

**CODE OF PRACTICE ON THE FAIR AND TRANSPARENT SELECTION OF STAFF FOR
INCLUSION IN RESEARCH EXCELLENCE FRAMEWORK SUBMISSIONS**

1.0 INTRODUCTION

- 1.1 The purpose of this Code of Practice is to set out the University of Central Lancashire's (UCLan's) approach to ensuring that the selection of staff for inclusion in the University's Research Excellence Framework (REF) 2014 submission is fair, equitable, transparent, consistent, accountable and inclusive, and that opportunities for the inclusion of all eligible members of staff are maximised.
- 1.2 It is a University document developed to meet the UK higher education funding bodies' requirements regarding the management of equality and diversity (E&D) in relation to the REF 2014. Specifically:
- "Each institution making a submission is required to develop, document and apply a code of practice on the fair and transparent selection of staff for their REF submissions"*
- 1.3 The Code of Practice should ensure that no isolated, unaccountable decisions are taken. It is intended for use by all UCLan's academic staff and all support staff involved in supporting the development of the University's REF submission. It will be applied to ensure that UCLan adheres to its equality and diversity commitments and responsibilities.
- 1.4 UCLan's objective for REF 2014 is to enhance significantly the research reputation of the University such that by 2014 we will have achieved a REF outcome consistent with a top 50-60 University research rating. In order to achieve this, the University's current REF strategy (monitored, reviewed and communicated by the Deputy Vice-Chancellor (Academic) and the University Director of Research as appropriate) is to only submit material of 2* quality and above across all Units of Assessment (UoAs) submitted.
- 1.5 This Code of Practice will enable the University to deliver the above objective in line with the University's overall commitments to equality and diversity as outlined in its Single Equality Scheme. This Code is not a general statement on equality and diversity at the University, but deals only with REF submission issues.
- 1.6 In line with funding body recommendations and legal requirements, an Equality Impact Assessment (EIA) will be carried out at appropriate stage(s) during the development of the University's REF 2014 submission to ensure that the selection process for staff has no disproportionate differential impact on staff from any particular group of protected characteristics.
- 1.7 On making submissions to the REF, the Vice-Chancellor will be required to confirm adherence to this Code of Practice.
- 1.8 The funding bodies require that institutions' Codes of Practice be submitted to the REF team by 31 July 2012. Codes of Practice will be examined by an external Equality and Diversity Advisory

¹ REF 02.2011, July 2011, 'Assessment framework and guidance on submissions'

Panel (EDAP) in advance of the November 2013 REF submission deadline, and all institutions' Codes will be published with the rest of the submissions at the end of the assessment process.

2.0 THE LEGISLATIVE CONTEXT

2.1 UCLan's Code of Practice acknowledges the legislative context relevant to the selection of individuals for submission to the REF. UCLan will adhere to the principles and requirements of the Equality Act 2010. A detailed summary of the legislative context specifically in relation to the REF can be found in Part 4 of the funding bodies' REF 02.2011 (July 2011) '*Assessment framework and guidance on submissions*' (referred to herein as '*Guidance on Submissions*'): <http://www.ref.ac.uk/pubs/2011-02/>

2.2 The University also subscribes to the commitments outlined in '*The Concordat to Support the Career Development of Researchers*', available at: <http://www.researchconcordat.ac.uk/>

3.0 SELECTION OF STAFF AND DECLARATION OF INDIVIDUAL CIRCUMSTANCES

3.1 The University's REF 2014 submission will be based upon evidence-based reviews of the potential contributions of all eligible staff² anticipated to have the appropriate number³ of publications and other forms of assessable output which they have produced during the REF publication period (1 January 2008 to 31 December 2013).

3.2 The normal requirement for staff in Category A is to have four outputs. Staff may be returned with fewer than four outputs without penalty in the assessment, if one or more of the following circumstances significantly constrained their ability to produce four outputs or to work productively throughout the assessment period:

- a. **Clearly defined circumstances**, which are:
 - i. Qualifying as an Early Career Researcher (as defined at paragraphs 85-86 of '*Guidance on Submissions*').
 - ii. Absence from work due to part-time working, secondments or career breaks.
 - iii. Maternity, paternity or adoption leave. (Note that maternity leave may involve related constraints on an individual's ability to conduct research in addition to the defined period of maternity leave itself. These cases can be returned as 'complex' as described at sub-paragraph b below, so that the full range of circumstances can be taken into account in making a judgement about the appropriate number of outputs that may be reduced without penalty). The funding bodies have already agreed that researchers may reduce the number of outputs in a submission by one for each discrete period of statutory maternity or adoption leave and for each discrete period of additional paternity or adoption leave lasting for four months or more taken substantially during the REF period.
 - iv. Secondments or career breaks outside of the higher education sector, and in which the individual did not undertake academic research.
- b. **Circumstances that are more complex** and require a judgement about the appropriate number of outputs that can be reduced without penalty. These circumstances are:
 - i. Disability. This is defined in '*Guidance on Submissions*' Part 4, Table 2 under 'Disability'.
 - ii. Ill health or injury.

² Definitions of eligible staff can be found at Part 3 Section 1: Staff details of REF 02.2011, July 2011, '*Assessment framework and guidance on submissions*'

³ The appropriate number of outputs is 4 unless staff are constrained by circumstances as described at paragraphs 64-91 of REF 01.2012, January 2012, '*Panel criteria and working methods*'

- iii. Mental health conditions.
 - iv. Constraints related to pregnancy, maternity, paternity adoption or childcare that fall outside of – or justify the reduction of further outputs in addition to – the allowances described at 3.2 a. iii above. (These may include but are not limited to: medical issues associated with pregnancy or maternity; health and safety restrictions in laboratory or field work during pregnancy or breastfeeding; constraints on the ability to travel to undertake fieldwork due to pregnancy or breast-feeding.)
 - v. Other caring responsibilities.
 - vi. Gender reassignment.
 - vii. Other circumstances relating to the protected characteristics listed at paragraph 190 of *Guidance on Submissions* or relating to activities protected by employment legislation.
- 3.3 UCLan acknowledges that there may also be other circumstances comparable with the examples given above which REF Main Panels and Sub Panels may consider as long as an explanation and evidence is provided regarding the way in which these are said to have impacted on the individual's ability to produce the expected volume of research outputs.
- 3.4 For clearly defined circumstances, UCLan will use the '*Panel criteria and working methods*' statements published by the funding bodies which provide tariffs to determine the number of outputs that may be reduced without penalty in the assessment, depending on the duration of the circumstance (or combination thereof). <http://www.ref.ac.uk/pubs/2012-01/>
- 3.5 For more complex circumstances, UCLan will make a judgement on the appropriate reduction in the number of outputs submitted. UCLan will be required to make account of this to the REF EDAP team which will consider these cases on a consistent basis across all UOAs. UCLan will draw on the worked examples of complex circumstances provided by the Equality Challenge Unit (ECU), which will indicate the appropriate reduction in outputs for a range of particular circumstances.
- 3.6 Where an individual has a combination of clearly defined and more complex circumstances, UCLan will return these as 'complex' so that a single judgement can be made about the appropriate reduction in outputs, taking into account all the circumstances.
- 3.7 Procedures for disclosing individual staff circumstances:

All staff who expect their individual circumstances to have an impact on their number of eligible outputs for submission are encouraged to complete a proforma (Individual Staff Circumstances Disclosure Form) for the declaration of these circumstances. A copy of this proforma is attached at **Appendix A** and will also be made available via the University's HR website, for completion and submission at any point leading up to 31st July 2013. Advice on disclosure can be sought from the University's Equality and Diversity Manager and/or the HR Manager leading on Equality and Diversity. The disclosure process will be managed centrally and all Individual Staff Circumstances Disclosure Forms should be submitted to the University's Director of Research. The University Director of Research will oversee the dissemination of the information/decision depending on the level of confidentiality preferred and indicated by staff members and as set out in paras 4.1 and 4.2.

The University will observe confidentiality in line with personal preferences indicated on page 4 of the Individual Staff Circumstances Disclosure Form attached as Appendix A to this document.

- 3.8 The University's REF 2014 Equality & Diversity Sub-Group (see **Appendix B** for Terms of Reference and membership) in liaison with the nominated UoA Co-ordinator will match the clearly defined circumstances to the published tariff reductions. They will also consider all cases of complex staff circumstances and recommend the appropriate reduction in the number

of outputs to be submitted, seeking external advice from the ECU where required. The Chair of the REF 2014 E&D Sub-Group/UoA Co-ordinator will feedback to the individual concerned all decisions and recommendations made.

- 3.9 The evidence-based reviews referred to at 3.1 above will be conducted via UoA and University-level groups incorporating at least one independent external review of research quality. Responsibility for the development of the submission for each UoA will be through a lead Dean who will in practice delegate the management of this responsibility to nominated UoA Co-ordinators. Deans however cannot delegate their role in reviews of appeals against submission decisions.
- 3.10 Staff will be treated equitably and in the context of the University's REF 2014 strategy. Decisions to submit or not submit staff will reflect evidence-based reviews of the quality and quantity of work in the context of the University's strategy for submission in specific REF UoAs and will be free from discrimination. Decisions on research quality will be taken in the relevant area of expertise and will take into account guidance regarding the working methods of the relevant main and sub-panel(s).
- 3.11 All staff provisionally considered for inclusion, but who are not then included in the final REF 2014 submission will be notified at the earliest possible opportunity and by 31st July 2013 at the latest.
- 3.12 Where an individual is not included in UCLan's submission to REF 2014, it should not be interpreted that UCLan does not value that individual's contribution to the University. The University recognises that the REF does not seek to reward and value all research and in particular REF 2014 fails to recognise and reward developing areas of research strength currently at sub-national levels of excellence. The University values a broader range of research achievement and development and will continue to ensure that longer term developments are appropriately supported.

4.0 CONFIDENTIALITY

- 4.1 For staff willing to share information regarding their individual staff circumstances with relevant colleagues:

Information submitted to UCLan on the Individual Staff Circumstances Disclosure Form (**Appendix A**) will be seen internally by relevant staff involved in the selection of staff for inclusion in the REF unless otherwise requested on the proforma. This is likely to include the relevant UoA Co-ordinator(s), Dean(s), University Director of Research, the Deputy Vice-Chancellor (Academic) and members of the University's REF 2014 Equality & Diversity Sub-Group (see **Appendix B** for Terms of Reference and membership). Decisions regarding the reduction of outputs will be taken as indicated at 3.8 above. All staff involved in selection and decision making will be reminded to observe confidentiality in line with the University's data protection principles.

- 4.2 For staff wishing to share information regarding their individual staff circumstances with the University's REF 2014 Equality and Diversity Sub-Group only:

Where individuals wish greater confidentiality to be observed, they are advised to indicate at Page 4 of the Individual Staff Circumstances Disclosure Form (**Appendix A**) that they only wish their information to be shared with members of the University's REF 2014 Equality & Diversity Sub-Group (see **Appendix B** for Terms of Reference and membership). Where this is indicated, that group will consider the circumstances and recommend the relevant reduction in outputs. The decision will be communicated to the relevant UoA co-ordinator(s), but details of the circumstances will not be disclosed. (It should be noted that there may be occasions where it will be necessary for the University's REF 2014 Equality & Diversity Sub-Group to liaise with others regarding the information supplied. However, in such circumstances the consent of the individual concerned will be sought in advance.)

4.3 All Individual Staff Circumstances Disclosure Forms will be stored securely within the University's Research Development Office, used for the purposes of REF 2014 submission only and retained for the period of storage required for REF records generally.

4.4 Information provided on Individual Staff Circumstances Disclosure Forms may be shared externally for the purposes of evidencing any reduction in the number of research outputs, as required by the funding bodies' REF Team.

5.0 FIXED TERM AND PART-TIME STAFF

5.1 UCLan will support its fixed term staff on a par with its permanent/open contract staff, where they meet the census period requirements. Any contracts which fall partially within the start/end date of the census period will be addressed on a case by case basis but in line with equality and diversity principles.

5.2 Part-time staff will be treated on a pro-rata basis and on equal terms to full-time staff at the University.

6.0 TRAINING

6.1 Staff involved in the selection of staff will receive appropriate training on equality and diversity and the selection of staff, specifically tailored to the REF from September 2012. This will complement the mandatory training (which covers the Equality Act 2010) that all UCLan staff are required to complete. Additional briefings relating to equality and diversity leading up to the University's submission will be produced as appropriate to complement these training events. The University will draw on the training materials, case study examples and advice and guidance provided by the ECU.

7.0 EQUALITY IMPACT ASSESSMENT

7.1 The University will incorporate an EIA on a regular basis at all relevant stages leading up to its REF submission. Much information has already been gathered on the diversity profiles of our academic staff and research student profiles as part of recent University Research Strategy EIAs and this information will feed into REF analyses. This will ensure that UCLan carries out a thorough and systematic analysis to ensure that its selection policy for the REF is not having a differential impact on particular groups. The EIA will be carried out at critical points such as:

- An analysis of all eligible staff who have been identified
- All the main levels of selection
- When considering any appeals
- When preparing the final submission

7.2 Evidence will be gathered for the four strands where diversity information is comprehensively available (ie age, gender, disability and ethnicity). The University will fully comply with all its data protection principles to ensure anonymity and non-identification of individuals within these analyses. Involvement and consultation will take place with staff and UCLan will publish its EIA after its REF submission is made.

8.0 APPEALS

8.1 Whilst it is hoped that any disagreement or dispute can be resolved informally and at a local level, the University will use the following protocol to manage appeals against decisions.

Any member of staff who believes the decision not to submit them to the REF is unjustified will be able to request a review of the decision to not submit. This will require the lead Dean for the UoA concerned to provide feedback, to identify where the individual has not met the criteria. In situations where the lead Dean is not also the individual's Dean of School, It may be

appropriate for the two Deans to liaise and for the Dean of School to have the opportunity to input into the process as necessary.

In the event the individual continues to remain dissatisfied, they should confirm in writing the reasons why and demonstrate the areas where they believe they do meet the required criteria for submission. This will then be referred to a Directorate Academic Team lead who has not previously participated in the process and who will review the available information, the outcome of their review being final. There will be no further appeal.

8.2 In addition and prior to the submission date, the University's REF Steering Group will seek written assurances from HR and Deans of School that the procedures detailed above have been followed and applied to all relevant staff by 31st July 2013 at the latest.

9.0 COMMUNICATION

9.1 This Code of Practice will be available to all UCLan staff through a number of channels:

- Published on the HR and University-wide E&D webpages (intranet)
- Published on UCLan's REF webpage
- Note on AULookout
- Letter/email to staff who are on maternity/paternity leave/long-term absence from UCLan
- Email to all Deans/UoA Co-ordinators to disseminate to all academic staff within their areas.

10.0 CONSULTATION

10.1 UCLan's Code of Practice was widely disseminated in draft form for consultation to members of academic staff during the University's REF dry run which took place between January and March 2012. A draft was then submitted to HEFCE for approval in July 2012 and this revised version of the document was developed in line with feedback received from HEFCE in November 2012.

11.0 STAFF AND COMMITTEES

11.1 Please see **Appendix B** for Terms of Reference and membership of the following groups referred to in this Code of Practice

- REF 2014 Equality & Diversity Sub-Group (Paras 3.8, 4.1, 4.2)
- REF Steering Group (Para 8.2)
- Equality and Diversity Executive Group (Para 11.2)
- Research and Knowledge Transfer Committee (Para 11.2)

11.2 Following the consultation exercise which concluded at March 31st 2012 University's draft Code of Practice was prepared for review and approval by the University's Equality and Diversity Executive Group and Research and Knowledge Transfer Committee (see **Appendix B** for Terms of Reference and membership) prior to submission to the funding bodies' REF Team in line with their 31st July 2012 deadline.

12.0 USEFUL RESOURCES

REF 02.2011: *Assessment framework and guidance on submissions*
<http://www.ref.ac.uk/pubs/2011-02/>

REF 03.2011: *Panel criteria and working methods'*

<http://www.ref.ac.uk/pubs/2012-01/>

The Concordat to Support the Career Development of Researchers

<http://www.researchconcordat.ac.uk/>

Equality Challenge Unit (ECU) Research Excellence Framework and Equality

<http://www.ecu.ac.uk/our-projects/REF>

UCLan Single Equality Scheme

http://www.uclan.ac.uk/information/uclan/equality_diversity/index.php

UCLan Equality & Diversity Policy Statement

http://www.uclan.ac.uk/information/uclan/equality_diversity/index.php

UCLan REF 2014 Equality and Diversity Sub-Group, November 2012

CONFIDENTIAL**UCLAN INDIVIDUAL STAFF CIRCUMSTANCES DISCLOSURE FORM (REF 2014)**

PLEASE REFER TO THE UNIVERSITY'S 'CODE OF PRACTICE ON THE FAIR AND TRANSPARENT SELECTION OF STAFF FOR INCLUSION IN RESEARCH EXCELLENCE FRAMEWORK SUBMISSIONS' WHEN COMPLETING THE FOLLOWING.

Name	
School	
Unit of Assessment	

SECTION ONE:

Please confirm:

In completing this form I am seeking a reduction in research outputs. (Please complete sections two and three)

SECTION TWO:

Please confirm:

My contact details for this purpose are:

Email	
Telephone	
Preferred method of communication	

Please complete if appropriate:

I do **not** wish to be contacted by a member of human resources staff

SECTION THREE

I wish to make the University aware of the following circumstances which have had an impact on my ability to produce four outputs or work productively between 1 January 2008 and 31 October 2013:

Please provide information required on relevant circumstance/s in the space provided ('Information') below, continuing onto a separate sheet of paper if necessary:

CIRCUMSTANCE	INFORMATION REQUIRED
Early career researcher (started career as an independent researcher on or after 1 August 2009)	Date on which you became an early career research
INFORMATION	
Junior clinical academic staff who have not gained Certificate of Completion of Training by 31 October 2013 [This applies to specific units of assessment within Panel A only]	Please place a tick in this box if the circumstance applies:
Part time employee	FTE and duration in months
INFORMATION	
Career break or secondment outside of the higher education sector	Dates and duration in months
INFORMATION	
Maternity leave, statutory adoption leave, or additional paternity leave (taken by partners of new mothers or co-adopters)	For each period of leave state which type of leave was taken and the dates and duration in months
INFORMATION	
Disability (including conditions such as cancer and chronic fatigue)	Impact on ability to fulfil contractual hours and other impacts on ability to undertake research. Duration in months
INFORMATION	

CIRCUMSTANCE	INFORMATION REQUIRED
Mental health condition	Impact on ability to fulfil contractual hours and other impacts on ability to undertake research. Duration in months
INFORMATION	
Ill health or injury	Impact on ability to fulfil contractual hours and other impacts on ability to undertake research. Duration in months
INFORMATION	
Constraints relating to pregnancy, maternity, breastfeeding, paternity, adoption or childcare in addition to the period of maternity, adoption or additional paternity leave taken.	Impact on ability to fulfil contractual hours and other impacts on ability to undertake research. Duration in months
INFORMATION	
Other caring responsibilities (including caring for an elderly or disabled relative)	Impact on ability to fulfil contractual hours and other impacts on ability to undertake research. Duration in months
INFORMATION	
Gender reassignment	Impact on ability to fulfil contractual hours and other impacts on ability to undertake research. Duration in months
INFORMATION	
Other exceptional and relevant reasons, not including teaching or administrative work	Impact on ability to fulfil contractual hours and other impacts on ability to undertake research. Duration in months
INFORMATION	

PLEASE CONFIRM:

I confirm that the information provided is a true and accurate description of my circumstances.

PLEASE COMPLETE AS APPROPRIATE:

I recognise that the information provided will be used for REF purposes and will be seen by:

Relevant colleagues involved in the selection of staff for inclusion in the REF (See Para 4.1 of the University's 'REF Code of Practice')

Members of the University's REF 2014 Equality and Diversity sub-group only (see Paras 4.2 and 11.1 of the University's 'REF Code of Practice').

I realise that it may be necessary to share information with the UK funding bodies' REF team, who may make the information available to REF panel chairs, members and secretaries and/or the Equality and Diversity Advisory Panel. (Where permission is not provided UCLan will be limited in the action it can take).

Signature: Date:
(Staff member)

PLEASE RETURN YOUR SIGNED, COMPLETED (HARD COPY) FORM AS FOLLOWS:

CONFIDENTIAL:

**THE UNIVERSITY DIRECTOR OF RESEARCH,
RESEARCH DEVELOPMENT OFFICE,
ROOM AB112,
ADELPHI BUILDING,
UNIVERSITY OF CENTRAL LANCASHIRE,
PRESTON,
PR1 2HE**

STAFF COMMITTEES

REF 2014 EQUALITY & DIVERSITY SUB-GROUP
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The University's REF 2014 Equality & Diversity Sub-Group is Chaired by, and advisory to, the University Director of Research and was formed to develop and implement the University's REF Code of Practice.

The group meets on a regular, monthly basis or more frequently as required and, as documented in the University's REF Code of Practice, the group's key areas of activity include:

Selection of staff and declaration of individual circumstances:

The REF 2014 Equality & Diversity Sub-Group in liaison with the nominated UoA Co-ordinator will match the clearly defined circumstances to the published tariff reductions. They will also consider all cases of complex staff circumstances and recommend the appropriate reduction in the number of outputs to be submitted, seeking external advice from the ECU where required. The Chair of the REF 2014 E&D Sub-Group/UoA Co-ordinator will feedback to the individual concerned all decisions and recommendations made.

Confidentiality:

For staff willing to share information regarding their individual staff circumstances with relevant colleagues:

Information submitted to UCLan on the Individual Staff Circumstances Disclosure Form (**Appendix A**) will be seen internally by relevant staff involved in the selection of staff for inclusion in the REF unless otherwise requested on the proforma. This is likely to include the relevant UoA Co-ordinator(s), Dean(s), University Director of Research, the Deputy Vice-Chancellor (Academic) and members of the University's REF 2014 Equality & Diversity Sub-Group. Decisions regarding the reduction of outputs will be taken as indicated at Para 3.8 of the University's REF Code of Practice. All staff involved in selection and decision making will be reminded to observe confidentiality in line with the University's data protection principles.

For staff wishing to share information regarding their individual staff circumstances with the University's REF 2014 Equality and Diversity Sub-Group only:

Where individuals wish greater confidentiality to be observed, they are advised to indicate at Page 4 of the Individual Staff Circumstances Disclosure Form (**Appendix A**) that they only wish their information to be shared with members of the University's REF 2014 Equality & Diversity Sub-Group. Where this is indicated, that group will consider the circumstances and recommend the relevant reduction in outputs. The decision will be communicated to the relevant UoA co-ordinator(s), but details of the circumstances will not be disclosed. (It should be noted that there may be occasions where it will be necessary for the University's REF 2014 Equality & Diversity Sub-Group to liaise with others regarding the information supplied. However, in such circumstances the consent of the individual concerned will be sought in advance.)

Membership:

University Director of Research (Chair)
HR Manager – Strategic Lead, Staff Equality and Diversity
Equality and Diversity Manager
REF Project Manager

Approved by University Director of Research, November 2012

REF STEERING GROUP

This strategic, advisory group was formed to steer the University's REF 2014 corporate strategic project. The group meets on a regular, monthly basis or more frequently as required and receives regular updates regarding all aspects of the development of the University's REF 2014 submission.

The REF Steering Group plays a key consultation role in monitoring, advising and informing the direction of the University's REF project and a key role, as determined by the Directorate Lead (Deputy Vice-Chancellor, Academic) and/or Project Director (University Director of Research) in project delivery, (for example by reviewing and reporting back on draft UoA submissions developed during 'dry-run' exercises).

An additional key role is the identification of issues which might impact adversely on UCLan's REF 2014 submission ('potential disablers') and recommendation of actions to address them.

Steering Group members are strategic thinkers who are able to take a corporate (as opposed to local) view. They are required to advise the Project Director on strategy for the University in respect of REF 2014 rather than represent their own particular area/subject/interests.

Steering Group members are expected to attend and participate in monthly meetings, to attend occasional Away Days and to represent/articulate/champion the University's REF 2014 strategy at their local level.

The group is Chaired by the Directorate Lead and/or Project Director and includes the REF Project Manager as a member. Other members of the group include colleagues with a strong academic (research) background/profile.

Membership (2012-2013)

Deputy Vice-Chancellor (Academic)	(Chair)
University Director of Research	(Alternate Chair)
Pro Vice-Chancellor (Engagement)	
Head, UCLan Innovation and Enterprise	
Deans of School x 2	
Members of Professoriate x 2	
Corporate Strategy Manager	
Head of Business Support, Learning and Information Services	
Research Impact Manager	
REF Project Manager	

Approved by University Director of Research, November 2012

EQUALITY AND DIVERSITY EXECUTIVE GROUP

This strategic, advisory group is a formal University Committee and the key reporting body for Equality and Diversity at UCLan.

TERMS OF REFERENCE

Membership

Pro Vice Chancellor (Student Experience) (Chair)
Director of Human Resources or nominee
Director of Student and Academic Support Service
One Academic Manager
One University Support Staff Manager
Equality and Diversity Manager
Head of Learning Development Unit
Up to Two members co-opted by the Chair

Role

To develop the University's Equality and Diversity Strategy

To provide direction on and oversee equality and diversity policy development

To ensure the successful local implementation of the University's Equality and Diversity Strategy

To commission further research into any aspect of equality and diversity to support achievement of the Equality and Diversity Strategy and implementation

To provide assurance to the Vice Chancellor, Directorate, SMT and regulatory bodies that the University is legally compliant and is following its equality and diversity policies and procedures.

Responsibilities

- Monitoring annually the progress made in relation to equality and diversity in line with the Equality and Diversity Strategy , associated objectives and delivery plans of Schools and Services.
- Reviewing and updating Equality and Diversity Strategy and delivery plan requirements annually .
- Receiving assurance from each School/Service that it is legally compliant and is locally implementing the Equality and Diversity Strategy
- Reviewing the effectiveness of the governance, management and monitoring framework for equality and diversity.
- Agreeing the roles and responsibilities of senior managers, all staff and all students in relation to Equality and Diversity.
- Ensuring that each School and Service has a nominated member of staff responsible for coordinating and mainstreaming their equality and diversity work
- Reviewing the data analysis and reporting undertaken by the Deans of Schools, Heads of Services , the Head of the Strategic Development Service, the Director of Student and Academic Support Service, the Director of Human Resources and overseeing the role of the Equality Monitoring Group in supporting that work.
- Ensuring the outcomes from EIAs and delivery plan updates are appropriately disseminated.
- Co-ordinating work on equality and diversity in support of the Equality and Diversity Strategy

Approved by EDEG September 2012

ACADEMIC BOARD - RESEARCH AND KNOWLEDGE TRANSFER COMMITTEE

Terms of Reference

The Research and Knowledge Transfer Committee has been given delegated authority by the Academic Board to carry out the following responsibilities:

- 1) To oversee the development, implementation and monitoring of the University's Research Strategy, and to make assurance reports to the Academic Board;
- 2) To oversee the development, implementation and monitoring of the University's Knowledge Transfer Strategy and to make assurance reports to the Academic Board;
- 3) To advise on and co-ordinate the University's response to external requirements for research, in particular to the HEFCE research selectivity exercise or such other periodic external review;
- 4) To advise the Academic Board on ways in which research and knowledge transfer can influence teaching;
- 5) To ensure that the University has in place a framework for research governance which conforms to best national practice;
- 6) To monitor processes to ensure that arrangements under which research degree students are registered, transferred, supervised, suspended and extended operate in line with the regulations and policies of the University;
- 7) To monitor processes to ensure that arrangements for the examination of research students operate in line with the regulations and policies of the University and to confer research degrees;
- 8) To ensure that the University has in place a framework for the training of research students and staff, which accommodates the needs of early to eminent career researchers and is consistent with national standards
- 9) To consider and report on such matters as may be referred to the committee;
- 10) To establish, as appropriate, such sub-committees or other working groups as the Committee requires in order to fulfil its role.

The Research and Knowledge Transfer Committee will also make recommendations to the Academic Board on the following:

- 11) The approval of any amendments to the University's Research Strategy;
- 12) The approval of any amendments to the University's Knowledge Transfer Strategy;
- 13) The approval of any major new policy in relation to research and knowledge transfer.

Constitution (17)

- One member of the Directorate nominated by the Vice Chancellor, to be Chair
- Head of Innovation and Enterprise
- Director of Research
- 9 academic representatives from across the schools
- Three elected members, one by and from the general staff and one by and from the non-professorial academic staff, one by and from the professorial staff
- Two further members to represent the remit of the committee, nominated by the Chair on the recommendation of the committee and taking into account the existing balance of interest, gender, campus coverage etc.
- In attendance: Committee Administrator

Revised Terms of Reference and Constitution, 2012-13