering output and impact case study data for the UoA.
2. To ensure the effective coordination and management of the draft UoA submission.
3. To consider draft plans for consideration and approval by the Data Quality Working Group, REF Steering Group and Senate.
4. To develop and oversee implementation of action plans arising from the consideration of draft plans.
5. To ensure effective communication with faculty-based staff.

#### 3. Membership

Name	Position
Professor John Bridgeman, Chair	Pro-Vice-Chancellor (Research and Knowledge Transfer)
Professor Marina Bloj	REF Academic Lead
Dr Val Steele	R&I Performance Manager
Dr Emma Brown	Impact Officer
(UoA-specific)	UoA Co-ordinator
(UoA-specific)	UoA Impact Lead
(UoA-specific)	Faculty AD(RKT)
In attendance	
Jagruiti Lad	Research Performance Administrator

## Appendix G: Terms of Reference of the Outputs and Environment Working Group

### Outputs and Environment Working Group

#### Terms of Reference and Membership for 2019/20

#### 1. Overview

This group will have delegated responsibility for developing detailed aspects of Unit of Assessment (UoA) submissions in line with Research England requirements and guidelines.

The group will report regularly to the REF Steering Group.

#### 2. Terms of Reference

- To provide details of assessable outputs (including internal reviews) that each Unit of Assessment (UoA) has produced during the publication period (REF2).
- To prepare the UoA level environment templates describing the research and impact (in collaboration with the Impact Working Group) environment, drawing on quantitative indicators as appropriate (REF5b).
- Contribute to open access narratives within environment (REF5a Institutional/REF5b UoA)
- In collaboration with the Data Quality Working Group provide information on all staff in post on the census date, 31 July 2020, with significant responsibility for research; and information about former staff to whom submitted outputs are attributed (REF1 a/b).

#### 3. Membership

Name	Position
Professor Marina Bloj, Chair	REF Academic Lead
Professor John Bridgeman,	Pro-Vice-Chancellor (Research and Knowledge Transfer)
Dr Val Steele	R&I Performance Manager
	All UoA coordinators
In attendance by invitation as required	
Dr Emma Brown	Impact Officer
Jagruiti Lad	Research Performance Administrator
Nick Madge	Project Manager – IRIS

## Appendix H: Terms of reference of the Data Quality Working Group

### Data Quality Working Group

#### Terms of Reference and Membership for 2019/20

#### 1. Overview

This group will have delegated responsibility for assuring the quality and robustness of the data sets that form part of the University's submission to Research Excellence Framework (REF2021).

The group will report regularly to the REF Steering Group.

#### 2. Terms of Reference

- To develop the institutional Code of Practice in line with Research England requirements and guidelines.
- To complete Equality Impact Assessments associated with the Code of Practice and REF submission.
- To make recommendations to the REF Steering Group on Unit of Assessment selection and distribution.
- To produce an institutional level environment statement (REF5a).
- To develop quantitative indicators as appropriate for UoA environment statements in line with Research England recommendations.
- To monitor the robustness of data included in REF 4 a/b/c sections of the institutional submission.
- In collaboration with the Outputs and Environment Working Group provide information on all staff in post on the census date, 31 July 2020, with significant responsibility for research; and information about former staff to whom submitted outputs are attributed (REF1 a/b).

#### 3. Membership

Name	Position
Professor John Bridgeman, Chair	Pro-Vice-Chancellor (Research and Knowledge Transfer)
Professor Marina Bloj	REF Academic Lead
Dr Val Steele	R&I Performance Manager
In attendance by invitation as required	
Zafar Iqbal	Chair AWLM Operations Group
Trevor Rylatt	Financial Systems Accountant
Soniya Zeb	Equality and Diversity Advisor
TBD	Student registry

Dave Keoghan	HR Systems & Data Manager
Jagruti Lad	Research Performance Administrator

## Appendix I: Role descriptor for Associate Dean for Research and Knowledge Transfer (AD(RKT))

**Job Title: Associate Dean (Research and Knowledge Transfer)**

**Reports to: Dean of Faculty**

### **Main purpose:**

The Associate Dean (Research and Knowledge Transfer) is responsible to the Dean of Faculty for the strategic development, approval and delivery of the Faculty's research and knowledge transfer strategy and with ultimate responsibility for the Faculty's doctoral students. The Associate Dean will enhance our already existing national and international reach, through research collaborations and knowledge transfer. A close working relationship with the Directors of the Faculty's research centres will ensure that a vibrant research culture acts as the basis for all academic activity and informs teaching in core areas of the curriculum. The post requires that the Associate Dean (Research and Knowledge Transfer) is also an accomplished academic, with an international reputation, as reflected in their publication record and grant income, possessing the necessary gravitas in research to inspire confidence in colleagues.

Candidates must have experience of developing research and knowledge transfer grant proposals via industry links, academic partnerships and international collaborations. The ability to persuade, influence, motivate, and establish credibility with a wide range of stakeholders is essential.

We are particularly interested in academics with a strong record of publication in international refereed journals, and can demonstrate successful engagement in knowledge transfer activities. You will be part of a group actively committed to high-level research as demonstrated by journal and conference publications with impact. You will be expected to teach to undergraduate, postgraduate and supervise PGR students.

During the term of office as Associate Dean, the emphasis will be to discharge the key duties and responsibilities of this role with time for research and teaching duties being agreed on a flexible basis, reflecting the particular needs of the individual and the Faculty / University. The successful candidate will play a significant part in the strategic and operational leadership of the Faculty. The post as Associate Dean is for 3 years renewable. The Associate Dean element of the role will attract an honorarium of £10k.

### **Main duties and responsibilities:**

1. To provide strategic leadership for research and knowledge transfer across the Faculty and for collaborations more widely in the University and with external stakeholders.
2. To work closely with the Dean and the Associate Deans in developing and embedding an interdisciplinary and multidisciplinary culture in the academic portfolio of the Faculty. Leading on the *innovative engineering* academic theme of the University and strongly contributing to the other themes of *advanced healthcare* and *sustainable societies*.
3. To ensure that research and knowledge transfer in the Faculty is aligned with the University Strategy and the Faculty Plan.

4. To plan and manage Faculty budgets and spend related to research and knowledge activities, including strategic investment in research agreed at Faculty and University level but excluding specific externally funded research grants and knowledge transfer projects held by academic staff as principal and co-investigators.
5. To manage on behalf of the Faculty the directors of the Research and Knowledge Transfer (RKT) centres and leaders of other agreed research institutes and groups in terms of the planning, performance and sustainability of the groupings. The responsibility for Workload Model (WLM) management and Performance Development Review (PDR) of the individuals concerned will, however, normally rest with the Head of their Department in the Faculty structure.
6. To agree and monitor with the directors of the Research and Knowledge Transfer (RKT) centres and leaders of other agreed research institutes and groups the objectives and tasks required from the academic staff in their teams.
7. To work with the directors of the Research and Knowledge Transfer (RKT) centres and leaders of other agreed research institutes and groups to develop and maintain a vibrant research environment and culture.
8. To promote, disseminate and reward excellence in research and knowledge transfer.
9. To actively encourage and nurture interdisciplinary and multidisciplinary research and knowledge transfer.
10. To actively encourage and nurture innovation in research and knowledge transfer.
11. To set targets and monitor performance of research and knowledge transfer activity across the Faculty. Prepare for internal and external evaluation, in particular for the Research Excellence Framework (REF) and the Knowledge Exchange Framework (KEF).
12. To champion the research and knowledge transfer activities of the Faculty beyond the University, benchmark relevance and performance against peer institutions, and actively seek new external opportunities and collaborations.
13. To promote and facilitate new research and knowledge transfer funding opportunities with external stakeholders and agencies, working closely with the Associate Dean for External Relations.
14. To work closely with the University RKTS (Research and Knowledge Transfer Support) office and Finance to ensure that research and knowledge transfer proposals are developed, peer reviewed and submitted in accordance with agreed procedures and timescales
15. To maintain a pipeline of research and knowledge transfer proposals from the staff of the Faculty for planning purpose at Faculty and University level.
16. To be responsible for the postgraduate research student lifecycle and experience through management of the Faculty Director of Postgraduate Research in relation to all postgraduate research student matters, from recruitment through to final examination.
17. To engender creative ways to ensure strong postgraduate research student engagement and maximise the student experience.

18. To liaise with the Dean and the Faculty senior management team to promote and nurture a vibrant link between research and student education at undergraduate and postgraduate level. Maintain and develop specific research links to MSc and industry education and CPD programmes.
19. To lead and chair the Faculty Research and Knowledge Transfer Committee and the Faculty Postgraduate Research Committee, and to develop linked working groups as appropriate to serve the needs of the Faculty.
20. To represent the Faculty on University committees and working groups related to research and knowledge transfer, most notably the University Research and Knowledge Transfer Committee.
21. To formulate Faculty responses to internal and external consultation papers relating to research, knowledge transfer, research degrees, research student engagement, national research excellence exercises and University and sector policy.
22. To ensure that research and knowledge transfer activities in the Faculty are undertaken in accordance with the governance, policy, regulatory and ethical frameworks of the University.
23. To oversee Tier 4 compliance through monitoring and reporting to the Faculty Management Committee.
24. To deliver the duties of this role in a manner that supports and promotes equality, diversity and inclusivity and to work within the spirit and detail of the law, including the Equality Act 2010 and the Human Rights Act 1998.
25. Any other duties commensurate with the grade and nature of the post.

This document outlines the duties required at the current time to indicate the level of responsibility. It is not a comprehensive or exhaustive list and may vary to include other reasonable requests as directed by University management which do not change the general character of the job or the level of responsibility entailed.



## Appendix J: Role descriptor for University REF Impact Lead (i.e. Chair of Impact Working Group)

### Role descriptor for University of Bradford REF Impact Lead

- Help the Faculty Impact Champions and REF Impact leads with the identification and assessment of potential impact case studies, including providing individual feedback for authors in collaboration with the University Impact Officer.
- Where potential case studies have been identified, work with case study authors, the University Impact Officer, UoA Impact leads, Faculty Impact Champions and other member of the Impact Working Group to produce high quality, well-evidenced case studies.
- Chair the University Impact Working group.
- Provide reports to REF Steering Group, in collaboration with the University Impact Officer, on the preparedness of the impact part of the REF submission at Unit of Assessment and Institutional level.
- Give advice to the REF Steering Group, Unit of Assessment Co-ordinators and Impact Leads on the strength of individual case studies and the final selection of studies to be included in the REF submission.
- Assist with impact training events, both general and specifically for prospective case study authors.

## Appendix K: Role descriptor for University Impact Officer

**Job title: Research Impact Officer**

**Reports to: Research and Innovation Performance Manager**

### **Main Purpose**

Research at the University of Bradford has always made valuable contributions to society and the economy. We aim to develop understanding of the world, in the hope of improving it. The strength of our research and its impact has been recognised through outstanding REF2014 results, where the University of Bradford came within the top 50 of UK Universities showing particular strength in impact.

To enable the production of more research of the highest-quality, the University must actively maximise the reach and significance of its ongoing and future projects. This involves researchers engaging partners (eventual research users and beneficiaries) throughout the research cycle, to inform and enhance the research processes leading to stronger/more relevant outcomes.

This post in the Research Support Team will take an institutional lead on achieving the University's strategic objective of maximising our research impact. This will involve working with researchers from across the institution, advising and supporting them in planning, delivering and demonstrating their research impact.

The main focus of the role will be to work in partnership with Research Policy and Performance Manager, Head of Research Support and University Senior Management to develop and implement policy, process and practice to monitor and plan research activity across the University.

### **Responsibilities**

Maintaining a strategic sector overview of the impact agenda, providing briefings and informing new institutional priorities and practices

- Raising awareness within the research community of the University of the value of and requirements for impact - developing an impact culture and encouraging engagement in impact activities
- Working with researchers to identify and extend their opportunities for impact, particularly supporting them in building relations with non-academic audiences and research users/beneficiaries
- Advising, providing practical support and training, and developing web resources/toolkits for researchers undertaking impact activities
- Research impact benchmarking - analysing the REF Impact Case Studies database and providing intelligence to inform future approaches
- Identifying, monitoring and supporting REF impact case studies, in collaboration with Associate Deans (RKT) and Unit of Assessment Co-ordinators and local impact champions, including evidence collection and narrative development

- Developing and maintaining institutional structures and systems to record, monitor and evaluate impact activities, with a particular focus on ongoing research performance exercises (internal REF Preparation Exercises), the REF2021 submission and future research assessment exercises
- Working with the research grant development team within RKTS to advise on the development of pathways to impact statements and impact proposals
- Working with External Affairs Directorate to raise the external profile of University of Bradford's research impact through engagement in sector-wide initiatives, national and international networks and events
- Wider university working, liaising with the Business Development Team, academics and those in support roles with an interest in research impact - creating a network, connecting stakeholders and facilitating the sharing of experiences
- Other responsibilities commensurate to the role, to support the Research Policy and Performance Manager and Head of Research Support and the operations of the wider Research Support Team, including on areas of research assessment and research policy.

## Appendix L: Role descriptor for Research and Innovation Performance Manager

**Job Title: Research and Innovation Performance Manager**

**Reports to: Associate Director (Research and Innovation)**

### **Main Purpose**

Responsible for a small team within the Research and Innovation Department, you will produce high quality research and innovation intelligence and management information across a range of data sets to monitor and evaluate the University's research and innovation performance. You will be responsible for internal and external reporting requirements for research and innovation (including REF, TEF and HEBCI) and you will inform decision making as part of the research strategy implementation and regular research planning cycle.

### **Main Duties and Responsibilities**

1. Line management responsibility for small team within RKTs, taking responsibility for the quality and professionalism of the team's work, managing workloads and undertaking the full range of management responsibilities such as staff recruitment, induction and development and performance management.
2. To plan and deliver research and innovation intelligence and management information, with responsibility for a wide range of data including: R&KT application and awards, R&KT income, publication data including bibliometric and Open Access (in partnership with colleagues in Library Services); academic and research staff data; impact and innovation metrics; PGR data; facilities data; HEFCE/Research England R&KT funding. This will involve liaison with a range of staff across the University providing data, analysis of data, investigation of discrepancies and development of analytic tools.
3. To support the implementation of the research strategy, including the tracking of research and innovation performance across the core elements of research outputs, income, impact, environment and commercialisation measures. Manage the development of internal reporting and data requirements in relation to research and innovation including regular research and innovation planning cycle.
4. To lead on the development and submission of the University mandatory return and external reporting relating to Research and Innovation activities e.g. Research Excellence Framework (REF), Higher education business and community interaction survey (HE-BCI), Knowledge Exchange Framework (KEF) and other funder returns.
5. Work with the University's Planning Team to monitor and evaluate the University's research and innovation performance relative to its competitors.
6. Working with the System Administrator to ensure the Research Information System (RIS) continues to develop in line with University requirement and to develop a suite of standardised reports to meet the needs of stakeholders.
7. To undertake such duties as may reasonably be requested and that are reasonable and commensurate with the nature and grade of the post.



## **Appendix M: Role descriptor for Dean's Representative to REF Steering Group**

### **Role descriptor for University REF Deans' Representative:**

#### **Main Purpose**

The REF SG Deans' Representative is responsible for providing faculty senior management input into the University's REF 2021 preparations.

#### **Main Duties & Responsibilities**

- Take an active role in discussions at all REF SG meetings.
- Identify and discuss any potential concerns regarding the development and implementation of REF procedures in faculties
- Sit on, and provide input to, any appropriate REF SG sub-committees, as requested by the Pro Vice Chancellor (Research & Knowledge Transfer).
- Work closely with the Pro Vice Chancellor (Research & Knowledge Transfer) and Academic REF Lead to ensure active and appropriate engagement from academic staff.
- Support the Pro Vice Chancellor (Research & Knowledge Transfer) in providing accurate and timely management information as required from faculties.

## Appendix N: Role descriptor for Early Career Researcher Representative to the REF Steering Group

### Role descriptor for University REF ECR Representative:

#### Main Purpose

The REF SG ECR Representative is responsible for representing the ECR community in the University's REF 2021 preparations.

#### Main Duties & Responsibilities

- Take an active role in discussions at all REF SG meetings.
- Identify and discuss any potential concerns regarding the development and implementation of REF procedures in faculties, particularly as they may affect the ECR community.
- Sit on, and provide input to, any appropriate REF SG sub-committees, as requested by the Pro Vice Chancellor (Research & Knowledge Transfer).
- Work closely with the Pro Vice Chancellor (Research & Knowledge Transfer) and Academic REF Lead to ensure active and appropriate engagement from ECR staff.

## Appendix O: Role descriptor for University REF Academic Lead

### Role descriptor for University REF Academic Lead:

#### Main Purpose

The Academic REF Lead is responsible for ensuring that all aspects of each of the UoAs' REF2021 submissions are fully covered, by leading directly on issues relating to outputs, data management and data quality, and overseeing the impact and environment activities.

#### Main Duties & Responsibilities

- Lead and manage the processes necessary to ensure the timely and accurate processing and submission of the University's REF2021 submission with regard to outputs, environment and impact.
- Lead the Outputs and Environment Working group to ensure these elements of the REF submission are optimised.
- Work closely with the Pro Vice Chancellor (Research & Knowledge Transfer) and Research and Innovation Services REF Lead to ensure data arising from REF Preparation Exercises are modelled in such a way as to identify the means to optimise the University's REF2021 submission and to develop the University Code of Practice.
- Work with colleagues in Research and Innovation Services, HR and Finance to ensure that the data underpinning the University's REF2021 decision-making processes and submission are robust and accurate.
- Support the Pro Vice Chancellor (Research & Knowledge Transfer) in providing accurate and timely management information as required.
- Deputise for the Pro Vice Chancellor (Research & Knowledge Transfer) with full autonomy in his absence.



## Appendix P: Role descriptor for PVC(RKT)

**Post Title: Pro-Vice-Chancellor (Research and Knowledge Transfer)**

**Responsible to: Deputy-Vice-Chancellor (Academic)**

### **Main Purpose of Post:**

The Pro-Vice-Chancellor (Research and Knowledge Transfer) is a senior leader within the University providing strategic direction and promoting a strong research culture to ensure the University meets its corporate goals.

He/she will be responsible for leading and developing the organisation's Research and Knowledge Transfer strategy.

To be directly accountable for developing and championing the vision and strategic direction of research and innovation within the University, maintaining and enhancing our quality, capacity and capability to deliver academic research and consequent impact.

To secure, maintain and optimise research partnerships and funding in line with the University's Research and Knowledge Transfer strategy.

### **Main Duties & Responsibilities:**

- Lead the ongoing development and promotion of a strong research culture across the University, championing and celebrating research both within and outside the University leading to increased engagement and continuous enhancement of the volume and quality of the research output.
- Stimulate and facilitate widespread engagement in research enterprise, business support and knowledge transfer activities and provide strategic oversight and direction to the development, dissemination and implementation of the University's research and knowledge transfer strategy.
- Lead the strategic development of research and knowledge transfer and ensure the implementation of integrated plans and targets which support the wider objectives of the University, and position the University to respond effectively to any future changes in research assessment and funding methodologies.
- Seek out and develop innovative ideas, superior quality and progressive practice to enhance the University's research capability.
- Provide visible leadership to the University as a whole and promote the benefits of developing the skills and potential of its people.
- Participate fully as a member of the University senior management team, providing input into strategic planning, policy development, implementation, review and monitoring.
- Take responsibility for decisions made within the University Executive Group, clearly communicating the decisions and business expectations to all relevant stakeholders.
- Build and develop effective relationships with and balance the needs of key stakeholders, i.e. students, staff, Council, statutory and voluntary sectors, industry and

commerce and our strategic partners ensuring effective links are maintained with employers, professions, local authorities and communities and government departments.

- Develop strong networks and promote the viability and reputation of the University nationally and internationally, proactively managing the overall reputation and credibility of research in particular.
- Be accountable for the financial management of research within parameters defined by the Vice-Chancellor and report on the financial performance and well-being of research to the Vice-Chancellor and Council.
- Work with the research and knowledge transfer support function to increase the RKT income targets to meet the University's corporate strategy.
- Stimulate cross-disciplinary research and cross institution initiatives across the university.
- Ensure the effective exploitation and optimise the commercialisation of the University's intellectual property.
- Work with the Pro-Vice-Chancellor (Learning, Teaching and Quality) to ensure that the University's commitment to research-led education maximises the benefit to the student learning experience of the University's research excellence.
- Ensure that the infrastructure and resources provided to support research are fit for purpose and support the maintenance and enhancement of research quality, and increases in research intensity.
- Work with the Deputy Vice-Chancellor and the Deans to develop and implement policies and processes that ensure that the University attracts, develops and retains researchers of the highest quality, and monitors and manages research performance effectively.
- Lead the development, maintenance and optimisation of national and international academic partnerships that include any elements of research or knowledge transfer activity.
- Represent the University nationally and internationally in relation to research issues, raising the profile and reputation of the University and influencing on behalf of the University national and international policies and agendas in this area.
- Undertake such other duties and responsibilities as may be required by the Vice-Chancellor, including representing him/ her on occasion. All members of the University Executive Group may from time to time be asked to relinquish particular responsibilities and accept new responsibilities at the discretion of the Vice Chancellor as the changing needs of the University may dictate.

### **Other Requirements**

As a senior post holder, the incumbent will demonstrate professionalism, technical competence, good interpersonal and networking skills and the ability to work independently as required.

The post holder will at all times operate within established University regulations and procedures.

S/he will need to demonstrate an understanding of the needs of a large, complex University.

The post holder will have a university-wide remit and may be required, subject to appropriate consultation, to work at any of the University's campuses or sites.

As a senior post holder you will be expected to work flexibly in discharging duties. The normal working week is defined in the contract of employment but because of the nature of the post, the post holder will be required to work flexibly and for such hours as are necessary to fulfil the responsibilities of the post.

## Appendix Q: Role descriptor for The Associate Director of Human Resources Operations

**Job Title: Associate Director of HR Operations**

**Reports to: Director of Human Resources, OD and Campus Services**

### **Main Purpose**

- Provide high quality senior leadership managing effective and efficient Operational HR, Employee Relations and HR Service Centre functions which deliver proactive and business focused HR advice and services
- Undertake line management responsibility for the Heads of and Senior/HR Business Partners including responsibility for setting individual objectives and driving optimal performance
- Co-ordinate resources across Heads of and Senior/HR Business Partners ensuring effective management of the Operational HR, Employee Relations and HR Service Centre workload and allocation of staff as required
- Ensure that all teams provide a consistent excellent service and strive to continually improve the service they offer through best in class systems and processes and high levels of customer care.
- To work with the Associate Director of HR Operations on delivering the People Strategy Delivery Plan including accountability to deliver key strategic projects.

Deputise for the Director of Human Resources, OD and Campus Services as required.

### **Main Duties and Responsibilities**

1. To support the Director of Human Resources, OD and Campus Services in the development and delivery of a high quality, professional HR function, with the competence and capacity to effectively deliver the University objectives
2. To deputise for the Director of Human Resources, OD and Campus Services across the full range of both HR and corporate responsibilities, including attendance as required, at corporate meetings
3. To assist the Director of Human Resources, OD and Campus Services with the annual business and service planning process for the HR and OD Directorate in line with corporate and organisational objectives
4. To assist the Director of Human Resources, OD and Campus Services to develop, implement and maintain a People Strategy and Implementation Plan for the University that supports the achievement of the University Vision and Strategy

5. Demonstrate a clear understanding of the strategic, operational, financial plans and People Strategy for the University, to lead the development of an annual People Plan and monitoring process for the University, which aligns with the University's business planning cycle
6. Work in partnership with the Senior HR and OD Business Partner to ensure that the University values are embedded in HR practise and culture within the University
7. To ensure HR systems and processes are developed to ensure high standards of governance are delivered
8. To work with other senior colleagues within the Human Resources and OD Directorate to identify and manage key workforce related risks that pose a potential challenge to the University
9. To manage pay and non-pay budget for areas of responsibility ensuring the best use of resources within budget limits. To identify and deliver annual efficiency savings
10. To provide leadership to managers and on workforce transformation ensuring consistency and transparency in line with best practice and local ownership and commitment to achieving successful outcomes within Faculties and Directorates
11. To have overall responsibility to monitor and introduce strategies to reduce sickness absence across the University, working closely with the the Occupational Health Service and Health, Safety and Wellbeing teams
12. Through the Head of Employee Relations be responsible for the review, maintenance and implementation of human resources policies, procedures and guidelines across the University, in partnership with trade union colleagues. Ensuring that these reflect national and local imperatives, and current employment legislation, and are integral to the culture and strategic direction of the University. Ensure regular and appropriate communication of policies across the University with particular emphasis on raising awareness of employees to any policy changes which may affect them
13. Through the Head of Professional Services and HR Service Centre ensure an effective and efficient transactional HR service is provided to all customers
14. Ensure that the University is compliant with human rights, equality and diversity legal obligations in terms of its workforce. Work in partnership with colleagues responsible for human rights, equality and diversity in Equality and Diversity to ensure an integrated approach and joint working where appropriate
15. Work with the Head of Employee Relations to negotiate and communicate effectively with trade unions when required and manage and facilitate the effective resolution of all employee relations issues across the University providing strategic and operation advice that balances the risk of litigation against service requirements
16. To provide Leadership, clear objectives, support and development to direct line reports and ensure this is being provided by them to the team members they are responsible for

17. To encourage team working and relationship building within the Human Resources and OD team and facilitate development, networking and team building events where necessary
18. Act as a coach and mentor for all direct line reports, to ensure that senior HR staff are fully supported to enhance their individual learning and development and therefore contribution to the University
19. Ensure the Human Resources and OD team has a good understanding of the People Strategy strategy for each Faculty/Directorate and fully understand the duties they need to undertake to support the delivery of the strategy and plans
20. Lead, and support on specific strategic and operational projects or particular pieces of work on behalf of the Director of Human Resources, OD and Campus Services, and take responsibility for the achievement of outcomes within required timescales.
21. Work with external stakeholders and partners on a wide range of issues in support of the People Strategy.
22. As a recognised source of expertise provide strategic level professional advice, influencing and supporting senior management decision making.
23. As a senior leader and professional, you will act as a role model demonstrating the University's values and behaviours.

This document outlines the duties required at the current time to indicate the level of responsibility. It is not a comprehensive or exhaustive list and may vary to include other reasonable requests as directed by University management which do not change the general character of the job or the level of responsibility entailed.

## Appendix R: Role descriptor for Unit of Assessment Co-ordinators

### Role descriptor for Unit of Assessment Co-ordinators

The REF Steering Group has approved the appointment of senior members of staff with substantial research experience to act as UoA Co-ordinators.

The Co-ordinators will be responsible for:

- Overseeing the development, and preparation of the draft submission for their UoA. This includes managing the output quality review processes, drafting UoA narratives (REF 5b), and verifying UoA-related datasets (for inclusion in REF 4a, b &c);
- Taking account of the guidelines of Research England and the REF Steering Group, including this Code of Practice, when preparing the draft UoA submission;
- Liaising with the relevant Dean and AD (RKT) during the preparation of the draft UoA submission, and reporting via their AD (RKT) to the REF Steering Group;
- Providing timely and auditable feedback to staff in relation to the quality of their outputs, as described in the Code of Practice;
- Considering amendments to the draft submission in the light of additional information provided by staff members regarding individual circumstances, as described in the Code of Practice.

## Appendix S(i): Role descriptor for Faculty Impact Champions

NB this role is wider than the REF2021 submission.

### Role descriptor for Faculty Impact Champions

#### *General:*

- Interpret and disseminate key research impact messages within the Faculty/Department, including REF guidance and funder requirements
- Set up mechanisms to help communicate and share best practice for impact in your area
- Make colleagues aware of opportunities offered by RKTS
- Play a role in developing Faculty-level strategy where required
- Identify development needs within the Faculty
- Support colleagues in using/accessing systems to support the recording of research impact
- Take the lead in identifying and reviewing research areas with potential for impact generation
- Make sure all researchers in your department know who you are and how to approach you

#### *REF related:*

- Know what your REF2014 case studies were... and what scope for improvement was noted
- Contribute to the identification of potential impact case studies
- Where potential case studies have been identified, work with case study authors and the Impact Working Group to produce high quality, well-evidenced case studies
- Contribute to the annual REF preparation exercises conducted by the University and Faculty
- Review progress on case studies against the timeline for REF
- Contribute to the impact portion of the Environment document as requested

This is the version approved by the REF Steering Group at the meeting of 5 February 2018, minute 34.2.1.



## Appendix S(ii): Role descriptor for Unit of Assessment Impact Leads

### Role descriptor for REF2021 Unit of Assessment Impact Leads

- Know what your REF2014 case studies were... and what scope for improvement was noted
- Contribute to the identification of potential impact case studies
- Where potential case studies have been identified, work with case study authors and the Impact Working Group to produce high quality, well-evidenced case studies
- Contribute to the annual REF preparation exercises conducted by the University
- Review progress on case studies against the timeline for REF
- Contribute to the impact portion of the Environment document as requested

## Appendix T: Terms of Reference for the University of Bradford Equality and Diversity Committee

### EQUALITY & DIVERSITY COMMITTEE

#### Terms of Reference and Membership 2018/19

##### Overview

To promote an inclusive, supportive, healthy and equitable working and learning environment that is consistent with the University Strategy and Objectives, to provide a forum for discussion of relevant policy and practice and to determine the University's approach.

##### Membership and Quorum:

##### Members

Name	Position
Professor S Congdon	Vice-Chancellor & Chair
<b>Vacant</b>	PVC Academic
Professor A Goldman	Deans' Representative
Professor U Archibong MBE	Professor of Diversity
Mr R Power	University Secretary, Director of Planning, Legal & Governance (or nominee)
Ms N Pierce	Academic Registrar (or nominee)
Ms J Marshall	Director of HR and OD
Mr S Duarri	Director of Estates and Facilities (or nominee)
Ms C Vickers	Faculty Business Managers Representative
Mr I Jeffers and Mr Y Alam	Co-Chairs of Race Equality Staff Forum
Mr P Ross	Co-Chair of N-Able Staff Network
Ms Elaine Brown	Chair of Gender Staff Forum
Ms Marian Hilditch & Mr Gary Lawson	Co-chairs of LGBT Forum
Mr A Howorth	University Chaplain
Ms S Ali OBE	Council Representative
Dr K Croucher	Academic Representative
Dr P Pimenidou	Union Representative
<b>Vacant</b>	Community Representative

<b>Representatives from the University of Bradford Union</b>	
Mr K Turner	Chief Executive Officer (or nominee)
Ms Samira Shabir	Sabbatical Officer - UBU

### In Attendance

<b>Name</b>	<b>Position</b>
Ms S Zeb	Equality and Diversity Advisor, Secretary
Mr Matthew Harvey	Equality and Diversity Co-ordinator

### Quorum Rules

There shall be a quorum when at least 50% of the members of the Committee (including vacant posts) are present. This shall be rounded up to the nearest whole number. In the absence of a quorum, no formal resolution may be passed, but informal recommendations for decisions may be made to be considered and ratified at a subsequent meeting.

### Terms of Reference

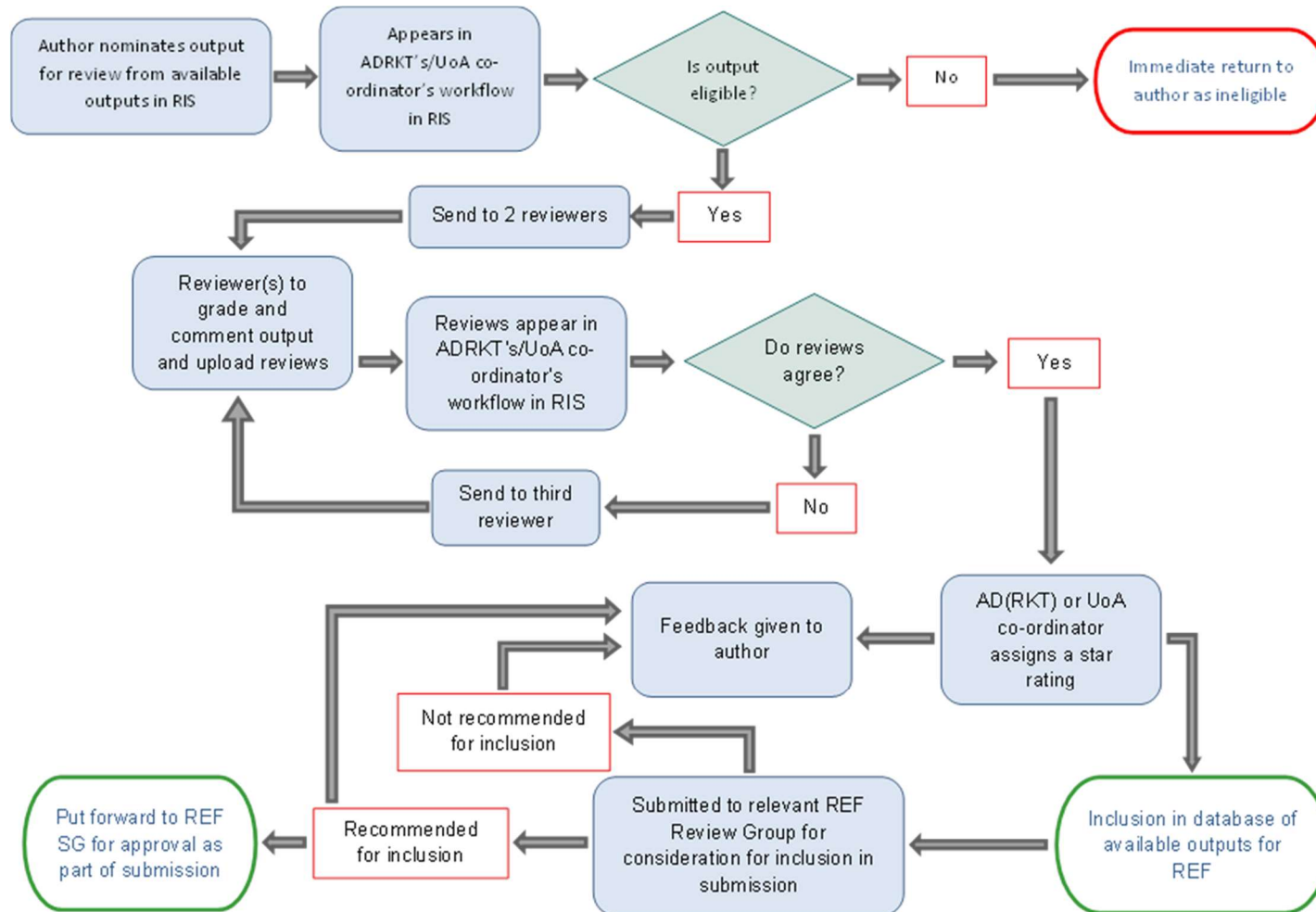
- To be responsible for the development, implementation, monitoring and review of policy and procedures and practice.
- To monitor statistics and data that evidence the University's compliance with its regulatory and legal duties as a public sector organisation, and to help to identify area of good practice.
- To oversee progress against University Strategy and Supporting Strategy equality and diversity key performance indicators and to advise Executive Board of any steps necessary to affect positive performance.
- To receive regular reports on student and staff demographic data and to receive accompanying relevant reports seeking to address any identifiable inequalities.
- To receive regular reports on equality and diversity matters impacting on the staff or student experience for example student attainment, equal pay.
- To monitor progress with achievement of equality and diversity kite marks and accreditations and to ensure effective action planning and implementation.
- To receive regular relevant reports from the Diversity Staff Forum and Staff Networks and from the Students' Union.
- To ensure that appropriate equality and diversity training and development is provided and accessible to all staff, students and others associated with the University.

## Meeting Dates

Date	Venue
Wednesday 18 September 2019 10:00-12:00pm	D2, Boardroom, Richmond
Thursday 27 February 2020 14:00-16:00pm	D2, Boardroom, Richmond
Thursday 21 May 2020 14:00-16:00pm	D2, Boardroom, Richmond
Thursday 9 July 2020 14:00-16:00pm	D2, Boardroom, Richmond

Committee serviced by: Soniya Zeb, Equality and Diversity Advisor, Tel: 01274 236049,  
Email: [s.zeb1@bradford.ac.uk](mailto:s.zeb1@bradford.ac.uk)

**Appendix U: Flow chart describing the University of Bradford process for the review and selection of outputs for REF2021**



## Appendix V: University of Bradford form for declaration of staff circumstances

### Declaration of Individual Staff Circumstances

This document is being sent to all Category A staff at the University of Bradford 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. For full details please refer to our [Code of Practice](#).

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;
  - circumstances that have resulted in an overall period of 46 months or more absence from research during the assessment period, due to equality-related circumstances (see below)
  - circumstances *equivalent* to 46 months or more absence from research due to equality-related circumstances
  - two or more qualifying periods of family-related leave.
- To recognise the effect that equality-related circumstances can have on an individual's ability to research productively, and to adjust expectations in terms of expected workload, support and 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
- Junior clinical academics who have not gained a Certificate of Completion of training by 31 July 2020
- Disability (including chronic conditions)
- Ill health, injury or mental health conditions
- Constraints relating to family leave that fall outside of the standard allowances
- Caring responsibilities
- Gender reassignment

If your ability to research productively during the assessment period has been constrained due to one or more of the following circumstances, you are requested to complete the attached form. Further information can be found paragraph 160 of the [Guidance on Submissions](#) (REF 2019/01) and our [Code of Practice](#).

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

As indicated in our Code of Practice completed forms will be submitted to a central email address, [circumstanceREF2021@bradford.ac.uk](mailto:circumstanceREF2021@bradford.ac.uk), managed by the Research and Innovation Performance Manager and a dedicated HR Partner to eliminate any perceived issues of confidence that may arise at the local level, and to ensure GDPR compliance.

Where staff need, or prefer, an alternative to electronic submission, a paper-based template will be provided for completion, on request. Completed paper forms will be posted to the Research and Innovation Performance Manager in an envelope labelled: Confidential: Declaration of Individual Staff Circumstances.

A University Individual Circumstances Panel (ICP) will be convened to assess submissions. The ICP will comprise

- The Pro Vice Chancellor (Research & Knowledge Transfer) (Chair).
- The Associate Director of HR Operations.
- The Strategic Advisor on Equality, Diversity and Inclusion.

The ICP will assess all submissions on an anonymous basis (i.e. the name of the academic(s) concerned will not be made available to the ICP). ICP assessments will be undertaken in line with REF 2021 guidance and associated tariff reductions.

The ICP will meet on an as-needs basis in order to assess submissions within two weeks and feedback will be provided to the academic(s) concerned in writing by the Research and Innovation Performance Manager five working days after the decision is reached.

The Research and Innovation Performance Manager will provide feedback (limited to academic name and reduction applied) to the relevant UoA co-ordinator in order that they can assess and understand any implications for the UoA submission and any possible need to request a reduced required number of outputs to be submitted in that UoA.

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.

Data submitted to UKRI will be kept confidential to the UKRI REF team, the UKRI REF Equality and Diversity Advisory Panel, and main panel chairs. All these bodies are subject to confidentiality arrangements. The UKRI 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). No specific interim deadlines will be enforced, allowing staff to take ample time to come to an informed decision as to whether they would like to make a submission. The REF Academic Lead and the Research and Innovation Performance Manager will both be available for confidential discussions regarding potential submissions or changes that should that be required.

A final deadline for submission of Individual Staff Circumstances cases will be set for February 2020 to provide sufficient time for assessment and any subsequent liaison with Research England.

## Declaration of Individual Staff Circumstances Form

Once completed, please email this form to [circumstancesREF2021@bradford.ac.uk](mailto:circumstancesREF2021@bradford.ac.uk).

**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
<b>Early Career Researcher (started career as an independent researcher on or after 1 August 2016).</b>  <i>Date you became an early career researcher.</i>	Click here to enter a date.
<b>Junior clinical academic who has not gained Certificate of completion of Training by 31 July 2020.</b>	Tick here <input type="checkbox"/>
<b>Career break or secondment outside of the HE sector.</b>  <i>Dates and durations in months.</i>	Click here to enter dates and durations.
<b>Family-related leave;</b> <ul style="list-style-type: none"><li>• statutory maternity leave</li><li>• statutory adoption leave</li><li>• Additional paternity or adoption leave or shared parental leave lasting for four months or more.</li></ul> <i>For each period of leave, state the nature of the leave taken and the dates and durations in months.</i>	Click here to enter dates and durations.
<b>Disability (including chronic conditions)</b>  <i>To include: Nature / name of condition, periods of absence from work, and periods at work when unable to research productively. Total duration in months.</i>	Click here to enter text.
<b>Mental health condition</b>  <i>To include: Nature / name of condition, periods of absence from work, and periods at work when</i>	Click here to enter text.



<i>unable to research productively. Total duration in months.</i>	
<p><b>Ill health or injury</b></p> <p><i>To include: Nature / name of condition, periods of absence from work, and periods at work when unable to research productively. Total duration in months.</i></p>	Click here to enter text.
<p><b>Constraints relating to family leave that fall outside of standard allowance</b></p> <p><i>To include: Type of leave taken and brief description of additional constraints, periods of absence from work, and periods at work when unable to research productively. Total duration in months.</i></p>	Click here to enter text.
<p><b>Caring responsibilities</b></p> <p><i>To include: Nature of responsibility, periods of absence from work, and periods at work when unable to research productively. Total duration in months.</i></p>	Click here to enter text.
<p><b>Gender reassignment</b></p> <p><i>To include: periods of absence from work, and periods at work when unable to research productively. Total duration in months.</i></p>	Click here to enter text.
<p><b>Any other exceptional reasons e.g. bereavement.</b></p> <p><i>To include: brief explanation of reason, periods of absence from work, and periods at work when unable to research productively. Total duration in months.</i></p>	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 University's Research and Innovation Performance Manager and a dedicated HR Partner. The University Individual Circumstances Panel (ICP) will assess submissions in an anonymous manner. See sections 73 to 75 of our CoP for full details.
- 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 the University's Research and Innovation Performance Manager and a HR partner to contact me to discuss my circumstances, and my requirements in relation this these.

I give my permission for the impact of the circumstances described in this form to be passed on to my line manager. Please note, if you do not give permission we may be unable to adjust expectations and put in place appropriate support for you.

I give my permission for the full details of this form to be passed on to my line manager. Please note, not giving permission will not preclude the University from providing appropriate support for you.

I would like to be contacted by:

Email  Insert email address

Phone  Insert contact telephone number