

Canterbury Christ Church University

Research Excellence Framework 2021

Draft Code of Practice

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Part 1: Introduction

The Research Excellence Framework (REF)

1. The Research Excellence Framework (REF) is the system for assessing the quality of research in Higher Education Institutions (HEIs) in the UK.
2. All CCCU members of staff are strongly urged to familiarise themselves with the national guidance relating to the REF, in particular the Guidance on Submissions and the Panel Criteria and Working Methods for their Unit of Assessment (UoA). These documents are available on the internal CCCU REF website (<https://cccu.canterbury.ac.uk/research-development/REF/ref-2021.aspx>) and the REF 2021 website (<http://ref.ac.uk/guidance/>) Staff are also strongly urged to read this Code of Practice in full.
3. The national and institutional timeframes for the REF 2021 submission are summarised in appendices 1 and 2.

CCCU context

4. The Code of Practice is set within the context of our wider institutional policies and ambitions relating to Equality, Diversity and Inclusion (EDI):
 - Strategic Framework 2015-2022
 - Institutional Equality Objectives
 - Equality, Diversity and Inclusion Policy Statement
 - Gender Identity Policy Statement
 - Staff Disability Guide
 - Religion and Belief Policy and Guidance
 - CCCU People Strategy 2019-2022: "Being the difference"
 - Ambition to achieve Institutional Athena SWAN Silver Award by 2023 (Institutional Bronze Award achieved in 2016).
5. The Code is specifically informed by our:
 - Strategic Plan for Research and Enterprise 2018-23
 - Appraisal Policy
 - Principles for Academic Workload Profiling

Update on actions since REF 2014

6. Since REF 2014 CCCU has undertaken significant developments relating to research and EDI, including:
 - a. Development and publication of a new Strategic Plan for Research and Enterprise (2018-23), which outlines the FOUNDATIONS for our research and enterprise, the FEATURES that will characterise our research and enterprise, and the FUTURES we anticipate, which are underpinned by our Mission, Values and University Strategic Framework. In particular, FOUNDATIONS include: a commitment that research and enterprise will be a core part of our identity, at the forefront of the way our stakeholders and communities engage with and perceive us, and; a duty and

desire to use our privileged access to knowledge to contribute to the challenges facing society and so enhance and enrich people's lives.

- b. We have been awarded an Institutional Bronze Award for Athena SWAN, as well as two School Bronze Awards with another under consideration, and further applications in development. In 2016, the University committed to an institutional ambition to achieve School Athena SWAN Awards in each faculty by the end of 2020, and to achieve an Institutional Silver Award by 2023.
- c. Introduction of an annual Research and Enterprise Quality Improvement and Enhancement (REQIE) process, to aid Faculties in strategic planning for Research and Enterprise, through which annually updated Faculty Research and Enterprise Portfolio Plans (FREPPs) are produced to identify improvement and enhancement priorities, and guide business planning and resource allocation.
- d. Introduction of a programme aimed at supporting and mentoring Early Career Researchers (ECR): Supporting Progression in Academic Research Careers (SPARC). SPARC has recently recruited to its fourth annual cohort.
- e. Restructured the former Research and Enterprise Development Centre and the Careers Department into an integrated Department of Enterprise, Employability and Research Development (EE:RD) to support Research and Enterprise at all levels across the University.

7. Two recommendations were identified in the University's REF 2014 Equality Impact Assessment. Firstly, that the faculties of Education and of Health & Social Care should consider the age distribution of staff submitted, particularly in respect of opportunities for younger staff. The introduction of the SPARC mentoring programme outlined above was a key part of our response to this recommendation. Secondly, institutional data showed an overrepresentation of male staff in the REF 2014 return, and it was recommended that this should be considered further and action taken if necessary. Our Athena SWAN ambition outlined above is a key part of the response to this recommendation. In particular, the Action Plan agreed as part of the institutional Bronze Award includes a commitment to support greater gender representativeness in the REF 2021 submission.

Principles of the Code of Practice

8. Throughout the Code of Practice, processes relate to the broad principles as outlined by REF 2021 of:

- a. *Transparency and Inclusivity* – in consulting on and developing our Research & Enterprise Strategy (2018-2023) and this Code of Practice, in using our established staff appraisal and workload profiling processes to identify staff for inclusion in REF 2021, and in our communication strategy. Our final Code of Practice will be published on our external website.
- b. *Consistency* – our Code of Practice is derived from wider institutional policies and does not vary at Unit of Assessment level.
- c. *Accountability* – our REF Management structure is available to all staff, and appointments were made through an open, competitive process. Clear Terms of

Reference are available on the University web pages and attached to this Code of Practice in Appendices 15, 17, 19 and 22.

Communication Strategy

9. Information about the REF 2021 submission and the Code of Practice will be disseminated via the following means:

- a. Communications and Briefings from UoA Coordinators/Main Panel Convenors/Faculty Directors of Research (see figure 2, p.9)
- b. Internal REF website
- c. Regular REF Briefings: forums, workshops, Faculty newsletters/committee updates
- d. Regular REF drop-ins with the University REF Manager
- e. StaffNet notices

10. For staff currently on a leave of absence, local communication mechanisms will be utilised, including keeping in touch days and other mechanisms that have been pre-agreed with those staff.

Part 2: Identifying staff with significant responsibility for research

University Context

11. The overwhelming majority of staff at the University are employed on teaching and research (T&R) contracts, with a very small number of research assistants and fellows on research only contracts. The University does not currently utilise teaching-only contracts. Consequently, following REF 2021 Guidance on Submissions (REF 2019/01), all staff on academic contracts of 0.2FTE or more, with a substantive connection to the University, will need to be considered to identify whether they have a significant responsibility for independent research.

Identifying Staff with Significant Responsibility for Independent Research

12. Our expectation, set out in our Strategic Plan for Research and Enterprise, is that all staff on T&R contracts *“will be undertaking research, delivering enterprise activities or engaging in scholarship of practice”*. This is recognised in our Principles for Academic Workload Profiling, in which one of our five workload profiling “bundles” relates to *“Research and Enterprise, including knowledge exchange, external engagement and scholarship of practice”*. However, research is only one element within this bundle, and not all staff will have an allocation for research. Those that do will fall into one of two categories:

- a. *Active Independent Researchers*: those with a significant responsibility, workload profile allocation and expectation to actively engage in independent research.
- b. *Developing Researchers*: those with a workload profile allocation to support development towards becoming an independent researcher.

13. There will also be some staff who are independent researchers, but who do not currently have a significant responsibility or expectation to actively engage in independent research. In identifying staff with a significant responsibility for independent research, we are seeking to identify those who fall into the *Active Independent Researcher* category. Drawing on the advice in REF 2019/01 paragraph 141, the identification of *Active Independent Researchers* is based on expectation and responsibility:

- a. EXPECTATION: An explicit expectation that the allocation of significant responsibility for independent research will lead to the production of outputs that meet the definition of research as set out in the Research Excellence Framework¹.
- b. RESPONSIBILITY: An allocation of 20% or more of a staff member's workload profile (subject to a minimum allocation of 0.1FTE) to actively engage in independent research.

14. Expectations of staff are discussed annually in appraisals (see appraisal policy at appendix 11), which are an opportunity for Appraiser and Appraisee to look back to discuss and review contribution against previous aspirations and expectations, and to look forward to set and agree priorities, aspirations and expectations for the coming year. In relation to research, Appraiser and Appraisee will look back and look forward to discuss, and agree whether the staff member aspires to and meets the expectations associated with a significant responsibility for independent research.

15. In line with the principles of *Transparency* and *Inclusivity*, decisions on staff responsibilities should be made in communication and agreement with staff. If Appraiser and Appraisee cannot agree on expectations to be set, then there is provision within the appraisal policy (section 10 of appendix 11) for the matter to be referred to the Head of School in the first instance, and if necessary to involve the Human Resources and Organisational Development (HR&OD) team who will mediate to secure a suitable resolution.

16. Once expectations have been set and agreed in appraisal, responsibilities are allocated through workload profiling for the year. A staff member's work profile is apportioned into five "bundles" of activity (Teaching & Research Supervision; Management and Administration of Activity Associated with Learning, Teaching and Assessment; Research and Enterprise, including knowledge exchange, external engagement and scholarship of practice; Academic Leadership and Management Roles; Staff Professional Development Activities). The University's Principles for Academic Workload Profiling state that: "*such bundles will be aligned with the Faculty strategic and business plans, and the appraisal targets of the individual*" (see appendix 12). Workload profiling therefore attempts to align

¹ Please note, the expectation that the allocation of significant responsibility for independent research will lead to "the production of outputs" refers to the future expectations of staff as a function of employment (as agreed in appraisals), not to the quality or volume of what has been delivered. Consequently, if a staff member is allocated significant responsibility for independent research based on the expectation to produce outputs, this identifies that staff member as having significant responsibility for independent research, regardless of whether such outputs are subsequently produced.

expectations set and agreed in appraisals with faculty strategic and business plans to determine workload profiles and responsibilities for the coming year.

17. If EXPECTATIONS associated with a significant responsibility for independent research are set and agreed in a staff member's appraisal, and these expectations align with faculty strategic and business plans, then workload profiling will allocate a significant RESPONSIBILITY for independent research (i.e. an allocation of 20% or more of their workload profile) to the individual for the coming year. This combination of expectation and responsibility will identify a staff member as an Active Independent Researcher, with significant responsibility for independent research, and therefore the staff member will be included in REF 2021.

18. The above process takes place annually, and so the annual process for academic year 2019/20 will prospectively identify *Active Independent Researchers* with significant responsibility for independent research, based on expectation and responsibility, on the REF 2021 census date of 31st July 2020. This process will take place between April and September 2019, with appraisals identifying expectations in April to July 2019, and workload profiling allocating responsibilities in June to September 2019. Staff will therefore have agreed expectations by July 2019, and will be informed about responsibilities by September 2019. This process is summarised in the flow chart below.

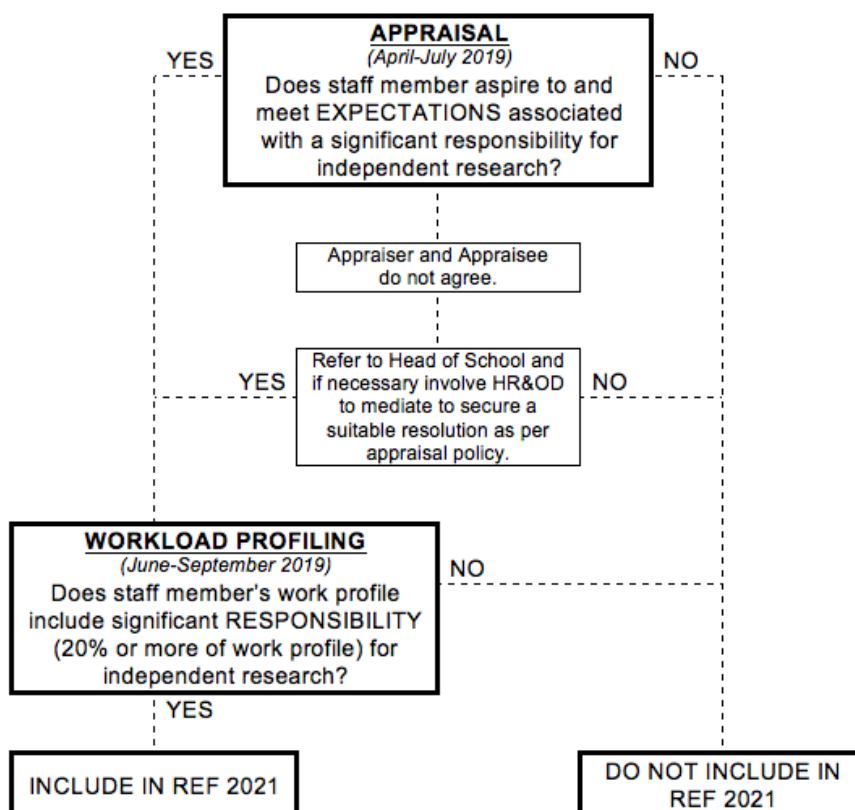


Figure 1 – Process for identifying significant responsibility for independent research.

Development of process(es)

19. The context for the process set out above, particularly the expectation that all academic staff “*will be undertaking research, delivering enterprise activities or engaging in scholarship of practice*”, is set by our Strategic Plan for Research and Enterprise, which was the subject of extensive consultation and development with staff over an 18 month period from February 2017 to its approval by Academic Board in July 2018.

20. The specific organisational policies and processes involved, those for appraisal and workload profiling, pre-date the REF 2021 period and the requirements to demonstrate significant responsibility for independent research, and as such the process itself is long-established. However, it had not been previous institutional practice to formally set a threshold of expectations and responsibilities for significant responsibility for independent research, nor to institutionally collate a list of staff who met or exceeded this threshold. It is this aspect of the process that has been developed to meet REF 2021 requirements.

21. The Code of Practice, and specifically the use of the University’s long-standing appraisal and workload profiling policies and processes to identify staff with significant responsibility for independent research, was initially developed and agreed by a working group of the University REF Management Group (comprising the PVC Research and Enterprise, four Main Panel Convenors and the REF Manager), and discussed informally with HR&OD, EDI, and local UCU representatives. The process for identifying staff for inclusion in REF 2021 was then opened to all staff for consultation via an internal StaffNet notice, as well as via emails to local UCU representatives, Deans of Faculty, Faculty Research Directors, REF Main Panel Convenors, Heads of School and the University professoriate, all of whom were requested to circulate further as widely as possible. Following consideration of feedback on the process for identifying staff for inclusion from staff, including to a dedicated email address, and from the UCU, the full Code was discussed and formally agreed through the University’s governance committees (the Research Quality Enhancement and Excellence Working Group, the Research and Enterprise Integrity Committee, and the Equality, Diversity and Inclusion Committee), and approved for submission to Research England by the Senior Management Team. The process for identifying staff for inclusion in REF 2021 was discussed at the University’s Joint Negotiation and Consultation Committee (JNCC), which agreed that the process was an appropriate way to identify staff with significant responsibility for independent research as defined in paragraph 13. The Code of Practice is published on the University web pages.

22. Over 12 months prior to the development of the Code of Practice, the expectations and responsibilities comprising significant responsibility for independent research were suggested and discussed at a REF 2021 Forum in January 2018 that was open to all staff. There was a subsequent ongoing dialogue and consultation regarding these expectations and responsibilities throughout 2018, particularly in the University’s various governance committees for research and enterprise, and among Heads of Schools and Faculty Research Directors, but also informally with staff and other managers. Generally, there

was consensus that these expectations and responsibilities were a fair representation of significant responsibility for independent research at Canterbury Christ Church University, and that they would identify those staff generally regarded as having significant responsibility for independent research. As part of this dialogue, clarification was sought regarding equity for part-time staff, following which the workload profile allocation associated with significant responsibility for independent research was modified from 0.2FTE or more to 20% or more of the workload profile, subject to a minimum allocation of 0.1FTE. This particularly reflects the nature of our workforce in Education and Health, which includes a higher than usual number of professional practitioners working part time to manage professional and academic careers.

Committee Structure and process of decision making

23. The REF Management Group, which formally reports to the Research and Enterprise Integrity Committee (REIC) (see Appendix 13 for institutional committee structure) is responsible for overseeing the development and coordination of all aspects of the University's submission to the 2021 Research Excellence Framework (see Appendix 14 for REF Management Group Terms of Reference and Appendix 15 for REIC Terms of Reference). It is chaired by the Pro Vice-Chancellor (Research and Enterprise), who undertakes the role of institutional leadership of REF 2021 as a job requirement. The REF Management Group comprises four Main Panel Convenors, one UoA co-ordinator per Faculty, members of the Research & Enterprise Integrity and Development Office (REIDO) responsible for management of the REF, an equality, diversity and inclusion representative, and a member of Human Resources and Organisational Development.

24. The Main Panel Convenors are senior researchers, all appointed through an open and competitive process, which was available to all staff (see Appendix 16 for role description). As well as sitting on the REF Management Group, they chair a Main Panel Steering Group (see Appendix 17 for Terms of Reference) comprising Unit of Assessment co-ordinators within that Main Panel, all of whom were appointed through an open process available to all staff (see Appendix 18 for role description). In turn, each UoA co-ordinator chairs a UoA Steering Group (organised locally as appropriate, but with common Terms of Reference – see Appendix 19). This structure is set out in figure 2.

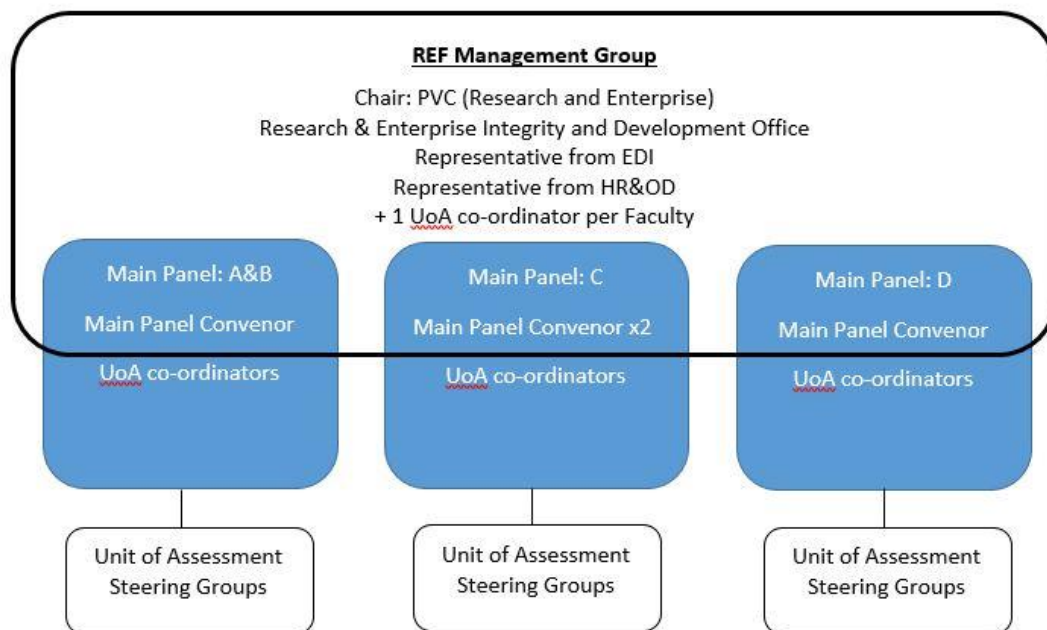


Figure 2 – REF Management Structure

25. In terms of decisions related to identifying staff with significant responsibility for independent research, a working group of the REF Management Group was responsible for developing and articulating the process, with approval of the process taking place as described in paragraph 21. However, Appraisers and Appraisees throughout the University (i.e., all academic staff) are responsible for agreeing whether a staff member aspires to and meets EXPECTATIONS associated with a significant responsibility for independent research, and Heads of School are responsible for overseeing the allocation of significant RESPONSIBILITY for independent research through workload profiling.

26. Through a range of institutional processes, including our Athena SWAN Action Plan overseen by the University Athena SWAN Implementation Committee, the University monitors and promotes inclusivity of membership of governance and management committees and groups. The inclusivity and representativeness of those committees and groups overseeing REF 2021 processes and decisions will be explicitly monitored in the first stage of our Equality Impact Assessment (see para 36-41).

Equality Training Strategy

27. All members of staff involved in developing and managing the decision-making processes outlined in the Code of Practice, particularly the management of individual staff circumstances, or the management of the appeals process, are required to participate in an Equality and Diversity training workshop, which will be tailored to the specific requirements of the REF 2021. This training ensures that all those involved in preparing the University’s submission are fully informed of the University’s moral, ethical and legal responsibilities regarding Equality and Diversity in the REF 2021 process.

28. In relation to those agreeing whether a staff member aspires to and meets EXPECTATIONS associated with significant responsibility for independent research, all Appraisers are required to undertake the University Appraisal Training, which includes an element of Equality and Diversity training. Further, all staff are encouraged to attend the Appraisee training, which shows how staff can get the best out of their appraisal discussions and what to expect. Although discussions on expectations relating to research are a normal part of the appraisal process, we have issued additional guidance on how this relates to REF 2021, and the process for decision making and appeals, for the 2019/20 round to ensure full transparency.

29. Heads of School are responsible for overseeing the allocation of significant RESPONSIBILITY for independent research through workload profiling. As part of their job role, Heads of School are expected to undertake and maintain training on equality and diversity, and this is monitored annually through appraisals.

30. In addition, all staff are encouraged to undertake the EDI related online training modules available through the online learning portal: <https://canterbury.learnupon.com> – staff should pay particular attention to the modules “*Unconscious Bias*” and “*Diversity in the workplace*”.

Appeals

31. Staff will be able to appeal the decision about their inclusion in REF 2021 on the following grounds:

- a. The staff member feels that they have been unfairly discriminated against in relation to any protected characteristics.
- b. The staff member feels the process laid out in the Code of Practice in relation to identification of significant responsibility for independent research has not been followed.

32. Appeals are not permitted relating to the assessment and selection of outputs for submission.

33. Appeals must be addressed in writing to [REFappeals@canterbury.ac.uk]. Appeals will be considered by a panel independent of any REF 2021 decision making processes, chaired by the Deputy-Vice Chancellor, and comprising the Director of HR&OD and the Director of Learning and Teaching (who is also the Academic Board representative on the Governing Body). Requests for appeals should be submitted by the end of October 2019. Reasonable adjustments will be made where requested; staff requiring reasonable adjustments should highlight this in their initial appeal request.

34. The appellant will be invited to meet with the appeal panel to present their case, during which a workplace colleague may accompany them. Following the meeting, the appeal panel will consider the case and arrive at a decision, which will be communicated to the appellant within 10 working days.

35. Staff wishing to seek further advice on appeals should contact the University REF Manager.

Equality Impact Assessment

36. The University will adopt a two-stage Equality Impact Assessment (EIA) process for REF 2021. Each stage will consist of a thorough and systematic analysis to determine whether the relevant policy for the REF had or could have a differential impact on particular groups.

37. The **first stage** will involve an EIA following the identification of *Active Independent Researchers* with significant responsibility for independent research.

38. The EIA will be conducted at an institutional level. HR&OD will provide a data set containing the available equality data for the group of eligible staff (i.e., all staff on academic contracts of 0.2FTE or more, with a substantive connection to the University). This data set will be compared with an identical data set for the group of staff identified as having significant responsibility for independent research. Both data sets will also be compared with data from the Equality Impact Assessment conducted on the University's submission to the REF 2014. A similar analysis will be undertaken of a data set comprising staff sitting on committees and groups making and overseeing policies and decisions relating to REF 2021.

39. Any required changes resulting from the EIA to prevent discrimination or promote equality will be implemented prior to the submission deadline. The Equality Impact Assessment will be further reviewed at the following points:

- a. When considering appeals.
- b. When preparing the final submission.

40. The **second stage** of the EIA will be a review of selected outputs and will be conducted when preparing the final submission. The cohort of included staff for whom more than 3 or more outputs have been submitted will be compared with the cohort of included staff for whom less than 2 or fewer outputs have been submitted (these being the groups above and below the required average).

41. The results of the EIA, including any actions taken to prevent discrimination or promote equality, will be published on the University's website. The results will be both statistical and descriptive, to allow identification of outliers in the data that are not statistically significant. Post-assessment action plans will be developed with active involvement from the CCCU Staff Networks.

Part 3: Determining research independence

Policies and procedures

42. Independence is an important marker to be considered by Appraisers and Appraisees in appraisals to distinguish between the expectations of *Active Independent Researchers* (those with a significant responsibility, workload allocation and expectation to actively engage in independent research) and *Developing Researchers* (those with a workload allocation to support development towards becoming an independent researcher) for those

on T&R contracts. For those on research-only contracts, independence is the required characteristic by Research England for inclusion in the REF.

43. Research England define an independent researcher as “an individual who undertakes self-directed research, rather than carrying out another individual’s research programme” (REF 2019/01, para 131), and lists possible indications (para 132) as:

- a. Leading or acting as principal investigator or equivalent on an externally funded research project.
- b. Holding an independently won, competitively awarded fellowship where research independence is a requirement.
- c. Leading a research group or a substantial or specialised work package.

44. This definition has been further developed to capture the nature of the CCCU workforce, which comprises significant numbers of practitioner academics and those from a previous professional background. These indicators are listed in Appendix 20, and are not intended as a checklist. Appraisers and Appraisees will consider multiple indicators in order to reach a threshold of research independence.

45. For staff on research only contracts, the same process as set out in Part 2 of this code will apply, with Appraiser and Appraisee specifically considering the indicators of independence to agree whether the staff member meets the expectations associated with significant responsibility for independent research. If these EXPECTATIONS are met, then the staff member will be included in REF 2021, as their research-only contract pre-determines that they have RESPONSIBILITY for research.

Part 4: Selection of outputs

Required outputs and the output pool.

46. In REF 2021, the number of outputs each Unit of Assessment is required to submit is calculated by multiplying the FTE of staff identified for inclusion by 2.5. For example, a UoA with 10FTE with no staff circumstances to consider would be required to submit $10 \times 2.5 = 25$ outputs.

47. The number of outputs required for each UoA is referred to as the “*output pool*”. Within this pool, each included staff member must contribute between 1 and 5 outputs to the pool (unless exceptions have been applied for, see para 53-65). The output pool may also contain outputs from former staff, although former staff **do not** count towards the FTE of staff identified for inclusion in the submitting unit. Exceptions may be permitted where a staff member has individual circumstances to declare (see ‘Staff Circumstances’ below and Appendix 21).

Selection of outputs

48. The University has elected to use a devolved approach to selecting outputs for submission. This means that decisions about the submission of outputs will be made at UoA level. However, the following principles and parameters will apply:

- a. Output selection and quality judgements must adhere to published REF 2021 guidance.
- b. Expert review must be the primary means of assessing and selecting outputs for submission.
- c. Journal impact factors, or any other journal ranking system, must not be used by UoAs in any part of the assessment or selection of outputs for submission.
- d. UoAs submitting to sub-panels that have elected to use citation data may use citation data as an indicator of the academic significance of the output, but not as a primary tool in the assessment and selection of outputs, for which expert review must remain the primary means.
- e. Assessments of outputs should be benchmarked and moderated, using internal and external review and advice.
- f. Where external advice is sought as part of the process, this must remain advisory.
- g. Multiple reviews and perspectives should be sought on each output assessed.
- h. Where outputs are allocated a provisional star rating, UoAs should use a scale incorporating at minimum half-star increments to refine decisions.

49. UoAs will be required to submit their protocol and processes for assessing and selecting outputs (including those of former staff – see paragraphs 50-52) to the University REF Management Group for approval. Decisions on the assessment and selection of outputs must be made by the UoA Steering Group and endorsed by the REF Management Group prior to submission.

Former Staff

50. In REF 2021, submissions may also include the outputs of former staff, provided that those outputs were published while they were employed at the university on an eligible contract.

51. Former staff includes staff still employed at the university on the REF 2021 census date (31 July 2020) that are no longer on an eligible teaching and research or research-only contract, and staff that may have been made redundant.

52. The outputs of former staff, including staff made redundant, will be considered for submission according to the same processes as current, full-time, part-time and fixed-term staff.

Overview of Staff Circumstances

53. All staff with significant responsibility for independent research must be included in the University's submission to REF 2021. The University strongly supports the funding bodies' clear commitment to promoting and supporting equality, diversity and inclusion in research careers, and the resulting measures that acknowledge the effect that staff circumstances may have on research productivity.

54. As in REF 2014, consideration is possible for staff who have experienced circumstances that have affected their ability to produce research related outputs (see Appendix 21 for list of circumstances).

55. Due to the decoupling of staff from outputs in REF 2021, reductions granted apply to the output pool (see paragraphs 46-47), although some exceptional circumstances may result in the removal of the minimum requirement of one output from a particular member of staff (see paragraph 57). These measures are to acknowledge the effect individual circumstances have on a staff member's ability to contribute at the same rate as others, and also the effect that such circumstances may have had on the productivity of the Unit of Assessment as a whole.

56. There are many reasons why included researchers may have fewer outputs attributed to them, and therefore the University does not expect that all included staff will be returned with the same number. The decoupling of staff from outputs in REF 2021 provides this flexibility within a given Unit of Assessment.

Reductions

57. There are two mechanisms for reductions within REF 2021:

a) Request to remove the 'minimum of one' output.

In exceptional circumstances, a member of staff may be submitted without the minimum of one output attributed to them. These are circumstances where there has been an exceptional effect on the individual's ability to work productively throughout the assessment period (1 January 2014-31 July 2020), so that the individual **has not been able to produce an eligible output**. Where the request to remove the minimum of one is accepted, the individual may be returned with no outputs attributed to them, and the total output pool will be reduced by one.

For a full list of eligible circumstances to remove the minimum of one, please see Appendix 21

b) Requesting reductions to the Unit of Assessment output pool

It is possible to request a reduction in the total number of outputs required of the UoA for submission, where the UoA contains individuals with staff circumstances. For each individual with staff circumstances, a cumulative reduction of up to 1.5 is permitted. For a list of eligible circumstances and their cumulative reductions please see Appendix 21

If granted, the reduction is applied (in its fractional form if appropriate) to the output pool as a whole, and where the result is a fractional number of outputs required, standard rounding is applied (i.e.: 19 outputs, minus a reduction of 1.5 = 17.5 outputs = 18 required).

Early Career Researchers

58. Early Career Researchers are defined for the purposes of REF 2021 as members of staff who started their careers as independent researchers on or after 1 August 2016. ECR status is defined as a staff circumstance eligible for reductions to the output pool. Staff who wish to submit a reduction request based on ECR status should consult Table L1 in Appendix 21, and follow the same procedure set out in paragraphs 60-65.

Part Time Working

59. For REF 2021, part time working is taken into account within the calculation for the overall number of outputs required for the UoA. For this reason, requests for consideration based on part time working can only be given in very exceptional circumstances, for example if a submitting staff member's FTE on the census date does not reflect their average FTE over the whole assessment period (1 August 2013 – 31 July 2020).

Procedure for submitting Staff Circumstances requests

60. Staff Circumstances requests will be considered by a Staff Circumstances Panel comprising the Pro Vice-Chancellor (Research and Enterprise) (Chair), the Equality and Diversity Manager, the University REF Manager, and the Disability Manager (as required). For the membership and Terms of Reference of this Panel, please see Appendix 22.

61. Staff should request consideration of such circumstances outlined above by completing the Staff Circumstances Disclosure Form (see Appendix 23). The completed form should be submitted to [REFdisclosure@canterbury.ac.uk], a confidential mailbox managed by the Staff Circumstances Panel.

62. Once received, the Staff Circumstances Panel will review the form against the REF guidance on Staff Circumstances. A response will be issued in 15 working days as to whether the University will submit the reduction request to REF 2021.

63. The university is required to submit requests for reductions to the REF Equality and Diversity Advisory Panel (EDAP) in March 2020. All staff circumstances should therefore be submitted to the Staff Circumstances Panel by 31st January 2020 to allow full and proper consideration of such circumstances.

64a. The university recognises that staff circumstances may change between completion of the declaration form and the census date (31 July 2020). If this is the case, then staff should contact the REF Manager to provide the updated information.

64b. The university will invite staff to declare Covid-19-related circumstances, which, in combination with circumstances earlier in the assessment period, have had an exceptional effect on a staff member's ability to produce an eligible output. In this instance, staff should complete a staff circumstances declaration form and submit it to REFdisclosure@canterbury.ac.uk by Monday 30 November 2020.

65. EDAP will make recommendations prior the census date about the appropriate number of outputs that may be reduced without penalty in each UoA, as well as recommendations on accepting any requests to remove the 'minimum of one'.

Data Protection and Confidentiality

66. The University has a robust and confidential procedure to gather and assess information. The information disclosed will only be used for the purposes outlined on the Staff Circumstances Disclosure Form (Appendix 23) unless the University is otherwise directed by the member of staff concerned (for example to use the information to make reasonable working adjustments with regard to disability).

67. The way in which data will be processed and disclosed is clearly outlined on the Staff Circumstances Disclosure form (Appendix 23). All data will be stored in accordance with the REF Guidance on Submissions (REF 2019/01) and General Data Protection Regulations. Data will be process on grounds of Public Duty.

68. If the University decides to apply to REF 2021 for either form of reduction of outputs (removal of 'minimum of one' requirement or reduction to the UoA output pool), we will need to provide UK Research and Innovation (UKRI) with data that the staff member has disclosed about their individual circumstances, to show that the criteria have been met for reducing the number of outputs. Please see the REF 2021 Guidance on Submissions (REF 2019/01, paragraphs 151-201) for more detail about reductions in outputs and what information needs to be submitted. You may request to withdraw your Staff Circumstances form from consideration prior to 31st January 2020.

69. Submitted data will be kept confidential to the REF team, the REF Equality and Diversity Advisory Panel, and Main Panel Chairs. All these bodies are subject to confidentiality arrangements.

70. The REF team and CCCU will destroy the submitted data about individuals' circumstances on completion of the assessment phase.

Part 5: Appendices

Appendix 1 – National REF timetable

Appendix 2 – Institutional REF timetable

Appendix 3 - Strategic Framework 2015-2022

Appendix 4 - Institutional Equality Objectives

Appendix 5 - Equality, Diversity and Inclusion Policy Statement

Appendix 6 - Gender Identity Policy Statement

Appendix 7 - Staff Disability Guide

Appendix 8 – Religion and Belief Policy and Guidance

Appendix 9 - CCCU People Strategy 2019-2022: “Being the difference”

Appendix 10 - Strategic Plan for Research and Enterprise 2018-23

Appendix 11 - Appraisal Policy

Appendix 12 - Principles for Academic Workload Profiling

Appendix 13 - Institutional committee structure

Appendix 14 – REF Management Group Terms of Reference

Appendix 15 – Research and Enterprise Integrity Committee Terms of Reference

Appendix 16 – Main Panel Convenor Role Descriptor

Appendix 17 – Main Panel Steering Committee Terms of Reference

Appendix 18 – UoA Co-ordinator Role Descriptor

Appendix 19 – UoA Steering Group Terms of Reference.

Appendix 20 – CCCU Indicators of Research Independence

Appendix 21 – Reductions for Staff circumstances (including tariffs)

Appendix 22 – Staff Circumstances Panel Terms of Reference

Appendix 23 – Staff circumstances disclosure form

Appendix 24 – Minutes of the JNCC (to be attached once confirmed)

Appendix 1 – National REF 2021 Timetable

September 2017	Publication of 'Initial decisions on the Research Excellence Framework' by the funding bodies, following consultation on implementation of the Stern review recommendations (REF 2017/01)
October 2017	Publication of 'Roles and recruitment of expert panels' (REF 2017/03)
November 2017	Publication of 'Decisions on staff and outputs' (2017/04)
March 2018	Panel membership for criteria phase announced
End of July 2018	Publication of draft 'Guidance on submissions' and 'Panel criteria'
15 October 2018	Close of consultation on draft 'Guidance on submissions' and 'Panel criteria'
January 2019	Publication of final 'Guidance on submissions', 'Panel criteria', and 'Guidance on codes of practice'; appointment of additional EDAP members
Spring/summer 2019	Institutions intending to make submissions to the REF submit their codes of practice; invitation to request multiple submissions, case studies requiring security clearance, and exceptions to submission for small units (staggered deadlines in May, September and December 2019); beta versions of the submission system will be available in both test and live environments for institutions to use
Autumn 2019	Pilot of the REF submission system; survey of submissions intentions opens; proposed date for inviting reduction requests for staff circumstances
December 2019	Survey of submissions intentions complete; final deadline for requests for multiple submissions, case studies requiring security clearance, and exceptions to submission for small units; publication of approved codes of practice
Early 2020	Formal release of the submission systems and accompanying technical guidance; invitation to HEIs to make submissions; invitation to nominate panel members and assessors for the assessment phase; deadline for staff circumstances requests
31 July 2020	Exercise recommences; Census date for staff; end of assessment period (the research environment and data about research income and research doctoral degrees awarded)
14 August 2020	Final deadline for REF6a requests further information
21 August 2020	Final deadline for REF6b requests further information
W/c 14 September 2020	Outcomes of REF6 requests released
Autumn 2020	Appointment of additional members and assessors to panels
2 November 2020	Deadline for HEIs to seek agreement to submit impact case studies from research that was undertaken by an absorbed unit before that unit became part of the submitting HEI; deadline for submission of requests for an output reduction in a unit affected by major unforeseen events
By 6 November 2020	Funding bodies' review of contingency arrangements
31 December 2020	End of publication period (cut-off point for publication of research outputs, and for outputs underpinning impact case studies); end of impact assessment period

31 March 2021 (Midday)	Closing date for submissions
1 June 2021	Deadline for providing redacted versions of impact case studies and corroborating evidence held for impact case studies
30 July 2021	Deadline for submission of staff circumstances report, equalities impact assessment, and final Codes of practice
May 2021 – February 2022	Panels assess submissions
April 2022	Publication of outcomes
Summer 2022	Publication of submissions, panel overview reports and sub-profiles

Appendix 2 – Institutional REF 2021 Timetable

Feb 2019	Initial decisions on Units of Assessment to be submitted.
	Impact Case Study drafts submitted from potential UoAs.
March 2019	Confirmed decisions on Units of Assessment to be submitted.
	Wider REF Management Group convened.
	Main Panel Steering Groups convened.
April 2019	First draft Code of Practice circulated to Research Quality Enhancement and Excellence Group
	Outcomes of 2018/19 census on Significant Responsibility to conduct Independent Research (SRIR) communicated to UoA co-ordinators to allow provisional planning for submission.
	Definitive identification of staff with SRIR commenced through the appraisal and workload profiling process for academic year 2019/20.
	Process for appeals relating to SRIR communicated
	First REF 2021 engagement sessions and workshops held
May 2019	Internal Approval of Code of Practice by Research and Enterprise Integrity Committee
Jun 2019	Process for declaring Staff Circumstances for reductions communicated
	12pm, 7 June, Code of Practice deadline
Dec 2019	Survey of submission intentions returned to REF 2021
Jan 2020	Process to identify and decide individual staff circumstances
March 2020	Individual staff circumstances decisions communicated to staff; staff circumstances submitted to REF
31 July 2020	REF census date
September 2020	Process to identify and decide individual staff circumstances
November 2020	Individual staff circumstances decisions communicated to staff
31 March 2021 (midday)	REF submission deadline

CANTERBURY CHRIST CHURCH UNIVERSITY STRATEGIC FRAMEWORK 2015-2022

OUR VISION

We will be recognised as a leader in education, research and enterprise that supports the South East region's growth and economy, building on our heritage as a globally connected, dynamic and innovative University, delivering an excellent and inclusive experience that provides

OUR MISSION

Inspired by our Church of England foundation, the University's mission is to pursue excellence in higher education: transforming individuals, creating knowledge, enriching communities and building a sustainable future.

OUR VALUES

We value:

- the development of the whole person, respecting and nurturing the inherent dignity and potential of each individual*
- the integration of excellent teaching, research and enterprise*
- the power of higher education to enrich individuals, communities and nations*
- our friendly, inclusive and professional community of students and staff, preparing individuals to contribute to a just and sustainable future.*

STRATEGIC AIMS AND OBJECTIVES

STUDENT EXPERIENCE

Strategic aim

To provide our diverse student body with high-quality holistic student experiences in relation to learning and the wider experience of university in developing global citizens.

Strategic objectives

1. To work with students as partners throughout their journey with us from pre-arrival, through University study and on to graduation, employment and alumni engagement.
2. To provide high-quality support and services that are relevant to individual and collective student needs, underpinned by insight into the demographic and geographical distribution of our student body, including those studying with collaborative partners in the UK and overseas.
3. To provide a distinctive and broad student experience by offering opportunities for external engagement through placements, internships, study abroad, language learning and community engagement as part of developing intelligent citizenship.
4. To develop learning opportunities that demonstrate the personal commitment of staff to their subject area and its pedagogies through research and embedding evidence-based approaches to learning, teaching and assessment.
5. To actively reach out to all students, including those from disadvantaged groups, to build confidence, raise aspirations and attainment, and improve employment outcomes.
6. To deliver high-quality services and facilities across all of our campus and off campus provision, increasingly on a 24/7 basis.
7. To ensure that there are effective mechanisms to receive and act upon student feedback.

EDUCATION

Strategic aim

To maintain and enhance a high-quality, broadly based academic portfolio which builds on and further develops areas of University strength and potential including in relation to partnerships.

Strategic objectives

1. To further develop and diversify the academic portfolio in areas such as Science, Technology Engineering and Maths (STEM), creative and digital industries and new areas of medicine and health related provision.
2. To develop innovative new programmes at undergraduate and postgraduate levels including cross-disciplinary programmes.
3. To explore different models of curriculum delivery such as accelerated degrees and the integration of study abroad or work placement in partnership with other organisations.
4. To develop distinctive curriculum experiences that embed for all students commitments to enhancing graduate employability, entrepreneurialism, internationalisation and social and environmental responsibility, through student co-creation and experience of research and enterprise.
5. To strengthen the University's focus on postgraduate taught provision including through a more integrated approach to curriculum development from Foundation Year through to level 8.
6. To develop increasingly flexible modes of delivery including through part-time and blended learning opportunities.

RESEARCH AND ENTERPRISE

Strategic aim

To extend our research, enterprise and scholarship of practice to grow its contribution to intellectual, social, economic, and cultural prosperity locally, regionally, nationally and internationally.

Strategic objectives

1. To ensure staff are engaged in research, enterprise and/or scholarship of practice.
2. To ensure our research, enterprise and scholarship of practice informs and influences the industries and sectors we serve and in which our students wish to develop careers.
3. To deliver high quality outputs and impacts from our research, enterprise and scholarship of practice.
4. To increase our research student numbers, and ensure that research students and visiting scholars receive high quality experiences and are integrated into the University's community.
5. To diversify and increase our income from research and enterprise through an increasingly broad range of regional, national and international sources.
6. To actively promote research, enterprise and scholarship of practice that is underpinned by high ethical, social and environmental standards.
7. To proactively develop strategic research and enterprise partnerships with industry and the public and third sectors, embedded in the local and regional economy, and extending nationally and internationally.

ENABLING SERVICES

Strategic aim

To ensure effective, efficient, innovative and sustainable use of the institution's resources to enable our people deliver the University's strategic goals across all our locations.

Strategic objectives

1. To ensure that the University is an inspiring place to work where individuals and teams are valued and developed to realise their potential and work collaboratively as part of a learning community contributing to the delivery of the University's objectives.
2. To manage our financial resources appropriately and efficiently in line with agreed strategic priorities and financial targets.
3. To develop the estate so that it is cutting edge, sustainable and supports academic success and the student experience through targeted investment informed by a comprehensive master plan.
4. To ensure that technology enables and supports teaching, learning, research and enterprise through innovative, high-quality and reliable services.



Annual Equality and Diversity Objectives Review 2015-2020

2017 Progress & Impact Update



Foreword from the Vice-Chancellor

I am proud to be Vice-Chancellor of Canterbury Christ Church University. Our University not only offers strong academic programmes, but encourages an inclusive and positive approach to University life as a whole. Our staff and our students dedicate time and energy to promoting and supporting the diversity of our organisation thereby enhancing our community. I am therefore pleased that we have encapsulated our aspirations in these challenging Equality Objectives 2015-20. They consist of specific, measurable targets that aspire to take the University far beyond legal compliance. I invite all of our staff, students and stakeholders to collaborate in attaining them.

Legislative and Policy Context

The Specific Duties of the Equality Act 2010 requires public bodies to publish specific and measurable equality objectives, setting out how progress towards outcomes will be achieved.

The identification of objectives needs to have included consideration of available equality information and a process of engagement and consultation. Objectives are required to be outcome-focused with regard to their impact on people, enabling progress to be clearly evidenced.

Institutional Context

Equality and diversity are central to the successful delivery of the University's aims and objectives across the four key areas of its Strategic Framework 2015-20:

- Student Experience
- Education
- Research and Knowledge Exchange
- Resources

The Strategic Framework is underpinned by five strategies and five cross-cutting themes and the University's equality objectives emerge from and reside within these strategies and themes (see below). Equality and diversity are also key elements underpinning the main strands of the University's People Strategy.

In 2015, the University published Equality Objectives for 2015 – 2020.

This document is the second update since the objectives were launched. The first update was in the form of a RAG report created by the E&D Unit in June 2016.

This document forms the 2017 update and the next review will be published in the spring of 2019 as we seek to align the annual E&D objectives review with business planning cycles.

Review Methodology

During 2017, the Equality, Diversity and Inclusion (EDI) Manager obtained feedback on progress against the 2015 - 2020 objectives and sought ideas for possible updates and impact indicators. This update is comprised of the originally published objectives, with additions based on legislation or institutional changes and/or identified priorities. Small changes to where objectives thematically sit, have also been made where there was opportunity to align objectives into a more cohesive group. The objectives are informed by a wide spectrum of evidence including;

- formal and informal feedback from departments & schools
- equality issues raised by students, staff and the wider community
- responses to legislative changes
- data indicating disproportionality
- best practice initiatives that could promote equality, diversity and inclusion
- feedback from SMT, Equality & Diversity Committee & other key stakeholders

The University E&D objectives fall into these 4 themes:

1. LEADERSHIP & GOVERNANCE

2. INCLUSIVE FACILITIES

3. STUDENT EDUCATION & EXPERIENCE

4. STAFF EXPERIENCE

Measurement of Progress

As the objectives are mapped against the University's Strategic Framework, there is a five-year timeframe for delivery of the proposed Equality Objectives. The 'RAG' rating introduced in June 2016 at first review (Red, Amber, or Green) used in the table is a broad indicator of progress as follows:

Green – on track;

Amber – slightly off-track with mitigating actions underway;

Red – significantly off-track, requiring escalation and urgent action.

Reviewing objectives/ actions

Objectives and actions will be next reviewed in line with the University's business planning processes from 2019 onwards.

University highlights during the period 2015 – 2017



Leadership and Governance

The Athena SWAN framework was launched in 2005, and is run by the Equality

Challenge Unit. Initially established to help universities and research institutions to create more equitable working environments for women in Science, Technology, Engineering, Medicine and Mathematics, in 2015 it was expanded to include arts, humanities, social sciences, business and law. Higher education institutions and individual departments/schools can both apply for an Athena SWAN award.

The University submitted our application for an institutional bronze award in November 2016, and in 2017, the Equality Challenge Unit (ECU) confirmed that we had been awarded the prestigious Bronze Athena SWAN award in recognition of the University's commitment to tackling gender inequality in higher education

The University is now embarking on an ambitious plan to ensure that in addition to our institutional award, each School within the University also achieves its own Athena Swan Bronze Award and that by 2023 we achieve an institutional Silver Award.

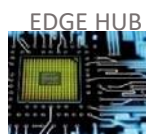


Inclusive Facilities

An Access forum for disabled staff was set up in 2017 and provides feedback to the University on ways to promote disability inclusion. The forum gave feedback on the 'master plan' regarding the design of planned new buildings. A central fund for reasonable adjustments for staff was established to ensure staff could more easily access equipment and other support needs.

Following feedback from staff and students it was also agreed that all new buildings will have gender neutral toilets.

Student Education and Experience



A joint Staff & Student programme of activities was delivered leading up to World Mental Health Day on 10th October 2017 with links made with local and national mental health charities.

A holistic programme of mental health awareness training was commissioned and then commenced in July 2017, delivered by Mental Health First Aid England. This workshop provided managers and staff with the skills to recognise behaviour that suggests that someone is stressed, anxious or depressed, as well as the appropriate skills needed to support people in a professional manner. To date over 180 staff have received training including the Senior Leadership Group (SLG) and Senior Management Team (SMT).

In 2017, the University was awarded £6.12m million to create a new engineering, science and technology centre for Kent and Medway, boosting regional business and economic growth. The KM EDGE Hub is a major initiative designed to support the regional economy by addressing higher-level skills shortages in STEM subjects. As part of this the University is committed to improving take up of these subjects by underrepresented groups and in particular, females.

In 2017, the University was awarded silver in the Teaching Excellence Framework. The University was commended for its work with students from disadvantaged backgrounds, ethnic minority backgrounds and those with disabilities, showing strong learning gain in terms of long-term employment outcomes, and disadvantaged students achieving good degrees at the same rate as other students.

Staff Experience



The May 2017 staff survey showed an increase in positive responses on the equality and diversity section when compared to the 2015 survey. Those aware of the Staff networks increased from 37% to 72%. Feedback was also analysed by protected characteristics and where statistical significant negative responses were found actions to address the results are planned for the future.

In December 2016, the University self-assessed at level two of the (new) Disability Confident Employer Scheme.² The scheme has three levels, 1. Committed, 2. Employer and 3. Leader and its aim is to help employers attract and retain talented disabled staff. As part of our commitment as a disability confident employer we offer a guaranteed interview to disabled job candidates who meet the essential criteria and, once in employment we can provide a range of support from I.T equipment to flexible working. In 2017 the budget for reasonable

² Replacing the 'Two Ticks' charter

2015 – 2020 Equality & Diversity Objectives (Updated December 2017)

adjustments was also centralised and is managed by the Equality, Diversity & Inclusion Manager.

Following feedback from the 2015 and 2017 staff surveys, the E&D function is offering an increased number of staff development events for colleagues to explore reasonable adjustments and become more disability confident. The learning & development programme has also been extended exploring issues relating to race, religion, sexual orientation and gender identity. These will be delivered in 2018.

Equality Objectives 2015-20: Dec 2017 Update

1. LEADERSHIP & GOVERNANCE

The principles of equality, diversity and inclusion for the University an employer, place of education and part of the community are understood and championed by senior staff.

We will continually review our equality progress through i) internal structures e.g. committees and processes and ii) external structures such as the Equality Challenge Unit (coordinators of Athena SWAN and the REC) Objective informed by:

- Best practice
- Athena SWAN charter
- Equality Act 2010 and requirement to pay 'due regard' in decision making

Leadership and Governance Objectives

1. To monitor and improve the diversity of key University committees, the Senior Management Team and Management Group (existing 2015/20 objective).

More information is required on the balance of committee membership by protected groups on decision-making committees. Committees with representation across protected characteristics will be able to provide a wider and more diverse insight about challenges and opportunities for the University.

Key deliverables:

- Committees to be monitored agreed: gender reported embedded and arrangements made for capture and reported of other protected characteristics
2. Equality, diversity and inclusion related policies and processes are in place and reviewed as appropriate (2017 recommended objective)

Currently the equality impact assessment process is sometimes under used and not universally integrated into wider day to day business processes. Aligning the equality impact process with committee and business planning processes will ensure that

equality issues are considered throughout key decision-making processes, fulfilling the University's requirement to pay due regard to the equality impact of decisions. Policies supporting equality will be published and reviewed as required mainstreaming equality considerations into day-to-day activities.

Key deliverables:

- Revise the equality impact assessment guidance
- Integrate equality considerations into business planning processes

2. INCLUSIVE FACILITIES

The University is committed to ensuring that our buildings, facilities and information are inclusive for all. We will listen to the views of staff and students in the design and build of new sites and improvements to existing buildings.

Informed by:

- Equality Act 2010 and requirements around disability access
- Best practice on promoting inclusive environments
- Feedback from the equality teams work, staff networks, student feedback
- University delivery of the Master Plan Estates Development

Inclusive Facilities Objectives

3. To increase the accessibility of the University's Estate (existing 2015/20 objective)

The University and HE sector has experienced significant change in the recent past, with more forecast to come. There will be major changes to the Canterbury Campus with a large expansion and new building widening the expansion of courses being offered to students. As the Equality Act 2010 places an anticipatory duty on the University when considering disability access it is essential that consultation with disabled staff, students etc. continues with regard to the planned and existing campus environment.

Key Deliverables:

- Access awareness checks added into health and safety building checks
- Feedback sessions on disability access and the Estates Master Plan run and integrated into plans
- Staff and students trained on identifying access barriers and reporting incidents

4. Promote wider inclusion through timely and diverse information methods including communication strategy (expanded 2015/20 objective)

Information on the accessibility of buildings is in need of updating. A Campus mapping website system has been identified and will be taken forward in consultation with students and the Staff Access Forum.

Key Deliverables:

- Information on building access for disabled staff and students is mainstreamed into wider campus information
- Working group established to review and recommend on use of imagery RE: protected characteristics and publications

5. To review the provision of inclusive facilities incl. multi-faith facilities at the University and continue to ensure this provision is appropriate (existing 2015/20 objective)

A Church of England Foundation, the University has a commitment to provide an inclusive environment for those of all faiths and none. The Inter-Faith Council will provide guidance on the provision of multi-faith facilities across the University. As well as ensuring that there is suitable prayer space; gender neutral toilets, baby changing facilities, and other inclusive facilities identified through dialogue with staff, students or as good practice will be developed.

Key Deliverables:

- Catering for various dietary needs reviewed
- Availability of prayer facilities / breast feeding and baby change facilities reviewed
- Information on religious observance available online

3. STUDENT EDUCATION & EXPERIENCE

We will have effective systems for the collection and analysis of equality data across protected characteristics. Potential inequality will be identified in key areas; attainment, interruptions, withdrawals, satisfaction; and action to address this undertaken.

We will work to be an inclusive and welcoming place for learning by increasing awareness around EDI, promoting positive messages and create an atmosphere to encourage good relations between those from different backgrounds.

Informed by:

- Legislation - Reporting requirements of Equality Act 2010, Gender Pay Gap regulations/ HESA returns/ informing OFFA/ range of University data including
- Annual student equality report
- Surveys - USS, PTES, PRES, DLHE
- Best practice
- Feedback from equality work/ Student Union/ students

Student Education and Experience Objectives

6. To expand and improve equality data analysis for students (existing 2015/20 objective)

Data is an essential tool in determining any disproportionate outcomes for different groups, how they may be impacted by decisions and influence business planning. Data at a faculty, school and programme level can help them develop specific interventions to address issues identified in their area such as additional support for students or expanding the curriculum content or delivery.

Key Deliverables:

- Student equality data reports agreed as part of new student data reporting system.

7. To reduce the degree attainment gap between BME and other students (existing 2015/20 objective)

BME students have received a lower percentage of 'good degrees' compared to

White students. The difference is statistically significant at the University level and across all Faculties.

Key Deliverables:

- The Inclusive Curriculum working group re-established – BME attainment to be focus
- Annual report on achievement, retention expanded and inclusive of feedback from student surveys
- Catalyst programme on Changing Mindsets established
- Encourage underrepresented groups (particularly women and those from widening participation backgrounds) into the University particularly in STEM subjects following the creation of the EDGE hub

8. To measure and address significant differences in graduate employment across the protected characteristics (existing objective)

National data and the 2016/17 DHHE shows that disabled graduates face more challenges in the workplace with disabled students being less likely to be in a graduate role or in employment in general. The University has a specific programme of work to enhance the career prospects of its disabled students.

Key Deliverables:

- DLHE data is analysed annually
- GRIT careers programme established

9. To increase awareness of equality and diversity in the student body (existing 2015/20 objective)

Qualitative feedback from students suggests a need to bring students from different backgrounds together. Student related cases brought to the E&D Office and issues raised with the office by academic staff indicate these issues are also present in the CCCU student body. There is a need to identify equality issues and promote inclusive initiatives like the Faculty of in Arts and Humanities “Culturocity” project within all aspects of student life.

Key Deliverables:

- In partnership with staff/ DEL officers / students, identify equality issues and ways to address them e.g. wider discriminatory incident reporting on campus
- Establish a group to agree a communication/ events plan following a review of involvement in equality related events in the community and across the University
- Expand ‘One CCCU’ activities like One World Week, Culturocity

10. To measure and address significant differences in student satisfaction across the protected characteristics (existing 2015/20 objective)

In order to understand the issues underlying differences in student satisfaction, it is necessary to conduct statistical analysis on NSS and USS data, across the protected characteristics and including JACS codes.

Key Deliverables:

- Annual student equality report published (data on USS, PRES, PTES included) □
Policies and practices related to student placements reviewed

4. STAFF EXPERIENCE

The diversity of our staff is seen as an asset by the University. We are committed to creating an environment where diversity is celebrated, where staff are given the opportunities and skills they need to develop themselves and enable our students to succeed.

We will review staff data and take steps to address any disproportionality between protected groups where identified.

Informed by:

- Legislation - requirements of Equality Act 2010, Gender Pay Gap regulations
- Annual Staff report
- Gender Pay Gap report
- Staff / Athena SWAN Survey
- Best practice
- Feedback from equality work/ staff networks/ student feedback **Staff**

Experience Objectives

11. To address the under-representation of women in preparation for the Research Excellence Framework (REF) 2020 exercise (existing 2015/20 objective)

The REF 2014 Equality Impact Assessment indicated an under-representation of female staff in the REF return. Whilst 56.1% of academic staff were female, only 42.5% of staff entered in the REF 2014 were female. Benchmark data for the sector will be reviewed before the target is confirmed. The University's Athena SWAN activities will address the gender issues identified but it may take a number of years for the impact to take effect.

12. Address issues identified in the 2015 / 2017/ 2019 staff survey
 (expanded 2017 objective)

In the 2011 Staff Survey, 71% of staff reported that they believed the University is committed to equality of opportunity for its entire staff. This increased to 82% in 2015 and to 89% in 2018. Equality and Diversity training is available to every new member of staff along with other tailored staff development programmes.

A range of actions have already been taken to improve the experience of disabled staff identified as an issue in the 2015 survey. To take this forward further guidance and support for staff will continue to be developed.

Key Deliverables:

- Guidance for managing disabled staff revised and reasonable adjustment guidance introduced
 - Action plan addressing 2017 staff survey results developed
13. To analyse the progression of staff with different protected characteristics within the institution (existing 2015/20 objective)

Reviewing and analysing staff data enables the University to identify and implement actions to address any disproportionality. Using this information to assess our position against external charters provides feedback from an outside and expert perspective as well as providing recognition for good work, which can positively impact the reputation of the University.

Key deliverables:

- Agree which equality workplace charters and the University will be taking forward.
 - Each Faculty in the University will have a Departmental Athena SWAN Bronze award
14. To extend and improve staff equality and diversity data (existing 2015/20 objective)

StaffSpace Phase 1 has now implemented. The system will make reporting on the employment journey easier, enabling managers to produce their own data reports.

Key deliverables:

- Annual exercise undertaken to encourage staff to update equality information
- Annual staff equality report published
- Gender pay gap report and action plan published



15. To promote equality awareness through the development and delivery of training, development and other opportunities for staff (recommended 2017 objective)

It is essential that staff have the opportunities to identify and develop the skills they need to support students and other members of staff. The staff development programme for Equality and Diversity has expanded but there is more that might be offered.



Key deliverables:


- E&D learning programme to be delivered and reviewed annually

Equality, Diversity and Inclusion 2015-2020 Action Plan (December 2017 update)


OBJECTIVE	ACTION(S)	UNDERPINNING COMMITTEES/ STRATEGIES/	MEASUREMENT DATA		SMT LEAD & IMPLEMENTATION LEAD
			BASELINE	TARGET	
Leadership and Governance					
1. To monitor and improve the diversity of key University committees, the Senior Management Team and Management Group	Committees to be monitored agreed: gender reported embedded and arrangements made for capture and reported of other protected characteristics	Athena SWAN Implementation Committee Equality Diversity and Inclusion Committee	Athena SWAN submission data	Gender 40/60 ratio.	SMT lead:  Pro Vice Chancellor (Research & Enterprise) Implementation lead: Athena SWAN Coordinator
2. Equality, diversity and inclusion related policies and processes are in place and reviewed as appropriate	Revise the equality impact assessment guidance Integrate equality considerations into business planning processes	Equality Diversity and Inclusion Committee Finance and Resources Committee People Strategy	2017 policy suite	3 yearly review	SMT lead:  Director of HROD Implementation lead: EDI Manager HR Business Partner (Corporate)


Inclusive Facilities



<p>3. To increase the accessibility of the University's Estate</p>	<p>Access awareness checks added into health and safety building checks</p> <p>Feedback sessions on disability access and the Estates Master Plan run and integrated into plans</p> <p>Staff and students trained on identifying access barriers and reporting incidents</p>	<p>Estates Master Plan</p> <p>Health and Safety 5 year plan/ Health and Safety Group</p> <p>Staff Access Forum</p> <p>Equality Diversity and Inclusion Committee</p>	<p>EMP 1st Accessibility Review from 2016</p>	<p>Timely audits of increased accessibility evidence</p>	<p>SMT lead: </p> <p>Director of Estates and Facilities</p> <p>Implementation lead: H&S Manager/ Director Master Plan/ EDI Manager</p>
<p>4. Promote wider inclusion through timely and diverse information methods including communication strategy</p>	<p>Information on building access for disabled staff and students is mainstreamed into wider campus information</p> <p>Working group established to review and recommend on use of imagery re: protected characteristics and publications</p>	<p>Digital Communications Advisory Group</p> <p>Marketing and Communication Forum</p>	<p>2017 existing information</p>	<p>2020 Goal</p>	<p>SMT lead: </p> <p>Director of Marketing and Communication Director of Information Technology</p> <p>Implementation lead: Senior IT Business Analyst EDI Manager</p>


<p>5. To review the provision of inclusive facilities incl. multifaith facilities at the University and continue to ensure this provision is appropriate</p>	<p>Catering for various dietary needs reviewed</p> <p>Prayer facilities improved/ breast feeding and availability of baby change facilities reviewed</p> <p>Information on religious observance available online</p>	<p>Inter Faith Network</p> <p>Equality Diversity and Inclusion Committee</p>	<p>2015 – 2017 Existing Provisions</p>	<p>To discuss</p>	<p>SMT leads:  Director of Estates and Facilities</p> <p>Implementation leads: Facilities Manager Catering Manager Dean of Chapel EDI Manager</p>
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Student Education and Experience


<p>6. To expand and improve equality data analysis for students</p>	<p>Student equality data reports agreed as part of new student data reporting system.</p>	<p>MOSI Steering Board</p>	<p>Existing Annual Student Data Report</p>	<p>To be discussed</p>	<p>SMT Lead:  Director of Planning & Academic Administration</p> <p>Implementation Lead: Planning and Reporting Manager EDI Manager</p>
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<p>7. To reduce the degree attainment gap between BME and other students</p>	<p>The Inclusive Curriculum working group re-established and actions to reduce BME attainment gap proposed</p> <p>Annual report on achievement, retention expanded and inclusive of feedback from student surveys</p> <p>Catalyst programme on Changing Mindsets established</p> <p>Encourage underrepresented groups (particularly women and those from widening participation backgrounds) into the University particularly in STEM subjects following the creation of the EDGE hub</p>	<p>Inclusive Curriculum Working Group</p> <p>Learning and Teaching Strategy</p>	<p>2016/17 Equality Report Attainment data Attainment Gap White and BME students: 29% White and Black Students: 41%</p>	<p>2018 results onwards</p> <p>Access Agreement targets 2020 reduce BME degree attainment gap to 18% Increase % of students that are: BME: 16.7% Disabled: 13.7% Care leavers: 46 (students) Low income backgrounds: 44.4%</p>	<p>SMT Lead:  Senior Pro Vice-Chancellor (Education, Enhancement & Student Experience)</p> <p>Implementation Lead: Faculty Director of Learning and Teaching – Arts and Humanities Deans</p>
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<p>8. To measure and address significant differences in graduate employment across the protected characteristics</p>	<p>DLHE data is analysed annually</p> <p>GRIT careers programme run and impact reviewed</p>	<p>Education and Student Experience Committee</p>	<p>DLHE data UK grads Emp: 95.8% Grad emp: 67.6% Overseas EU grads Emp: 90.5% Grad emp: 56.9% Black grads Emp: 93.3% White grads Emp: 96.1% Disabled grads Emp: 92.3% Non-dis grads Emp: 96.1%</p>	<p>Annual results comparisons</p>	<p>SMT Lead: </p> <p>Senior Pro Vice-Chancellor (Education, Enhancement & Student Experience)</p> <p>Implementation lead: Director Student Experience</p>
<p>9. To increase awareness of equality and diversity in the student body</p>	<p>In partnership with staff/ DEL officers / students, identify equality issues and ways to address them</p> <p>Establish a group to agree a communication/ events plan following a review of involvement in equality related events in the community and across the University</p> <p>Expand 'One CCCU' activities like One World Week, Culturocity</p>	<p>Education and Student Experience Committee</p>	<p>E&D case work and enquiries from staff</p>	<p>E&D case work and enquiries from staff reduced year on year</p>	<p>SMT lead: </p> <p>Senior Pro Vice-Chancellor (Education, Enhancement & Student Experience)</p> <p>Implementation lead: Student Communications Manager Equality, Diversity and Inclusion Manager Assistant Director of Marketing & Communication</p>

10. To measure and address significant differences in student satisfaction	Annual student equality report published (data on USS, PRES, PTES included)	Education and Student Experience Committee	Annual Report	Annual Report	SMT Lead:  Senior Pro Vice-Chancellor (Education, Enhancement & Student
across the protected characteristics	Policies and practices related to student placements reviewed				Experience) Implementation lead: University Student Survey Manager

Staff Experience

11. To address the underrepresentation of women in preparation for the Research Excellence Framework (REF) 2020 exercise	Explore ways in which we can support an increase the number of women applying to the REF.	Athena SWAN Implementation Committee Equality Diversity and Inclusion Committee	2014 baseline difference: 13.6%	2020 target difference: 9%	SMT Lead:  Pro Vice Chancellor (Research & Enterprise) Implementation lead: Athena SWAN Coordinator
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<p>12. Address issues identified in the 2015/ 17 /19 staff surveys</p>	<p>Guidance for managing disabled staff revised and reasonable adjustment guidance introduced</p> <p>Action plan addressing 2017 staff survey results developed</p>	<p>Equality Diversity and Inclusion Committee</p>	<p>Disabled staff 2015 baseline: 76%</p>	<p>Disabled staff 2019 target: 85%</p>	<p>SMT Lead: [REDACTED] Director HROD</p> <p>Implementation lead: EDI Manager</p>
<p>13. To extend and improve staff</p>	<p>Annual exercise undertaken to encourage staff to update equality information</p>	<p>People Strategy</p>	<p>2017 Annual Reports</p>	<p>Each annual report as comparator</p>	<p>SMT lead: [REDACTED] Director HROD</p>
<p>equality and diversity data</p>	<p>Annual staff equality report published</p> <p>Gender pay gap report and action plan published</p>				<p>Implementation lead: HR Operations Manager EDI Manager</p>
<p>14. To analyse the progression of staff with different protected characteristics within the institution</p>	<p>Agree which equality workplace charters and the University will be taking forward.</p> <p>Challenging gender roles and encouraging underrepresented groups into STEM in the creation and development of the EDGE hub</p> <p>Each School in the University will have a Departmental Athena SWAN Bronze award</p>	<p>Athena SWAN Implementation Committee</p> <p>Equality Diversity and Inclusion Committee</p>	<p>No baseline</p>	<p>TBC</p>	<p>SMT lead: [REDACTED] Director HROD Pro Vice-Chancellor (Research and Enterprise)</p> <p>Implementation lead: Athena SWAN Coordinator E&D Manager</p>

<p>16. To promote equality awareness through the development and delivery of training, development and other opportunities for staff</p>	<p>E&D training programme delivered and reviewed annually</p>	<p>Finance and Resources Committee</p> <p>People Strategy</p> <p>Organisational and Staff Development Committee</p>	<p>2016/17 programme and evaluations</p>	<p>2017/18 programme and evaluations</p>	<p>SMT lead:  Director HROD</p> <p>Implementation lead: E&D Manager</p>
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EQUALITY, DIVERSITY AND INCLUSION POLICY STATEMENT

Canterbury Christ Church University is committed to providing an inclusive environment in which everyone is treated with dignity and respect. This means sustaining a culture that is free from discrimination linked to age, caring responsibilities, disability, gender identity or reassignment, marital status (including civil partnership status) pregnancy and maternity, race, religion and belief, sex, sexual orientation, or any combination of these characteristics.

The University takes a proactive approach to promoting equality and is committed to a range of actions designed to create a welcoming and positive environment for all staff, students and stakeholders.

These include but are not limited to:

- Maintaining an appropriate infrastructure to develop and implement equality strategies.
- Involving and consulting staff and students about equality, diversity and inclusion issues.
- Ensuring that members of staff are aware of the University's policies and procedures in relation to equality, diversity and inclusion and know their legislative rights and responsibilities through the provision of appropriate training and education.
- Ensuring that all applicants, students, staff and visitors to the University are treated with respect and dignity and receive fair treatment in all aspects of their applications, employment and learning.
- Ensuring policies and procedures are fairly constructed and applied.
 - Ensuring that the University continues to honour its commitments in relation to its membership of the Disability Confident scheme.

Further detail about the steps the University has committed to take to promote equality and eliminate discrimination can be found on its webpages and in relevant policy documents. These documents can be found on the Equality, Diversity and Inclusion and Human Resources and Organisational Development pages of the University website

Overall responsibility for the implementation of this policy lies with the Senior Management Team, supported by the Equality and Diversity Committee. All staff, students and University visitors are expected to act within the remit of this policy statement.

The University will investigate any allegations of unlawful discrimination, including harassment and victimisation and if they are substantiated, will take appropriate disciplinary action against students or employees.

If any individual believes that s/he has been harassed, intimidated or unlawfully discriminated against by any employee or student of Canterbury Christ Church University, s/he should follow the procedures on the staff and student webpages.

Updated: March 2019

Next Review: March 2020

Gender Identity Policy Statement

Introduction

Gender reassignment is a protected characteristic under the Equality Act 2010. As such it is one of the newest equality strands to be protected by legislation and has not been routinely considered in policy development in the past. Canterbury Christ Church University (CCCU) has therefore developed this specific policy statement in relation to Gender Identity.

CCCU recognises that there can be differences between physical sex and gender identity, appearance and/or expression¹. Where this policy statement refers to 'trans people', it means people who would consider themselves to be in any of the following categories: transgender, intersex², transvestite, transsexual or of any non-normative gender identity.³ Definitions of these terms can be found at the end of this document. When it refers to 'gender identity', it covers both the identities of people living in the gender assigned to them at birth and the identities of trans people which can be fixed or fluid.

CCCU celebrates and values the diversity of its workforce, and believes that the University will benefit from employing trans people at all levels of responsibility, thus hoping to provide role models for students who identify as trans. CCCU will treat all employees and students with respect, and seek to provide a positive working and learning environment free from discrimination, harassment or victimisation.

The University's commitment to trans staff and students:

- I. Students will not be denied access to programmes, progression to other courses, or fair and equal treatment while on courses because of their gender identity.
- II. The curriculum will not be delivered in a way that results in harassment of or discrimination towards trans people.
- III. CCCU will respect the confidentiality of all trans staff and students and will not reveal information without prior agreement of the individual or if required by law.
- IV. Staff will not be excluded from employment or promotion because of their gender identity.
- V. CCCU welcomes, and will provide appropriate facilities (for example toilets) for trans students and staff.
- VI. CCCU acknowledges the personal safety issues of trans people and where possible will take reasonable action to address them.
Trans-phobic abuse, harassment or bullying (name-calling/ derogatory jokes, unacceptable behaviour, intrusive questions) will not be tolerated.
- VII. Trans-phobic propaganda, in the form of written materials, graffiti, music or speeches, will not be tolerated. CCCU undertakes to remove any such propaganda whenever it appears on the premises.
- VIII. CCCU will provide a supportive environment for staff and students who wish their trans status to be known. However, it is the right of the individual to choose whether they wish to be open about their gender identity. To intentionally 'out' someone, whether staff or students, without their permission is a form of harassment and, possibly, a criminal offence. Gender identity issues will be included in equality training.
- IX. Having consulted with trans staff and students and the trans community, CCCU will include gender identity in internal attitudinal surveys, and when monitoring complaints of harassment.
- X. In providing accommodation for students, any concerns or issues raised by trans students will be handled by the accommodation office and will be treated fairly and in line with the University's obligations under equality law.
- XI. Staff and students undergoing psychological, medical or surgical interventions related to gender identity will receive where possible reasonable support from CCCU to meet their particular needs during this period.

¹ Or gender performativity as denoted in Queer Theory.

² While recognising the difference between trans and intersex people, for the purpose of this policy the term trans includes intersex conditions and identities.

³ Including, for example, gender incongruence, gender fluidity, 'gender queerness', gender resistance and a-genderism.

XII. CCCU recognises that trans staff and students come from diverse backgrounds, and will strive to ensure they do not face discrimination on the grounds of their gender identity or in relation to other aspects of their identity, for example, their race, age, religion, disability or sexual orientation. In addition, in the University's policies, assumptions will not be made about the partners of trans staff or students.

XIII. CCCU will ensure that its environment, in terms of its pictures, images, publicity materials and literature, reflects the diversity of its staff and students.

XIV. When requested, CCCU will take reasonable steps to change the records of trans students to reflect their identity, including records and documentation under CCCU's control of former students who change their identity in a way covered by this policy statement.

Breaches of this policy may constitute disciplinary offences and will be dealt with under the appropriate staff and student procedures or relevant professional codes of conduct.

Definitions

The following definitions are taken from the Equality Challenge Unit guidance: *Trans Staff and Students in Higher Education (2010)*.

Please be aware that this is an area of ongoing discussion and debate and that definitions can be contested and vary according to individual perspective.

Gender

Gender consists of two related aspects: gender identity, which is a person's internal perception and experience of their gender; and gender role or expression, which is the way a person lives in society and interacts with others. Gender is less clearly defined than anatomical sex, and does not necessarily represent a simple binary choice: some people have a gender identity that is neither clearly female nor clearly male; however, the overwhelming majority of the population has a gender that accords with their anatomical sex. It should be noted that currently, for the purposes of the law, gender is binary – people can only be male or female.

Gender presentation/expression

While gender identity is subjective and internal to the individual, gender presentation, either through personality or clothing, can determine how a person's gender is perceived by others. Typically, trans people seek to make their gender expression and presentation match their gender identity, rather than their birth sex.

Gender/sex reassignment

Gender reassignment is a process undertaken under medical supervision to reassign a person's gender by changing their physical sexual characteristics. Gender reassignment or transition includes some or all of the following social, legal and medical adjustments: telling one's family, friends, and/or colleagues; changing one's name and/or sex on legal documents; hormone therapy; hair removal, voice therapy and possibly (although not always) chest and/or genital surgery.

Gender reassignment is also referred to as sex reassignment. In fact, the term gender reassignment is considered by some to be inaccurate, as people with gender dysphoria do not change the gender with which they identify, they change their sexual characteristics to match their gender identity.

Intersex

Intersex is a biological condition that people are born with. Intersex people can have a combination of male and female anatomy; as a result, their biological sex cannot easily be classified as either male or female. Until recently, the medical profession encouraged parents to elect for surgery on their intersex baby so that their child would conform to stereotypical male or female appearances. Subsequently, many intersex people encountered difficulties later in life as the gender prescribed by the medical profession and their parents was different from the gender with which they associate. Today, parents are advised to delay surgery until their child reaches puberty so that the child can inform decision-making. Not all intersex people opt for surgery, and many will consider themselves to be intersex rather than male or female.

In addition, there are a number of sex chromosomal variations which may not produce any visible anatomical variation in a person, and which may not be detected until puberty or even later in life. This can include medical conditions such as Turner's syndrome, Klinefelter's syndrome (XXY syndrome), and mosaicisms whereby half of a person's cells have one form of sex chromosomes and the other half another (eg XX/XY mosaicism).

While trans issues are different from intersex issues, intersex people who had their gender incorrectly prescribed at birth may decide to transition to the gender with which they identify later in life.

Trans

An inclusive term for those who identify themselves as transgender, transsexual or transvestite. The term 'trans' can be used without offence but should only be used as an adjective, for example 'a trans student'.

Trans man – a person who is transitioning, or has transitioned from female to male. The term female-to-male (or FTM) is a medical term indicating the direction of a person's transition and may occasionally be used to describe a trans man.

Trans woman – a person who is transitioning, or has transitioned from male to female. The term male-to-female (or MTF) is a medical term indicating the direction of a person's transition and may occasionally be used to describe a trans woman.

Transgender

An umbrella term for people whose gender identity and/or gender expression differs from their birth sex. The term may include, but is not limited to, transsexual people and those who see themselves as not clearly fitting into a male or female identity. Transgender people may or may not alter their bodies hormonally and/or surgically. The term transgender should only be used as an adjective, for example, 'transgender people'.

Transitioning

Transitioning is the term used to describe someone changing from one gender to another, with or without medical intervention.

Transphobia

Transphobia is a term used to describe discrimination that can be experienced by trans people, which arises as a result of their expression of their gender identity (see Gender).

Transsexual person

A transsexual person is someone who feels a consistent and overwhelming desire to transition to their preferred gender. Someone in this position will have the medical condition gender dysphoria. This term should only be used as an adjective; individuals should be referred to as 'transsexual people' not 'transsexuals'.

Transvestite or cross-dresser

The terms transvestite and cross-dresser refer to someone who dresses in the clothing typically worn by the opposite sex. Generally, people who are transvestites/cross-dressers do not wish to alter their body and do not necessarily experience gender dysphoria.

Approved by Governing Body March 2012

STAFF DISABILITY GUIDE

The purpose of this guide is to outline the rights and responsibilities of disabled staff or staff who are working with, or line managing, disabled staff. As a manager, it is highly likely that at some point in your working life you will have managerial responsibility for a disabled staff member - whether you have employed a disabled person or whether someone you manage develops a disability. This should not be a cause for concern, but an opportunity to work collaboratively, as you would with any staff member, to ensure a positive working environment.

Canterbury Christ Church University is proud to participate in the [Disability Confident Scheme](#) which encourages disabled people to apply to work here. The University is also proud of its commitment to support disabled staff so that they are able to thrive in their roles.

In order to support you in working with disabled staff, the following information has been compiled:

1. Defining Disability and types of Disability Discrimination;
2. Positive Communication;
3. Reasonable Adjustments;
4. Health and Safety (in case of emergency evacuation);
5. Mental Health;
6. Sickness Absence;
7. Performance Management;
8. Support for Managers; 9. Support for Disabled Staff.

Defining Disability

1.1. [The Equality Act \(2010\)](#) defines a disability as, “any physical or mental impairment which has a substantial and long-term¹ adverse effect on someone’s ability to carry out normal day to day activities.” Disability is a very broad term. The legal definition focuses on the effects of the disability - with the exception of cancer, multiple sclerosis and HIV/Aids which are defined as disabilities from their point of diagnosis. A disability covers not just obvious physical conditions, but hidden impairments like diabetes, depression and dyslexia too.

1.2. The University supports the [social model of disability](#). This philosophy and attitude recognises that people are not primarily disabled because of their impairments. Disability is socially created by physical, organisational and attitudinal barriers.

1.3. Many people do not consider themselves as disabled and instead may refer to themselves as having a health condition (e.g. asthma), a mental health condition (e.g. depression), or as having difficulties with certain tasks (e.g. reading or dyslexia). It is up to the individual how they identify however, if they meet the definition of a disability under the Equality Act then reasonable adjustments will need to be made (see Section 3).

¹ Long term means that it is expected to last for at least 12 months, or the rest of a person’s life.

1.4. The different types of disability discrimination are outlined at Appendix A.

Positive Communication

2.1. As a manager, it is of course important to build positive relationships with all your staff. There may be a few extra things to consider for disabled staff – in particular whether and how to discuss their disability. Some staff may not wish to discuss their disability and they should not be obliged to do so unless it is necessary for practical reasons. If you do have such a discussion, remember that even if you are knowledgeable about a disability, you may not know how it affects an individual. It is important not to make assumptions about what a staff member needs, but to ask them tactfully and confidentially what adjustments they need for their particular disability.

Reasonable Adjustments

3.1. You may have heard the term “reasonable adjustments” in relation to disabled people. Equality law recognises that bringing about equality for disabled people may mean, if possible, changing the way in which employment is structured, the removal of physical barriers and/or providing extra support for a disabled member of staff. This is the duty to make reasonable adjustments.

3.2. The duty to make reasonable adjustments aims to make sure that, as far as is reasonable¹, a disabled staff member has the same access to everything that is involved in obtaining, doing and keeping a job as a non-disabled person. As a manager you are under a positive and proactive duty to take steps to remove or reduce or prevent the obstacles a disabled staff member or job applicant faces.

3.3. If you would like to discuss what may be reasonable to support you or your member of staff, please get in touch with your HR Advisor. Please also see CCCU's [“Log for Reasonable Adjustments”](#) toolkit.

3.4. The following are some examples of types of adjustment:

- Providing specialist equipment or modifying equipment.
- Allowing the staff member to work flexibly or adjust their working hours.
- Changing the working environment (for example, changing the lighting or installing a ramp).
- Altering assessment procedures (for example, adapting the recruitment process so that a disabled candidate can be considered for a job).
- Providing training or mentoring.
- Adapting communication.
- Attitudinal changes (by opening up discussions, and raising awareness).

3.5. If the adjustment requires funding, such as the purchase of equipment, there are several ways in which managers can access assistance with this:

- To ensure staff are treated equitably across the institution, there is a central fund available to reduce the impact of disability on individual departments. This is held by HR&OD. Your HR Advisor will be able to advise whether a purchase may be eligible for funding from this budget.

¹ An employer needs to make an evidence-based decision on whether or not an adjustment is reasonable. This will depend on a variety of factors including: the cost; organisational resources (the employer must show that they have explored all financial avenues); the practicality of the adjustment; its ability to prevent the disadvantage; any disruption to the business and the effect on others; the employee's length of service.

- There is the [Access to Work Scheme](#). This government scheme provides disabled individuals with information and support to help them in the workplace, and may assist employers with the costs of practical support in the workplace if necessary. Employees should talk to their HR Advisor about reasonable adjustments before contacting Access to Work directly for an assessment.
- Assistive Technology is available. There are a number of software packages installed on computers which can help with disabilities, and some equipment is available on the Assistive Technology section of the [IT Purchasing Tool](#). The University appreciates that staff may need to test equipment in their working environment before a purchase is made so an Assistive Equipment Loan Service is available. For more information contact the IT Service Desk at it-service@canterbury.ac.uk

3.6. However, you should not consider the management of disabled staff to be separate from your duty of care to all members of your team. Many staff members will have differing requirements, such as caring responsibilities, studying for a qualification, or temporary health issues. It is best practice to make adjustments where possible for anyone who has specific needs and requests, whether or not they fit the legal definition of disabled.

Health and Safety (in case of emergency evacuation procedures)

4.1. One of the areas you need to consider as a manager is the health and safety of the staff you manage, including emergency evacuation from the workplace. Safe evacuation procedures must be pre-planned, identify the needs of disabled people, and make proper arrangements for their assistance.

4.2. A review of the arrangements for the evacuation from each building should form an integral part of the assessment for each disabled member of staff, student and visitor. The purpose is to ensure that arrangements for evacuation complement those for access.

4.3. The record of the arrangements for personal evacuation will be a [Personal Emergency Evacuation Plan \(PEEP\)](#). The underlying question in deciding whether a PEEP is necessary is "can you evacuate the building unaided, in a prompt manner, during an emergency situation?" If the answer is "no", then it is likely that a PEEP is needed. If you need assistance evacuating from a building, even temporarily, it is your responsibility to inform and complete a PEEP with your line manager. The PEEP should be reviewed on a regular basis.

4.4. In addition, [Generic Emergency Evacuation Plans \(GEEPS\)](#) are available for University buildings that are likely to host events, or where visitors are likely to be in attendance. The GEEP will enable visitors to the building with restricted mobility, or those who may not be able to evacuate [unaided, to become familiar with the layout, evacuation procedures and available equipment](#).

4.5. Health and Safety co-ordinates the production of GEEPs and staff PEEPs, and Student Health and Wellbeing co-ordinates the production of student PEEPs. A list of [Evacuation Chair locations and Evacuation Chair Trained Operatives](#) is also maintained.

4.6. More information on PEEPs, GEEPS and the evacuation of people requiring assistance is available at: <https://cccu.canterbury.ac.uk/health-and-safety/in-case-of-an-emergency/evacuation-procedure.aspx>

4.7. Any enquiries should be addressed to health.safety@canterbury.ac.uk

Mental Health

5.1. Mental health issues are common – one in four people will experience some kind of mental health problem in the course of a year – but many people find these issues harder to talk about than other health problems. Fear of being discriminated against leads many staff to hide their mental health issues. As a manager, you can help to change this attitude and create an open and supportive environment.

5.2. What you can do to help:

- ❖ Encourage your team to feel that they can talk to you about things which are important to them, by taking a genuine interest in their activities and wellbeing.
- ❖ Be positive about mental health and encourage staff to take breaks, and to join in any health or wellbeing sessions, whether these are for body or mind.

The [Wellbeing](#) web page may give you some ideas.

- ❖ Notice any changes in performance, behaviour or health, and raise these gently, asking how they are and if there is anything going on that you need to be aware of.
- ❖ Look for practical answers to help employees who have mental health issues, such as:
 - changing working hours to accommodate side effects of medicine;
 - having regular meetings with staff to check that they are feeling in control of their workload;
 - allowing reasonable time off for an employee to get support such as counselling;
 - referring the employee to the [Health and Wellbeing support services](#) provided by the University.
- ❖ Consider attending a [training course](#), such as Mental Health Awareness Training.

5.3. If you need some guidance, your HR Advisor can support you.

Sickness Absence

6.1. There is no evidence that disabled staff have higher rates of sickness absence than any other staff. It is also important not to confuse a disability with ill health. While in many cases this will not be the case, there may be occasions when a disabled staff member is likely to need to be absent from work. Some examples are:

- when first contracting an illness or disability;
- whilst adjusting to new medication;
- if certain times of year affect a disability;
- fluctuating conditions which have periods of remission and relapse.

6.2. The [Sickness Absence Management procedure](#) provides guidance on having regular conversations with individuals about their health and reasons for absence, and when you should consider investigating further.

6.3. Training is available, including the [Managers' Essential Workshop](#).

Performance Management

7.1. Line Managers have a vital role to play in enabling staff to work to the best of their abilities. Provided that the correct adjustments are put into place to allow people to work to their full capacity, disabled staff should have no greater problems with performance than any other member of staff. Meeting with all staff on a regular basis, and creating an open and supportive environment to discuss their workload and development is good practice.

7.2. Guidance on how to manage underperformance is provided in the [Performance Improvement Procedure](#).

Support for Managers

8.1. You may wish to have some support and assistance as you work with disabled members of staff. As well as the list of websites at the bottom of this page, you can also find help and information as follows:

- Staff Development provide a wide range of courses which may help you to support your disabled staff;
- HR Advisors are available to provide you with advice and guidance about any specific situations you may have.

Support for Disabled Staff

9.1. As a manager, you may be in a position where a disabled member of staff comes to you for advice and information. Here are a number of sources of support that you or they can access:

- [Staff Wellbeing](#);
- [Workplace Health and Support](#);
- [Workstations and Display Screen Equipment](#);
- [Assistive Technology](#);
- [Access to Work \[external\]](#);
- [Animal Therapy on Campus \(Guidance\)](#);
- [Assistance Dogs Policy](#);
- [Equality and Diversity Policy](#);
- [Dignity at Work Policy](#);
- [CCCU's Log for Reasonable Adjustments](#)
- [Staff Guidance – Central Fund for Reasonable Adjustments](#).

9.2. Disabled staff are also welcome to talk to the [Equality and Diversity Manager](#) and/or ask the [Staff Disability Network](#) for support and information.

Appendix A: Types of Disability Discrimination

There are six main types of disability discrimination:

1. direct discrimination;
2. indirect discrimination;
3. failure to make reasonable adjustments;
4. discrimination arising from disability;
5. harassment;
6. victimisation.

Direct Discrimination is when a disabled person is treated worse than another person in a similar situation because they are disabled, perceived to be disabled, or associated with someone who is disabled. This is unlawful.

Indirect Discrimination is when a particular policy or way of working has a worse impact on disabled people compared to people who are not disabled. Indirect disability discrimination is unlawful unless the organisation or employer is able to show that there is a good reason for the policy and that it is proportionate (known as objective justification).

Failure to make a Reasonable Adjustment. Once an organisation or employer knows that a person is disabled there is a requirement to make a reasonable adjustment.

Discrimination Arising from Disability. This is when a disabled person is treated badly because of something connected to their disability, for example, a disabled employee who is prevented from receiving a bonus because they have taken time off for treatment for their disability. This is unlawful unless the organisation or employer is able to show that there is a good reason for the treatment and that it is proportionate (known as objective justification).

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

Victimisation is when someone is treated badly because they have made a complaint of discrimination under the Equality Act, or are supporting someone who has made a complaint of discrimination.

For further information, please see the Equality and Human Rights Commission at <https://equalityhumanrights.com/en/advice-and-guidance/disability-discrimination>.

Religion and Belief at CCCU

Policy and Guidance for

Students and Staff

University Context

Canterbury Christ Church University (CCCU) was founded by the Church of England in 1962 and it remains a Church of England Foundation. At CCCU, the Anglican tradition (together with other systems of faith) is understood to affirm the unique worth and dignity of every human being, irrespective of religion and belief. The University seeks to welcome, understand, appreciate and support all its students and staff, whatever their religions and/or beliefs.

Purpose of Policy and Guidance

Religion and belief can be of fundamental importance to wellbeing; and religious practices such as prayer, diet and dress are often integral parts of religious life. It is important therefore that, where reasonably practicable, the needs of those from all religious backgrounds and those with no religious affiliation are met. It is also important to be clear when religious requirements may impinge upon the needs and freedoms of others, occasionally to the point where they cannot be accommodated.

This document outlines the University's policy in relation to religion and belief and provides guidance on how all students and staff are expected to appreciate and accommodate each other's needs in this respect. The policy is not comprehensive, but addresses some important issues that may arise. If further guidance is needed, please contact the Equality and Diversity Manager or a member of the Chaplaincy Team.

Policy Framework

This policy covers any religion, religious belief or similar philosophical belief, but it does not cover political belief. It is informed by the Equality Act 2010 which outlaws direct and indirect discrimination against a person on the grounds of their religion or belief. It also prohibits harassment and victimisation on the grounds of religion and belief as well as discrimination by perception and by association. This means it is unlawful to discriminate against someone because you believe them to have a particular religion or belief (regardless of whether or not they hold that belief) or because they are associated with someone who holds a particular religion or belief.

What is a Religion?

There is no exhaustive list of religions but here are some examples: Baha'i faith; Buddhism; Christianity; Druidry, Paganism and Wicca; Hinduism; Islam; Judaism; Sikhism.

Denominations and groups of denominations within a religion such as Catholicism and Protestantism are also considered as religions or religious beliefs. Less prominent faiths such as Shintoism are also covered by the Equality Act and there is no stipulation as to how many followers a faith requires in

order to qualify. Requests from people with less well-known religious beliefs should be treated with the same respect as those from people with more well-known religions or beliefs.

What is a Belief?

A belief is more difficult to define than a religion but case law suggests that to be protected under the Equality Act, a philosophical belief must:

- Be genuinely held
- Be a belief and not an opinion or viewpoint based on the present state of information available
- Be a belief as to a weighty and substantial aspect of human life and behaviour
- Attain a certain level of cogency, seriousness, cohesion and importance
- Be worthy of respect in a democratic society and not incompatible with human dignity or conflict with the fundamental rights of others

Examples that have been upheld under the Equality Act have concerned such areas as environmentalism, vegetarianism and commitment to animal rights. In general and providing they are reasonable, requests relating to philosophical beliefs should be treated with the same respect as those related to religion.

Freedom of Thought and Expression

CCCU is a university that values freedom of thought, conscience and religion, and encourages open and reasoned debate. However, the manifestation of freedom of thought, conscience and religion is not an absolute right and intervention may be justified where this is considered necessary to protect the rights of others as set out in equality legislation.

The University recognises that it has a positive obligation to promote respect and tolerance and therefore that no group or person has the right to act in a way that infringes the lawful rights of others. As with other protected characteristics under the Equality Act, discrimination will be dealt with under the University's disciplinary procedures.

Religious Dress

The University does not seek to impose a dress code on its students or staff, other than in situations where it is necessary to wear protective clothing and/or a uniform. Members of staff are expected to ensure that their dress is appropriate for the situation in which they are working and that it supports the presentation of a professional image.

Wherever possible, students and staff should be able to wear religious dress should they wish, so long as they do not endanger their own health and safety or that of others. Where issues arise, every effort should be made to reach a mutually acceptable solution. However the need to comply with health and safety will be given priority over the need for religious expression.

When staff or students are on work placements the relevant organisational codes will apply and must be complied with. Security and examination requirements may mean that students have to be visually authenticated against their ID cards. If headwear covers the face, the temporary removal of such items may be necessary on occasions. In such cases the removal of headwear will be done in an appropriate location by a staff member of the same sex.

Religious Festivals, Holy Days and Prayer

Requests for annual leave at times of religious significance (which may vary from year to year) should be treated sympathetically and accommodated wherever possible, provided there is no detriment to the University's business. If necessary and practicable, adjustments could include time off in lieu (TOIL), unpaid leave, and/or flexible working arrangements.

CCCU will not normally allow students to take extended leave for religious events during term time. However, students can make a formal request to their tutor within a reasonable timeframe providing justification for their request. Consideration will be on a case-by-case basis.

Whilst ensuring there is no detriment to the University or others, managers and academic staff should make every attempt to ensure that those whose religion requires them to pray at certain times during the day are enabled to do so through agreed flexible working and studying arrangements. The places provided by the University for religious practice are listed in section 12.

Effort should also be made to accommodate requests from those who require variations in their hours of work (for example, an extra hour at midday on Friday, or not to work beyond sunset on Friday) as long as this complies with the requirements in their contract. Similar requests from students should also be considered sympathetically.

Religious obligations around such issues as birth, coming of age, marriage and death can vary according to religion, culture and position in the family. Those responsible for granting the requests of both staff and students should bear this in mind and consult the Equality and Diversity Unit if unsure what to do.

The University teaching timetable is designed to make best use of the available time and space. This means that the timetable cannot always accommodate the religious observance requirements of all students and staff. The University appreciates that occasionally a student may wish to be absent due to religious observance. This should not happen frequently and students should make a request in advance and be aware that staff can refuse requests to miss a compulsory session.

Examinations and Assessments

When planning courses, staff must consider the main religious festivals and, wherever possible, avoid these dates for coursework deadlines and examinations. The University produces an on-line diversity calendar with information on the relevant dates.

Students should take note of coursework deadlines for all their assessments and if there is a coincidence with a religious festival they plan to participate in, should plan on handing in their assignment prior to the deadline date. If an examination coincides with a significant religious festival, students should discuss this with their department in advance. However the University does not accept religious observance as an automatic extenuating circumstance. Consideration will be on a case-by-case basis.

Dietary Requirements

There are a variety of dietary rituals and laws across the many world religions. For example certain meats may be forbidden, or certain foods and utensils may need to be stored separately. Where students or staff are sharing food storage facilities and such issues arise, there should be consultation to find a mutually acceptable outcome for all concerned.

Most CCCU food outlets have vegetarian and vegan options and some stock kosher and halal foods. An ongoing dialogue between the Catering Department and the Inter Faith Council aims to ensure that, as far as possible, the dietary needs of students and staff who eat at the University are met. Those responsible for organising functions involving catering should attempt to minimise potential conflicts between someone's religious beliefs and their ability to engage in University activities. Providing, at a minimum, a vegetarian food option and non-alcoholic drinks at social functions where food and drink is offered will usually accommodate most different faiths and beliefs. Requests for reduced lunch breaks for staff who are fasting should be considered, bearing in mind the legal minimum of a twenty minute break for every six hours worked.

Work Placements

When students are on work placement, they are expected to adhere to the policies and practices of their host organisation. The onus is on the student to research these practices and facilities in advance before agreeing to a work placement programme. If students find a work placement to be incompatible with their religious beliefs, they can request an alternative and the relevant staff should seek to find one. However the University cannot always guarantee to find an alternative.

Provision for Religion and Belief at CCCU

The University provides a Chapel (Canterbury), Quiet Rooms (all campuses), a Muslim Prayer Room (Canterbury) and a Buddhist Meditation Room (Canterbury). These rooms are supported and supervised by the University Chaplaincy Team. If further rooms are required for specific occasions, the University will accommodate this wherever possible and students and staff should make enquiries through the Chaplaincy. The University will keep under review the need for additional dedicated spaces.

The University's Inter Faith Council exists to promote understanding between different faith groups and those with no faith at the University. It is made up of staff and friends of the University who belong to different faith traditions and it is funded and facilitated by the Equality and Diversity Unit and the Chaplaincy. Council Members have their own personal relationships with their respective faiths, but their role within the Council is to represent not only their own experiences at the University, but the needs and opinions of staff and students who share their faith. Through the work of the Council, which includes the sponsorship of an annual inter-faith dialogue event, the University hopes to create an environment of mutual acceptance and respect for people of all religions and those of none.

Sources of Further Information

Within the University:

Equality and Diversity Unit

Inter Faith Council

Chaplaincy

External:

Equality Challenge Unit – Religion and Belief

Equality and Human Rights Commission Briefing Paper on Religion and Belief

Equality and Diversity November 2013

HUMAN RESOURCES AND ORGANISATIONAL DEVELOPMENT



PEOPLE STRATEGY 2015-2020



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CANTERBURY CHRIST CHURCH UNIVERSITY PEOPLE STRATEGY 2015 TO 2020

This strategy sets out the University's aims and aspirations to develop our staff to deliver our vision and objectives within a first class working environment. Involving those on whom the delivery of this People Strategy will directly impact has been critical to its development i.e. our staff, leaders and managers setting the tone for engagement and involvement. Section 02 of this document outlines the vision for the HR and OD team as they take forward their part in the delivery of this People Strategy.

Our People Strategy is an enabler of the University Strategic Framework 2015-2020; the impact of this is illustrated in Section 4. HR and OD is committed to reviewing this strategy regularly (and at least annually) to ensure that it is still supporting and enabling the over-arching strategic framework and responding to issues relevant to staff, leaders and managers.

We also need to ensure that our mission and values are integrated with everything we do and that they feel tangible to our staff and those who lead and manage them.

CANTERBURY CHRIST CHURCH VALUES:

- the development of the whole person, respecting and nurturing the inherent dignity and potential of each individual;
- the integration of excellent teaching, research and knowledge exchange;
- the power of higher education to enrich individuals, communities and nations;
- our friendly, inclusive and professional community of students and staff, preparing individuals to contribute to a just and sustainable future.

01

CANTERBURY CHRIST CHURCH UNIVERSITY PEOPLE STRATEGY 2015 TO 2020

Central to the purpose of the University is the recruitment and retention of students via the delivery of a quality value added student experience. Integral to achieving this is staff satisfaction, motivation and morale. Our People Strategy must therefore strongly support the *student* experience through the *staff* experience.

University Strategic Framework to 2020 (see section 4 for interdependencies)		
University People Strategy to 2020 (see page 7 for detail of main strands)		
ATTRACTING	DEVELOPING & ENGAGING	ACHIEVING
<ul style="list-style-type: none"> • Employer Branding & Marketing • Resourcing Strategy • Recruitment and Selection (Policy and Processes) • Comprehensive Induction of new staff 	<ul style="list-style-type: none"> • Culture, Leadership & Management • Leadership & Management Development • Engagement & Communication including formal & informal consultation (staff and trade unions) • Wellbeing • Culture Change • Staff Survey 	<ul style="list-style-type: none"> • Talent & Performance Management (including appraisal) • Workforce Planning & Information • Workload Model • Flexible Employment Options & Model • Excellent Employer • Clear Reward & Recognition strategy
<p>UNDERPINNED BY:</p> <p><i>Simple, efficient processes that are technology enabled Equality, Diversity & Inclusion principles linked to CCCU values Clear and measurable deliverables</i></p>		



HR AND OD TEAM VISION

02

Our vision is to create an inspiring place for people to work and achieve their full potential whilst delivering the University's ambitions.

Although delivery of the People Strategy is the responsibility of the leadership of the University and is driven by the Senior Management Team (SMT), the Human Resources & Organisation Development team has a significant role to play in delivery alongside SMT. We aspire to position our service in such a way that its own values and aspirations align to the People Strategy and organisational values. We aspire to be seen by our stakeholders and workforce as:

AMBITIOUS & SELF CONFIDENT

confident in what we do,
confident as a team to deliver
a market leader
supporting strategic aims

SUPPORTIVE

- as a strategic partner
- enabled by our People Strategy
- in working to deliver our strategic aims

OPEN TO CHANGE

- act as change agents
- take people with us
- scan the horizon
- adapt to changes in the market/practice

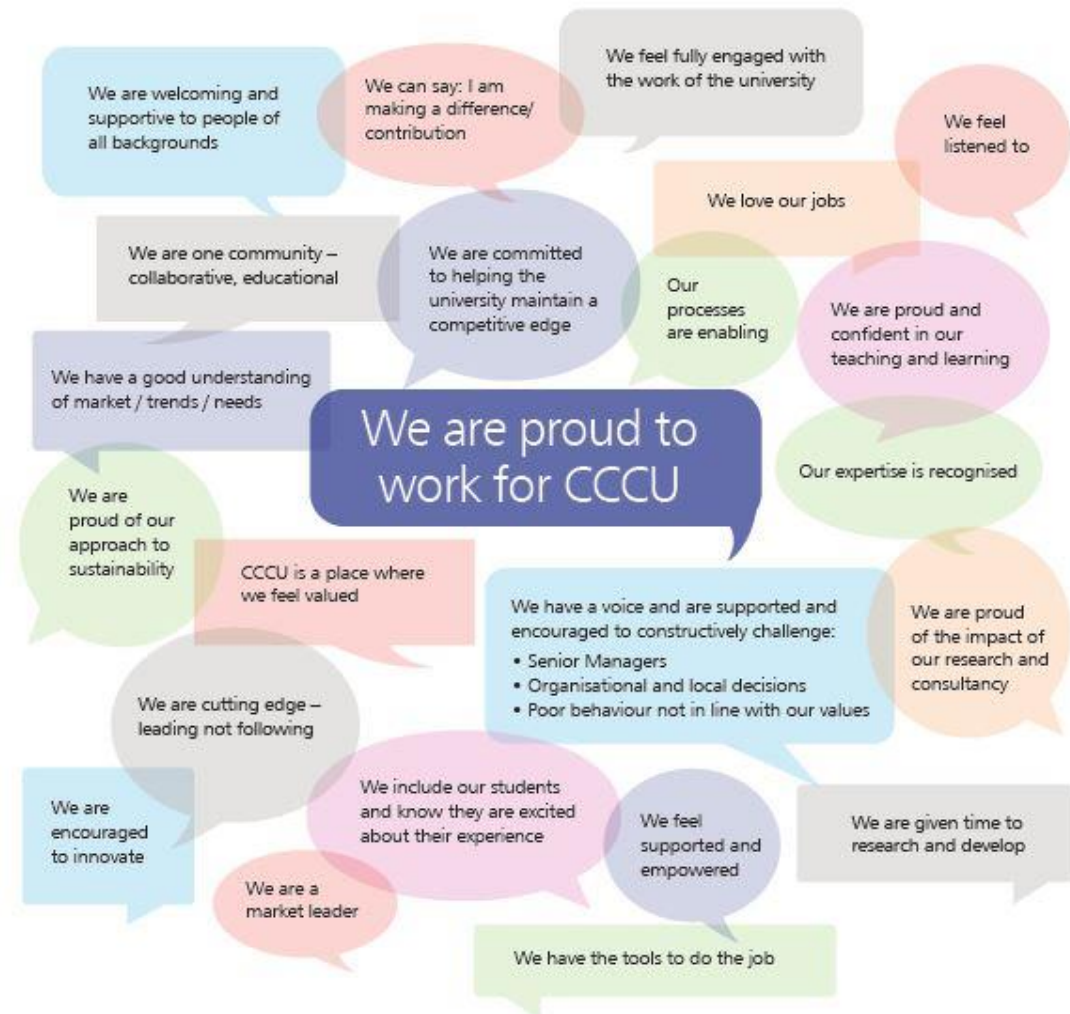
PRINCIPLED

- what and how we are is undermined by Canterbury

CCCU aspires to be an excellent employer; we will be defined by:

- Award winning workplace – industry/sector recognition, Investors in People Gold Standard
- Good Benefits Package – (Pension; Annual Leave; Recognition/Rewards)
- Competitive salaries that attract the right candidates
- Rewarding and exciting place to work
- Enhanced learning and development programmes for all staff levels

And our staff are able to say:¹



¹ Taken from staff focus groups

PEOPLE STRATEGY DELIVERABLES

Visioning what needs to be in place by 2020

ACHIEVING

ATTRACTING

- Strong recruitment and induction is reinforced by case studies of excellent practice
- Managers support the resourcing strategy and use it to develop a business case
- A resourcing strategy is in place that supports talent spotting, succession planning, career development and building skills for the future
- We have integrated recruitment and induction, linked to our employer brand/values
- We are modelling innovative employment modes
- Recruitment and induction provides an excellent advisory service (beyond process implementation)
- We are an employer of choice

DEVELOPING & ENGAGING

- Leaders and Managers are confident and capable in their roles
- Staff Survey results will say 'we are well managed and led'
- Employee Relations are positive, with reduced case work
- Good positive and consistent feedback about interaction with HR&OD
- Strong evidence of a truly collegiate and inclusive culture
- A stronger employee voice via employee forums
- Development builds an emotionally intelligent workforce
- HR & OD are trail blazers
- Flexible approaches to work across the University
- We are building digital literacy
- Our reward strategy is clear and transparent implemented across all roles

- Talent and Performance are supported by a clear articulation of competency translated into appraisals and performance review
- A talent and succession planning framework is in place
- We have embedded effective pay and reward structures
- We have a University wide workload planning framework
- A greater range of employment terms & conditions are available

04 ENSURING OUR PEOPLE STRATEGY SUPPORTS THE UNIVERSITY STRATEGIC FRAMEWORK 2015-2020

STUDENT EXPERIENCE

Link to performance expectations – academic staff , quality learning & teaching standards
 Workload planning, contracts of employment and performance management activity supports quality delivery
 Understanding of the student experience / profile
 How the student experience impacts on roles throughout the employee life cycle Staff as students – use to understand the student experience
 How we support student employability – interns, higher apprenticeships, Unitemps Leadership ensures the student experience is foremost in driving what we do
 Employment models reflect and support service levels - 24/7 / 365 services where appropriate Process / policies free up academic staff to focus on student experience as a priority

EDUCATION

Professional networking is incentivised and rewarded
 People strategy and OD interventions develop a culture of flexibility and responsiveness – sharing resources to develop and deliver our portfolio
 Skills development is in place that ensures readiness for scoping and managing change
 Leadership/systems/processes free up decision making and enable staff
 Organisational culture – everyone understands the link with and importance of student experience
 Reward strategies that encourage, incentivise and motivate – including a review of the current contribution process
 Improved data to inform decision making and provide an evidence base
 Development of a culture that is inspiring, cutting edge, innovative
 Development of a learning organisation that harnesses the thinking power of staff

RESEARCH AND KNOWLEDGE EXCHANGE (RKE)

Staff development and culture of leadership ensures knowledge sharing R&KE is integrated into the People Strategy
 Leadership capacity supports RKE, builds capacity and capability
 Strategies that develop a more inclusive research culture that is more than the Research Excellence Framework – embedded in all roles with clear expectations for all
 Strategies to develop future talent and potential
 Recruitment strategies support attracting and retaining talent and potential
 Clear establishment of relevant targets at an organisational, school and team level
 Strategies that enable and incentivise innovation, enterprise and income generation within the whole organisation
 Development of consultancy skills for relevant staff, not just academics
 Development of an RKE culture that works across Faculty/School boundaries and is embedded in the appraisal process
 Intellectual Property policy and strategy motivates and rewards our staff

RESOURCES

Strong commitment to capacity building, talent management and developing potential
 Improved use of different employment models that aid movement in and out of CCCU such as secondments, placements, apprenticeships
 Improved risk appetite
 Volunteering policy for all staff that enables time to be set aside
 Staff surveys used to improve culture, staff engagement and feedback Clear career development and progression for all staff
 Investors in People is used to effectively benchmark and implement best practice that enhances the student experience
 HR & OD is effective and externally recognised as leading-edge
 Flexible employment/recruitment approaches that can flex in a timely manner to the needs of the organisation

PEOPLE STRATEGY 05

‘Our vision is to create an inspiring place for people to work and achieve their full potential whilst delivering the University’s ambitions.’



University People Strategy (to 2020)
Main Strands: (with short term, medium term or long term delivery time)¹:

ATTRACTING:		DELIVERABLES	TIMEFRAME
1	Creating and communicating a clear employer brand	<ul style="list-style-type: none"> We use an effective benefits package as a recruitment tool including e.g. pensions, development opportunities and other staff benefits 	SHORT TERM
2	Resourcing Strategy	<ul style="list-style-type: none"> We develop a resourcing strategy that supports talent spotting, succession planning, career development and building skills for the future We model innovative employment practices We develop more flexible and responsive recruitment processes We manage retirement and positive exit strategies well 	MEDIUM TERM
3	Recruitment & Selection (Policy and Processes)	<ul style="list-style-type: none"> Strong recruitment and induction is reinforced by case studies of excellent practice Recruitment and induction are integrated and link to our employerbrand/value 	SHORT TERM
4	Bringing on board new staff effectively & efficiently	<ul style="list-style-type: none"> Managers buy in to the induction and orientation strategy and business case Recruitment and induction teams provide an excellent advisory service (moved on from process implementation) 	MEDIUM TERM

¹ Short term – by end 2016; Medium term – 2017 to 2019; Long term – by 2020

DEVELOPING & ENGAGING:		DELIVERABLES	TIMEFRAME
5	Culture Leadership & Management	<ul style="list-style-type: none"> • Expectations, reward and performance assessment are established and implemented across all leadership roles 	SHORT TO MEDIUM TERM
6	Leadership & Management Development	<ul style="list-style-type: none"> • Leaders and Managers are confident and capable in their roles • Development supports strong emotional intelligence 	MEDIUM TO LONG TERM
7	Engagement and Communication (including formal and informal consultation)	<ul style="list-style-type: none"> • Employee Relations are positive with reduced case work • There is good positive and consistent feedback about interaction with HR&OD • There is a culture of a stronger employee voice via employee forums • We work with corporate communications and managers to develop an employee communications strategy 	MEDIUM TO LONG TERM
8	Wellbeing	<ul style="list-style-type: none"> • We use different employment models including home working where appropriate; flexible working is based on a wider policy that extends beyond legal minimums • We promote and develop, with staff, their personal wellbeing so that we can sustain a University environment that supports a happy, contented and motivated workforce • We develop a well-being programme that looks after the mental, physical and spiritual needs of our staff • We deliver a full options based Occupational Health service and Employee Assistance Programme in place for all staff • We have effective management of absence from work and we support staff to return to work which reduces absence levels and leads to a positive workenvironment 	MEDIUM TERM SHORT TERM (but ongoing)

9	Culture & Values including Equality and Diversity	<ul style="list-style-type: none"> • We can evidence a truly collegiate and inclusive culture • Staff are valued for their contribution, whatever their background or characteristics • There is fairness and transparency for all in people management and development processes, policy and provision 	LONG TERM SHORT TERM (but ongoing)
10	Leadership & Management Development	<ul style="list-style-type: none"> • Staff Survey results will say 'we are well managed and led' • We are seen as an employer of choice • We ensure that the Staff Survey outcomes are responded to and communicated to staff 	SHORT TERM
11	Career Progression/Skills Development	<ul style="list-style-type: none"> • We are building digital literacy and being clear about what this means for staff • We improve transparency about – and opportunity for- career progression • We establish a professional identity concept around the individual – we are a learning organisation as our core function, so we should embed the principle that all staff engage with learning as a personal responsibility alongside the organisational expectation • We establish mechanisms that develop and retain staff • We design a more explicit 'offer' of development that sets out the required v. 'optional' • We have enhanced research development pathways and routes to progression and we ensure that we retain post doctorate researchers (research fellowships; we have an Early Career Researchers programme) 	MEDIUM TO LONG TERM
12	Leavers Strategy	<ul style="list-style-type: none"> • There is clarity about exit interviews/feedback and how this is used effectively • There is a strategy to develop the concept of Staff 'alumni' and benefits 	MEDIUM TERM

ACHIEVING:		DELIVERABLES	TIMEFRAME
13	Talent & Performance Management (including appraisal processes) for all staff	<ul style="list-style-type: none"> • The HR&OD service is known as a trail blazer • Talent and performance management is supported by a clear articulation of competency (and clarity of expectations) translated into appraisals and performance review • We have embedded and effective performance improvement plans • We have reviewed and redesigned appraisal processes to develop a fit for purpose performance review process that enables effective review of all areas of academic & professional services staff activity • We have reviewed or replaced the current contribution process to improve incentive and motivation • We ensure that managers understand their responsibility to engage in succession planning 	SHORT TO MEDIUM TERM
14	Workforce Planning	<ul style="list-style-type: none"> • Talent and succession planning is in place • We understand the resourcing implications • We engage staff in workforce and business planning 	MEDIUM TERM
15	Workload Model	<ul style="list-style-type: none"> • There is a University wide workload planning framework • We have improved clarity on workload models that supports consistency and equity 	SHORT TO MEDIUM TERM
16	Flexible employment options and models	<ul style="list-style-type: none"> • There are flexible approaches to work across the University • We have a greater range of employment terms and conditions • We have a more mature model of staff benefits including developing a staff volunteering scheme in line with our values • We provide a wider range of flexible employment models – flexible working but also more secondments, apprenticeships, internships • We achieve more clarity and equity on studyleave 	LONG TERM
17	Reward Mechanisms	<ul style="list-style-type: none"> • We have a reward strategy that is clear and transparent and implemented across all roles 	MEDIUM TERM

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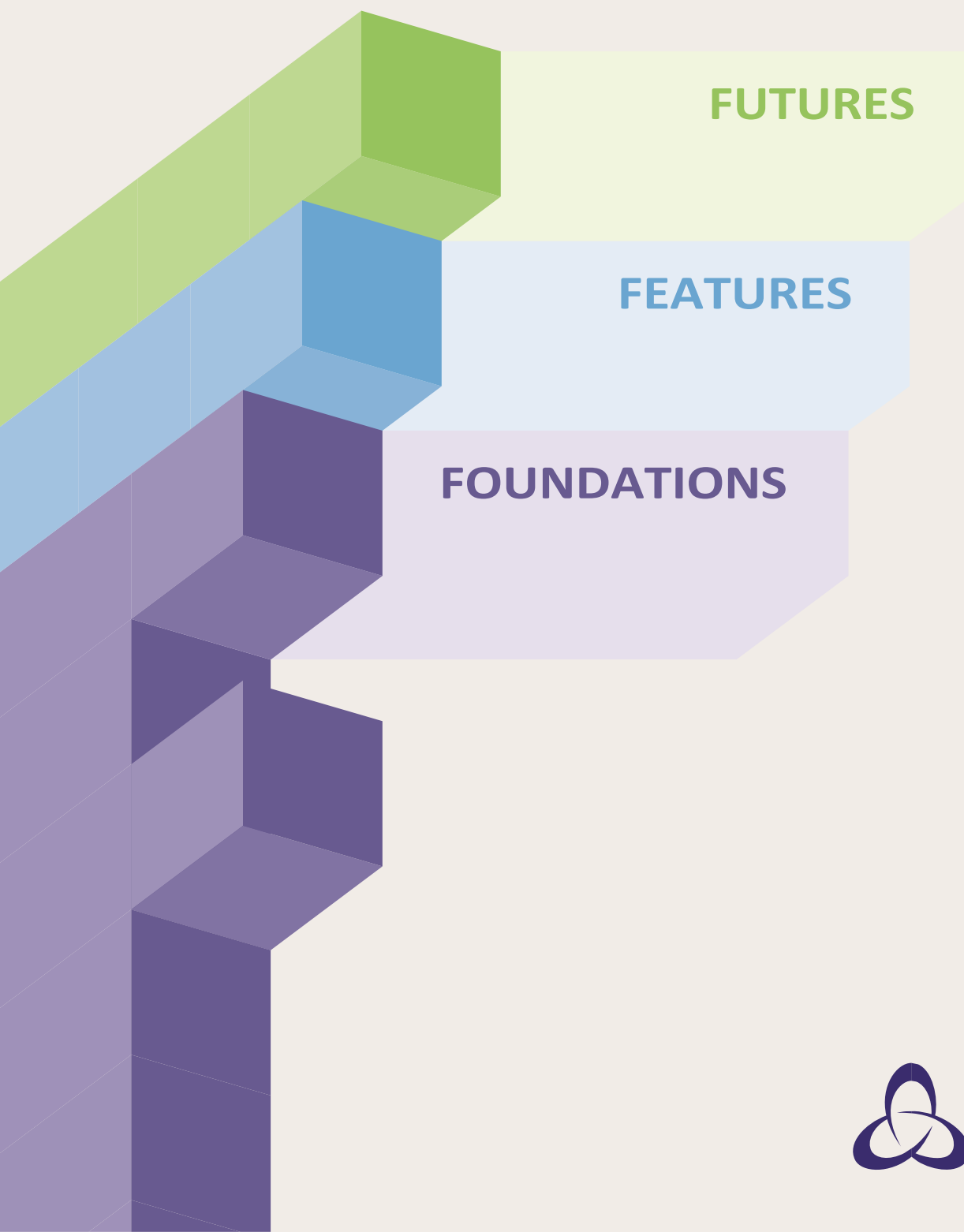
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STRATEGIC PLAN RESEARCH & ENTERPRISE 2018 - 2023



FUTURES

FEATURES

FOUNDATIONS



Canterbury
Christ Church
University

STRATEGIC PLAN FOR RESEARCH & ENTERPRISE 2018-2023

MISSION AND VALUES

FOUNDATIONS for our research and enterprise, the FEATURES that will characterise our research and enterprise, and the FUTURES we anticipate, are underpinned by our Mission, Values and University Strategic Framework.

The University's Strategic Framework 2015-2020 supports our mission, inspired by our Church of England foundation:

to pursue excellence in higher education: transforming individuals, creating knowledge, enriching communities and building a sustainable future.

WE VALUE:

- The development of the whole person, respecting and nurturing the inherent dignity and potential of each individual.
- The integration of excellent teaching, research and knowledge exchange.
- The power of higher education to enrich individuals, communities and nations.
- Our friendly, inclusive and professional community of students and staff, preparing individuals to contribute to a just and sustainable future.

The Strategic Plan for Research and Enterprise reflects our mission and values in its FOUNDATIONS, and in the FEATURES and FUTURES to which we aspire. It also sets out how we will develop and deliver these FEATURES and FUTURES.

FOUNDATIONS

STRATEGIC PLAN FOR RESEARCH AND ENTERPRISE

Our research and enterprise is founded on a values-led duty and desire to contribute, a commitment to provide a distinctive student experience, and a belief that research and enterprise is a core part of our University identity.

At the heart of our institutional mission is a commitment to transform lives: of our students, of our staff, and of our partners in, and the users of, our research and enterprise. This commitment is reflected in the foundations for our research and enterprise, which provide the overarching rationale for the development of our diverse research and enterprise portfolio.

A duty and desire to contribute...

We are a values-led organisation with privileged access to knowledge and resources.

This places a duty and responsibility upon us to use that privileged access, as well as cultivating a desire to do so, to advance and apply knowledge to make enterprising and evidence informed contributions to the challenges facing society and so enhance and enrich people's lives.

A distinctive student experience...

We are committed to providing our diverse student body with a high quality holistic student experience in relation to learning, the wider experience of the University and global citizenship.

This includes experiencing and influencing through co-creation the way in which our research and enterprise in particular, and global bodies of knowledge in general, can shape disciplines and influence policy and practice in the industries, sectors and communities in which students aspire to develop careers.

Research and enterprise is a core contributor to our identity, and is at the forefront of the way in which our stakeholders and communities engage with and perceive the University.

It is key to our brand proposition, our reputation and influence, and makes a significant contribution to recruitment and retention of students and staff, to the student experience, and to the pride members of the University community, past, present and future, feel in their University.

FEATURES

STRATEGIC PLAN FOR RESEARCH AND ENTERPRISE

Our research and enterprise will be recognisable and distinctive as being connected, dynamic, collaborative, inspiring, creative, valued and sustainable.

Seven core features capture how our research and enterprise will be recognisable and distinctive across our diverse subject portfolio. They emphasise our values-led approach, our learning community as a partnership between staff and students, and the role of research and enterprise in defining our University identity.

OUR RESEARCH AND ENTERPRISE WILL BE:

Connected

...to the issues and problems that matter to communities and society.

...to the industries, sectors and communities that we serve, and in which our students and alumni aspire to develop and advance careers.

...to the local and regional economy, taking, translating and applying our knowledge resources and insights to places and people, and providing thought leadership.

...to the curriculum, through which students will be able to touch and experience, and through co-creation participate in and influence, the research that underpins their education and enhances their employability, as well as understand its uses and impact.

Dynamic

...through involvement in world-leading and internationally recognised substantive research that advances disciplines and is clearly visible within the curriculum.

...in undertaking research, delivering enterprising activities or externally engaging in ways that have an ethical, evidence-led and demonstrable impact on sector or industry policy or practice locally, regionally, nationally or internationally.

...in delivering externally recognised scholarship of practice, either the practice and pedagogy of HE, or the practice of the professions, that demonstrably impacts upon HE practice across the subject or discipline, or upon practice across the profession.

...in supporting examples of our excellence in research and enterprise that will evolve to remain relevant to global and societal challenges, and have outstanding and prominent impact and visibility beyond the University and in the curriculum.

Collaborative

...between staff and students, and our partners in, and the users of, our research and enterprise.

...between the University's learning community and the global bodies of knowledge and subject disciplines that support the advancement, translation and application of knowledge.

...through developing physical and virtual spaces for collaboration, both within our campuses and embedded across the regional economy, including strategic partnerships with other further and higher education providers, to facilitate innovation, enterprise and research excellence.

FEATURES

STRATEGIC PLAN FOR RESEARCH AND ENTERPRISE

Inspiring

...for our students, who will grow to be enterprising and research literate, with demonstrable experience and expertise to access, assess, develop and deploy the knowledge base that supports success in the industries, sectors and communities in which they wish to develop and advance careers.

...for our staff, who will transcend traditional boundaries and practices, and be challenging and open to challenge in addressing contemporary debates, problems and issues.

...for our partners in, and users of, our research and enterprise, and the wider public who will recognise our University as a site for the creative exchange of ideas and the development of ethical, evidence-led and practical solutions.

Creative

...in cultivating a learning community that fosters creative challenge and exchange, where staff and students can be co-creators of world-leading and internationally recognised insight and understanding.

...in drawing on our knowledge resources and insights to develop enterprising and innovative solutions for businesses, professions, the public and third sectors, communities and wider society.

...in supporting staff, students and alumni to develop community, cultural and commercial enterprises that contribute to the public good and generate a social and financial return on investment.

Valued

...by subject disciplines and research funders, who will recognise our work as making a significant, ethical and evidence-led contribution to contemporary debates and the advancement of knowledge.

...by the local and regional economy, who will recognise our research, knowledge exchange and enterprise as supporting social, economic and cultural prosperity.

...by our students, who will have a right to expect that their curriculum is designed and delivered by staff who are shaping disciplines and influencing policy and practice in the industries, sectors and communities in which they aspire to develop and advance careers.

...by the public, who will recognise our contributions as values-led and enhancing and enriching people's lives.

Sustainable

...through engaging with global and societal challenges, focusing on enduring problems and long-term solutions.

...in cultivating an enterprising mindset and research literacy among students that allows them to thrive as knowledge bases change and evolve in a future we cannot clearly describe.

...in supporting career progression and evidence-led practice through high quality staff development that both builds capacity and supports excellence in research and enterprise.

...through building specialist capacities and expertise that can evolve to stand the test of time and remain relevant for an uncertain future.

FUTURES

STRATEGIC PLAN FOR RESEARCH AND ENTERPRISE

Our future research and enterprise success will be measured by an increase in

income growth, significant research and enterprise activities, and a

While the seven core features capture how our research and enterprise will be recognisable and distinctive, the futures to which we aspire in relation to capacity, quality, income, impact and community set out clearly and transparently what we wish to achieve over the lifetime of the Strategic Plan.

Capacity

All of our academic staff will be undertaking research, delivering enterprising activities or engaging in scholarship of practice in ways that shape disciplines or have a demonstrable impact on sector or industry policy or practice locally, regionally, nationally or internationally, and that enhance the student experience.

An increased proportion of staff will: (a) have a significant responsibility for independent research and thus be submitted to the 2021 Research Excellence Framework; (b) be actively working on research, knowledge exchange or enterprise projects or spin-outs with partners in the regional economy.

An increased postgraduate research student population will be registered to study at the University in 2022/23.

Quality

All subject areas submitted to the 2021 Research Excellence Framework will have aspects of their research activity assessed as World Leading (4*).

All future institutional and subject level submissions to the Teaching Excellence Framework will contain evidence of TEF gold standard in relation to Scholarship, Research and Professional Practice.

Our institutional submission to the future Knowledge Exchange Framework will evidence our extensive influence across and beyond the local and regional economy.

Income supporting research and enterprise will increase, including HEBCI returnable income, Quality Related (QR) research income, Higher Education Innovation Fund (HEIF) income, and postgraduate research (PGR) programme income.

Externally generated income will increase including income generated from research grants and contracts and knowledge exchange and consultancy, and from student, staff and alumni spin-out and start-up enterprises.

An increased level of external income per annum per member of staff will be submitted to the 2021 Research Excellence Framework, expressed as an average per member of staff submitted.

An increased proportion of impact case studies submitted to the 2021 Research Excellence Framework will be rated as World Leading (4*) or Internationally Excellent (3*).

Student, staff and alumni spin-out and start-up enterprises will be hosted by the University by 2022/23.

All of our students graduating in 2022/23 will have experienced meaningful curriculum content delivering enterprise education and research literacy.

Satellite bases embedded with local industry partners across Kent and Medway delivering high quality research, knowledge exchange, enterprise and training outcomes, will have been established by 2022/23.

A range of collaborations with strategic partners in industry, the public or third sectors, and further or higher education will realise external income in 2022/23.

Our learning community will be inclusive of diversity providing equality of opportunity and equity of reward for research and enterprise activities, and achieving Institutional Athena SWAN Silver Award by 2022/23.

THE STRATEGIC PLAN 2018-2023



Our Strategic Plan sets out priorities for investment, leadership, enhancement and governance to develop and deliver our research and enterprise FEATURES and FUTURES.

The priorities for investment, leadership, enhancement and governance are presented as a manifesto for the implementation and delivery of the Strategic Plan features and futures throughout the organisation.

We will develop a sustainable and strategic approach to funding for research and enterprise that ensures that:

- funding from block grants, fees and bursaries for research, knowledge exchange and enterprise is invested to achieve a return on investment recognised in ratings in the REF, KEF and TEF.
- applications and bids for external funding, as well as the resources that support them, are focused on areas of strategic priority, strength, and likely success.
- costs of doing research and enterprise across the university are consistent, equitable, sustainable and benchmarked to the sector.
- academic governance mechanisms to deliver the above are embedded in our Research and Enterprise Integrity Framework.

We will support, promote and evolve examples of our excellence in research and enterprise that will:

- deliver outstanding academic, financial, external and student experience impacts.
- have a clear local, regional, national and international presence, and consistently deliver reputational enhancements.
- be dynamic, in evolving as our research and enterprise portfolio evolves.
- be supported by academic governance processes to sustain impact and delivery.

We will develop a research and enterprise ecosystem to support delivery and guide investment that will comprise:

- an Academic Leadership Team for research and enterprise, bridging the Research and Enterprise Directorate and the Faculties.
- a central support service of research, knowledge exchange and enterprise professionals with specialist skills to support the development and enhancement of academic research and enterprise activity.

- a common outcomes framework for the delivery of our research and enterprise futures that will unify principles and approaches whilst providing for local variations in faculty portfolios.
- Academic governance processes to ensure our research and enterprise is of the highest quality (an annual Research and Enterprise Quality Improvement and Enhancement process, REQIE) and is held to the highest standards of integrity (a Research and Enterprise Integrity Framework).

We will provide an integrated development programme to support research and enterprise careers that will:

- cover the full range of research and enterprise roles, from interns, postgraduate research students and research assistants through all academic staff up to and including professors.
- fully integrate and reward research and enterprise activity in appraisals, promotions, workload profiles and the delivery of an excellent student experience, incorporating pro-active approaches that recognise equality, diversity and inclusion.
- develop, maintain and enhance research and enterprise skills, expertise and experience commensurate with career stage and that facilitates career progression.
- underpin the expectation that all academic staff will be undertaking research, delivering enterprising activities or engaging in scholarship of practice in ways that shape disciplines or have a demonstrable impact on sector or industry policy or practice locally, regionally, nationally or internationally, and that enhance the student experience.

We will build a vibrant and connected learning community that will be supported to:

- embed our staff, students and alumni within a research and enterprise community that extends across and beyond the university, linking with

other universities, academic subject and discipline associations, and professional and industry bodies to do so.

- actively seek and develop opportunities for external partnerships and collaborations that will deliver the features and futures to which we aspire.
- communicate our strengths and promote our achievements to ensure alignments between our work and the priorities of the local and regional economy, enterprise partners, and research commissioners, sponsors and funders are highlighted.
- further develop our programme of events, colloquia, seminars and other external engagement activity to increase recognition of our work and extend its influence.

We will translate our research and enterprise to deliver social, economic and cultural prosperity by:

- providing an Enterprise Exchange as a space for incubation, advice and continuing development for staff, student and alumni spin outs and external start-up enterprises.
- exploring the development of a university wide Impact Institute to promote, generate and deliver impact from our research and enterprise.
- developing research and enterprise internships, secondments, sandpits, proof-of-concept schemes, seedcorn funding competitions and other incentives to transfer our work into the economy.
- implementing governance and support mechanisms to develop, protect, promote and exploit our intellectual property, including that of our students, and that developed jointly with partners.



Appraisal Policy

Document Control

Title:	Appraisal Policy
Applicable to:	All employees
Date Approved:	July 2015
Date last amended:	July 2015
Review Date:	July 2018
Document Owner:	Human Resources & Organisational Development

This paper sets out the University policy for the revised University Appraisal process. The policy should be set in the context of the University Staff Development and Equality policies and embraces the values of the University as set out in the 2015-2020 Strategic Framework.

This policy provides an overview of the fundamental principles and process. Detailed guidance as to implementation is set out in the Guidance Notes for Appraisers and Information for Staff.

1. Overview

The University Appraisal process is based on the understanding that continual review of performance and development is a positive contribution toward developing a motivated and committed workforce. This activity helps individuals, teams, departments and the University to maintain and improve performance at all levels and support the achievement of individual and organisational goals.

Appraisal is clearly **not** the only means of carrying out this process. It is only one of many opportunities and tools available to Heads of Department/School and University leaders to review performance and development of their staff. As such, it should be seen as being part of the overall management process rather than an annual event, undertaken in isolation.

The purposes of the scheme are therefore to:

1. To provide an opportunity to jointly review and evaluate an individual member of staff's **performance** in a positive and constructive manner. This review will include all contracted duties and other mutually agreed activities.
2. To discuss and review the individual staff members' **contribution** to the School/Department and University against the agreed **objectives** for the last year.
3. To clarify for the individual what the University **priorities** are and how these relate to their **role** and to agree related **objectives** for the coming year.
4. To discuss and identify relevant **training and staff development needs** of the individual member of staff and agree an action plan which balances the needs of the individual, the School/Department and the University.
5. To provide a formal opportunity for the individual to discuss their short and longer term career **aspirations**

2. Potential benefits

Used positively, the Appraisal process can provide significant benefits for all parties. It should therefore be given priority by Heads of Department/School and viewed as an essential management and planning tool.

2.1 Benefits for the individual include:

- an opportunity to have an honest and constructive dialogue about performance and development needs;
- a formal structure within which to have this discussion;
- an opportunity to look back and forward in a positive and purposeful way and exchange useful feedback;
- a chance to contribute to department planning and give constructive upwards feedback;
- time devoted to active consideration of individual needs, concerns and aspirations;
- encouragement and recognition of achievement;
- develop a clear understanding of priorities and how individual objectives align with these.

2.2 Benefits for the Appraiser and School/Department include:

- a way of helping staff to positively review their performance to date and identify ways of realising their potential;
- a useful means of exchanging feedback , offering support and forward planning;

- better alignment of individual, departmental and University goals;
- opportunity to offer praise and recognition of the contribution each individual makes to the work of the department;
- opportunity to encourage the identification and sharing of good practice;
- clarification of roles and responsibilities;
- a chance to review how staff are deployed and to aid resource planning.

2.3 Benefits for the University include:

- more open and participative styles of leadership and management;
- training and development opportunities which are clearly aligned to strategic goals;
- improvements to the student experience and quality of education provision through the effective preparation, support and development of staff;
- enhancement of staff morale, improved retention and staff effectiveness.

3. Roles and Responsibilities

Overall responsibility for management of the appraisal process rests with the **Vice-Chancellor** and the **Senior Management Team**.

Responsibility for monitoring the application, quality and outcomes of the process is the responsibility of the **The Organisational and Staff Development team**. The Organisational and Staff Development team is also responsible for reporting the results of its' annual monitoring and review to the Senior Management Team during the early part of the Autumn term.

The sequence of review meetings, with approximate time lines is set out below.

Who	Appraised by	When	Why
Vice-Chancellor	Chair of Governing Body	September/ October annually	To ensure alignment with the strategic plan
Senior Team	Vice-Chancellor	September - November	To ensure alignment with the strategic plan
Heads of Department / School	Senior Team	Before end of Autumn term	To agree priorities for coming academic year
All staff	Heads of Department/ Heads of School / Line Managers / Team Leaders	From January to June	To inform departmental planning and budget setting in June

By following this sequence of reviews there should be an alignment between the objectives set at each stage of the process. The objectives set for the Vice-Chancellor should impact on the senior team; the objectives of the senior team should impact on Heads of Department/School and so on. Those on the LDTC paygrades should also follow the Senior Pay and Performance Guidelines and timescales at: <https://cccu.canterbury.ac.uk/hr-and-od/policies-and-procedures/senior-staff-pay-and-performance.aspx>

3.1 Senior Management Team and Heads of Department/School

Members of the senior team are responsible for ensuring that their Heads of Department/School manage and monitor reviews in their area of responsibility. Heads of Department/School may delegate responsibility for carrying out the review to other relevant staff. However they must ensure that:

- all Appraisers are trained in the University appraisal process;
- all staff have a clear understanding of the purposes of appraisal, who their Appraiser will be and why;
- the process of collating, disseminating and sharing collective outcomes is agreed and communicated within the department or team/
- Heads of Department/School actively participate (3) above.

3.2 Appraisers

Appraisers are responsible for:

- implementing the appraisal process;
- ensuring they meet the requirements as set out in the Appraiser Guidance document;
- ensuring they attend the University training session for Appraisers;
- conduct all reviews in an appropriate, professional and equitable manner;
- ensuring staff members accept responsibility for implementing agreed objectives and development needs.

As a guide, each Appraiser should not appraise more than ten staff.

3.3 Staff members

All staff should ensure they:

- prepare fully for review meetings;
- contribute constructively to their review and review meeting;

- ensure they agree with Appraisers a set of appropriate objectives and development plan;
- attend a staff briefing session as organised by the Staff Development Office prior to their review meeting.

4. Staff Eligibility for Review

All staff employed by the University should receive an annual review. This includes staff on secondment or fixed term contracts.

For some staff, notably those employed on an hourly paid basis the use of the full formal process may not be appropriate. However, the University recognises that the potential benefits of review apply equally to all staff, whatever the nature of their employment. All staff also have an equal right to give and receive feedback and be aware of their contribution to the University.

In such cases, Heads of Department/School are required to ensure that suitable process of review and development of performance is in place. This can be done in teams where appropriate and agreed by the staff members involved. Advice on this can be sought from The Organisational and Staff Development team if required.

5 Frequency of Appraisal

Staff should be reviewed annually. They should also receive an interim review, at least once during the year. Departments/Schools can devise their own methods for carrying this out and noting any changes in agreed objectives. The critical element is that such interim reviews are still carried out in line with the good practice guidance for full review meetings.

6. New Staff

All new staff are required to complete the University probation process. Initial development needs should be identified early during the induction period. At the end of the **probationary period**, development needs should be reviewed and appropriate objectives agreed to carry the member staff forward to the next review round.

7. Confidentiality and review outcomes

All parties need to have confidence in the process if it is to succeed. Confidentiality is therefore critical at all points of the process.

The review meeting is summarised as key points *only* on Form B, as detail of the meeting itself is confidential. Form B remains as confidential between the Appraiser, staff member and Head of Department unless the staff member themselves deems otherwise.

However, while confidentiality and professional trust is critical this does need to be balanced with the benefits of a process that openly shares outcomes, where appropriate. Team members should be encouraged to share their objectives across teams where relevant. Development needs should also be summarised by Appraisers and common needs should be built into the annual departmental development plan.

8. Outcomes from Review

The primary outcome from review should be a clear understanding by both parties about the staff member's **performance**, in relation to current and expected needs of the department and University. Discussion based on this should lead to an agreed clear action plan which sets out:

- specific objectives and development needs of the staff member;
- support to be provided by the Appraiser and/or department to ensure agreed actions are implemented.

While the summarised Form B is confidential, there is some merit to be gained from either partial or complete sharing of the agreed **objectives** within the team or Department/School. Evidence shows that a totally closed and confidential system runs the risk of being little more than a paper exercise. Sharing objectives in this way would encourage staff members to understand each other's contribution and work more closely as a team.

Appraisers should also ensure that once all reviews are completed, general **feedback** as to key messages/needs are collated to inform departmental planning, including the departmental development plan. Appraisers will provide a summary report (Form C) of all reviews completed to the Head of Department/School. The Head of Department/School will complete a **departmental summary version of Form C** which should be shared with department staff. Such collective feedback reinforces the value of review in helping to promote change.

This report should also be copied annually to their Senior Manager and The Organisational and Staff Development team. The Organisational and Staff Development team collate departmental reports into an overall University review, shared with SMT. This process is clearly indicated below.

Outcomes of Appraisal

TEMPLATES

Appraiser ensures outcomes of each review is recorded. All reviews to be completed by June.	Appraisee Preparation Form A
Appraiser prepares summary of all reviews for HOD/HOS. Should include common development needs, implications for future planning, identification of potential talent/high flyers. Overall summary and copies of individual reviews sent to HOD/HOS.	Appraiser Summary Form B
HOD/HOS compiles summary departmental report to identify key issues arising from the review process and departmental development needs to be fed into departmental plan. This to be sent to SMT member and OSD by June	Appraiser Summary Form C Department Development Plan
HOD/HOS ensures review outcomes shared with department. Teams to share individual objectives via team meetings as relevant	
Following the above, OSD to prepare annual report for appraisal for submission to SMT and Staff Development Annual Report in October.	
Outcomes and recommendations to inform future conduct of University APPRAISAL process , development planning and Appraiser training are made and shared with staff and managers.	

Whilst such paper reporting is useful and necessary, the value of positive conversation and direct feedback in review applies at all stages of the process. Where possible therefore, summary outcomes from review should be discussed in face to face meetings.

To support this, annual attendance by The Organisational and Staff Development team at each of the **faculty or directorate management boards** early in the academic year will form part of the dissemination and review process.

9. Link with Contribution Pay

All staff who are at the top of their pay grades (within the National Pay Framework) are eligible to apply for contribution points. Each grade has two points each applied for in subsequent years. Award of contribution points is made against agreed objectives and criteria.

Staff wishing to apply for contribution points should identify appropriate objectives which may qualify them for payment by April each year with their Appraiser. These objectives need to be agreed by the Head of Department/School. By April of the following year, objectives are reviewed with the staff member with their Appraiser. Staff members will need to submit evidence where appropriate of

completion. Claims are then submitted to the Head of Department/School for assessment in line with the agreed process.

Full details of the process are set out in the Contribution Guidance Notes and [the Arrangements for Discretionary Payments under the New Pay Framework – Contribution Increments](#). Appraiser training will include application of the Contribution process.

10. Unresolved Issues

If staff feel unhappy with any aspect of the review process, they should in the first instance raise the matter with their Head of Department/School. If this does not resolve the issue or is not possible, then staff may seek advice from the Organisational and Staff Development team. The Organisational and Staff Development team will then seek to mediate to secure a suitable resolution.

ACADEMIC WORKLOAD PROFILING: PRINCIPLES

INTRODUCTION

In the development of the University's Strategic Framework 2015-2022, the following Strategic Aim was agreed:

'To provide effective, efficient, innovative and sustainable use of the institution's resources to deliver the University's strategic goals across all our campuses.'

In pursuance of this aim it is recognised that due to the differences and complexities in the nature and delivery of academic provision, it cannot be the case that across the University, and inter- and intrafaculties, the workload profiles will be the same or similar. However, an agreed set of contextualised principles can guide workload profiling and promote consistency, equity and transparency in the allocation of work for the University's academic community.

These principles inform work allocation and workload profiling which are flexible and obtainable at the local Faculty and School/Department/Centre level, guided by the spirit of academic staff working and engaging under the terms of a contract of employment.

SCOPE

The Framework will apply to:

- Lecturers/Senior Lecturers/Principal Lecturers
- Research Fellows/Senior Research Fellows/Principal Research Fellows
- Readers, Professors
- Any other staff in academic roles on academic contract terms

PRINCIPLES

1. The foundation for workable hours will normally be 1600 hours maximum per annum (full time).
2. The foundation for direct contact taught hours will normally be 550 hours maximum per annum (full time).
3. All activities within workload profiles should take place within the context of the professional and ethical standards expected of all staff.
4. The method of workload profiling will be dynamic; activity for an individual will normally be planned and agreed within the academic year prior to delivery.
5. Agreed activity may need to be flexed in line with the changing requirements of the Faculty (for example, over/under recruitment, new programmes coming on line). To support this flexibility, workload profiles will normally include a small allocation to support the delivery of 'cover' activity in the event of illness of colleagues or additional work requiring immediate cover whilst a staff recruitment process is undertaken. This commitment to flexibility by staff and the University is a key component of the work planning process. Any changes to work plans will be made following discussion with the individual.

6. An individual's work profile will be apportioned into 'bundles' of activity, as appropriate to the defined outputs of the role. Such bundles will be aligned with the Faculty strategic and business plans, and the appraisal targets of the individual.
7. Bundles of activity may attract multipliers appropriate to such work which will reflect the delivery of the task and thus the contribution and effort required.
8. An individual's own workload profile will be reviewed annually as part of the appraisal process, taking into account the development needs (as per the commitment in the People Strategy to develop our staff) as well as any amendments that are indicated by the strategic and business plans of the University, Faculty and School/Centre/ Department.
9. The workload profiles of part-time staff should be agreed on a pro-rata basis and care must be taken to ensure fair allocation of duties that are proportionate to workload profiles of full-time colleagues;
10. A computerised tool may be used to capture each workload profile but as a minimum, all workload profiles will be published within the School, Centre or Department to aid transparency.
11. If any member of staff feels the work plan allocated to them is unreasonable, they should raise this for discussion with their immediate line manager.

CONTEXTUAL INFORMATION

The following will normally be considered when agreeing a workload profile; it is neither an exhaustive nor specific list:

- the University, Faculty and School/Centre/Department strategic and business plans and priorities;
- the range and extent of the duties commensurate with the Job Description and Role;
- individual professional development needs;
- length of experience as an academic member of staff;
- numbers of students in the classes to be assigned;
- the nature of the teaching duties (for example, formal lectures, seminars, laboratory classes, workshops, off-campus activity, programmes that have specific professional demands, clinicallybased sessions – including recognition that in some areas, such as off-campus delivery, class contact hours are not a direct measure of teaching commitment);
- student assessment demands;
- level and range of the teaching activity;
- the delivery of funded/agreed research and/or knowledge exchange projects;
- development / delivery of new modules / courses / programmes;
- the requirements to produce REF related work including outputs (publications) and impact case studies;
- the desirability of achieving a balance of duties.

ACTIVITY BUNDLES

The 'bundles' of activity will normally include:

- a. Teaching and Research Supervision⁸
- b. Management and Administration of Activity Associated with Learning, Teaching and Assessment

⁸ The combination of direct contact teaching hours and research supervision hours must not exceed the contractual total of 550 hours.

- c. Research and Enterprise, including knowledge exchange, external engagement and scholarship of practice.
- d. Academic Leadership & Management Roles
- e. Staff Professional Development Activities

This is neither an exhaustive nor specific list and the principles allow for the faculties to identify whether other 'bundles' are required for particular areas of activity. Each of the above bundles will normally include the following elements and activities;

Teaching and Research Supervision: the direct delivery of teaching (lectures, seminars, academic tutorials, on-line teaching) and research supervision of students.

Management and Administration of Activity Associated with Learning, Teaching, Assessment and student support: work directly related to the delivery of formal scheduled teaching, e.g. preparation, assessment, and to [personal academic tutoring](#). This is determined in accordance with the requirements of the teaching to which it relates, and may be given as a separate bundle or may be generated using a multiplier as a function of 'Teaching and Research Supervision' bundle. The administration element includes contributions to recruitment activities depending on the Faculty requirements.

Research and Enterprise, including knowledge exchange, external engagement and scholarship of practice; allocations to support significant responsibility for independent research (publicly or nonpublicly funded), linked to an expectation to produce agreed outputs that meet the definition of research as set out in the Research Excellence Framework; to support development towards becoming an independent researcher; to support enterprise activities and external engagement; and to support externally recognised scholarship of practice.

Academic Leadership, Management and Administration: work associated with leadership roles, and the management and administration of such roles. Recognised examples include;

- Programme and subject management responsibilities.
- Faculty- or University-wide responsibilities.
- Recognised Trade Union duties.
- Clinical or Professional Leadership roles.
- Design Show Director or Field Trip Leader roles.

Staff Personal and Professional Development: an allocation which supports agreed PPD, including induction into the academic settings, early career academics, attainment of required qualifications/development for role, agreed contributions to external partnerships and external examination roles.

REVIEW

It is anticipated that the principles will be reviewed by the Senior Management Team in discussion with UCU colleagues one year from full implementation at the appropriate local level (Faculty and School/Department/Centre) and every two years thereafter.

Version control 9

Prepared by HROD and SMT sign off; 19 August 2014

Refreshed by HROD, for SMT review October 2015

SMT review completed Jan 16

Presented to SLG Jan 16.

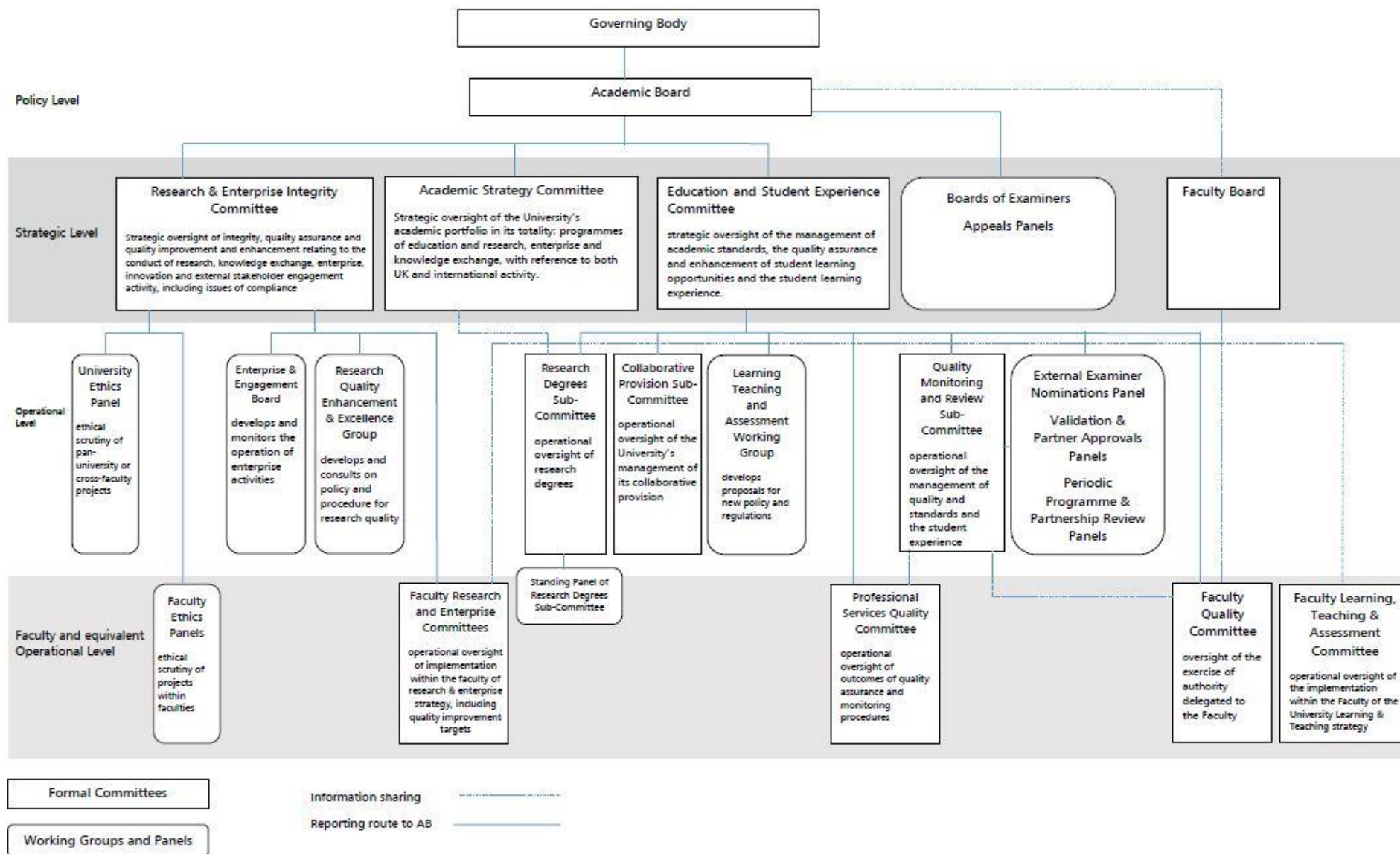
Reviewed by Deans following LAYE survey April 2017

Reviewed by Deans and UCU to align the document with REQIE and the new Strategic Plan for R&E, and to support REF auditing ay 2018.

Reviewed by Deans following Academic Board, and the revised Personal Academic Tutor guidance 31-1-19

Appendix 13 – Institutional Committee Structure

ACADEMIC BOARD COMMITTEE STRUCTURE



**CANTERBURY CHRIST CHURCH UNIVERSITY
RESEARCH EXCELLENCE FRAMEWORK (REF) MANAGEMENT GROUP
TERMS OF REFERENCE**

1. PURPOSE AND ACCOUNTABILITY

The REF Management Group's role is to oversee and coordinate all aspects of the University's submission to the Research Excellence Framework 2021. The Committee is accountable to the Research and Enterprise Integrity Committee.

2. MEMBERSHIP

- Pro-Vice Chancellor (Research & Enterprise) – Chair
 - Main Panel Convenors (4)
 - One Unit of Assessment (UoA) Coordinator per Faculty (4)
 - University REF Manager
 - Research & Enterprise Integrity and Development Office representative
 - Equality, Diversity & Inclusion representative
 - Human Resources & Organisational Development representative
- In attendance: Research & Enterprise Integrity Officer (for minutes)

3. TERMS OF REFERENCE

- To oversee and manage the University's submission to the REF.
- To select UoAs to be submitted.
- To oversee the development of and to implement the University's REF Code of Practice, including compliance with REF related E&D training.
- To advise on and approve individual UoA submission strategies and oversee their implementation.
- To ensure that the processes for the submission to each UoA are transparent, inclusive and consistent.
- To report progress to the Research and Enterprise Integrity Committee.
- To maintain and monitor the REF risk register.
- To convene (via the Chair) smaller working groups as appropriate to undertake specialist work (e.g. developing the Code of Practice, developing the institutional environment statement).
- To institute strategies to maximise the outcomes of the submission.
- To oversee the Equality Impact Assessment of the REF submission.
- To co-opt (via the Chair) appropriate members of the University when particular issues are under discussion.

4. QUORUM

- Pro-Vice Chancellor (Research & Enterprise) or delegated Deputy Chair.
- Seventy five per cent % of Main Panel Convenors
- One member of Research and Enterprise Integrity and Development Office.

5. FREQUENCY

The Group will operate flexibly and meet as and when required.

Appendix 15 – Research and Enterprise Integrity Committee Membership and Terms of Reference

RESEARCH AND ENTERPRISE INTEGRITY COMMITTEE

MEMBERSHIP 2018/19

Pro-Vice Chancellor (Research & Enterprise) (Chair)	1	Professor Mike Weed
Director Of Research Development	1	Annette King
Head Of The Graduate School (Or Nominee)	1	Vacant
Head Of Employment & Enterprise	1	Kaye Heyes
Head Of Research & Enterprise Integrity & Enhancement (or Nominee)	1	Tracy Crine
Research & Enterprise Integrity Manager	1	Emma Pole
Director Of Finance Or Nominee	1	Steve Mattingley
Assistant University Solicitor	1	Geraldine Moorcroft
Chair Of The University Ethics Panel	1	To Be Confirmed
One Representative Of Each Faculty Research And Enterprise Strategy Committee (Not Faculty Research Director, Faculty Enterprise Lead Or Faculty Ethics Panel Chairs)	4	Prof Matthew Wright (Arts & Humanities) Dr Bob Bowie (Education) Gail Sheppard (Health & Wellbeing) David Bates (Social & Applied Sciences)
One Head Of School For Each Faculty (Deans To Nominate Staff Not Represented On The Parent Or Sub-Committee)	4	Dr Kevin Balchin (Arts & Humanities) Dr Patricia Driscoll (Education) Prof. Eleni Hatzidimitriadou (Health & Wellbeing) Anne Nortcliffe (Social & Applied Sciences)
One Research Centre Director	1	Professor Stephen Clift / Esther Coren
One Faculty Athena Swan Champion	1	Dr Katie Fowler
Representative Of The Professoriate	1	Berry Billingsley/Agnes Gulyas
Two Members External To The University	2	Georges Dussart
One Postgraduate Research Student	1	Nicole Holt
Clerk/ Secretary [Research & Enterprise Integrity And Development Officer]	1	Carol Clewlow
TOTAL	24	

PROPOSED TERMS OF REFERENCE FOR THE RESEARCH AND ENTERPRISE INTEGRITY COMMITTEE 2018/19

Deriving its authority from the Academic Board, the Research and Enterprise Integrity Committee has strategic oversight of integrity, quality assurance, and quality improvement and enhancement relating to the conduct of research, knowledge exchange, enterprise, innovation, and external stakeholder engagement activity, including issues of compliance with internally and externally mandated and expected standards.

1. Scrutinise and recommend to the Academic Board for approval

- i. policies and procedures to improve and enhance research and enterprise capacity, quality, income and impact.
- ii. a Research and Enterprise Integrity Framework, drawing together internally and externally mandated and expected standards for integrity, quality assurance and ethics with which all University research, knowledge exchange, enterprise, innovation, and external stakeholder engagement activities must comply.
- iii. procedures to deal with breaches of the Research and Enterprise Integrity Framework that are sufficiently robust to reassure the University, its partner organisations and funders, and its insurers.
- iv. the Annual Statement on Research & Enterprise Integrity.

2. Approve

- i. strategies relating to research and enterprise integrity, quality assurance, and quality improvement and enhancement.
- ii. arrangements for scrutinising prioritizing and approving cross-faculty and pan-University initiatives relating to research, knowledge exchange, enterprise, innovation, and external stakeholder engagement activity.
- iii. arrangements for scrutinising prioritizing and approving projects and initiatives relating to research, knowledge exchange, enterprise, innovation, and external stakeholder engagement activity within faculties.
- iv. arrangements for organizing the University's submission to the Research Excellence Framework.
- v. procedures for the establishment and monitoring of Research and Specialist Centres.
- vi. procedures for the scrutiny, prioritization, quality assurance and approval of applications, tenders, bids, directly negotiated contracts, and any other arrangements for external funding for research and enterprise.
- vii. policies and procedures for scrutiny, prioritisation and approval of any other matters relating to research and enterprise integrity set out under the auspices of the University's Research and Enterprise Integrity Framework.

3. Monitor

- i. compliance with: the Concordat to Support Research Integrity; the Athena SWAN Charter; the UKRI Statement of Expectations for Equality and Diversity; Research England Policy for

Open Access in the Research Excellence Framework; Terms and Conditions for the receipt of UKRI and Research England funding; the Concordat to Support the Career Development of Researchers.

- ii. compliance with any other matters relating to research and enterprise integrity set out under the auspices of the University's Research and Enterprise Integrity Framework, including due diligence that work aligns with the University's mission and values, research and enterprise contract requirements, and relevant University policies, such as those for intellectual property.
- iii. implementation of policies and procedures to improve and enhance research and enterprise capacity, quality, income and impact.
- v. Implementation of strategies relating to research and enterprise integrity, quality assurance, and quality improvement and enhancement.
- vi. changes in the external environment that may have implications for the oversight of integrity, quality assurance, and quality improvement and enhancement relating to the conduct of research, knowledge exchange, enterprise, innovation and external stakeholder engagement activity at the University.
- vii. reports on the ethical scrutiny of research, knowledge exchange, enterprise, innovation, and external stakeholder engagement activity by the University Ethics Panel and Faculty Ethics Panels
- viii. any other reports and data supporting the strategic oversight of integrity, quality assurance, and quality improvement and enhancement relating to the conduct of research, knowledge exchange, enterprise, innovation, and external stakeholder engagement activity

Schedule of delegation:

Of its responsibilities, the REIC shall delegate:

- 1) to the Enterprise and Engagement Board, authority for the operational oversight of the University's enterprise, innovation, and business, community and public sector engagement activities, including monitoring quality improvement initiatives to increase the scale, volume, value, influence and impact of activities.
- 2) to the Research Quality Enhancement and Excellence Group, authority for the operational oversight of policies and procedures to improve and enhance the quality of research outputs, impact, funding applications and the research environment. The RQEEG will also operationalize and monitor quality improvement initiatives and targets for research and knowledge exchange, including those supporting Research Excellence Framework outcomes.
- 3) to Faculty Research and Enterprise Committees, authority for the operational oversight within faculties of integrity, quality assurance, and quality improvement and enhancement relating to the conduct of research, knowledge exchange, enterprise, innovation, and external stakeholder engagement activity, including issues of compliance with internally and externally mandated and expected standards.,
- 4) to the University Ethics Panel, implementation of policy and procedures for ethical scrutiny of proposals for pan-university or cross-faculty initiatives or projects relating to research, knowledge exchange, enterprise, innovation, and external stakeholder engagement activity.

- 5) To Faculty Ethics Panels, implementation of policy and procedures for ethical scrutiny of proposals initiatives or projects relating to research, knowledge exchange, enterprise, innovation, and external stakeholder engagement activity within faculties.

Appendix 16 – Main Panel Convenor Role Descriptor
CANTERBURY CHRIST CHURCH UNIVERSITY

APPOINTMENT OF REF 2021 MAIN PANEL CONVENORS (x4)

Context

Submissions to REF 2021 are made by subject areas or *Units of Assessment (UoAs)*. UoAs are grouped into four Main Panels. These Main Panels, together with the expected percentage of submitted staff from CCCU and the faculties which they cover (based on an initial analysis of HESA data) are set out below:

Main Panel A	<i>Medicine, health & life sciences</i>	c. 24% of expected CCCU submission (8% Faculty of Health & Wellbeing) (16% Faculty of Social & Applied Sciences)
Main Panel B	<i>Physical sciences, engineering & mathematics</i>	c. 4% of expected CCCU submission (4% Faculty of Social & Applied Sciences)
Main Panel C	<i>Social sciences (incl Education)</i>	c. 45% of expected submission (32% Faculty of Social & Applied Sciences) (13% Faculty of Education)
Main Panel D	<i>Arts & humanities</i>	c. 27% of expected CCCU submission (27% Faculty of Arts & Humanities)

Given the above, we intend to appoint to the following four roles, each of which will be at 0.2FTE for a fixed period until December 2020:

Convenor – Main Panels A & B

Co-Convenors – Main Panel C (x2)

Convenor – Main Panel D

Purpose

The four Main Panel Convenors will, together with staff from EE:RD and the Pro Vice-Chancellor (Research & Enterprise) comprise the CCCU REF Management Group, which will establish institutional strategy to maximise institutional outcomes from REF 2021, including determining the UoAs to which submissions will be made and establishing the institutional Code of Practice as required by Research England. The REF Management Group will be joined, on a rotating basis, by four UoA co-ordinators (one from each faculty) at each of its meetings.

Main Panel Convenors may or may not also be a UoA co-ordinator and/or a Faculty Director of R&E, but the four Main Panel Convenor roles are mutually exclusive (ie, it will not be possible for one person to hold more than one Main Panel Convenor role).

Role Descriptor

As part of the REF 2021 Management Group:

- To contribute to the establishment of aims and outcomes for the institutional submission to REF 2021.
- To contribute to the development of institutional strategy to maximise institutional outcomes from REF 2021.
- To contribute to the development of the institutional Code of Practice for REF 2021 as required by Research England, including determination of the interpretation “significant responsibility for research” at CCCU.
- To contribute to the development of the institutional environment statement for REF2021.
- To develop knowledge and expertise on all aspects of REF 2021 and undertake development activities to do so.
- To act as a ‘Champion’ and advisor for activities throughout the university that support the maximisation of institutional outcomes from REF 2021

As (co-)Convenor of the Main Panel:

- To work with Deans, Heads of School and Faculty Directors of R&E to establish and Chair a Main Panel Steering Group comprising relevant UoA co-ordinators and other relevant stakeholders.
- To oversee decisions about UoA structure, objectives, criteria, timelines and submissions within the overall institutional aims, outcomes and strategy for REF 2021 agreed by the REF Management Group.
- To ensure the fair and consistent implementation of the institutional Code of Practice across UoAs within the Main Panel.
- To work with colleagues to enhance the research environment and ensure it is beneficially represented in the environment section of the submission, within the context of the institutional environment statement.
- To report progress to the REF Management Group and represent the views of constituent UoAs.
- To communicate effectively across Faculties, Schools and UoAs about the REF and engage staff in the process

CANTERBURY CHRIST CHURCH UNIVERSITY
RESEARCH EXCELLENCE FRAMEWORK (REF) MAIN PANEL STEERING COMMITTEE (PANEL XX)
TERMS OF REFERENCE

6. PURPOSE AND ACCOUNTABILITY

The Main Panel Steering Committee's role is to oversee and coordinate the submission of its constituent UoAs to the Research Excellence Framework 2021. The Committee is accountable to the REF Management Group.

7. MEMBERSHIP

- Main Panel Convenor – Chair
- Appropriate Research Leads (eg: Dean(s) of Faculty and/or Faculty Director(s) of Research) for constituent UoAs
- Unit of Assessment (UoA) Coordinators
- REF Manager (REIDO)

In attendance: Research Administrator/equivalent role (for minutes)

8. TERMS OF REFERENCE

- To oversee decisions about UoA structure, objectives, criteria, timelines and submissions within the overall institutional aims, outcomes and strategy for REF 2021 agreed by the REF Management Group.
- To ensure the fair and consistent implementation of the institutional Code of Practice across UoAs within the Main Panel.
- To work with colleagues to enhance the research environment and ensure it is beneficially represented in the environment section of the submission.
- To advise on and evaluate UoA environment statements and impact case studies.
- To report progress to the REF Management Group and represent the views of constituent UoAs.
- To communicate effectively across Faculties, Schools and UoAs about REF 2021 and to engage staff in the process
- To co-opt appropriate members of the University when particular issues are under discussion.

9. QUORUM

- Main Panel Convenor or delegated Deputy Chair.
- Seventy five per cent% of UoA coordinators or their delegated alternate.
- One member of Research and Enterprise Integrity and Development Office.

10. FREQUENCY

The Group will meet at least four times a year with additional meetings as required.

UoA Co-ordinator role descriptor – REF 2021.

It is expected that a UoA coordinator is supported in their role by a UoA steering group whose membership is drawn from experienced members of the UoA. It is expected that the UoA coordinator will chair their UoA sub-panel and represent the UoA on the relevant Main Panel steering committee.

Supported by the Main Panel steering committee and the UoA steering group, the UoA Coordinator's role is to oversee and coordinate the UoA's submission to the 2021 Research Excellence Framework. The Coordinator will ensure that the UoA submission is of the highest quality and is achieved in a fair and transparent way in accordance with the institutional Code of Practice. The UoA Coordinator and UoA Committee report to the relevant Main Panel steering committee, which in turn reports to the University REF Management Group. Each Main Panel Convenor (4) plus one further UoA co-ordinator per Faculty will sit on the University REF Management Group.

The UoA Coordinator role is;

- To work with the Deans, Heads of School, Faculty Research and Enterprise Directors and Main Panel Convenors to establish a UoA sub-panel and to Chair that Committee.
- To communicate effectively to the Faculty, School and UoA about the REF and engage staff in the process.
- To agree UoA criteria and objectives.
- To establish and communicate quality criteria for the inclusion of outputs and impact case studies.
- To put in place a process of collation and assessment of research outputs, evaluated against the UoA criteria and objectives, and to assess the quality of research outputs and impact case studies.
- To review and recommend outputs to be submitted.
- To review and agree the case studies to be included and their content.
- To work with colleagues to enhance the research environment and ensure it is beneficially represented in the environment section of the submission.
- To establish a clear timeline of activities and targets.
- To consult with appropriate 'critical friends' and disseminate feedback to the UoA.
- To provide ongoing feedback to staff with significant responsibility for independent research with regard to their inclusion in the submission.
- To ensure that the processes for the selection of outputs and of case studies are transparent and equitable in accordance with the institutional Code of Practice
- To report progress to the Main Panel Steering Committee.
- To oversee and assist in preparing the UoA's input into the relevant areas of University's mock submission and the final REF submission.
- To oversee and monitor UoA adherence with the CCCU Open Access Policy.

**UNIT OF ASSESSMENT (UoA) STEERING GROUP
TERMS OF REFERENCE**

1. PURPOSE AND ACCOUNTABILITY

The UoA Steering Group's role is to oversee and coordinate the UOA's submission to the Research Excellence Framework 2021. The Committee will ensure that the UOA submission is of the highest quality and is achieved in a transparent, inclusive and consistent way in accordance with the institutional Code of Practice. The Committee is accountable to the relevant Main Panel Steering Group.

2. TERMS OF REFERENCE

- To communicate effectively to the Faculty and School/Department about the REF and engage staff in the process
- To establish a clear timeline of activities and targets
- To consult with appropriate 'critical friends'
- To agree UoA criteria and objectives
- To agree a process of collation and assessment of research outputs, evaluated against the UoA criteria and objectives.
- To ensure compliance with REF 2021 Open Access requirements for submitted outputs
- To review and recommend outputs to be submitted
- To review and agree the impact case studies to be included and their content
- To review and agree the unit level environment statement
- To ensure that the processes for the selection of outputs and of impact case studies are transparent and equitable in accordance with the institutional Code of Practice
- To report progress to the relevant Main Panel Steering Committee
- To oversee and assist in preparing the UoA's submission to REF 2021.

3. MEMBERSHIP

- UOA Coordinator – Chair
- Two (minimum) to six (maximum) additional academic staff, which may include a UoA Coordinator from another UoA (optional additional member).

4. QUORUM

- UoA Coordinator
- Minimum of four members in total.

CCCU Indicators of Research Independence

- Award of study leave to conduct independent research (i.e. not for completion of PhD).
- Award of QR/RESF funds or other internal research grants to conduct a piece of independent research.
- Membership of a doctoral supervisory panel.
- Leading or playing a significant role on a piece of funded research (internal or externally).
- Conducting a significant piece of independent research (i.e.: undertaking self-directed research, rather than carrying out another's research programme).
- Inclusion in a previous RAE/REF.
- Inclusion on CCCU's register of research active staff or experienced supervisors.
- Lead author on a research output eligible for inclusion in the REF (Either sole or joint author)
- Significant input into the design, conduct and interpretation of a piece of research (REF 2018/01, p.40)
- Staff currently studying for their doctorate or having recently completed it are unlikely to be independent researchers.

Reductions for staff circumstances (including tariffs)

Summary of applicable circumstances

The funding bodies, advised by EDAP, have identified the following equality-related circumstances that, in isolation or together, may significantly constrain the ability of submitted staff to produce outputs or to work productively throughout the assessment period:

- a. Qualifying as an ECR (on the basis set out in paragraphs 148 and 149 in Guidance on Submissions and under 'Early Career Researchers' below).
- b. Absence from work due to secondments or career breaks outside the HE sector.
- c. Qualifying periods of family-related leave.
- d. Other circumstances that apply in UOAs 1–6, as defined in paragraphs 161 – 163 (guidance on submissions)
- e. Circumstances with an equivalent effect to absence, that require a judgement about the appropriate reduction in outputs, which are:
 - i. Disability: this is defined in the 'Guidance on codes of practice', Table 1 under 'Disability'.
 - ii. Ill health, injury, or mental health conditions.
 - iii. Constraints relating to pregnancy, maternity, paternity, adoption or childcare that fall outside of – or justify the reduction of further outputs in addition to – the allowances set out below.
 - iv. Other caring responsibilities (such as caring for an elderly or disabled family member).
 - v. Gender reassignment.

Details of the permitted reductions are set out below:

1. Given the reduced output requirement for 2021, the tariffs for the defined reductions differ from those set in REF 2014. This is to ensure that a broadly equivalent reduction is given in the context of the submitted output pool, and to ensure that panels receive a sufficient selection of research outputs from each submitted unit upon which to base judgements about the quality of that unit's outputs.

Early career researchers

2. ECRs are defined in the 'Guidance on submissions' (paragraph **Error! Reference source not found.**). Table L1 sets out the permitted reduction in outputs without penalty in the assessment that HEIs may request for ECRs who meet this definition.

Table L1: Early career researchers: Permitted reduction in outputs

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

Absence from work due to secondments or career breaks

3. Table L2 sets out the permitted reduction in outputs without penalty in the assessment that HEIs may request for absence from work due to secondments or career breaks outside of the HE sector, and in which the individual did not undertake academic research.

Table L2: Secondments or career breaks: Permitted reduction in outputs

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

4. The allowances in Table L2 are based on the length of the individual's absence or time away from working in HE. They are defined in terms of total months absent from work.

5. As part-time working is taken account of within the calculation for the overall number of outputs required for the unit (which is determined by multiplying the unit's FTE by 2.5), reduction requests on the basis of part-time working hours should only be made exceptionally. For example, where the FTE of a staff member late in the assessment period does not reflect their average FTE over the period as a whole.

Qualifying periods of family-related leave

6. The total output pool may be reduced by 0.5 for each discrete period of:
- a. Statutory maternity leave or statutory adoption leave taken substantially during the period 1 January 2014 to 31 July 2020, regardless of the length of the leave.

- b. Additional paternity or adoption leave⁹, or shared parental leave¹⁰ lasting for four months or more, taken substantially during the period 1 January 2014 to 31 July 2020.

7. This approach to reductions for qualifying periods of family-related leave is based on the funding bodies' considered judgement following consultation in the previous REF exercise that the impact of such a period of leave and the arrival of a new child into a family is generally sufficiently disruptive of an individual's research work to justify the specified reduction.

8. While the above reduction of outputs due to additional paternity or adoption leave is subject to a minimum period of four months, shorter periods of such leave could be taken into account as follows:

- a. By applying a reduction in outputs where there are additional circumstances, for example where the period of leave had an impact in combination with other factors such as ongoing childcare responsibilities.
- b. By combining the number of months for shorter periods of such leave in combination with other circumstances, according to Table L2.

9. Any period of maternity, adoption, paternity or shared parental leave that qualifies for the reduction of an output under the provisions in paragraph 6 above may in individual cases be associated with prolonged constraints on work that justify more than the defined reduction set out. In such cases, the circumstances should be explained in the request.

Combining circumstances

10. Where individuals have had a combination of circumstances that have a defined reduction in outputs, these may be accumulated up to a maximum reduction of 1.5 outputs. For each circumstance, the relevant reduction should be applied and added together to calculate the total maximum reduction.

11. Where Table L1 is combined with Table L2, the period of time since 1 January 2014 up until the individual met the definition of an ECR should be calculated in months, and Table L2 should be applied.

12. When combining circumstances, only one circumstance should be taken into account for any period of time during which they took place simultaneously.

13. Where an individual has a combination of circumstances with a defined reduction in outputs **and** additional circumstances that require a judgement, the institution should explain this in the reduction request so that a single judgement can be made about the appropriate reduction in

⁹ 'Additional paternity or adoption leave' refers to leave of up to 26 weeks which is taken to care for a child where the person's spouse, partner or civil partner was entitled to statutory maternity leave or statutory adoption leave, and has since returned to work. The term 'additional paternity leave' is often used to describe this type of leave although it may be taken by parents of either gender. For the purposes of the REF, we refer to this leave as 'additional paternity or adoption leave'.

¹⁰ 'Shared parental leave' refers to leave of up to 50 weeks which can be shared by parents having a baby or adopting a child. This can be taken in blocks, or all in one go.

outputs, taking into account all the circumstances. The circumstances with a defined reduction in outputs to be requested should be calculated according to the guidance above (paragraphs 2 to 10).

Other circumstances that apply in UOAs 1–6

14. In UOAs 1–6, the number of outputs may be reduced by up to one, without penalty in the assessment, for Category A submitted staff who are junior clinical academics. These are defined as clinically qualified academics who are still completing their clinical training in medicine or dentistry and have not gained a Certificate of Completion of Training (CCT) or its equivalent prior to 31 July 2020.

15. This allowance is made on the basis that the staff concerned are normally significantly constrained in the time they have available to undertake research during the assessment period. Where the individual meets the criteria in paragraph 14, and has had significant additional circumstances – for any of the other reasons set out in the ‘Guidance on submissions’ in paragraph 0 – the institution can make a case for further reductions in the unit reduction request.

Circumstances requiring a judgement about reductions

16. Where staff have had other circumstances during the period (see paragraph 0e. in this ‘Guidance on submissions’ document) – including in combination with any circumstances with a defined reduction in outputs – the institution will need to make a judgement about the effect of the circumstances in terms of the equivalent period of time absent, apply the reductions as set out in Table L2 by analogy, and provide a brief rationale for this judgement.

STAFF CIRCUMSTANCES PANEL TERMS OF REFERENCE

1. PURPOSE AND ACCOUNTABILITY

The Staff Circumstances Panel is responsible for upholding the funding bodies' clear commitment to promoting and supporting equality, diversity and inclusion in research careers, and the resulting measures that acknowledge the effect that staff circumstances may have on research productivity. The Panel will confidentially receive and consider staff disclosure forms for REF 2021. The Panel is accountable to the REF Management Group, but will not provide minutes to this committee for reasons of confidentiality.

2. TERMS OF REFERENCE

- To ensure confidentiality in relation to all submitted staff disclosure forms.
- To consider staff disclosure forms in accordance with the REF 2021 Guidance on Staff Circumstances
- To recommend to the REF Management Group reductions to the output pool in the relevant Unit of Assessment
- To confidentially recommend to the REF Manager where a request should be made to remove the minimum of one requirement.
- To respond directly to staff within 15 working days of submission of a staff disclosure form

3. MEMBERSHIP

- Pro Vice-Chancellor (Research and Enterprise) - Chair
- REF Manager
- Equality and Diversity Manager
- Disability Manager (optional additional member)

4. QUORUM

- Pro Vice-Chancellor (Research and Enterprise)
- REF Manager
- Equality and Diversity Manager

Declaration of Individual Staff Circumstances

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

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

Applicable circumstances

- Qualifying as an ECR (started career as an independent researcher on or after 1 August 2016)
- Absence from work due to secondments or career breaks outside the HE sector
- Qualifying periods of family-related leave
- Junior clinical academics who have not gained a Certificate of Completion of training by 31 July 2020
- Disability (including chronic conditions)
- Ill health, injury or mental health conditions
- Constraints relating to family leave that fall outside of the standard allowances
- Caring responsibilities
- Gender reassignment
- COVID-19 related circumstances (REF6a only)¹¹

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

¹¹ As well as effects due to applicable circumstances (such as ill health, caring responsibilities), this includes other personal circumstances related to COVID-19 (such as furloughed staff, health-related or clinical staff diverted to frontline services, staff resource diverted to other priority areas within the HEI in response to COVID-19); and / or external factors related to COVID-19 (for example, restricted access to research facilities).

Completion and return of the form is voluntary, and individuals who do not choose to return it will not be put under any pressure to declare information if they do not wish to do so. This form is the only means by which the University will be gathering this information; we will not be consulting HR records, contract start dates, etc. You should therefore complete and return the form if any of the above circumstances apply and you are willing to provide the associated information.

Ensuring Confidentiality

Returned forms will be considered by a Staff Circumstances panel comprising the Pro Vice-Chancellor (Research and Enterprise), the REF Manager and the Equality and Diversity Manager. The Disability Manager will be co-opted as required. All Panel members will be bound by confidentiality, and will not have access to HR or employment records. Information in the forms will only be used for the purposes of identifying appropriate reductions for REF 2021. Information will not be passed to HR or the staff member's department/School/Faculty unless an explicit request to do so is made by the staff member (for example to use the information to make reasonable working adjustments with regard to disability).

Once received, the Staff Circumstances Panel will review the form against the REF guidance on Staff Circumstances. A response will be issued via return email (or telephone where requested) in 15 working days as to whether the University will submit the reduction request to REF 2021.

The University is required to submit requests for reductions to the REF Equality and Diversity Advisory Panel (EDAP) by the submission deadline of 31 March 2021. All staff circumstances should therefore be submitted to the Staff Circumstances Panel by 30 November 2020 to allow full and proper consideration of such circumstances.

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

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

Units of Assessment will only be informed of individual staff data where a request to remove the minimum of one requirement is granted. Reductions to the pool will be reported on in aggregate form and Units of Assessment will not have access to the details of such reductions.

Changes in circumstances

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

Completed forms should be returned to REFdisclosure@canterbury.ac.uk

Name: Click here to insert text.

Department: Click here to insert text.

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

Yes

No

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

Circumstance	Time period affected
Early Career Researcher (started career as an independent researcher on or after 1 August 2016). <i>Date you became an early career researcher.</i>	Click here to enter a date.
Junior clinical academic who has not gained Certificate of completion of Training by 31 July 2021.	Tick here <input type="checkbox"/>
Career break or secondment outside of the HE sector. <i>Dates and durations in months.</i>	Click here to enter dates and durations.
Family-related leave; <ul style="list-style-type: none">• statutory maternity leave• statutory adoption leave• Additional paternity or adoption leave or shared parental leave lasting for four months or more. <i>For each period of leave, state the nature of the leave taken and the dates and durations in months.</i>	Click here to enter dates and durations.
Disability (including chronic conditions) <i>To include: Nature / name of condition, periods of absence from work, and periods at work when unable to research productively. Total duration in months.</i>	Click here to enter text.
Mental health condition <i>To include: Nature / name of condition, periods of absence from work, and periods at work when unable to research productively. Total duration in months.</i>	Click here to enter text.
Ill health or injury <i>To include: Nature / name of condition, periods of absence from work, and periods at work when unable to research productively. Total duration in months.</i>	Click here to enter text.

<p>Constraints relating to family leave that fall outside of standard allowance</p> <p><i>To include: Type of leave taken and brief description of additional constraints, periods of absence from work, and periods at work when unable to research productively. Total duration in months.</i></p>	<p>Click here to enter text.</p>
<p>Caring responsibilities</p> <p><i>To include: Nature of responsibility, periods of absence from work, and periods at work when unable to research productively. Total duration in months.</i></p>	<p>Click here to enter text.</p>
<p>Gender reassignment</p> <p><i>To include: periods of absence from work, and periods at work when unable to research productively. Total duration in months.</i></p>	<p>Click here to enter text.</p>
<p>COVID-19 (Applicable only where requests are being made for the removal of the minimum of one requirement)</p> <p><i>To include: periods of absence from work, and periods at work when unable to research productively. Total duration in months.</i></p> <p><i>The overall impact of the COVID-19 effects should be considered in combination with other applicable circumstances affecting the staff member's ability to research productively throughout the period.</i></p>	<p>Click here to enter text.</p>
<p>Any other exceptional reasons e.g. bereavement.</p> <p><i>To include: brief explanation of reason, periods of absence from work, and periods at work when unable to research productively. Total duration in months.</i></p>	<p>Click here to enter text.</p>

Please confirm, by ticking the box provided, that:

- The above information provided is a true and accurate description of my circumstances as of the date below
- I realise that the above information will be used for REF purposes only and will be seen by the REF Manager, The PVC Research and Enterprise, and the Equality and Diversity Manager. Where a disability is declared, the information may also be seen by the Disability Manager.
- I realise it may be necessary to share the information with the REF team, the REF Equality and Diversity Advisory Panel, and main panel chairs.

I agree

Name: Print name here

Signed: Sign or initial here

Date: Insert date here

I give my permission for an HR business partner to contact me to discuss my circumstances, and my requirements in relation to these.

I give my permission for the details of this form to be passed on to the relevant contact within my department/faculty/centre. (Please note, if you do not give permission your department may be unable to adjust expectations and put in place appropriate support for you).

I would like to be contacted by:

Email Insert email address

Phone Insert contact telephone number