

## REF Code of Practice

### Part 1: Introduction:

This Code of Practice (CoP) sets out the process by which York St John University will submit to the Research Excellence Framework (REF) 2021. It links to the mission, values and vision of York St John in that, as a University, we strive to create an inclusive institution with a '*strong community spirit*'. We were founded as a teacher training college in 1841, born out of a socially conscious, ethical conviction: that sharing education is a route to a fairer world. It is within this ethos that this Code was drafted and is being applied. With a mission focused on fairness and a vision to inspire human brilliance people are at the heart of our University and our approach to research and REF2021.

Since REF2014 we have strengthened our research focus; one of our strategic pillars is Impactful Research, which strives to enhance the quality of life for people on and beyond our campus. To implement this strategy, we have created the senior academic leadership post of Pro Vice Chancellor for Research and Knowledge Exchange and set up our first dedicated central-level Research Office. In 2015 we gained Research Degree Awarding Powers (RDAP), which was a defining moment for the University and an important starting and benchmarking point for REF2021. The University has recently approved and launched its new strategy which runs up to 2026 (our 20th anniversary as a University). This reaffirms the University's commitment to 'promoting fairness and challenging prejudice'.

Since achieving RDAP we introduced the role of School Research Lead to emphasise our commitment within schools to research; we introduced the new position of Associate Professor; added the criterion of doctoral level qualification to all new academic appointments; organised for schools to receive directly an allocation of quality-related funding to increase their research profile. As a result of our endeavours to support research, our doctoral numbers have increased significantly from 8 in 2014 to 47 in 2019. The results of the Postgraduate Research Experience Survey in 2018 demonstrated an impressive trajectory: we were ranked 1st in the UK in overall experience and assessment and 2<sup>nd</sup> in retention.

York St John University has always been proud to stand up for social justice, and we intend to submit to REF2021 research outputs and impact case studies related to our work in this area. The core value of promoting fairness and challenging prejudice is expressed through our Strategy 2026. Underpinning the Strategy is the equality, diversity and human rights strategy (included at Annex 6), which has as a strategic theme to "make our working environment more accessible, inclusive and fair, by understanding and addressing barriers".

Each year Governing Body receives an annual report on progress with strategic equality objectives and the University's work to ensure a diverse and culturally rich community. The Code of Practice and our REF2021 submission will be reported on over the next 2 cycles of this annual review.

York St John is a Stonewall Global Diversity Champion and we have been in the UK Top 100 LGBT inclusive employers for three years in a row. We are a University of Sanctuary and hold a Social

Enterprise Gold Mark award. We are a Disability Confident Employer and we have signed the MINDFUL EMPLOYER charter. We offer specific leadership development opportunities to LGBT staff, women and Black and Minority Ethnic staff, as well as a programme of mentoring and coaching for women. In 2013, York St John introduced the role of Associate Professor as one way to achieve gender balance in academic leadership. The role is designed to provide development opportunities to become a Professor and to enhance the School's leadership capacity. We have since had four female Professors who went through this route, and in 2019, 58% of Associate Professors are female. However, this has not yet translated in a higher female representation amongst Professors. We have initiated a robust action plan so that by 2026 we will have reduced the median gender pay gap to below 10%.

Our Equality, Diversity and Human Rights Policy Statement sets out the University's commitment to producing, implementing, reviewing and monitoring policies which promote equality, diversity and human rights, and to sustaining an environment which is free from all forms of unfair treatment, discrimination and harassment for all those who study, work and engage with the institution. In addition to the protected characteristics (age, disability, marital or civil partnership status, gender identity, pregnancy and maternity, race, religion or belief, sex/gender, sexual orientation), the policy offers protection against discrimination based on carer responsibilities, class, trade union activity or any other category.

Our Dignity at Work Policy and procedures sets out the rights and responsibilities of our staff to act with respect and consideration to others at work. The Dignity at Work Policy and Procedure (Annex 7) sets out the way in which the University will deal with any concerns or complaints of harassment, bullying or inappropriate behaviour raised by members of staff. It is the policy of the University to seek to make reasonable adjustments, providing the necessary support and assistance in order to retain the skills, expertise and experience of disabled employees and enable them to continue at work. Our policy for disabled staff sets out process for reasonable adjustments (Support for Disabled Staff Policy - Annex 8). Employment regulations further offer protection against discrimination on the basis of contract (part-time/fixed term).

To ensure compliance to relevant legislation and to strengthen our work on equality and diversity, the University has established an office of the University Secretary. This is headed by the University Secretary and posts within it include an Equality and Diversity Adviser (who advised on this CoP) and a Legal Adviser.

### **The Principles**

York St John University is committed to the principles underpinning REF2021. These are: transparency, consistency, accountability, inclusivity and communication. Our Code of Practice aspires to comply with both the letter and spirit of our Equality, Diversity and Human Rights policy. It requires us to 'promote equality, diversity and human rights and ensure an environment which is free from all forms of unfair treatment, discrimination and harassment'.

#### ***Transparency:***

This Code makes clear the process by which we:

- i) identify colleagues with a significant responsibility for research (SRR);
- ii) select our Units of Assessment (UoA) and;
- iii) select outputs for submission to the REF.

To ensure maximum transparency this Code of Practice was developed through a wide-ranging consultation with our academic community. It has been publicised on the staff intranet and

through our all-staff newsletter, Campus Connections. All staff on academic contracts will be e-mailed the links to the Code, in addition a hard copy will be posted to staff who are absent at the time of distribution. Academic staff starting after the date of publication will be provided with the Code as part of their induction. In addition, the homepage of the Research Office includes a REF site with links to training on the REF website and further relevant information. Staff were also presented the opportunity to talk to members of the Executive Board at open meetings following Board meetings and/or the chance to talk to the VC at her regular open-door sessions or through the academic round tables which she hosts. We also held specific REF town hall meetings -with an emphasis on equality and diversity issues; held REF drop-in sessions on several dates at different times of day, held an open sandpit event and conducted a survey to collect staff input. These meetings were held over the course of May 2019, prior to submission of the Code.

***Consistency:***

To ensure fairness, the policy for identifying staff will be consistently applied across the University and the Code of Practice implemented uniformly. The relatively small size of the University and the work of the new Research Office, for central REF support, facilitate this approach, as does the new role of Pro Vice Chancellor for Research and Knowledge Exchange. Training for all staff involved in REF2021 will be provided from the selection of staff to outputs in order to contribute to a consistent application of the process.

***Accountability:***

Ultimate accountability for the REF process rests with the PVC for Research and Knowledge Exchange, who sits on both the University's Executive and Academic Boards and who chairs Research Committee and the REF2021 Sub-committee. The process for identifying those with significant responsibility rests with Research Committee advised by its REF2021 Sub-committee. The decision-making process is described in further detail below in Part 2, Figure 2 "Staff Selection: Decision-making". All those involved in the decision-making process will be held to account by Academic Board, our highest academic authority, which is chaired by the Vice Chancellor with representation from all Heads of School, responsible for the management of each individual school.

***Inclusivity:***

The REF2014 Strategy Group has been replaced by a REF2021 Sub-committee which has been broadened, and which itself is more inclusive than the 2014 group. It includes all of the Unit of Assessment Leads, the Equality and Diversity Adviser, as well as two Heads of School and three School Research Leads with prior REF experience. With 8 women and 14 men, we are mindful of the fact that there is a gender imbalance on this committee, and we will mitigate this imbalance through our suite of training for the team. Furthermore, the REFSC is chaired by a man but deputy chaired by a woman to strengthen the gender balance within the leadership. The balance of our Impact Case Study Leads is currently 10 women and 15 men, but we have not completed the selection process for all case studies at this moment. Both the Chair and Deputy Chair of our Research Degrees Sub-committee (RDSC) are women. Inclusivity was also achieved by a novel approach to drafting the final version of this CoP. After the REF Sub-committee had produced a complete draft, an open sandpit event was held in May 2019 to draft the final version. This insured that whilst accountability rested with those described above, that our whole academic community had an opportunity to help write the Code you are reading.

***Communication:***

Communication has been led by and conducted through our new Research Office which was established in the Autumn of 2018. The central pillar of our communication strategy are our Research Leads. The University is structured around several academic schools each of which has a

Research Lead who reports directly to the Head of School and who sits on both School Management Teams and Research Committee. The job description for School Research Leads is included in Annex 3. In addition to Research Leads, each Unit of Assessment has a Lead which helps ensure good communication when a UoA crosses School boundaries.

In addition, communication was conducted through all-academic staff email, a survey, town hall meetings on 8<sup>th</sup> and 9<sup>th</sup> May 2019 (to talk staff through the code and invite comment), a Code of Practice sandpit event on 15<sup>th</sup> May (an interactive event, where staff came to review the comments received so far and to go through the Code displayed on screen), REF Drop-in sessions throughout May (hosted by the Research Office), staff intranet, internet, Twitter, Committees and School Management Groups. We wrote also to all those colleagues who were on parental leave, research leave, sickness leave and secondment.

We had one consultation window in early May, which we closed and incorporated comments from the academic community before re-opening another short window so staff could see the comments and respond further.

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

### **Codes should address the following:**

The University is not submitting 100 per cent of eligible staff because many of our staff on teaching and research contracts focus on scholarship and/or on research not as defined by the REF. In addition, many of our academic colleagues dedicate their 'non-teaching' time to supervising students on placements in schools (education) and in hospitals (health) and/or to public engagement (we have recently applied for the National Co-ordinating Centre for Public Engagement NCCPE watermark). This staffing profile is something we share with other universities in the Cathedrals Group, to which we belong, and all of whom we understand are not submitting 100% of academic staff.

YSJU is a member of the Cathedrals Group. This is a network of 15 Universities, united by a foundation of faith-informed ethos and a commitment to the delivery of quality education. In considering how to identify staff with a significant responsibility for research (SRR), we discussed the issues raised with our sister institutions in the Cathedrals Group. This was achieved through the Cathedrals Group's Research Sub-committee. Through this dialogue YSJU reflected upon -

- i) the importance of acting in the spirit of Stern;
- ii) that one methodology for identifying those with SRR would not match the context of all Cathedrals Group members, and;
- iii) that our approach should be forward-looking.

Therefore, whilst we have adopted the approach to SRR detailed below, we recognise the legitimacy of the other approaches seen across the Cathedrals Group.

### **Criteria**

#### ***Criteria used for identifying staff with significant responsibility for research:***

The University considered a number of methods of identifying those with SRR before settling on the option described here. We selected this option because, not only is it fair, but also because it is simple to understand and to administer.

As a maturing University, with a developing research portfolio, we did not want our REF submission, and a complex approach to SRR, to dominate our research agenda. Therefore, we chose to use a criterion for identifying those with SRR which is transparent, consistent, accountable, and inclusive, but also one which did not place an undue administrative burden on the University.

For these reasons, as a community, we agreed that we would define having SRR at York St John University as being eligible to supervise a doctoral student. We maintain a register of eligible supervisors centrally, and those who are on this register on the census date of 31<sup>st</sup> July 2020 will be returned to REF. To be on the register of supervisors, academics normally should:

1. Hold a doctoral level qualification;
2. Not be registered for a research degree themselves;
3. Be able to satisfy Research Degrees Sub-committee (RDSC) that they have active participation in research;
4. Have the professional attributes required for research supervision;
5. Supervise research with enough regularity to maintain the currency of their expertise;
6. Be a member of the academic staff holding a minimum 0.2 FTE permanent appointment at York St John University or a minimum 0.2 fixed term contract with an expiry date at least six months after the submission deadline for the student's thesis;
7. Engage with internal and external opportunities for CPD in research supervision to maintain contemporary expertise;
8. For current staff who have yet to supervise postgraduate research they should have completed the required course on research degree supervision;
9. For new staff with a minimum of one successful doctoral completion attend a briefing on local supervisory and assessment practice by the RDSC Chair or their delegate.

The use of eligibility to supervise doctoral students makes sense to us because in the period between REF2014 and REF2021 we achieved Research Degree Awarding Powers (RDAP). The awarding of RDAP was the most significant moment in the University's development in research. An important part of our RDAP submission to the QAA was to grow the number of doctoral supervisors and to improve the quality of the supervision provided. Given the strategic significance of RDAP in the period covered by REF2021 it is a natural corollary that we should identify those staff who are eligible to supervise doctoral students as being those members of our community who have SRR. We have also stated that the criteria for SRR reflect eligibility to supervise i.e. not that the staff member is currently supervising. Our rationale being that we only received RDAP in 2015 and our PGR numbers are still relatively low; meaning that not everyone has had the chance to supervise yet. Furthermore, this was the settled position of our academic community and the academic leadership.

We will ensure that over the implementation period of this Code we will use the opportunity presented by our use of the register to enhance the support and training we give to our supervisors. In this way our preparation for REF 2021 is also helping us to focus on something

which is very important to our academic community i.e. the quality of the supervision we provide to our students.

To further understand the context and reasoning behind how we have defined SRR, readers might find it helpful to note that –

1. At York St John University a lot of the research and scholarly activity which colleagues engage in is linked to ‘the development of teaching materials that do not embody original research’ and are therefore not eligible for the REF.
2. In the terms and conditions of the contract of employment for an academic the phrase ‘research and scholarship’ is used throughout i.e. not research in the singular.
3. It is stated in the terms and conditions of our contract of employment for an academic that i) research and scholarship will normally take place ‘outside normal teaching weeks’ and ii) ‘your research and scholarship will be principally self-managed’.
4. Using these criteria for our definition of SRR has enabled us to significantly increase the number of staff we can return, when compared to all our previous submissions and in particular, REF2014.
5. To be as inclusive and supportive as possible towards our Early Career Researchers we asked line managers to make sure that they encourage ECRs to be involved in the training to become a supervisor as part of their professional development. So, even if the ECR has not supervised before they can get onto the central register and be mentored by an experienced supervisor. It is important to emphasise that the approach we adopt to supervision at YSJU is one of partnership between the supervisors and the creation of a supportive supervisory team.

In this respect, the writing of the REF Code of Practice has helped us to inform and refine our research strategy as well as to improve our focus on our process for identifying doctoral supervisors to such a degree that it will see improvements for the whole academic community with an emphasis on the postgraduate student experience. REF, for us, has been a two-way process, whereby it has helped us to improve our processes related to the supervision of doctoral students.

Once we had decided to use this criterion, we ran an Equality Impact Assessment to demonstrate our due regard to the public sector equality duty. We hoped to ensure that no groups were under-represented and to assess and address any negative or positive effects. The Equality Impact Assessment is shown below in Annex 9. For ease of reading and for those with visual impairments we have provided the Equality Impact Assessment in tabular format also in the annex.

We ran the EIA before the Code went out for consultation so that our community would have the opportunity to comment. We have considered and reflected carefully on the results and what actions we should take. It is important to note that we will conduct this EIA at least twice more before the REF2021 census date. This way we can review and respond to any changes in our register of those eligible to supervise doctoral students as a result of new academics joining our community and any unforeseen changes. Each time we conduct an EIA we will consider the impact of previous actions and what new actions we may need to take.

We were mindful that there was a risk with our approach, whereby some groups are more likely to be underrepresented in supervisor roles because of bias (for example, women and BAME people). In Annex X we present the data we analysed, and we did not find significant differences in the profile of 'eligible academics' as compared to 'all academics' for any protected characteristics. We therefore consider that the results of the first EIA demonstrate that our method of identifying those with SRR is equitable. However, we are not complacent and as a result of this assessment we will:

- a) communicate the importance of being on the register and ensure our academic community know the criteria and process required to be eligible to be a supervisor, and;
- b) run awareness and training events to help people meet the criteria for the register.

### Processes

#### ***Communication to staff:***

As described above, staff were informed of the Code of Practice via committee mechanisms as well as via email, a survey, town hall meetings, a sandpit event, REF Drop-in sessions, staff intranet, internet, Twitter. At York St John University we were determined not to let the decision of SRR be the defining moment in a researcher's career and we communicated this to both our Academic Board and Promotions Panel.

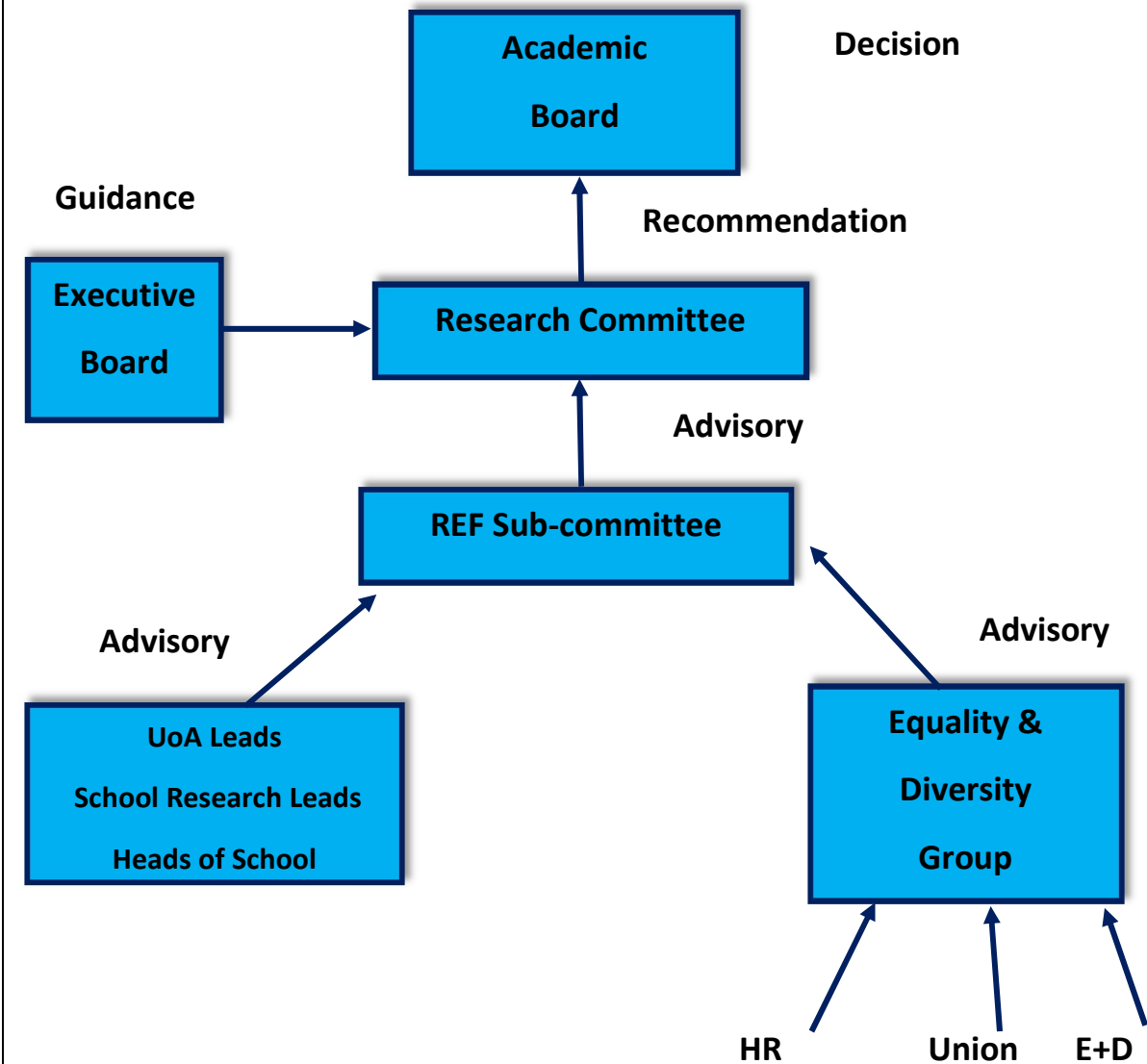
#### ***Codes of practice should describe stages of approval (diagrams, schematics and timelines might be included as an aid):***

Firstly, each school designated Unit of Assessment Leads (UoA Leads), tasked with advising the REF Sub-committee with initial staff selections based on the eligibility criteria. The REFSC will look at each proposal from each UoA, and with the advice of the Equality and Diversity Group<sup>1</sup>, ensure that the proposed selection of staff corresponds equitably and transparently with the selection for SRR. The REFSC will then feed back to the Research Committee, which is represented by each school via its School Research Lead, advising it as appropriate. Once the Research Committee is satisfied that all processes have been followed, with the highest scrutiny towards equality and diversity, checking that adequate and appropriate steps have been followed to incorporate an equality impact assessment at every stage, it will make a recommendation to the University Academic Board, chaired by the Vice Chancellor, for final decision (York St John University does not have a Senate). The University also has an Executive Board, this body will input guidance as necessary, though they will not have any advisory or decision-making capacity. This process is presented under Figure 2 below.

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<sup>1</sup> The Equality and Diversity Advisory Group will advise the decision-making body going forward.

**Figure 2: Staff Selection: Decision-making**



**How the processes to be followed have been consulted on and agreed with staff representative groups:** The PVC for Research and Knowledge Exchange met with UCU representatives to discuss and agree the use of eligibility for doctoral supervision. In addition, to foster inclusivity, meetings were held and a targeted invitation went out to members of the BAME, Disability, Women’s and LGBT+ networks to give their input.

**How the final agreed processes have been/are being communicated to staff, if different to that described in Part 1: Introduction:**  
As above.

**Procedures for appointing designated staff and committees/panels responsible for identifying staff with significant responsibility for research (distinguishing between those with advisory and those with decision-making roles):**



School Research Leads and Unit of Assessment Leads are appointed by Heads of School via an internal appointment process. Our REF Sub-committee was composed of School Research Leads and Heads of Schools, appointed based on their prior experience of REF and all Unit of Assessment Leads were included on the committee. The PVC for Research and Knowledge Exchange is appointed through a senior level recruitment process. The Code was drafted by the REFSC and submitted to the Research Committee for its meeting on 29<sup>th</sup> May. The final version was then recommended to Academic Board thereafter for final sign-off.

***Information provided should include role descriptions for individuals and terms of reference for committees/panels, modes of operation, and record-keeping procedures, as well as information about where these roles/committees/panels fit into the wider institutional management structure:***

A Unit of Assessment Lead Forum (as well as an Impact Case Study Forum) was created to allow a space for concerns and best practice to be shared. Feedback from the UoA Forum led us to change the structure we had in place and include all UoA Leads on the REF Sub-committee. REFSC is a sub-committee of the University's central level Research Committee, which reports directly to Academic Board, the final decision-making body responsible for our REF2021 submission. REFSC and the University Research Committee are minuted by the University Research Office and the minutes of this committee are routinely sent, along with a Chair's Report and an update on our strategic priorities to the Academic Board. This academic leadership structure ensures that the main committee responsible for REF (Academic Board) is kept apprised of all developments regularly.

- Terms of Reference for Research Committee (Annex 1)
- Terms of Reference for REFSC (Annex 2)
- Role Descriptor for School Research Leads (Annex 3)
- Role Descriptor for PVC Research and Knowledge Exchange (Annex 4)

***Details of training provided to individuals and committees involved in identifying staff, the timescale for delivery and content (including how it has been tailored to the REF):*** The Research Office, in collaboration with HR and the Equality and Diversity Adviser, are developing online training which will be based on AdvanceHE training. Staff on committees were instructed to familiarise themselves with the REF Webinars as training. All Heads of School and Unit of Assessment Leads were required to undergo unconscious bias training, provided by the Staff Development Team and all members of the REF Sub-committee will be required to attend REF-specific equality and diversity training provided by the Equality and Diversity Adviser and the Head of the Research Office. The training for unconscious bias aims to ensure that selectors are not prejudiced towards individuals based on their background, culture, personal experiences and how the interplay between these factors can drive shortcuts in how we make our decisions.

***How the appeals process has been communicated to staff:***

Details of the appeals process have been communicated to staff through this Code of Practice. Once our Code of Practice has been approved by the REF Team the process for appeals will be communicated to staff again in the same way as the Code of Practice: via committees, email, REF Drop-ins, intranet, internet, town hall meetings and School Management Groups.

***Details of the process, including how cases are submitted, eligible grounds for appeal:***

Cases for appeal will be submitted to an Appeals Group chaired by the University Secretary, whom we felt was best placed in terms of her responsibility for equality and diversity and her objectivity as regards the REF processes in general. The Appeals Group will be also represented by HR, and a colleague from a sister Cathedrals Group university, the Deputy Vice-Chancellor at Bishop

Grosseteste, as well as a senior independent academic with REF experience. Appeals will be submitted to the Research Office confidentially and the Research Office will support the administration of the Appeals Group to discuss each case.

The grounds for appeal will be:

1. For those members of staff who are not eligible to supervise doctoral students but nonetheless identified as having a significant responsibility for research, together with evidence to support this;
2. For those members of staff who were eligible to supervise doctoral students but had been conducting scholarship, rather than research as defined by REF.

***Details of those involved in hearing any appeals (demonstrating their independence from earlier decision processes), timescales and how decisions are being communicated to staff:***

As shown in the Terms of Reference for the REF Sub-committee and Research Committee, all members of the Appeals Group are not present and therefore have had no involvement in the drafting of the Code of Practice, nor in any of the selection processes.

***How an EIA has been used to inform the identification of staff and make final decisions:*** The EIA has been used twice on the staff identified for REF. It was conducted by the Head of Research Office in conjunction with HR. We used the University's Equality Analysis Toolkit which is used to make sure that no groups are negatively affected by the decisions we made. The same toolkit is used to look at academic promotions at the University to the Professoriate or from Lecturer to Senior Lecturer, and it is a tried and tested procedure which colleagues across the University are familiar with and trust, adding to the consistency and transparency of the REF process. The EIA was a comparison of the protected characteristics as they appeared across all academic staff and as they appeared on the list of staff identified with SRR.

**Part 3: Determining research independence**

As at the time of writing this Code of Practice the University does not have any staff on Research-Only contracts therefore this section does not apply to York St John University at the present moment. If in the future we employ a member of staff in this category we would refer to the Guidance for Submissions paragraphs 131-133.

**Part 4: Selection of outputs**

**Codes should address the following:**

***Details of procedures that have been developed to ensure the fair and transparent selection of outputs, including the HEI's approach to submitting outputs by former staff, including those made redundant:***

The REF Sub-committee will inform Units of Assessment on the procedure for the selection of outputs and provide a template for the recording of how selections are made. The Research Office will monitor the fair and transparent selection by attending the meetings of panels and ensuring thereby that our procedures are followed.

Each UoA will form a panel for output selection which includes the UoA Lead, the School Research Lead, Head of School (and where *relevant* to the UoA, a subject director) and an internal critical friend from another UoA (to ensure objectivity). For some schools, where UoA categories and our departmental structure do not align, the Head of School and School Research Lead and/or senior academic of professorial level, of that UoA will also be required to be present. If two UoAs wish to

submit the outputs of the same person, the REF Sub-committee will make the recommendation as to which UoA the outputs and staff will be included in.

The selection of outputs of former staff will be made by Units of Assessment and will be considered alongside those of current staff and will only be included if meeting the highest quality – in the same way as for current staff members. We will check with our HR records and Registry records to ensure that any former staff, whose outputs we wish to include, were on Category A contracts and would have been identified as having significant responsibility for research during their period of employment when the outputs reached the public domain. As a courtesy, we intend to contact former staff to inform them of our plans to include their outputs at York St John.

Staff who have been made redundant will not be put forward, unless their contracted employment was fulfilled, for example a researcher on a fixed term contract whose contract came to its end.

Staff put forward the outputs they deem to be their highest quality to their Unit of Assessment Lead and selection panel. The panel will benchmark the outputs via peer-review and citation assessment, where appropriate to the UoA. Outputs will be ranked. The ranked output submission will then be forwarded to the Research Office who will arrange for the REFSC to quality assure the selection, ensuring that the details laid out in this Code have been adhered to. REFSC and Research Committee will approve the selection and recommend to Academic Board that the selection should go forward to the REF submission.

The output selection panel will assess the merits of each output, benchmarking them on quality. The complete output selection will then be presented to the REF Sub-committee who will make the final representations of the selection to Academic Board, via Research Committee, for final approval. Records of the decisions will be maintained by the Research Office through minuting.

***Information should be provided about how processes for selecting outputs have been developed and the rationale for adopted methods:***

All members of staff with SRR will be returned with a minimum of one output. An average of 2.5 outputs per full time equivalent will be the expectation placed on units unless they have staff members with circumstances to reduce the expectation upon them (including any reduction to zero). York St John will not publicise which outputs have been selected. Outputs will be selected on the basis of their quality.

Our process for selecting outputs will be made in the first instance by self-assessment – staff will be asked to select their best outputs and provide their assessment of the star rating with a written justification for this rating. Secondly, selection will be made via benchmarking exercises through internal peer-review and external peer-review from a critical friend. Metrics may be used for those units where the REF sub-panels have included their use in the Guidance. Internal critical friends will be used where there is a conflict of interest e.g. the selection of outputs for UoA Leads.

***Codes of practice should describe stages of approval (diagrams, schematics and timelines might be included as an aid).***

An initial selection of outputs will be made by all UoAs to the Research Office. The Research Office, with HR, will run an EIA on the outputs and question under-representation should it appear. The approval process and the procedures for identifying staff and committees responsible for the selection of outputs is the same as for SRR and as demonstrated in Figure 2.

***Details of training provided to individuals and committees involved in the output selection process, the timescale for delivery and content (including how it has been tailored to the REF):***

Training for individuals and committees involved in output selection will be provided by the Research Office and Equality and Diversity Adviser and mirrors the training provided for those individuals responsible for identifying SRR. At the time of writing the training in unconscious bias with a focus on REF was being written for both online and face-to-face delivery.

***Procedures for taking into account staff whose circumstances have affected their ability to research productively throughout the period in relation to the unit's total output requirement:***

At York St John University we have tried to establish a process and culture for our staff to declare individual circumstances, whilst ensuring that no-one is *compelled* to do so. We recognise the benefit in looking beyond REF and creating a culture of support for staff with circumstances, we will aim, in all our procedures, to demonstrate that disclosure can have a positive effect in terms of accessing available support. A list of applicable staff circumstances is presented below in Annex 5.

In order to recognise the effect that equality-related circumstances can have on an individual's ability to conduct research, and to ensure that the expectations on them to contribute to the output pool are reduced fairly, YSJU HR department will contact all Category A staff (i.e. staff who are eligible for return to REF having been identified as having significant responsibility for research) in the autumn of 2019 asking them to complete the Staff Circumstances Declaration Form. The HR Department will conduct this in a safe and confidential manner and will only disclose circumstances to Units of Assessment with the staff member's consent. Our declaration form will include a section where the staff member can state that they wish only for this information to be considered for REF purposes; this form will require to be signed and dated.

The process for declaring staff circumstances will be done on a voluntary basis, which will be made clear in the initial communication to all Category A staff, and the Head of HR will only act on the circumstances declared through this process. No member of staff will be required to complete the template, even if they do have circumstances. We will be very clear that any declarations are fully non-mandatory. The template will be returned to the Head of HR by email and should be marked 'confidential'. As the Head of HR is responsible for managing the process, due to having the requisite expertise to deal with special circumstances, all declarations will be treated with the highest level of sensitivity and confidentiality.

Where staff members declare an equality-related or other special circumstance, the Head of HR will offer a conversation to determine the staff member's needs. Following this conversation HR will consult with the staff member's Head of School if the staff member so desires. HR will then disclose to the Research Office that a reduction has been requested and approved (maintaining confidentiality of the reasons for the circumstances). The Research Office, HR and an independent academic will work out how much of a reduction can be applied in line with the guidance in Annex L. The Research Office will inform the Unit of Assessment Lead that the staff member's expected contribution to the pool should be reduced and by what amount.

To ensure consistency of approach across the institution the Head of HR and the Head of the Research Office will manage the adjustment of expectations to the output pool where circumstances have been declared and approved. HR and the Research Office will work with the staff member and the Head of School to discuss a realistic contribution to the pool. We will work on the reductions as laid out in Annex L of the Guidance on Submissions; taking into account and documenting the rationale for those reductions requiring a judgment by the Institution. Each staff member will still be expected to submit a minimum of one output, unless there are grounds for

the removal of the minimum of one. If the staff member has given consent for the details to be revealed to their department, HR will work closely with the Line Manger to ensure that appropriate support is put in place for that individual. As well as reducing the contribution to the output pool, this may also involve consideration of workload adjustments to ensure that in future adequate time is allowed for the staff member to conduct research. Although there is no formal expectation of contribution, we will still inform UoA leads that an individual has had their expectations reduced, and UoA teams must be sensitive to the staff member's situation.

Where staff circumstances concern Early Career Researchers the Research Office may ask the individual to verify the dates of their ECR via a CV.

All circumstances declared to the Head of HR will be considered in line with the duty of care that HR have for all staff, and appropriate support will be *offered* to any staff members who make declarations requiring support.

***Procedures for taking into account the effect of circumstances that have had an exceptional effect on the ability of an individual staff member to research productively throughout the period so that they do not have the required minimum of one output:***

The procedure to remove the required minimum of one output will be the same as above; however, where the reduction to zero is to be applied the timeframes contained in Annex L will be consulted and the adjustment to the output pool appropriately applied. The PVC for Research and Knowledge Exchange has consulted with our Academic Board and Promotions Panel to ensure that anyone who does not have the required one output, but is returned as Category A staff, is not adversely affected professionally at York St John University.

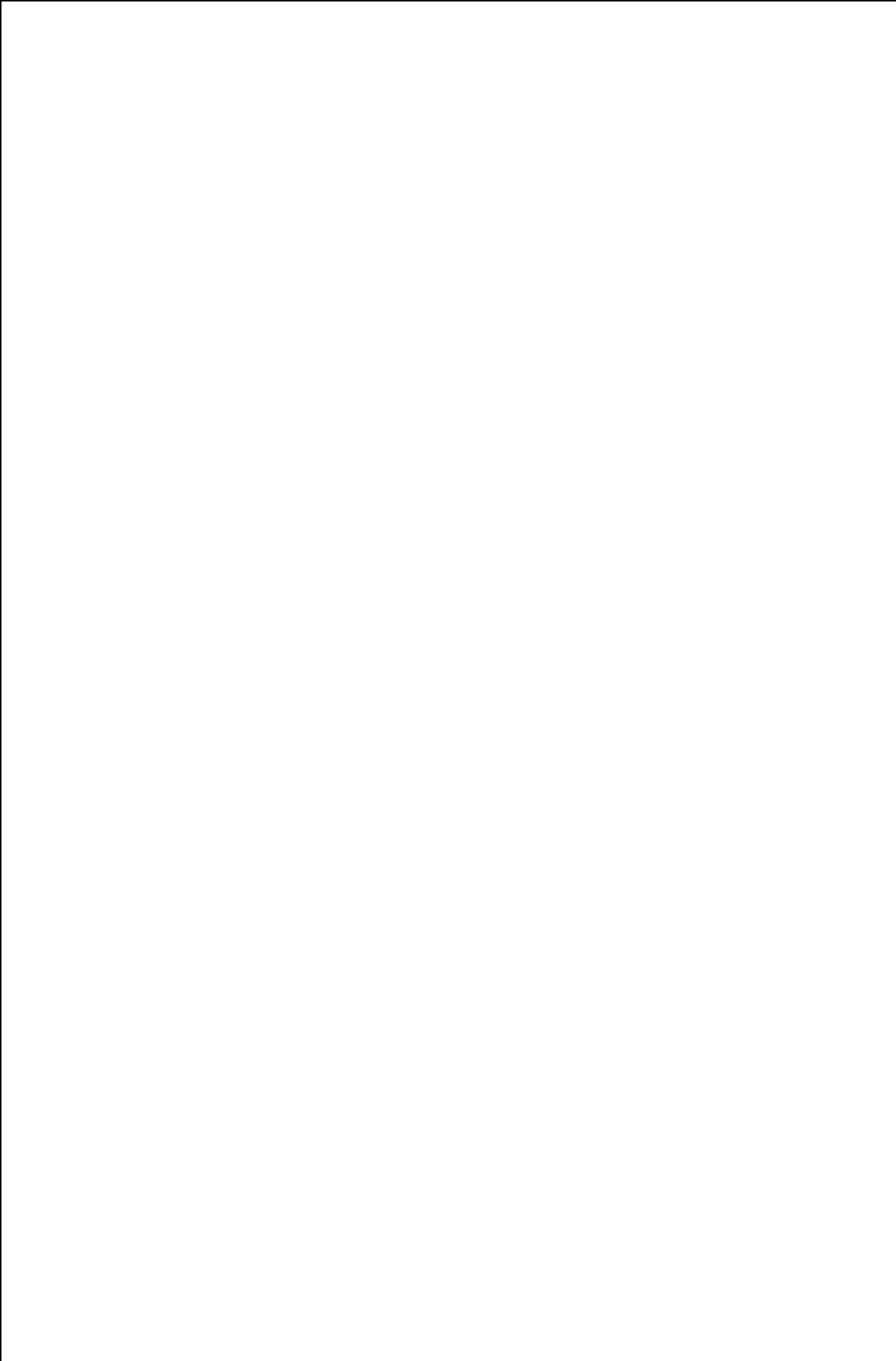
The University will only remove the requirement of one output where an individual has *no* outputs that can be entered and has applicable individual circumstances (shown at Annex 5).

***For both of the above cases, procedures for: – staff to declare voluntarily circumstances in a confidential manner – units to adjust expectations about staff contribution to the output pool, as appropriate:***

Staff will be asked to fill in the voluntary Staff Circumstances Declaration Form and this will be dealt with confidentially by HR. Where a reduction to the expected average contribution of 2.5 outputs per full time equivalent is to be reduced, HR will advise the Research Office who will communicate this to the Unit of Assessment Lead. If a Unit of Assessment has an exceptional and disproportionate level of individual circumstances, meaning that it cannot achieve the 2.5 output average, the Research Office and REFSC will determine whether an application to the Research England REF Team should be made to reduce the overall output pool (assuming that the UoA meets the criteria for such a reduction).

***How an EIA has been used to inform the final selection of outputs to be submitted:***

Once a preliminary selection of outputs has been received by the Research Office, the Research Office will run an EIA with the HR department to ensure that no groups are under-represented, and that the selection process has been non-discriminatory. Where under-representation exists the UoA will be asked to review its selection pool to redress the balance.



**Part 5: Appendices**

**1. Annex 1- Remit of Research Committee**

**Research Committee Terms of Reference 2018-19**

Academic Board and its sub-committees will conduct their business in a way that is consistent with, and reflects and promotes, the University’s Equality, Diversity and Human Rights Policy.

<b>Purpose</b>	Within the powers delegated by Academic Board, to be responsible for advising on research policy in the University and the monitoring and support of research activity.															
	<p><b>Constitution</b></p> <p><i>[Note: The Vice Chancellor is entitled to attend all University committees and is not therefore listed]</i></p> <table border="1" data-bbox="343 696 1372 1543"> <thead> <tr> <th data-bbox="343 696 1015 813"><b>Post</b></th> <th data-bbox="1015 696 1372 813"><b>Post Holder as at 19 Sept 18</b></th> </tr> </thead> <tbody> <tr> <td data-bbox="343 813 1015 853">Pro Vice Chancellor, Research &amp; Impact (Chair)</td> <td data-bbox="1015 813 1372 853">Prof Andy Smith</td> </tr> <tr> <td data-bbox="343 853 1015 938">Head of Research Office</td> <td data-bbox="1015 853 1372 938">Dr Elizabeth Goodwin-Andersson</td> </tr> <tr> <td data-bbox="343 938 1015 1330">School Research Leads</td> <td data-bbox="1015 938 1372 1330">Dr Vanessa Corby Prof Matthew Clarke Dr Alison Laver-Fawcett Prof Pauline Kollontai Prof Chris Hall Prof Helen Sauntson Prof Matthew Reason Dr Peter Watt Dr Stephen Gibson Dr Andrew Hill Prof Jeff Gold</td> </tr> <tr> <td data-bbox="343 1330 1015 1408">Chair/Deputy Chair University Research Ethics Sub-committee</td> <td data-bbox="1015 1330 1372 1408">Nathalie Noret</td> </tr> <tr> <td data-bbox="343 1408 1015 1458">One representative of the research degree students</td> <td data-bbox="1015 1408 1372 1458">Lorraine Paylor</td> </tr> <tr> <td data-bbox="343 1458 1015 1543">Co-opted member Information Learning Services nominee</td> <td data-bbox="1015 1458 1372 1543">Victoria Watt</td> </tr> </tbody> </table> <p><i>In attendance</i> The Committee Secretary – Research Officers from the Research Office, on rotation.</p> <p>The Committee will consider other individuals or officers to attend specific meetings as appropriate.</p>		<b>Post</b>	<b>Post Holder as at 19 Sept 18</b>	Pro Vice Chancellor, Research & Impact (Chair)	Prof Andy Smith	Head of Research Office	Dr Elizabeth Goodwin-Andersson	School Research Leads	Dr Vanessa Corby Prof Matthew Clarke Dr Alison Laver-Fawcett Prof Pauline Kollontai Prof Chris Hall Prof Helen Sauntson Prof Matthew Reason Dr Peter Watt Dr Stephen Gibson Dr Andrew Hill Prof Jeff Gold	Chair/Deputy Chair University Research Ethics Sub-committee	Nathalie Noret	One representative of the research degree students	Lorraine Paylor	Co-opted member Information Learning Services nominee	Victoria Watt
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Co-opted member Information Learning Services nominee	Victoria Watt															

	<b>Terms of Reference</b>
<b>To advise on</b>	<p><b>To advise Academic Board on:</b></p> <ul style="list-style-type: none"> <li>• All matters of policy and policy implementation relating to research.</li> </ul>
	<p><b>On behalf of Academic Board, to be responsible for:</b></p> <ul style="list-style-type: none"> <li>• Oversight of the University’s strategic plans for research.</li> <li>• Promoting the alignment of research plans with the University’s policies and monitoring their implementation.</li> <li>• Reviewing the continuation of institutes, centres and units.</li> <li>• Overseeing the preparation of the University’s submission to the Research Excellence Framework (REF).</li> <li>• The oversight of Research Integrity and operation of research ethics matters in compliance with University’s Ethical Framework.</li> </ul>
	<b>Delegated responsibilities:</b>
	<p><b>Quorum:</b> Half the listed membership plus one, including alternates but excluding co-opted members.</p> <p><b>Alternates:</b> In cases where members are unavailable, they may designate an appropriate alternate to attend in their place. Alternates to have full voting rights in any vote.</p> <p><b>Chair’s actions:</b> There are no routinely delegated powers to the Chair, but the Research Committee may delegate specified decision-making rights between meetings to the Chair. Any other urgent decisions must be circulated by e-mail to all members, with provision for e-mail or phone discussion, before being approved as a Chair’s Action. All Chair’s actions are to be recorded by the Minuting Secretary and reported (with the provision of access to any accompanying documentation) at the next meeting of the Research Committee.</p> <p><b>Criterion for co-opted member:</b> A member of staff with a significant role related to research within the University may be co-opted by a majority vote of the Committee.</p>
<b>Reporting</b>	<ul style="list-style-type: none"> <li>• To Academic Board (full minutes being provided)</li> <li>• To the Governing Body via Academic Board.</li> <li>• Annually to the University of Leeds (UoL) through the UoL Accreditation Meeting.</li> </ul>
<b>Executive Officer</b>	Head of Research Office – Dr Elizabeth Goodwin-Andersson
<b>Frequency of meetings</b>	At least four per year



## 2. Annex 2 - Remit of REFSC

### REF Sub-committee (REFSC) Terms of Reference

Academic Board and its sub-committees will conduct their business in a way that is consistent with, and reflects and promotes, the University's Equality, Diversity and Human Rights Policy.

<b>Purpose</b>	<ul style="list-style-type: none"> <li>To receive issues from UoA Leads and Impact Case Study Leads and propose solutions through consultation with colleagues and RComm members.</li> <li>To propose solutions to the Library regarding the repository and other systems (Finance, HR, SITS) used to collect REF data.</li> <li>REFSC must identify those who have a significant responsibility for research via fair and transparently means and select those UoAs to be submitted.</li> <li>Oversee the drafting of the University Code of Practice and environmental statement.</li> </ul> <p><b>Constitution</b></p> <p><i>[Note: the Vice Chancellor is entitled to attend all University committees and is not therefore listed]</i></p> <table border="1"> <thead> <tr> <th>Post</th> <th>Post Holder as at 19 Sept 18</th> </tr> </thead> <tbody> <tr> <td>Pro Vice Chancellor, Research &amp; Impact (Chair)</td> <td>Andy Smith</td> </tr> <tr> <td>Head of Research Office</td> <td>Elizabeth Goodwin-Andersson</td> </tr> <tr> <td>School Research Leads</td> <td>Vanessa Corby Matthew Reason Stephen Gibson</td> </tr> <tr> <td>Heads of School</td> <td>Dean Garrett Rachel Wicaksono</td> </tr> <tr> <td>Equality and Diversity Adviser</td> <td>Marije Davidson</td> </tr> <tr> <td>Unit of Assessment Leads</td> <td>Abi Curtis; Alison Laver Fawcett; Andrew Hill; Andrew Village; Arved Schwendel; Christopher Price; Justin McKeown; Keith McDonald; Matthew Clarke; Peter Watt; Sarah Lawson Welsh; Steve Rawle</td> </tr> </tbody> </table>	Post	Post Holder as at 19 Sept 18	Pro Vice Chancellor, Research & Impact (Chair)	Andy Smith	Head of Research Office	Elizabeth Goodwin-Andersson	School Research Leads	Vanessa Corby Matthew Reason Stephen Gibson	Heads of School	Dean Garrett Rachel Wicaksono	Equality and Diversity Adviser	Marije Davidson	Unit of Assessment Leads	Abi Curtis; Alison Laver Fawcett; Andrew Hill; Andrew Village; Arved Schwendel; Christopher Price; Justin McKeown; Keith McDonald; Matthew Clarke; Peter Watt; Sarah Lawson Welsh; Steve Rawle
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	<p><i>In attendance</i></p> <p>The Committee Secretary – Research Officers from the Research Office, on rotation.</p> <p>The Committee will consider other individuals or officers to attend specific meetings as appropriate.</p>														

	<b>Terms of Reference</b>
<b>To advise on</b>	<p><b>To advise Research Committee on:</b></p> <ul style="list-style-type: none"> <li>All matters of policy and policy implementation relating to REF2021.</li> </ul>
	<p><b>On behalf of Research Committee, to be responsible for:</b></p> <ul style="list-style-type: none"> <li>Oversight of the University's operational plans for REF2021.</li> </ul>
	<b>Delegated responsibilities: n/a</b>
<b>Rules</b>	<p><b>Quorum:</b> Half the listed membership plus one, including alternates but excluding co-opted members.</p> <p><b>Alternates:</b> In cases where members are unavailable, they may designate an appropriate alternate to attend in their place. Alternates to have full voting rights in any vote.</p> <p><b>Chair's actions:</b> There are no routinely delegated powers to the Chair, but the Research Committee may delegate specified decision-making rights between meetings to the REFSC. Any other urgent decisions must be circulated by e-mail to all members, with provision for e-mail or phone discussion, before being approved as a Chair's Action. All Chair's actions are to be recorded by the Minuting Secretary and reported (with the provision of access to any accompanying documentation) at the next meeting of the REFSC.</p> <p><b>Criterion for co-opted member:</b> A member of staff with a significant role related to research within the University may be co-opted by a majority vote of the Committee.</p>
<b>Reports</b>	<ul style="list-style-type: none"> <li>To Research Committee (full minutes being provided)</li> </ul>
<b>Executive Officer</b>	Head of Research Office – Dr Elizabeth Goodwin-Andersson
<b>Frequency of meetings</b>	Monthly

### 3. Annex 3 - Role description of School Research Leads

A School Research Lead is responsible for providing research leadership to support the Head of School and Deputy Vice Chancellor: Academic in meeting the research objectives of the University Strategic Plan. They will be appointed to the role by the Deputy Vice Chancellor: Academic on the advice of the Head of School. They will have oversight of postgraduate research student recruitment and progression, take a lead role on the development and implementation of University research plans and provide leadership and support for REF submissions. The School Research Leads will usually be Professors or Associate Professors, but they do not necessarily need to be members of the School within which they are the Research Lead. They should:

- hold a doctoral level degree;
- have supervised at least one doctoral candidate through to successful completion;
- hold senior supervisor status;
- hold an appointment on an academic career pathway at least at Senior Lecturer level;

Specific roles:

Delegation and sharing of responsibilities

- Responsibilities may be delegated and/or shared subject to approval by the Deputy Vice Chancellor: Academic and in consultation with the relevant Head of School.
- In addition to this role, School Research Leads will undertake academic duties within their School/Directorate commensurate with their academic grade and under the line management of the Head of School/Director.

Within the University:

- Serve on, or Chair, University committee(s) as required
- Work with the Deputy Vice Chancellor: Academic to provide leadership and take responsibility for research development within the University
- Provide support and advice to the Academic Development Directorate
- Support the Deputy Vice Chancellor: Academic in meeting the research objectives of the Academic strategy
- Take a lead role within the Professoriate in supporting University-wide developments in research as required by the Deputy Vice Chancellor: Academic
- Work with the Pro Dean for Quality on Quality Assurance processes relating to the management of postgraduate research students
- Oversee and facilitate bids for research funding in support of the Schools and in collaboration with the Academic Development Directorate
- Take a lead role in preparing for REF submission
- Oversee the recruitment and admission of postgraduate research students, allocation of scholarships and approval of supervisory teams-
- ensuring that appropriate expertise for supervision and adequate resources for the proper conduct of the research are available, and that any potential ethical issues arising from the application are considered
- Provide postgraduate research students' pastoral care (including provision of an annual pastoral meeting for any student taking up the offer of this and consulting with

postgraduate research students within the school about matters of research student satisfaction with supervision and support (e.g. research environment, resources, facilities, opportunities)). In any case where the School Research Lead is involved in the research student's supervision, pastoral care must be delegated to another appropriately qualified individual.

- Identifying to the Head of School and the supervisory teams any matters of concern raised by postgraduate research students, or any issues which may have wider university policy or procedural implications. If issues cannot be satisfactorily resolved through initial dialogue and/or implementation of YSJU processes for managing student concerns research students should be encouraged to make use of the University Complaints Procedure, where appropriate (published on the University website).
- Ensure on-going support and mentoring to supervisors and potential supervisors of PGR students
- Provide advice to the Head of School on staff research development needs e.g. for PDRs, promotion, PGR supervision, academic leave
- Oversee the processes for reviewing and assessing postgraduate research students, working with the University Research Administrators and Registry as required
- Oversee data collection in relation to research activities and academic performance (e.g. via APS, RaY and other forms of online reporting)

## 4. Annex 4 – Job Description for PVC Research and Knowledge Exchange



### JOB DESCRIPTION

<b>POST:</b>	Pro Vice Chancellor (Research & Knowledge Exchange)
<b>DEPARTMENT</b>	Vice Chancellor's Office
<b>HOURS:</b>	Full-time – those hours which are reasonably required for the fulfilment of duties
<b>REPORTING TO:</b>	Vice Chancellor
<b>MANAGEMENT RESPONSIBILITY:</b>	Research Office staff Director of Business Development

### LEADERSHIP OF YORK ST JOHN UNIVERSITY:

As a member of the Executive Board:

- Create an environment in which the York St John ethos and values are celebrated and brought to life in the way in which people inspire others, embrace new thinking and push the boundaries of their potential, excelling in their endeavours.
- Work collaboratively with colleagues on the Executive Board, with a genuine spirit of collective endeavour with a relentless focus on the sustainability of York St John as a unique, values-driven, successful University.
- Provide strategic and inspirational leadership to deliver Strategy 2026, with personal accountability as delegated by the Vice Chancellor. Contribute to longer term horizon scanning so that the University is prepared for future tomorrows.
- Deputise for the Vice Chancellor as and when required.

As a leader of people, ensure excellent management of finances and people across all direct reports with clear focus on cost control; personal wellbeing; equality, diversity and inclusion. Hold people to account for delivery and instil a culture of robust yet supportive performance management in

which organisational values are the bedrock of how people behave. Ensure communications between the Executive Board and the broader University community improve levels of employee engagement and connection to the core purpose of York St John; raising the profile of academic reputation and student experience.

#### **JOB PURPOSE:**

As a member of the University's Executive Board, fulfil a key role in the strategic leadership and management of the University.

Specifically,

- Be accountable for developing and delivering the University's ambitious strategy relating to research and knowledge exchange.
- Be accountable for successful submissions to the Research Excellence Framework (REF)
- Be accountable for the University's implementation of the Knowledge Exchange Framework (KEF) including working with business, public and third sector, local growth and regeneration and public and community engagement.
- Be accountable for income generation targets through the University's Business Development function.

#### **DUTIES AND RESPONSIBILITIES:**

1. Provide strategic and inspirational academic leadership and direction with a specific focus on research and knowledge exchange.
2. Accountable for the development and implementation of the University's Research Strategy and Impactful Research strategic objective promoting and enabling a step change in the quality, volume and impact of the research carried out at York St John. Through the strategy, oversee the expansion of PGR Studentships and the building of a vibrant PGR community in both York and London campuses.
3. Provide expert academic leadership to all staff engaged in research and promote a culture of linking research and teaching.
4. Lead on survey submission and learning for measures relating to Postgraduate Research such as the Postgraduate Research Experience Survey.
5. Monitor and review the University's research performance and lead on the preparation of the University's response and submission to the Research Excellence Framework.
6. Accountable for the University's implementation of the Knowledge Exchange Framework including i) research partnerships; ii) working with business; iii) working with public and the third sector; iv) local growth and regeneration v) public and community engagement.
7. Accountable for growing research income.

8. Accountable for the University's income generation targets through the business development function.
9. Take the executive lead for the delivery of the Mental Health Hospital Game Changer project.
10. Develop a number of University research themes, including social justice, around which the University will focus academic endeavour and allocate resources.
11. Lead on University strategies and strategic projects as relevant to the role to enhance University performance and drive institutional success.
12. Demonstrate a comprehensive understanding of both the nature of academic rigour and how to enhance it across the University.
13. In representing the University, foster external links and partnerships, and promote the achievements, opportunities and profile of the University to relevant external communities and groups in order to improve reputation and standing.
14. At Executive Board level, lead on knowledge exchange, co-creating new opportunities and impact with communities and key stakeholders.
15. Keep abreast of Higher Education policy development, briefing the Vice Chancellor and other senior colleagues as necessary on significant matters affecting the operation and function of the University in relation to research and knowledge exchange.
16. Respond to issues and incidents likely to impinge on the University's reputation and activities in a manner that manages and minimises risk to the University.
17. Demonstrate a sustained contribution to education, research and professional practice within their own discipline.

plus

- Any other duties as may reasonably be required.
- Ensure that the highest standards of professional performance are maintained.
- Promote equality and diversity, to include a commitment to the Internationalisation Strategy of the University.
- Ensure compliance with relevant legislation and statutory codes of practice.
- Participate in the arrangements for performance review and appraisal.
- Ensure that professional skills are regularly updated through participation in training and development activities and CPD.
- Ensure all University policies are implemented within the remit of this post.

## 5. Annex 5 – Applicable staff circumstances

1. Qualifying as an Early Career Researcher
2. Absence from work due to secondments or career breaks outside the HE sector.
3. Qualifying periods of family-related leave.
4. Other circumstances that apply in UOAs 1–6, as defined in paragraphs [162 to 163](#) of the Guidance on Submissions.
5. Circumstances with an equivalent effect to absence, that require a judgement about the appropriate reduction in outputs, which are:
  - Disability: this is defined in the ‘Guidance on codes of practice’, Table 1 under ‘Disability’.
  - Ill health, injury, or mental health conditions.
  - Constraints relating to pregnancy, maternity, paternity, adoption or childcare that fall outside of – or justify the reduction of further outputs in addition to – the allowances set out in Annex L.
  - Other caring responsibilities (such as caring for an elderly or disabled family member).
  - Gender reassignment.
  - Other circumstances relating to the protected characteristics listed in the ‘Guidance on codes of practice’, Table 1, or relating to activities protected by employment legislation.



## 6. Annex 6 – Equality, Diversity and Human Rights Strategy

### 1. Statement

1.1 York St John University is dedicated to providing an inclusive, accessible and welcoming environment which supports a diverse and culturally rich community. We will inspire our students and staff to value equality, diversity and inclusion and we aim to ensure that all of our students are given the opportunity to reach their full potential.

1.2. The University is committed to develop, implement, review and monitor policies which promote equality, diversity and human rights and ensure an environment which is free from all forms of unfair treatment, discrimination and harassment for all those who study, work and engage with the institution.

1.3 The University believes that no one should receive less favourable treatment while working or studying within the institution on the basis of, age, carer responsibilities, disability, class, marital or civil partnership status, gender identity, pregnancy and maternity, race, religion or belief, sex, sexual orientation, trade union activity, criminal background or any other category where discrimination cannot be reasonably justified<sup>2</sup>.

1.4 In offering a wide range of development opportunities for staff and students all policies and procedures are underpinned by the following values:

- a learning and work environment which encourages and enables diverse views, values and perspectives to be expressed and that opposes all forms of prejudice and discrimination;
- individual needs are addressed in a sensitive, supportive and flexible manner;
- individuals are offered opportunities to develop within a culture of reflection and continuous enhancement;
- all members of the University community are treated with mutual respect and sensitivity by other community members;
- processes and procedures are based upon principles of equity, transparency and responsiveness;
- equality of access, esteem and opportunity permeates all aspects of University provision.

### 2. University as an Educator

2.1 The University's principal aim is to provide excellent, flexible, and relevant education which is accessible to all members of society. It collaborates with local education and training providers to widen local participation in further and higher education and to develop a range of study routes into the University. Applications are welcomed from all groups in society and applicants who identify themselves as having special requirements benefit from procedures designed to ensure that they are aware of the facilities and provision offered by the University. *Unless there are professional criteria beyond our control*<sup>3</sup>, admission to the University is based

<sup>2</sup> discrimination could, for example, be reasonably justified in regard to an individual's ability to benefit from HE and also in the case of certain criminal offences with respect to training for the teaching and health professions

<sup>3</sup> Applicants to professional courses may be subject to the constraints set by professional bodies e.g. students who wish to become teachers are subject to checks on criminal convictions.

solely on admissions criteria relevant to the programme of study concerned and *ability to offer appropriate facilities and support*<sup>4</sup> where required.

2.2 Recognising the diversity of students the University aims to:

- provide an environment free of harassment
- offer curriculum content which offers a balance of perspectives
- use non-discriminatory language in module and programme descriptions and in all student communications
- provide learning materials and facilities which are non discriminatory
- accommodate individual requirements in respect of specific religious, disability and cultural needs
- communicate clearly expectations regarding behaviour of students and the treatment of fellow students and staff, including details of follow up action which is embodied within the University Disciplinary Code.

2.3 All students have a responsibility to ensure that this Policy Statement and the procedures that support it are implemented at all times.

2.4 Students who breach these requirements and commitments will be dealt with using the Student Disciplinary Policy.

### **3.0 University as an Employer**

3.1 The University aims to recruit, develop and retain a diverse community of staff and all policies and procedures will support this aim. Monitoring and review of our activities will inform the development of policies and procedures to ensure the fair and appropriate treatment of all staff.

3.2 In recognising the needs of staff, the University aims to:

- ensure an appropriate and supportive working environment respecting the dignity of all members of the community.
- create an environment free from unjustifiable discrimination on the grounds of age, carer responsibilities, class, criminal background, disability, gender identity, marital or civil partnership status, pregnancy and maternity, race, sex, sexual orientation, religion or belief, or trade union activities.
- ensure recruitment, development and other key HR processes are dealt with using appropriate, fair and justifiable criteria.
- provide a policy and procedure framework to ensure that staff may raise any concerns relating to equality issues and that these are dealt with in an appropriate manner.
- create opportunities for career progression and staff development using appropriate, fair and justifiable criteria.

3.3 All University staff have a responsibility to ensure that this Policy Statement and the procedures that support it are implemented at all times. Managers have additional responsibilities for ensuring and monitoring implementation in their areas.

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<sup>4</sup> The University is committed to making reasonable adjustments to accommodate particular needs.

3.4 Members of staff who breach these requirements and commitments will be dealt with through the University's Disciplinary Procedure. Discriminatory conduct may constitute gross misconduct which may lead to dismissal.

#### **4. University as a Purchaser of Goods and Services**

4.1 The University has a responsibility to promote equality in all its procurement and contracting arrangements. Within the parameters of UK and European legislation, the University will ensure that it encourages potential suppliers from diverse communities and purchases goods and services fairly.

4.2 It is essential that our suppliers are accountable to us, aspire to our vision and work within our Equality, Diversity and Human Rights Policy. All suppliers have a responsibility to ensure that they, and any staff or sub-contractors engaged by them to provide services to the University, operate within the terms of this Policy. Any breach of these requirements will be dealt with in accordance with procedures laid out in the contractual Terms and Conditions.

#### **5. Legal Requirements**

5.1 The University recognises its obligations under the law. It is committed to providing equality of opportunity and upholding human rights by aiming to ensure that its practices and procedures follow legal requirements and good practice. The University will meet all its obligations under UK and European legislation.

5.2 When staff and students are engaged in University business and study overseas, policies and procedures of the host country will apply, in addition to University policies and procedures. The University will make students and staff aware of this before travelling

#### **Equality, Diversity and Human Rights Strategy**

As a higher education institution, employer, service provider and a public authority, York St John University is committed to complying with equalities and human rights law, and, in particular, meeting the requirements of the public sector Equality Duty.

The Duty requires the University to have due regard to the need to:

- Eliminate unlawful discrimination, harassment and victimisation
- Promote equality of opportunity
- Foster good relations, including tackling prejudice and promoting understanding

We also have a duty to publish equality objectives once every 4 years and to report annually on progress in relation to meeting the public sector Equality Duty.

York St John University has always been proud to stand up for social justice, and we have now made this commitment unequivocally clear through our University Strategy 2026. The core value of promoting fairness and challenging prejudice is expressed through a strategic aim to be at the forefront of eliminating inequalities in higher education, reflected in our students' outcomes, while we have set out ambitious measures of success that hold us to account towards students and staff.

The Equality, Diversity and Human Rights Strategy contains our strategic equality objectives.

These are to:

- Close gaps in opportunities and outcomes because of a particular, or combination of, socio-economic status, disability, gender and/or any other status where disparities are not justified.
- Engage a diverse representation of students with the implementation of the Learning and Teaching Strategy.
- Make our working environment more accessible, inclusive and fair, by understanding and addressing barriers.
- Address existing race inequalities, achieve a culturally diverse and inclusive environment, and pull individuals from all ethnic backgrounds.
- Create and deliver a collaborative programme to promote freedom of speech, while fostering respectful interaction, free from discrimination, violence and abuse.
- Embed a culture of respect and promotion of healthy relationships, geared towards addressing and preventing hate crime, harassment, sexual misconduct and domestic abuse.
- Create an accountability framework for University, Schools and Services for the delivery of the EDHR strategy, supported by capacity building of all staff to learn, educate and challenge.

By 2026, this means:

- Positive TEF metrics in satisfaction, retention and outcomes for underrepresented groups.
- 10% BME student and staff population.
- All staff are engaged in Equality & Diversity training and development appropriate to their role.
- Median gender pay gap below 10%.
- 95% of staff think the University is a good place to work.

## **7. Annex 7 Dignity at Work Policy**

### **1. Policy Statement**

- 1.1 York St John University is dedicated to providing an inclusive, accessible and welcoming environment which supports a diverse and culturally rich community. We will inspire our students and staff to value equality, diversity and inclusion and we aim to ensure that all of our students are given the opportunity to reach their full potential.
- 1.2 In order to fully achieve these commitments set out within our values and the Equality, Diversity and Human Rights policy statement, the relationship between the University and its employees must be conducted in a manner which values, unconditionally, respect for the dignity of staff as individuals. Any form of bullying and harassment is, therefore, unacceptable.
- 1.3 'Our University Our Contribution' sets out the behaviours expected of staff across the University to nurture and retain our sense of community. Contained within the Framework is the expectation that staff value difference and show respect and courtesy to everyone they work with regardless of role or position.
- 1.4 All staff are expected to behave towards colleagues, managers and other members of the University community in an appropriate manner in accordance with the principles highlighted below. In return, the University expects the same of its students, customers and external agencies in their dealings with York St John staff. Staff should refer to the Dignity at Work procedure where they have any concerns about the behaviour of those whom they come into contact with during the course of their work.

### **2. Dignity at Work Principles**

The University is committed to the following Dignity at Work Principles:

- Raising awareness of the effect of behaviour on others.
- Assisting staff to find effective ways to deal with behaviour they find difficult and / or unreasonable.
- Eradicating discriminatory practices and guaranteeing equal treatment and opportunity irrespective of gender, gender identity, race, marriage or civil partnership, pregnancy and maternity, disability, age, sexual orientation, religion or belief or criminal background.
- Dealing with behaviour that undermines an individual's self-esteem, confidence or mental health.
- Providing working conditions that respect each member of staff's health and safety at work.
- Being honest in communications with employees and open in sharing information limited only by legal and commercial constraints.
- Listening to and, where possible, acting on employees' ideas and requests.
- Engaging in fair procedures in dealing with complaints from or against members of staff.

- Engaging in negotiations and discussions, in good faith, when conflicts arise.

### **3. Responsibility for Dignity at Work**

- 3.1 This Policy and Procedure places a responsibility on managers and staff to create and maintain a positive working and learning environment. All employees have a role to play in creating a work climate free from harassment and bullying.
- 3.2 All members of the University community, staff and students, are responsible for helping to ensure that individuals do not suffer any form of bullying or harassment, and that they are encouraged and supported in any legitimate complaint.
- 3.3 Every member of University staff will be accountable for the operation of the principles of this policy, as they carry responsibility for their own behaviour and actions.
- 3.4 Managers are responsible for seeking to prevent any infringement of the Policy amongst the staff for whom they are responsible and for investigating complaints in accordance with the procedure set out below.

### **4. Definitions of Bullying and Harassment**

- 4.1 The terms bullying and harassment are often used interchangeably within the workplace. In general they can be defined as behaviours directed towards an individual that are unwelcome, unwarranted and causes a detrimental effect. It is important to remember that bullying and harassment can occur for many reasons. However, there is additional protection within law for people who are harassed due to particular personal characteristics. Appendix 1 provides further guidance on these specific definitions of harassment and examples of unacceptable behaviour.

### **5. Dignity and Respect Network**

- 5.1 The University has an established network of trained staff, to whom the individual affected (or in certain circumstances the alleged perpetrator) can go and speak in complete confidence. Staff may choose to go to any one of these contacts – not necessarily one in their own School or Department. They are there to listen, to hear and to understand what has happened, and to offer help and support whether or not an individual wishes to make a formal complaint.
- 5.2 Staff are encouraged to discuss the matter as early as possible with a member of the Dignity and Respect Network. Speaking to a Network member does not invoke formal action but will assist individuals by providing support and in considering options open to them.
- 5.3 The Network member may keep brief, confidential notes, but these will be personal to the member and will not be put on any University file.
- 5.4 Staff may also choose to speak to their line manager, their senior line manager, a member of the Human Resources (HR) Department or a Trade Union Representative. In addition, staff may also access counselling services through the Employee Assistance Programme. Further information on this service is available from the HR Department or the HR pages on the website.

## **6. Raising a Complaint of Bullying or Harassment**

- 6.1 All members of the University community are entitled to work and study in an environment free from intimidation, harassment and discrimination. If an individual feels they are being subjected to such behaviour it should not be ignored, as if left unchecked it may not go away. Any complaint made under this procedure will be taken seriously.

## **7. Informal Resolution**

- 7.1 York St John is committed to dealing with issues affecting employees effectively, without unreasonable delay and in an atmosphere of shared trust and confidence. It is the policy of the University to resolve the vast majority of complaints informally. Appendix 2 provides additional practical guidance for managers, Network Members and others on how to receive and respond initially to a report of bullying or harassment.
- 7.2 Where the complainant feels able to do so, they should raise the problem immediately with the person concerned, directly or in writing. A note should be kept detailing the incident, date(s) of the conversation with the individual and what was said. This may be needed as evidence should the problem continue or subsequently reoccur.
- 7.3 Alternatively where it is too difficult or embarrassing for an individual to do this on their own, they may seek the support of a member from the Dignity and Respect Network or their Trade Union representative before approaching the individual (although it should be noted that a Network member may not feel it appropriate to attend such a meeting).
- 7.4 Where the complainant feels unable to approach the individual on their own or with support from a Network member, they should raise their concern with their line manager so that the matter can be addressed and resolved informally.
- 7.5 Where the concern relates to the actions of the employee's line manager the employee should discuss the matter informally with the next level of management or seek advice from the HR Department.
- 7.6 The line manager should seek to resolve the matter without delay, speaking to both parties and undertaking further investigation if necessary. Mediation may be one option for consideration, please see below for further information. At all times, the line manager should ensure the employee is kept informed of developments.
- 7.7 The person concerned may be unaware that their behaviour is inappropriate and oblivious to any objection to it. The informal approach gives an opportunity for the individual to be made aware of the impact of their behaviour and adapt it accordingly.
- 7.8 If it is not possible to resolve the complaint informally or if it is not appropriate, the formal complaint procedure may be invoked.

## **8. Mediation**

- 8.1 When an individual raises a concern it may be appropriate to consider whether mediation should be proposed as a means of addressing the complaint. Advice can be sought from the HR Department about the appropriateness of such a step. Equally, at any subsequent stage in this procedure, the parties may request that the matter be referred for mediation.

8.2 Mediation involves the appointment of a third-party mediator from the University's Mediation Service who will discuss the issues raised by the complaint with all of those involved and seek to achieve a solution.

8.3 More information about the mediation service at the University can be obtained from the HR Department or the HR pages on the website.

## **9. Formal Complaints**

9.1 If the complainant feels unable to follow the informal procedure detailed above, or if informal methods have not succeeded, they should make a formal complaint to the Head of School or Director of the alleged perpetrator.

9.2 If the complaint is about the Head of School, Director or a member of Executive Board, please see Appendix 3 for details of to whom this should be referred.

9.3 Whilst a Network member may support the complainant in reporting the alleged incident, the decision to invoke the formal procedure is that of the complainant.

## **10. Investigation**

10.1 On receiving a formal complaint, the Head of School/ Director (or other as appropriate, see Appendix 3) will appoint an appropriate Investigating Officer who will be of at least the same level of seniority as the alleged perpetrator.

10.2 The investigation shall be carried out promptly to discover all the relevant facts.

- Any investigation should be completed as soon as reasonably practical and without undue delay.
- Staff being interviewed as part of an investigation may be accompanied by a trade union representative or colleague.
- Total confidentiality must be maintained at all times by all the parties involved. Where maintenance of confidentiality may inhibit the investigation, this should be discussed with the complainant in the first instance.
- Breach of confidentiality by any party may in itself be a disciplinary offence.
- Those investigating complaints must ensure that the rights of the person against whom the complaint is made are protected as well as those of the complainant.
- Following completion of the investigation, both parties will be informed of the outcome within 10 working days.
- Following subsequent disciplinary action taken as a result of the investigation, both parties will be informed of the outcome within 10 working days.

10.6 Parties involved at the investigation stage may present evidence to a subsequent disciplinary hearing but may not be involved as a member of any disciplinary panel.

10.7 In exceptional circumstances the member of staff who appoints the Investigating Officer, may recommend to a member of Executive Board the suspension of one or both of the parties involved for the duration of the investigation and, where necessary, any subsequent formal process. Such circumstances may arise where the continued presence of one or both



parties may impede a full and thorough investigation; or where a continued presence of one or both parties is disruptive to the normal working of the University. In such circumstances it must be explained that suspension is not a form of disciplinary action and does not imply judgement of either party. Any decision to suspend will be confirmed in writing. Suspension will be on full (basic) pay while the investigation proceeds. This payment would normally continue until the procedure has been exhausted unless the employee fails to participate in the procedure.

10.8 In all cases the HR Department will be available to offer neutral advice and guidance during the investigation process to all parties.

## **11. Result of Investigation**

11.1 Depending on the result of the investigation the following options are available:-

- i If the allegation is admitted or a prima facie case for establishing it is made out, relevant disciplinary procedures may be invoked.
- ii If no prima facie case for establishing the allegation is made out or the allegation is unproven a confidential record of the complaint and the response will be made by the University Officer receiving the report (in most instances this will be the complainant's line manager). A copy of the record will be circulated to both parties.

11.2 It should be noted that false or malicious allegations made in bad faith may themselves become the subject of the disciplinary procedure.

## **12. Appeal**

12.1 In the event of no action being taken the complainant may initiate an appeal against the decision.

12.2 The individual should submit their appeal in writing, stating the grounds of appeal, to the Executive Director of Student and Staff Services or the Head of Human Resources within 10 working days of receipt of the outcome. The appeal will be considered by an appropriate member of Executive Board to be decided by the Executive Director of Student and Staff Services/ Head of Human Resources.

12.3 The appellant must be given reasonable notice of the appeal meeting and advised of the entitlement to be represented by a trade union representative. The appeal will involve a review of all documentary evidence and must include a discussion with the appellant.

12.4 Once all evidence has been considered, the member of Executive Board considering the appeal will notify the appellant of the outcome in writing within 5 working days. There will be no further right of appeal.

## 8. Annex 8 - Support for Disabled Staff Policy

York St John University is committed to supporting employees who are disabled, or who become disabled, during the course of their employment. It is the policy of the University to seek to make reasonable adjustments, providing the necessary support and assistance in order to retain the skills, expertise and experience of disabled employees and enable them to continue at work.

The University is working to create an inclusive environment where all staff are valued and respected. We are committed to ensuring that disabled staff are able to carry out their work effectively, to access development opportunities and to participate in all aspects of University life. We will address barriers to inclusion, will ensure that our disabled employees are not subjected to discrimination and will deal promptly and effectively with any cases of harassment, bullying or other inappropriate behaviour. In the planning of our services and the development of our policies we will endeavour to anticipate the requirements of disabled students and staff and make the necessary accommodations.

This policy should be read in conjunction with the University's Equality, Diversity and Human Rights Policy.

### 1. Definition of Disability

- 1.1 An employee may be regarded as having a disability 'if they have a physical or mental impairment which has a substantial and long-term adverse effect on his/her ability to carry out normal day to day activities'.<sup>5</sup>
- 1.2 The Act defines normal day to day activities as 'activities which are carried out by most men and women on a fairly regular and frequent basis'. They include – but are not limited to – activities such as 'walking, driving, using public transport, cooking, eating, lifting and carrying everyday objects, typing, writing (and taking exams), going to the toilet, talking, listening to conversations or music, reading, taking part in normal social interaction or forming social relationships, nourishing and caring for one's self. Normal day-to-day activities also encompass the activities which are relevant to working life'.<sup>6</sup>
- 1.3 The Act defines 'substantial adverse effect' as 'something which is more than a minor or trivial effect. The requirement that an effect must be substantial reflects the general understanding of disability as a limitation going beyond the normal differences in ability which might exist among people'.<sup>7</sup>
- 1.4 The Act defines 'long term' adverse effect as an effect that has lasted at least 12 months, or where the total period for which it lasts is likely to be at least 12 months, or which is likely to last for the rest of the life of the person affected.<sup>8</sup>

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1 Equality Act 2010 s.6 (1)

6 Equality Act Employment Statutory Code of Practice Appendix 1 (14 & 15)

7 Equality Act 2010 s.212

8 Equality Act Employment Statutory Code of Practice Appendix 1 (11)

- 1.5 Any substantial and long-term physical or mental impairment which would affect normal day to day activities would be considered as a disability. This would include 'hidden' conditions like dyslexia, epilepsy, depression, schizophrenia, heart disease and diabetes.
- 1.6 Anyone who has HIV, cancer or multiple sclerosis is automatically treated as disabled under the Act.
- 1.7 People with severe disfigurements are covered by the Act. They do not need to demonstrate that the impairment has a substantial adverse effect on their ability to carry out normal day-to-day activities; however, they do need to meet the long-term requirement.
- 1.8 Sight impairments corrected by ordinarily prescribed glasses are not included in the definition of disability in the Act. Neither are broken bones, or some psychological conditions such as alcoholism (although the effects of alcoholism such as liver failure may be).

## **2. Disclosure of Disability**

- 2.1. The University is committed to creating an inclusive environment where disabled staff feel comfortable to disclose details of their medical conditions and can be confident that the University will take reasonable steps to provide them with the equipment, facilities and conditions that they require in order to do their work.
- 2.2. The University aims to operate fair and consistent employment practices. In order to measure our progress towards our equality and diversity objectives we monitor the profile of our workforce through their employment life cycle.
- 2.3. There is no legal obligation for a disabled person to disclose their disability to their employer. However, keeping details about a disability confidential is likely to mean that, unless the employer could reasonably be expected to know about the disability anyway, they will not be under a duty to make reasonable adjustments to support the individual in their job.
- 2.4. All applicants for employment at York St John are requested to complete an Equality Monitoring Form which asks the individual to classify themselves in terms of sex, religion or belief, sexual orientation, ethnicity and disability. On appointment the monitoring data relating to the successful applicant is transferred to their personal electronic record. The data is held and administered by the HR Department and is dealt with confidentially.
- 2.5. The University recognises that some disabled staff will choose not to disclose their disability when they join YSJ. Disclosure is encouraged at any point and particularly should a member of staff become disabled during the course of their employment with YSJ or should their disability develop in a way which impacts on their work. Members of staff who wish to disclose a disability should talk to their line managers or to a member of the HR Department.

- 2.6. Coming to terms with a new disability or with developments to an existing disability can be a difficult process and the University is committed to supporting staff as they become adjusted to the change. It is the line manager's responsibility (or the responsibility of HR if the member of staff prefers not to discuss the issues with their line manager) to ensure that the individual has access to appropriate information and support. Advice is available from HR or from the Disability Advice Team.
- 2.7. On occasion there may be concerns about an employee's ability to undertake some of their existing work tasks safely in the light of a new or developing disability. An Individual Risk Assessment should be completed with the employee to identify whether there are any increased safety risks (pro forma available on H&S webpages). These could be either to the employee or to others when performing specific tasks or in a specific environment (for example, working at heights, with machinery or in confined spaces). The manager should take advice from HR (and as advised by HR from Occupational Health and/or Health & Safety) before making a decision on whether the employee can continue to work safely in a specific role (see section 3 on reasonable adjustments).
- 2.8. Wherever possible it will be the intention that the employee should continue in their substantive role with reasonable adjustments in place to accommodate their needs. If the Individual Risk Assessment identifies increased safety risks that could be reduced to acceptable levels by the provision of adjustments, then the process outlined in Sections 3 and 4 below should be followed.
- 2.9. Where an individual member of staff is performing, or otherwise behaving, in a way that is giving cause for concern, and the University has reason to believe that the behaviour may be related to a disability, the manager (with support from HR where necessary) should ascertain whether this is the case and whether there are any reasonable adjustments that could be made to assist the situation. The sensitivity of such a discussion is recognised, and efforts should be made to ensure that issues of dignity and privacy are considered, that personal information is dealt with confidentially, and that the member of staff is appropriately supported.

### **3. Reasonable Adjustments**

- 3.1. York St John University is committed to taking positive steps to ensure that disabled people can compete for employment opportunities on a level playing field and have the support they need to develop and perform well in their jobs.
- 3.2. We have a legal duty to make reasonable adjustments to our employment practices to meet the needs of disabled people. This is more than simply treating disabled applicants and staff the same as their non-disabled counterparts and means taking additional actions to which non-disabled applicants and employees are not entitled.
- 3.3. Examples of reasonable adjustments which could be considered include:
- **Adjustments to premises:** this could include structural or physical changes, for example, widening a doorway for a wheelchair user; lowering serving counters in University food outlets; altering the height of shelf units; provision of tactile signing etc.

- **Acquiring or modifying equipment:** this could include the provision of specialist aids and adaptations to enable an individual to work. Examples include providing a specially adapted keyboard, mouse or gardening/craft tools for an employee with a musculoskeletal problem affecting their hands, wrists or arms; providing an adjustable-height desk to enable an employee with long term back problems to sit or stand; or providing a voice activated software package for a member of staff who has a visual impairment.
- **Allowing the employee to have reasonable time away from work/duties:** to attend physiotherapy, chemotherapy treatment etc. or for longer term rehabilitation. This might also include allowing additional breaks to enable an employee to overcome fatigue, take medication or attend to other personal needs.
- **Allocating duties to another person:** specific aspects of the job that the individual is no longer able to do could be transferred to a colleague. Examples include, driving duties, lifting and carrying, and escorting visitors across campus.
- **Alteration of working hours:** for example allowing the employee to work flexible hours to avoid stressful travel conditions, or changing hours to fit in with the availability of a carer or driver. Flexible hours might also be considered where the member of staff has a condition which fluctuates and impacts intermittently upon their mobility or stamina, for example, either as a result of the condition itself or due to medication.
- **Alteration of work location:** for example, allowing the employee to work from home for some of the working week depending on the needs of the role, or overcoming access problems to a particular office by relocating the individual to work in another, more accessible part of the University campus.
- **Transferring the employee to fill an existing vacancy:** in the case where there are no possible reasonable adjustments which would enable the employee to remain in, their existing job then they should be considered for redeployment to any suitable alternative posts within the University which are available (see Section 5. below).

This list is not exhaustive and is intended only as a brief guide.

3.4 In determining what is 'reasonable' in terms of an adjustment and reflecting the University's responsibility under the Act and is proportionate, the following will be considered:

- the effectiveness of the adjustment in preventing the disadvantage
- the practicality
- the potential disruption caused
- the time effort and resources involved
- the cost
- the extent of the University's financial resources
- the availability of financial help

Whether an adjustment is reasonable or not is decided with reference to the resources of the University as a whole, rather than the budgets of the employing business unit, faculty or department.

#### **4. Process for Making Reasonable Adjustments in the Substantive Post**

4.1. The University is committed to ensuring that we make the adjustments required by our disabled staff as quickly and effectively as possible to minimise the inconvenience to the individual.

4.2. The need for a reasonable adjustment may be identified in a number of ways:

- by the employee;
- through the recruitment process;
- during performance development review conversations;
- through the sickness management process;
- following medical treatment;
- as a result of an Occupational Health appointment;
- as a result of an Individual Risk Assessment;
- in the course of regular supervision or performance management.

4.3. The degree of understanding that a member of staff has about the adjustments that they need will differ from one individual to another. A new appointee to the University may join with a good knowledge of their disability and of the adjustments that they require. Alternatively, a member of staff who becomes disabled whilst working may have little understanding of the disability and no knowledge of the adjustments available. In this latter case the individual may need support in coming to terms with their disability prior to or alongside consideration of reasonable adjustments. A referral to Occupational Health may also be helpful.

4.4. In the interests of good employee relations and the welfare of the individual, it is important that the disabled member of staff is fully involved in the discussions about the provision of reasonable adjustments. The line manager (or HR Adviser) should ensure that the member of staff is kept informed of progress on a regular basis.

4.5. Once a manager is aware that a member of staff has issues relating to their disability which might be addressed by making reasonable adjustments, they should contact the HR Department who will advise on the course of action, appropriate to the individual's requirements.

4.6. In most cases a further discussion will be necessary in order to establish the adjustment that will be most effective for the member of staff. HR will support the line manager in having this conversation. Depending upon the individual's needs, HR may explore possible adjustments with the member of staff (where they relate to a reallocation of duties or revision of working hours for example) or may refer the individual to the University's Disability Advice Team who can provide an expert opinion on the range of adjustments that may be appropriate (with support from external specialists if necessary).

- 4.7. There may be a question about whether the member of staff can continue doing all or part of their job in the period between the assessment and the provision of the adjustment. In this case the line manager should undertake a risk assessment. This should be carried out with the employee and the Health and Safety Officer (in liaison with the Disability Advice Team Manager if necessary). If the assessment discovers a risk to the member of staff in continuing to work without the adjustment in place, then steps should be taken to remove the risk (for example by restricting or reallocating duties or allowing the individual to work from home). If it is not possible to remove the risk, then the individual should be temporarily redeployed, or other suitable action taken until the adjustment is in place.
- 4.8. Once the assessment is carried out and the adjustments identified, the HR Adviser will decide whether the recommended equipment/adaptations are reasonable according to the Equality Act 2010 (see 3.4 above). This will be done in consultation with the employee's Faculty/Department (who are responsible for funding the reasonable adjustments) and, in the case of adaptations to buildings, with the Facilities Department. In cases of dispute the matter will be referred to the Director of HR.
- 4.9. If the member of staff is unhappy with the outcome of the decision on whether adjustments are reasonable or not, they have recourse to the University's Grievance Procedure.
- 4.10. Once it has been agreed that an adjustment is reasonable it is the line manager's responsibility to ensure that it is put in place as quickly as possible, with support from the HR Adviser. The disabled member of staff should be kept adequately informed of the progress in arranging their reasonable adjustments, and of any delay.
- 4.11. On occasion (likely to be very rare) having consulted with the Disability Advice Team, the HR Adviser may conclude that no reasonable adjustments can be made which will allow the employee to stay in their substantive post (either because no adjustments have been identified at all or because the adjustments that have been identified are not reasonable). All such decisions will be referred to the Director of HR for ratification. The HR Adviser will inform the employee of this decision and with their consent begin the process of seeking redeployment (see 5 below).
- 4.12. Once reasonable adjustments are in place, their effectiveness should be monitored to ensure that they are actually working. The individual should keep the manager informed as to whether the intervention is meeting their needs. The manager should ensure that there is at least an annual conversation with the member of staff to check that the arrangements in place continue to be effective. This may take place as part of the Performance Development Review as long as it is made clear to the individual that the assessment of their performance is not negatively influenced by any shortcomings in the reasonable adjustments provided.
- 4.13. Where a reasonable adjustment is judged to be ineffective or in need of upgrading/modifying the manager should seek support from HR who may refer the member of staff back to the Disability Advice Team.
- 4.14. In some cases, reasonable adjustments will not work in practice without the cooperation and support of other employees. Within the constraints of confidentiality agreed with the

disabled person, relevant employees should be informed about the requirements for the adjustments and, where required, involved in training and support.

- 4.15. If a member of staff feels that their need for reasonable adjustments is not being met effectively, they should raise this in the first instance with their line manager or with HR. If they wish to make a formal complaint, they should use the University's Grievance Procedure.
- 4.16. The HR Department will monitor the provision of reasonable adjustments to ensure that disabled staff are receiving an effective service. The information will be used to identify and implement improvements to the procedure.
- 4.17. Appendix 1 outlines the step by step process that should be followed when making reasonable adjustments for disabled staff.

## **5. Disability-Related Redeployment**

- 5.1 If after serious consideration it is decided that there is no reasonable adjustment that can be made to enable the member of staff to continue to work in their substantive post, then attempts should be made to redeploy the individual to another post.
- 5.2 Detail of how the redeployment exercise should be managed is found in the University's Redeployment Procedure (found in the Job Security Framework). The process for termination of employment should it not prove possible to redeploy the member of staff would be either through the Capability Procedure or the Attendance Management Procedure in cases of potential ill-health retirement.
- 5.3 The decision whether to redeploy a member of staff is made based on their skills, abilities and experience and irrespective of any reasonable adjustments they might need to carry out the duties of the post in question. Once a member of staff has been accepted for redeployment to a particular post the process for identifying reasonable adjustments (see Section 4. above) should be implemented.
- 5.4 If an employee agrees to be redeployed to a lower graded post then their salary is not protected for any period of time and the terms and conditions of employment at the lower graded post will apply.

## **6. Funding for Reasonable Adjustments**

- 6.1. Access to Work is a scheme run by the Department of Work and Pensions that provides support to disabled people to help them overcome work-related obstacles resulting from their disability by funding or part-funding reasonable adjustments.
- 6.2. The University expects that members of staff who are eligible for Access to Work support will apply for funding. It is the responsibility of the member of staff to do this, with support from their line manager/HR if appropriate.



- 6.3. Under current funding arrangements the University is required to pay the first £1000 of the cost of reasonable adjustments for an employee and 20% of additional costs up to £10,000. Access to Work will pay any remaining costs.
- 6.4. The University will meet the costs of reasonable adjustments that are not funded by Access to Work.
- 6.5. Any equipment purchased for the purposes of reasonable adjustments is the property of the University (and/or of Access to Work) and should be returned with notification to HR to a central store when it is no longer needed or when the member of staff leaves the University. It is the manager's responsibility to ensure that this happens. Prompt return of equipment will enable the effective management of resources and ensure that equipment is recycled wherever possible.
- 6.6. More information on Access to Work is available on the HR website

# EQUALITY ANALYSIS

## ELIGIBILITY REF2021

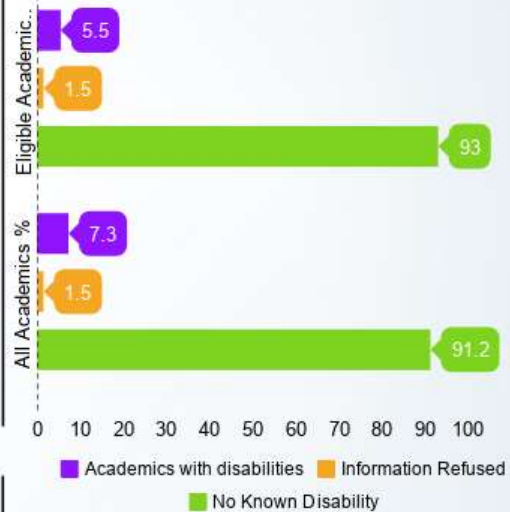
### SEX



The current eligible staff list shows that female academics would be slightly under represented given our current female/male ratio.

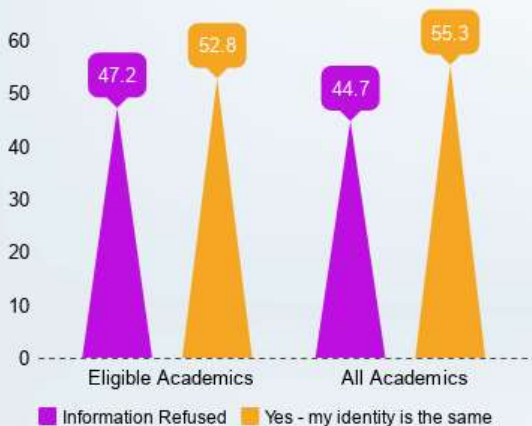
### DISABILITY

The disability percentages show a low number of academics with disabilities are eligible, this group would be under represented.



### GENDER IDENTITY

Does your gender identity match your sex as registered at birth?



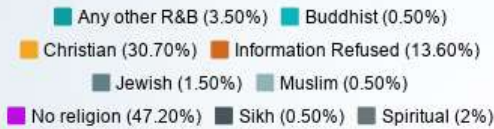
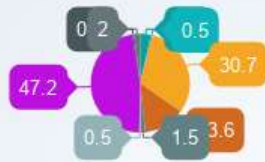
### EMPLOYMENT MODE



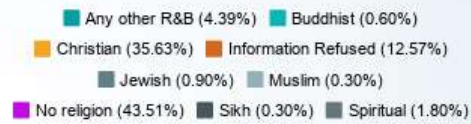
Eligible academics that are full time would be slightly over represented compared to the part time academics.

# RELIGION & BELIEF

## Eligible Academics %

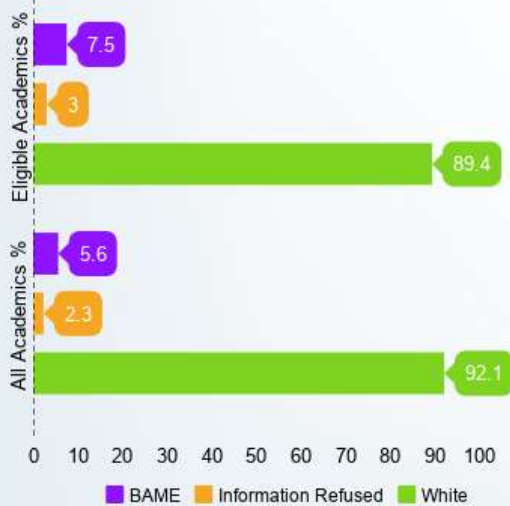


## All Academics %



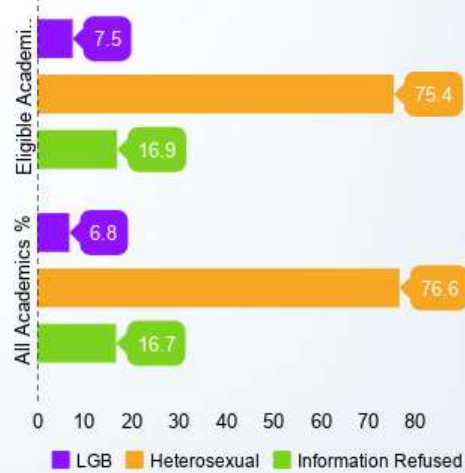
A very similar balance of religion and beliefs.

# ETHNICITY



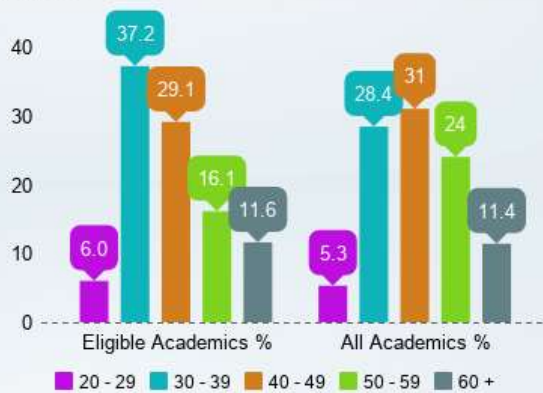
A good representation of academics across ethnicities and sexual orientations.

# SEXUAL ORIENTATION



# AGE BANDS

There are some slight differences within the age bands, especially the 30 - 39 and 50 - 59 group.



<b>Employment mode</b>	All academics %	Eligible academics %	Difference Percentage points
Full Time	74.6	82.9	8.3
Part Time	25.4	17.1	-8.3
<b>Sex</b>	All academics %	Eligible academics %	Difference Percentage points
Female	50.6	46.7	-3.9
Male	49.4	53.3	3.9
<b>Age Bands</b>	All Academics %	Eligible Academics %	Difference Percentage points
20 - 29	5.3	6	0.7
30 - 39	28.4	37.2	8.8
40 - 49	31	29.1	-1.9
50 - 59	24	16.1	-7.9
60 +	11.4	11.6	0.2
<b>Disability</b>	All Academics %	Eligible Academics %	Difference Percentage points
No Known Disability	91.2	93	1.8
Disabled academics	7.3	5.5	-1.8
Information Refused	1.5	1.5	
<b>Ethnicity</b>	All Academics %	Eligible Academics %	Difference Percentage points
BAME	5.6	7.5	1.9
White	92.1	89.4	2.7
Information Refused	2.3	3	
<b>Ethnicity</b>	All Academics %	Eligible Academics %	Difference Percentage points
Cis-gender	55.3	52.8	-2.5
Information Refused	44.7	47.2	2.5
<b>Religion &amp; Belief</b>	All Academics %	Eligible Academics %	Difference Percentage points
No religion	43.6	47.2	3.6
Buddhist	0.6	0.5	-0.1
Christian	35.7	30.7	-5
Jewish	0.9	1.5	0.6
Muslim	0.3	0.5	0.2

Sikh	0.3	0.5	0.2
Spiritual	1.8	0.2	-1.6
Other religions & beliefs	4.4	3.5	-1.1
Information Refused	12.6	13.6	1
<b>Sexual Orientation</b>	All Academics	Eligible Academics	Difference
	%	%	Percentage points
Heterosexual	76.6	75.4	-1.2
LGB	6.8	7.5	0.7
Information Refused	16.7	16.9	0.2

Employment Mode: Eligible academics that are full time would be slightly over-represented compared to the part time academics.

Sex: The current eligible staff list shows that female academics would be slightly under represented given our current female/male ratio.

Age: There are some slight differences within the age bands, especially in the 30-39 and 50-59 group.

Disability: The disability percentage show a low number of academics with disabilities are eligible, this group would be under-represented.

Ethnicity: A good representation of academics across ethnicity.

Gender identity: as of 1 November 2018, no members of staff had disclosed that their gender does not match the one assigned at birth. The disclosure rate for all academics is 55.3%, eligible academics 52.8%.

Religion: A very similar balance of religion and beliefs.

Sexual orientation: A good representation of academics across sexual orientation.