

Falmouth University

**Code of Practice on the Selection of Staff for the Research
Excellence Framework 2021**

Version: 9th October 2020

This document is available in Microsoft Word, PDF, large print or audio. Please contact the Equality Engagement and Development Manager for more information, or if you require an alternative format.

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Part 1: Introduction

1. The Research Excellence Framework (REF) is a national exercise to assess the quality of research in UK Higher Education Institutions. The REF is undertaken by the four UK higher education funding bodies: Research England, the Scottish Funding Council (SFC), the Higher Education Funding Council for Wales (HEFCW), and the Department for the Economy, Northern Ireland (DfE).
2. Following a review of the REF in 2016 by Lord Stern, the staff selection methodology for the REF changed from a qualitative assessment of outputs to whether research is an expectation of job role, referred to as determining a '*significant responsibility for research*'.
3. It is a requirement of the Research Excellence Framework 2021 (REF2021) that Falmouth University ('Falmouth') establishes a Code of Practice which outlines;
 - a. the processes for identifying staff with significant responsibility for research,
 - b. the processes for determining research independence,
 - c. the selection of outputs for REF submissions.
4. All processes articulated within the Code of Practice must operate within the context of all relevant equality legislation as well as the University's own equality and diversity policy.
5. The Code has been developed in accordance with the guidelines published by Research England and has been informed by our approach to the Research Excellence Framework 2014 (REF2014).
6. Since the last REF in 2014, there have been a number of significant developments in research and innovation activity at Falmouth. A strategic review of Research and Innovation in 2015 culminated in the creation of Falmouth's three research and innovation themes; Design Thinking, Creative Connected Communities and Digital Economy. In 2017, research and innovation programmes were introduced to support the development of a critical mass within each theme. Individual Research and Innovation Plans (IRIPs) were introduced in 2018 to provide an opportunity for individuals to highlight their personal contributions to the development of Falmouth's research portfolio.

Principles

7. The Code of Practice follows the four principles set out in the 'Draft guidance on Codes of Practice', Research England, 2018.
 - a. **Transparency** – The Code of Practice contains clear guidelines for identifying staff with significant responsibility for research, determining research independence and selecting outputs for inclusion in Falmouth's REF submission. The

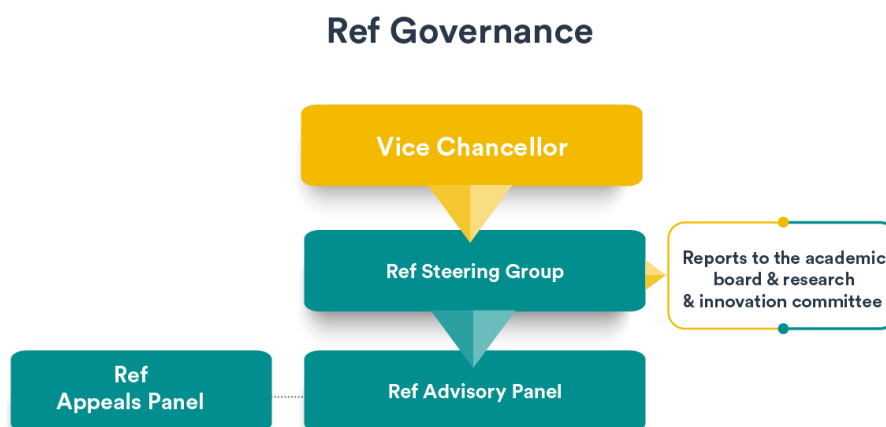
Code is available on the University's intranet and has been widely publicised to all staff, including through personal emails, briefings in Departmental Boards and personal correspondence for staff currently absent from work.

- b. **Consistency** - The principles underpinning all aspects of identifying staff with significant responsibility for research are overseen by the REF Steering Group,¹ who will ensure their consistent application.
- c. **Accountability** - The Code of Practice defines the roles and responsibilities of the individuals involved in all three stages of Falmouth's REF submission, in addition to outlining details of the training they have received. Details of the operating criteria and terms of reference for individuals, committees, advisory groups and other bodies included in these processes are also included.
- d. **Inclusivity** - The process of identification outlined in the Code of Practice seeks to identify all staff who have a significant responsibility for research, all staff who are independent researchers, and the excellent research produced by all staff across all protected groups.

Governance

- 8. The following section outlines the governance structure for the delivery of Falmouth's REF2021 submission.
- 9. This Code of Practice has been authored by:
 - a. Professor Alan Murray, Deputy Vice Chancellor (Academic)
 - b. Professor David Prior, Director of Research
 - c. Research & Innovation Theme Chairs
 - d. Dan Jones, Director of HR
 - e. Mhairi Ambler, Research & Development Projects Officer
- 10. The draft Code of Practice has been reviewed by the Chair of the Academic Board

Diagram 1: Falmouth's REF Governance system



11. REF Steering Group

12. The REF Steering Group was established by the Vice Chancellor in February 2019 to oversee the developments of Falmouth University's preparation for the REF2021. This group replaced the former research governance groups. The group are responsible for making recommendations to the Vice Chancellor on all aspects of the University's submission including; determining Unit of Assessment selection, selecting and developing impact case studies, developing the Environment statement, identifying staff with significant responsibility for research, determining research independence and selecting outputs. The group are responsible for ensuring implementation of the Code of Practice is in adherence to its principles and to Equality & Diversity policy, receiving outcomes of the Appeals Panel request and of the requests for individual circumstances.

Table 1: Overview of REF Steering Group membership

Role	Role fit within Falmouth University's management framework	Rationale for inclusion in the REF Steering Group
Deputy Vice Chancellor Research & Innovation	Responsible for overseeing the University's 2030 Research & Innovation Strategy	Responsible for chairing the group and overseeing the University's preparation for the REF.
Director of Research & Creative Connected Communities Chair. Deputy Chair of REF Steering Group	Responsible for overseeing the University's Research and Innovation 2030 Strategy	To ensure that all academic staff are aware of the University's preparation for REF2021 and to provide strategic guidance on Falmouth's REF2021 submission, including output selection, environment statements and impact case studies
Research Chair	Digital Economy R&I Chair	Strategic lead for Falmouth's REF2021 submission, including output selection, environment statements and impact case studies
Research Chair	Design Thinking R&I Chair	Strategic lead for Falmouth's REF2021 submission, including output selection, environment statements and impact case studies
Head of Employee Relations & HR Business Partnering, Chair of Equality & Diversity Group	Responsible for delivery of the University's 2030 People Strategy	To provide advice and guidance on HR issues, with specific reference to Equality & Diversity in relation to identification of staff with significant responsibility for research.
Internal Communications Officer	Responsible for the management of the University's internal communication	To advise on appropriate internal communication channels.

REF Manager & Institutional REF Contact	Responsible for the delivery of the University's strategic research projects; REF & Research Degree Awarding Powers (RDAP).	To ensure the University's preparation for REF, adhere to Research England guidance and sector best practice.
Research & Innovation Administrator	Responsible for providing comprehensive, proactive and confidential administrative support to the Research and Innovation teams.	To provide secretarial support to the REF Steering Group.

13. REF Advisory Panel

14. The REF Advisory Panel was appointed by the Director of Research in March 2019 to provide subject specialist advice to the REF Steering Group. The group will be involved in the implementation of the Code of Practice by reviewing all IRIP returns to; identify staff with significant responsibility for research, determine research independence and select outputs. Members of the REF Advisory Panel are responsible for communicating the methodology of the Code of Practice to all substantive academic staff, providing guidance and support and advising staff on the appeals and declaration of individual circumstances processes.

15. Table 2: Overview of REF Advisory Panel membership

Role	Role fit within Falmouth University's management framework	Rationale for inclusion in the REF Advisory Panel
Director of Research & Creative Connected Communities Chair. Deputy Chair of REF Steering Group	Responsible for overseeing the University's Research and Innovation 2030 Strategy	To provide leadership and guidance to the REF Advisory Panel. Strategic lead for Falmouth's REF2021 submission, including output selection, environment statements and impact case studies
Research & Innovation Chair	Digital Economy R&I Chair & Programme Lead	Strategic lead for Falmouth's REF2021 submission, including output selection, environment statements and impact case studies
Research & Innovation Chair	Design Thinking R&I Chair & Programme Lead	Strategic lead for Falmouth's REF2021 submission, including output selection, environment statements and impact case studies

Subject specialist advisor	Programme Lead	Review IRIP responses, assess research independence and provide advice on output selection
Subject specialist advisor	Programme Lead	As above
Subject specialist advisor	Programme Lead	As above
Subject specialist advisor	Programme Lead	As above
Subject specialist advisor	Programme Lead	As above
Research & Innovation Administrator	Responsible for providing comprehensive, proactive and confidential administrative support to the Research and Innovation teams	To provide secretarial support to the REF Advisory Panel

Equality & Diversity

16. Falmouth has a firm commitment to equality and values the diversity of its staff and students. This Code of Practice should be read alongside Falmouth University's Equality & Diversity Strategy, 2015-2020 (Annex 7).
17. The funding bodies require all HEIs to conduct an Equality Impact Assessment (EIA) on their policy and procedures for identifying staff with significant responsibility for research, determining research independence and for selecting outputs for the REF.
18. The Equality and Diversity Group have nominated a REF Equality & Diversity Advisor who will work with the REF Steering Group in completing the equality assessments.
19. The aim of the EIA is to determine if Falmouth University's processes for identifying staff, determining research independence and output selection are fair and do not inadvertently discriminate against individuals with protected characteristics¹. Consideration will also be given to the impact of the Code of Practice on staff who are on fixed term contracts. The approach to determining staff on Fixed Term contracts will adopt the principles of the Fixed Term contracts policy (Appendix 8)
20. The development of Falmouth University's EIA will be an iterative process, which will include reflection on REF2014, development of the Code of Practice by the REF Steering Group, consultation feedback, analysis of mock REF exercises and the application of the REF2021 Code of Practice. All related documentation will be made available on Falmouth's Research & Development SharePoint page.

¹ A full list of these characteristics can be found in 'Guidance on Codes of Practice', pg 3.

21. An exercise has been undertaken to establish a baseline of staff² with protected characteristics, the number of part- and fixed-term contract holders and the number of early career researchers³. This will be used to inform periodic reviews of the implementation of Falmouth University's Code of Practice, namely, at the point of identification of staff with significant responsibility for research and identification of independent researchers and when selecting outputs for submission.
22. The baseline information will also be utilised to assess the spread of outputs amongst academic staff that have been identified as having significant responsibility for research. If this review reveals a negative impact on the representation of staff with protected characteristics then the total output pool will be assessed to identify if alternative outputs of equal quality from staff with protected characteristics can be used to ensure better representation.
23. The REF Steering Group will receive reports from the REF E&D Advisor and will utilise this information to ensure that the Code of Practice is being implemented in accordance with E&D Policy.
24. All members of the REF Steering Group, the REF Advisory Panel and the Appeals Panel received equality training that was specifically designed to address the requirements of preparation for a submission to the REF.
25. The training was delivered in March 2019 and provided a comprehensive introduction to the concept of implicit bias in addition to outlining the potential scenarios where this could occur throughout the REF process. Attendance at this training was mandatory and adherence to this policy was monitored and attendance at all training recorded on individual staff records.

Communication

26. The Code of Practice will be communicated to all staff through a comprehensive programme of communication as outlined in the table below;

² As of 1st April 2019

³ As defined in the REF2021 Guidance on submissions, paragraph 148, pg 38

Table 3: REF2021 Communications Plan

Date	Channel	Version of Code of Practice	Purpose	Content	Audience
1 st April 2019	Individual staff email & launch of feedback period	Draft	To share the draft Code of Practice with all staff & to provide a mechanism for submitting feedback	<p>Draft version of the Code of Practice and accompanying video presentation</p> <p>A dedicated email address⁴ to facilitate any feedback on the Code of Practice. Anonymous feedback will be possible through</p>	All academic staff
				<p>Sharepoint forms.</p> <p>The draft Code of Practice will be sent with a delivery receipt and to all staff, including those absent from work. Copies in alternative formats will be made available where requested.</p>	

⁴ REF2021@falmouth.ac.uk

April 2019	Research & Development Sharepoint site (intranet)	Draft version	To share the revised Code of Practice	The draft version of the Code of Practice and FAQ document and presentation from Departmental briefings. Copies in alternative formats will be made available where requested.	All academic staff
April 2019	Departmental briefings	Draft version	To discuss the draft Code of Practice with all staff	The draft version of the Code of Practice and FAQ document	All academic staff
April 2019	Meeting with Union representatives	Draft version	To discuss the draft Code of Practice with all Union representatives	The draft version of the Code of Practice and FAQ document. Details of the Equality & Diversity training.	Union representatives
April & May 2019	Research & Innovation Programme workshops	Draft version	To provide group or 1:1 support on the methodology outlined in the Code of Practice	The draft version of the Code of Practice and FAQ document	
6 th May 2019	Feedback period closes	N/A	To compile all feedback on the draft Code of Practice	N/A	All academic staff
20 th May	Research & Development	Final version 1	To share the revised Code of	The revised version of the	All academic staff

2019	SharePoint site (intranet)		Practice	Code of Practice and enhanced list of FAQs. Copies in alternative formats will be made available where requested.	
7 th June 2019	Submit Code of Practice to REF team at Research England	Final version 1	HEI's are required to submit the final Code of Practice to the REF Team	The final version of the Code of Practice	The REF Team, Research England

27. All academic staff were invited to review the proposals outlined in the draft Code of Practice during a four-week period of consultation. The draft Code of Practice was made available on a dedicated site on the University's intranet and academic staff were invited to comment on the proposals outlined. As part of this exercise, the Chair of the Equality and Diversity Group at Falmouth University, the Chair of the Inclusive Practice and Experience Reference Group (IPER) and the regional representative of the University and College Union (UCU), will be invited to comment on the draft Code.

28. The outcome of the consultation was publicised on the University's intranet in May 2019. This included a detailed overview of any amendments that were made to the Code of Practice as a result of the consultation.

Part 2: Identifying staff with significant responsibility for research

29. In previous Research Excellence Framework (REF) exercises, institutions were invited to select staff to be returned to the REF based upon the quality of their research outputs. Following a review of the REF in 2016 by Lord Stern, the recommendation was made to return all staff with a **'significant responsibility for research'** and that can be defined as **'independent researchers'**.

30. As a specialist University and creative innovation hub, Falmouth University has a strong commitment to growing its research, innovation and commercial ventures, while delivering excellent teaching. In order to maintain our reputation as a world-leading university for creative innovation, a broad spectrum of talent will be required to deliver the objectives outlined in our 2030 Strategy. For this reason, Falmouth

University will not be returning 100% of its academic staff to the REF2021. The following section outlines the methodology that will be used to identify staff with a significant responsibility for research.

Methodology for identifying staff with a significant responsibility for research

31. All academic staff on a contract of 0.2 FTE or greater, and who are employed by Falmouth University on the REF2021 census date (31st July 2020), and whose primary employment function is to undertake either 'research only' or 'teaching and research' are defined as Category A eligible staff.
32. Where the Category A eligible staff definition does not accurately identify staff (on 'teaching and research' contracts) in the submitting unit who have significant responsibility for research, it is necessary to implement a process to determine this.
33. Staff with significant responsibility for research are those for whom:
 - a. **'Explicit time and resources are made available'**. Indicators of this could include:
 - i. a specific proportion of time allocated for research, as determined in the context of the institution's practices and applied in a consistent way.
 - ii. research allocation in a workload model or equivalent.
 - b. **'To engage actively in independent research'**. Indicators of this could include:
 - i. eligibility to apply for research funding as the lead or co-applicant
 - ii. access to research leave or sabbaticals
 - iii. membership of research centres or institutes within the HEI.
 - c. **And that is an expectation of their job role'**. Indicators of this could include:
 - i. current research responsibilities as indicated in, for example, career pathways or stated objectives
 - ii. expectations of research by role as indicated in, for example, job descriptions and appraisals.
34. The following section will address each of these elements and outline the methodology that will be employed to determine each element. Please note that an individual will need to meet a majority of the criteria below in order to be determined as having a significant responsibility for research.
35. **Explicit time and resources are made available**
36. In 2018, Individual Research and Innovation Plans (IRIP) were introduced in order to capture how substantive academic staff (0.2 FTE or above) intended to utilise their annual allocation of research and scholarly activity (RSA) time, which equates to up

to 35 days per annum. In 2018 IRIP's, staff were able to select a mixture of any of the following activities;

- a. **Research** – Research is defined as ‘a process of investigation leading to new insights, effectively shared. This includes work of direct relevance to the needs of commerce, industry, culture, society, and to the public and voluntary sectors; scholarship; the invention and generation of ideas, images, performances, artefacts including design, where these lead to new or substantially improved insights; and the use of existing knowledge in experimental development to produce new or substantially improved materials, devices, products and processes, including design and construction
- b. **Innovation & Knowledge Exchange** - Knowledge exchange and innovation involves using expertise, scholarship, skills or the outcomes of research to generate tangible responses to needs or opportunities without necessarily producing new knowledge as part of the activity. Practice and innovation may include commercial and entrepreneurial activities where the emphasis is on achieving tangible business benefits.
- c. **Teaching Enhancement** – This involves developing material that will enhance one or more of the following; teaching quality, learning environment and student outcome and learning gain.
- d. **Scholarly Activity** - Scholarship for the REF is defined as the creation, development and maintenance of the intellectual infrastructure of subjects and disciplines, in forms such as dictionaries, scholarly editions, catalogues and contributions to major research databases.

37. For the purposes of Falmouth University's submission to the REF2021, two strands have been proposed to articulate the expectations of the role of academics who are active in research (Strand A) and innovation and knowledge exchange (Strand B). It is the expectation that teaching enhancement underpins both research and innovation and knowledge exchange activity. These strands are outlined in appendices to the job description of an academic contract, examples of which can be found in Appendix 9 and 10. Staff will have the opportunity to change between the research and the innovation and knowledge exchange track upon agreement as part of the annual Performance Development Review (PDR)/ IRIP process. It is important to note that this will not result in any changes to the academic contract or to contact teaching hours.

38. In May 2019, Falmouth University launched a new round of Individual Research and Innovation Plans (IRIPs) in which staff have been asked to align themselves to one of 2 core strands of activity, namely; **Strand A: Research** and **Strand B: Innovation and Knowledge Exchange**. The outcome of the June 2019 IRIPs will be used to populate a new Workload Allocation Model (WAM), which will be launched in September 2019. Please note that both these strands are of equal importance to the institution in supporting the delivery of the 2030 Strategy.

39. The REF Advisory Panel will review the 2019/2020 & 2020/2021 IRIP's for all academic staff and will be responsible for identifying which staff have a significant responsibility for research based upon the process outlined in Table 2. The review

process will take two months. Further details of this are outlined in the REF2021 Timescale in Annex 1. As in previous IRIP exercises, staff will be contacted throughout the review process if any further clarification is required. All staff that have completed an IRIP will be notified of the outcome at the end of the review process. Any staff wishing to appeal the outcome of this review should refer to the appeals process as outlined in paragraphs 54-63.

40. Staff who align themselves to Strand A: Research, in the May 2019 & June 2020 IRIP cycle, and whose IRIP is approved by the REF Advisory Panel, will have time allocated for research within the WAM. Staff who are aligned to Strand B will have time for innovation and knowledge exchange in the WAM.

41. To engage actively in independent research

42. For the purposes of REF, **an independent researcher is defined as an individual who undertakes self-directed research, rather than carrying out another individual's research programme.** For an individual to be identified as an independent researcher, they would meet one or more of the indicators listed below:

- a. Lead or act as a principal investigator or equivalent on an externally funded research project
- b. Hold an independently won, competitively awarded fellowship where research independence is a requirement⁵
- c. Lead a research group or substantial work package
- d. Are registered on Falmouth University's approved doctoral supervisor list⁶
- e. Are named as a co-investigator on an externally funded research project⁷
- f. Have significant input into the design, conduct and interpretation of the research⁸

43. As part of the consideration for approving time for research in the 2019/2020 & the 2020/2021 IRIP, the REF Advisory Panel will consider whether the individual in question meets the definition of an independent researcher as outlined in paragraph 44. In order to meet the definition of an independent researcher, an individual will need to meet at least one of the listed indicators. Specific consideration will be given to whether the individual has had a significant input into the design, delivery and interpretation of the research.

44. Any academic that does not meet the definition of an independent researcher will not be identified as having a significant responsibility for research. If an individual aspires to become an independent researcher, this will be supported through an emergent researcher category in Strand A. Individuals within this category will be mentored by the R&I Programme Leads to identify what support is required to

⁵ An illustrative, but not exhaustive, list of independent fellowships can be found at www.ref.ac.uk, under Guidance.

⁶ NB this addition has been made by Falmouth University as it is an expectation that all of its PhD supervisors are active researchers.

⁷ Additional indicator for REF Panels C & D.

⁸ Additional indicator for REF Panels C & D.

enable them to become independent researchers. Individuals are permitted to remain within this category for a maximum of two years. An equivalent category will be created in Strand B to support individuals to become active and recognised in this area.

45. An early career researcher is defined by Research England as 'a member of staff who meet the definition of Category A eligible on the census date, and who started their career as independent researchers on or after the 1st August 2016. If an individual believes that they meet this definition please ensure that this is indicated this in their IRIP return.

46. Research assistants as defined in paragraph 30 of the Guidance on Submissions, are not eligible to be returned to the REF unless, exceptionally, they meet the definition of an independent researcher on the census date and satisfy the definition of Category A staff.

47. An expectation of their job role

48. As stated in the 'Guidance on Submissions'⁹, p34, indicators of whether research is an expectation of a job role could include:

- a. current research responsibilities as indicated in, for example, career pathways or stated objectives
- b. expectations of research by role as indicated in, for example, job descriptions and appraisals.

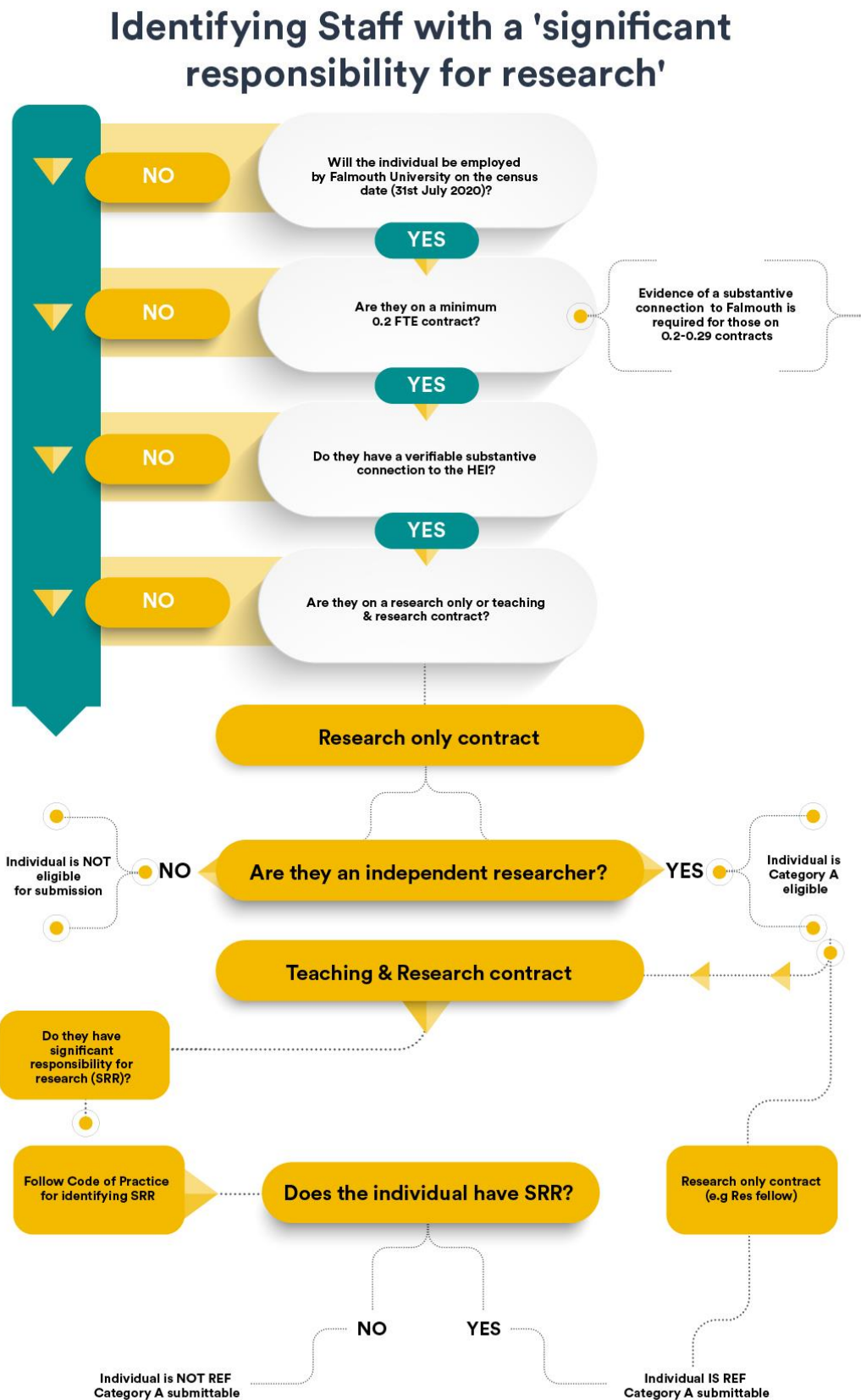
49. The introduction of the Individual Research and Innovation Plans (IRIP) in 2018 included an overview of the expectations of academic staff with regards to research responsibilities. These were reviewed by Research and Innovation Programme Leads and Department Directors to ensure alignment with the REF definition of research (see Annex 2: REF definition of research) and Falmouth's research and innovation programmes.

50. As part of the 2019/2020 IRIP process, substantive academic staff will be invited to align their RSA activities to either Strand A, research or Strand B, innovation and knowledge exchange.

51. Staff who align themselves to Strand A: Research, in the 2019/2020 & 2020/2021 IRIP cycle, and whose IRIP is approved by the REF advisory panel, will be supported by their line managers and R&I Programme Leads to realise their research objectives.

⁹ https://www.ref.ac.uk/media/1092/ref_guidance_on_submissions.pdf

Diagram 2: Process for identifying staff with a significant responsibility for research



52. Development of processes

53. The methodology for identifying a significant responsibility for research was determined by the REF Steering Group and was reviewed by members of Academic Board.

54. Appeals Process

55. A REF2021 Appeals Procedure has been developed to allow staff to appeal the outcome of their annual Individual Research and Innovation Plan (IRIP) on the grounds of their identification as an independent researcher or as an individual with significant responsibility for research.

56. All individuals that wish to make an appeal are requested to do so within 28 days of being notified of the outcome of their IRIP review.

57. The REF2021 Appeals Process has been made available on the University's intranet and through individual communication via email. Anyone wishing to appeal the outcome of their IRIP review are requested to complete an online form which will then be submitted to the REF Equality & Diversity Lead.

58. The form requests a rationale for the appeal request. Additional information from the individual's line manager and their Research and Innovation Programme Lead can be requested if further evidence is required. The appellant will be notified of the request for all additional information.

59. Following the request for an Appeal, the REF Equality & Diversity Lead will convene a REF Appeals Panel, as soon as is practically possible.

60. The REF Appeals Panel is an independent group, chaired by the Vice Chancellor and comprising of at least two academics and a representative from either HR or the Quality Assurance and Enhancement team, to consider the request. These academics will be independent of the decisions about identifying staff with a significant responsibility for research. All members of the REF Appeals Panel will receive appropriate training to ensure that the reviews are undertaken in an equitable manner. Any staff member wishing to attend the Panel meeting have a right to be accompanied by a Trade Union representative or work colleague.

61. Following the meeting, the Appeals Panel will write to the appellant detailing their reasons for a) supporting the case of the appellant, or b) upholding the decision of the REF Advisory Panel.

62. All applications will be considered before the REF census date of the 31st July 2020.

63. The decision of the REF2021 Appeals Panel is final.

Late Appointments

64. Any academic member of staff joining the institution between 1st May 2019 and 31st July 2020 will be treated in the same way to existing staff, but the timeline will be adapted. Upon appointment, they will be invited to consider their status as an independent researcher and whether they have a significant responsibility for research, as outlined in this Code of Practice. They will either be included in Falmouth University's submission or given feedback regarding their exclusion. In this instance, the appeals process will still be open to them provided an appeal is lodged by 31st August 2020.

Equality Impact Assessment

65. The Equality Impact Assessment (EIA) methodology outlined in paragraphs 17-23 has been applied to all aspects of the Code of Practice.

Part 3: Determining research independence

Policies and procedures

66. Please refer to paragraph 42 for the definition of an independent researcher for the purposes of the REF.
67. Paragraphs 41-46 provide an overview of the process of determining research independence for academic staff on a teaching and research contract. The following paragraphs will provide an explanation of the process for determining research independence for academic staff who are on a research only contract.
68. Research assistants¹⁰ are not eligible to be returned to the REF unless, exceptionally, they meet the definition of an independent researcher on the census date and satisfy the definition of Category A eligible staff. They must not be listed as Category A submitted staff purely on the basis that they are named on one or more research outputs.
69. A member of staff is not deemed to have undertaken independent research purely on the basis that they are named on one or more research outputs.
70. All staff on a research-only contract will be invited to complete an IRIP in June 2019 & June 2020. As part of this exercise they will be asked to outline details of their

¹⁰ Research assistants are defined as academic staff whose primary employment function is 'research only', and they are employed to carry out another individual's research programme rather than as independent researchers in their own right. They are usually funded from research grants or contracts from Research Councils, charities, the European Union (EU) or other overseas sources, industry, or other commercial enterprises, but they may also be funded from the institution's own funds.

research outputs during the period 2014-2020¹¹.

71. The REF Advisory Panel will be involved in the review of the IRIP's for all academic staff and will consider if the individual in question meets the definition of an independent researcher as outlined in paragraph 42. Specific consideration will be given to whether the individual has had a significant input into the design, conduct and interpretation of the research.
72. At the end of the review, if the individual is considered as meeting the definition of an independent researcher, they will be considered as Category A eligible.
73. All staff who have completed an IRIP will be automatically notified of the outcome at the end of the review process. Any staff wishing to appeal the outcome of this review should refer to the appeals process as outlined in paragraphs 54-63.

Staff, Committees and Training

74. The governance structures outlined in paragraphs 8-15 describe the roles of the individuals involved in the identification of staff with significant responsibility for research.
75. All staff involved in the determining research independence will be required to undertake bespoke Equality & Diversity training, as outlined in paragraphs 24-25.

Appeals

76. The Appeals process outlined in paragraphs 54-63 will be adopted for all staff who wish to question their identification as an independent researcher.

Equality Impact Assessment

77. The Equality Impact Assessment (EIA) methodology outlined in paragraphs 17-23, has been applied to all aspects of the Code of Practice.

Part 4: Output selection

Policies & Procedures

78. The following section is applicable to staff who, through the method outlined in Part 2 and 3 of the Code of Practice, have been identified as having a significant responsibility for research.
79. The total number of outputs required is calculated by a multiplier of the number of staff returned to the unit of assessment. For every FTE submitted to a Unit of Assessment, a total of 2.5 outputs are required. Individuals are expected to submit

¹¹ Between one and five research outputs

between 1 and 5 outputs. The total number of outputs required will be calculated by rounding to the nearest whole number. Adjustments will be made to this figure for accepted requests for individual circumstances.

80. The research outputs of staff who have been identified as having significant responsibility for research will be assessed according to the following eligibility criteria;
 - a. Does the output meet the REF definition of research¹²?
 - b. Was the output first made publicly available between 1st January 2014–31st December 2020?
 - c. Is the output attributable to a current or former member of Category A staff within the Unit of Assessment? ¹³
 - d. Is the output in scope of open access requirements?¹⁴ If so, is it compliant?
81. Eligible outputs will then be subject to a second level of review, both by internal¹⁵ and external reviewers¹⁶, to identify the final outputs for submission. Outputs will be assessed against the generic criteria for assessing submissions, as outlined in Table 4: Criteria and definitions of starred levels for outputs.
82. In order to support the University's strategic objective to increase its international reputation for research, outputs with the highest quality profile will be selected.
83. The REF Advisory Panel will be responsible for implementing a peer review process which includes external reviewers, to assess the quality of eligible outputs and recommend outputs for submission to the REF Steering Group.
84. External reviewers with experience of peer review within the field of Art & Design will be appointed to review eligible outputs and provide a judgement of anticipated REF star level.

Table 4: Criteria and definitions of starred levels for outputs

The criteria for assessing the quality of outputs are 'originality, significance and rigour'.	
Four star	Quality that is world-leading in terms of originality, significance and rigour.
Three star	Quality that is internationally excellent in terms of originality, significance and rigour but which falls short of the highest standards of excellence.

¹² See Annex 2 for the REF definition of research

¹³ Outputs can be submitted for former members of staff if the output was generated during the course of their employment at Falmouth University and within the REF output period.

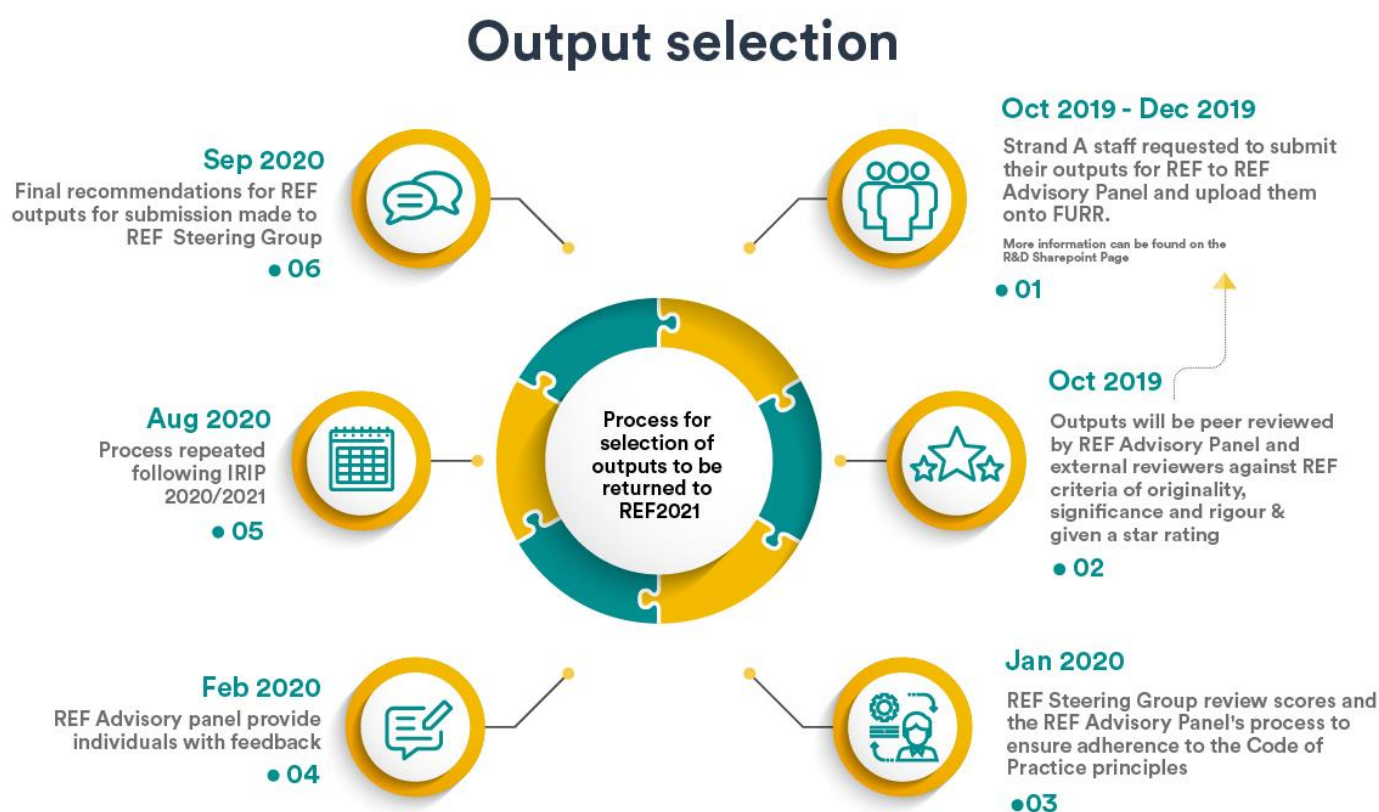
¹⁴ See Annex 6 for a description of the Open Access Policy

¹⁵ REF Advisory Group

¹⁶ To be appointed. All external experts will be publicised on the University's intranet

Two star	Quality that is recognised internationally in terms of originality, significance and rigour.
One star	Quality that is recognised nationally in terms of originality, significance and rigour.
Unclassified	Quality that falls below the standard of nationally recognised work. Or work which does not meet the published definition of research for the purposes of this assessment.

Diagram 3: Process for selecting outputs to be returned to REF2021



85. Annex 1 provides an overview of Falmouth University's REF2021 Timescale which includes details of preparation exercises.

86. Staff will be informed of their final output submission to REF2021 following the completion of the 2020/2021 IRIP. Any staff wishing to appeal the decision should follow the Appeals Procedure as outlined in paragraphs 54-63.

Submitting outputs of former staff

87. The concept of non-portability of outputs was introduced as part of Lord Stern's review of the REF¹⁷ in 2016. As this is a new concept for the REF, it will not be implemented in full for REF2021. The introduction of a transitional approach to non-portability of outputs will allow a submitting unit to include the outputs of staff formerly employed as Category A eligible (former staff). Outputs attributable to these staff are eligible for inclusion where the output was first made publicly available while the staff member was employed by the institution as a Category A eligible member of staff.
88. Falmouth University will review inclusion of the outputs of former staff members on a case by case basis and in agreement with the member of staff in question.

Staff, Committees and Training

89. The governance structures outlined in paragraphs 8-15 describe the roles of the individuals involved in the selection of research outputs.
90. All staff involved in the determining research independence will be required to undertake bespoke Equality & Diversity training, as outlined in paragraphs 24-25.

Process for declaring individual circumstances

91. The UK funding bodies are committed to supporting and promoting equality & diversity in research careers. As part of this commitment, the measures set out in the Guidance on Submissions have been put in place to recognise the effect that individuals' circumstances may have on research productivity.
92. Such circumstances include, but are not restricted to, being an Early Career Researcher, part-time working, maternity, paternity or adoption leave, secondments or career breaks, disability, ill health or injury, childcare or other caring responsibilities.
93. In considering which outputs to be returned to the REF2021, all staff involved in the process should be aware of the guidance on individual circumstances which outlines the circumstances in which a reduction of outputs can be requested. (See Annex 5: Guidance on Individual staff circumstances).
94. The methodology for reductions for staff circumstances is outlined in Annex L of the Guidance on Submissions.

¹⁷ <https://www.gov.uk/government/news/lord-stern-sets-out-proposals-to-protect-and-strengthen-university-research>

95. The Individual Circumstances process was made available on the University's intranet in June 2019. All eligible academics were notified as part of the of the Individual Research and Innovation Plan 2019/2020 communications. It was reiterated that this is an entirely voluntary process and that all applications would be treated in the strictest confidence. Every effort was made to communicate with any member of staff absent from the University on, for example, long term sick, maternity leave, including writing to their home address.
96. All requests for individual circumstances will be reviewed by Falmouth's Equality & Diversity Lead. Any disclosure beyond that would only be by agreement with the individual concerned. The Equality & Diversity Lead will take a view, based on the guidance, of the extent to which the particular circumstances should be taken into account and will liaise with members of the REF Steering Group as necessary, without breaching confidentiality if requested by the individual.
97. For individuals whose application for individual circumstances is accepted, the REF Equality & Diversity Lead will work with their line manager and their Research & Innovation Programme Lead to agree how the expectation of 2.5 outputs per FTE to the overall output pool will be adjusted as a result of the individual's application for individual circumstances. The individual's line manager will be informed of the impact of the individual circumstances upon their productivity (in relation to the REF) and not about the specific nature of the circumstances.
98. Where the nature of the application for individual circumstances is ongoing, the REF Equality & Diversity Lead will liaise with the HR Business Partner and their line manager to confirm that this has been noted and to ensure that appropriate arrangements are implemented to support the applicant on an ongoing basis, as per the procedures outlined in Falmouth's Wellbeing Policy. Support could include:
- a. adjusting the expectation of the production of future research outputs;
 - b. agreeing temporary or permanent flexible working arrangements such as part time working, varying the working day, home working and compressed hours;
 - c. ensuring they are accessing appropriate support such as counselling, occupational health assessment, completing stress risk assessments and action plans and mentoring. Details of this agreement will be captured within the individual's Individual Research & Innovation Plan (IRIP).
99. For individuals whose circumstances have had an exceptional effect on their ability to research productively throughout the period so that they do not have the required minimum of one output, a request may be made for the minimum of one requirement to be removed. Where the request is accepted, an individual may be returned with no outputs attributed to them in the submission, and the total outputs required by the unit will be further reduced by one. Paragraphs 178-183 in the Guidance on Submissions, provides further details on the eligibility criteria for submission.

100. Staff will be notified of the outcome of their review in January 2020 by written correspondence from the Equality & Diversity Lead.
101. Staff are encouraged to talk to their line manager or a member of the Human Resources team if they are concerned about their physical or mental health and its impact on their work. Where appropriate a referral can be made to the Occupational Health and Wellbeing service. Free and confidential counselling support is also available from Relationship Cornwall and pastoral support can be provided by the Chaplaincy.

Fixed term and part time staff

102. Falmouth University's Fixed Term Contracts Policy (Annex 8) aims to promote the appropriate use of fixed term contracts to balance the genuine needs of Falmouth for a flexible and efficient workforce, with the desire to maximise security of employment for staff wherever possible.
103. The approach to determining staff on fixed-term and part-time contracts will adopt the principles of the Fixed Term Contracts Policy in determining their suitability for inclusion in the REF2021 which is in addition to those individual staff circumstances described above.

Equality Impact Assessment

104. The Equality Impact Assessment (EIA) methodology outlined in paragraphs 17-23, has been applied to all aspects of the Code of Practice.

Part 5: Appendices

Appendix 1: REF2021 Timescale

Appendix 2: REF Definition of Research

Appendix 3: Terms of Reference: REF Steering Group

Appendix 4: Terms of Reference: REF Advisory Panel

Appendix 5: Guidance on individual staff circumstances

Appendix 6: Open Access Policy

Appendix 7: Equality & Diversity Strategy 2015-2020

Appendix 8: Fixed Term Contracts Policy

Appendix 9 – Appendix to job description: Research

Appendix 10 – Appendix to job description: Innovation & Knowledge Exchange

Appendix 11 – Confirmation of Staff agreement

Appendix 1: REF2021 Timeline

- DP – David Prior, Director of Research
- DJ – Dan Jones, Director of HR
- MA – Mhairi Ambler, REF Manager
- AHB- Alice Holland-Bywaters, Research & Innovation Administrator
- CM - Charles Marson, REF E&D Lead

When	What	Who	Why
2019			
4 th March 2019	VCEG	DP, MA	Present draft COP to VCEG for first stage of internal sign off
6, 7 th & 8 th March 2019	REF Briefings	DP & MA R&I Programme Leads Research Fellows Department Directors Heads of Subject	Introduce COP and explain the role of the IRIP 19/20 within this. Film made available on internal Research & Development Sharepoint page
14 th March 2019	RIC	Department Directors & Programme Leads	Provide RIC with an overview of the Code of Practice
w/c 18 th March 2019	Circulate draft COP to some members of Academic Board	DP	Academic board to provide pre-approval for COP
w/c 18 th March 2019	REF E&D Training	REF Steering Group and REF Advisory Panel	Ensure that we adhere to RE guidelines & provide all relevant personnel with bespoke E&D training Film made available to all staff on internal Research & Development Sharepoint page
1 st April 2019	Individual Staff email & launch of dedicated email inbox Draft version of COP posted on intranet	All academic staff on 0.2FTE or above contract	To share the draft version of the COP and gather feedback

	To supported by 1:1 conversations with R&I Programme Leads		
April – June 2019	Enhanced RDP programme providing REF specific training sessions	Research Fellows to co-ordinate	To ensure academics have sufficient knowledge to be able to self-identify on proposed career tracks
April 2019	Meeting with Union representatives	Draft version	To discuss the draft Code of Practice with all Union representatives
w/c 8 th April 2019	Departmental Briefings	DP & Chairs / MA AHB to coordinate	Introduce COP and consultation methodology to all staff, with an emphasis on Department Directors and Heads of Subject
10 th April 2019	Academic Board	DP	Provide update on COP consultation progress to all members of Academic Board
6 th May 2019	Launch of 2019/2020 IRIP	Director of Research	Identify staff with SRR utilising criteria outlined in COP Capture detailed information of anticipated time for research and innovation & knowledge exchange activities in 19/20 academic year
6 th May 2019	Staff feedback period closes	MA / AHB	
6 th – 17 th May 2019	Summarise survey responses present overview on intranet Amend Draft COP where necessary	DP / MA	Ensure feedback is collated and communicated widely.

20 th May 2019	Final draft version of COP on Intranet	AHB	To communicate the final draft version to all academic staff / make several versions available
June 2019	Departmental Board meetings	DP / MA	Representatives from the R&D team to attend Departmental Board meetings to communicate progress on Code of Practice implementation
3 rd June 2019	Process to capture individual circumstances launched	REF Manager	To capture information on individual circumstances
3 rd June 2019	REF Staff Appeals Process available online	REF E&D Lead	To communicate appeals process
3 rd June 2019	VCEG sign off draft COP	DP	Ensure high level sign off before submission to Research England
7th June 2019	Deadline for Submission of COP	MA	Research England deadline
28 th June 2019	End of 2019/2020 IRIP submission		
July & August 2019	Review of 2019/2020 IRIP submissions	REF Advisory Panel	
w/c 2 nd September 2019	Staff notified of the outcome of IRIP 19/20 process	REF Advisory Panel & REF Steering Group	Outcome of IRIP & notification of SRR clearly communicated to academic staff
w/c 16 th Sept 19 (TBC)	Official launch of WAM	DJ	Implement new WAM system utilising data captured from IRIP 19/20
Sept 2019	Identify staff with SRR in annual HESA staff return	HR	To comply with new request from HESA to indicate which staff have SRR & to which UOA they are aligned
w/c 7 th October 2019	Mock REF with staff identified as SRR	DP, REF Advisory Group & External Reviewers	Gather relevant information for mock REF

10 th October 2019	Deadline for receipt of Appeal requests	REF Appeals Panel	Staff have 28 days following the notification of the outcome of their IRIP review to submit an Appeal request
31 st Oct 19	Deadline for submission of Individual Circumstances requests	REF E&D Lead	Voluntary declaration of individual circumstances which may have had an impact upon a staff member's ability to produce research outputs
Nov – Dec 19	Assess outcome of mock REF	Assess outcome of mock REF	Commence scrutiny on proposed REF2021 outputs
Dec 2019	Publication of COP	Research England	To provide transparency across the sector
2020			
16 th Jan 2020	Second deadline for submission of Individual Circumstances requests	REF E&D Lead	Voluntary declaration of individual circumstances which may have had an impact upon a staff member's ability to produce research outputs
31 st Jan 2020	Staff notified of the outcome of the Individual Circumstances review	REF E&D Lead	Notification of the outcome of the final review of Individual Circumstances requests
Jan 2020	Deadline for submission of individual staff circumstances requests to Research England	Research England	HEI's to provide RE with final information on anticipated output reduction in line with request for individual staff circumstances
Jan 2020	Outcome of mock REF reviewed	REF Steering Group	To review scores and REF Advisory Panel's process to ensure adherence to the Code of Practice principles

Feb 2020	Staff members with SRR provided with individual feedback on the outcome of the mock REF	REF Advisory Panel	To provide detailed feedback to individuals and identify any additional support required
March – June 2020	Enhanced RDP programme providing REF specific training sessions	R&D Support Officer to coordinate	To ensure academics have sufficient knowledge to be able to self-identify on proposed career tracks
June 2020	PDR with integrated IRIP 20/21	DP	Identification of outputs selected for REF2021 submission for staff who were identified as having SRR in 2019 IRIP
31st Jul 2020	REF 2021 Census date		
August – March 2021	Prepare REF Submission	DP / MA / AHB	Gather all data required for the REF2021 submission from staff who have been identified as having SRR
September 2020	Staff notified of outcome of PDR conversations	DP	To clearly communicate outcome of exercise.
November 2020	Staff notified of which outputs will be selected for the REF	DP	Provide academic staff with clarity on REF2021 outputs
2021			
Early 2021	Collection of final version of Code of Practice	Research England	Preparation for publishing it, along with submissions in 2022.
31 st March 2021	Final submission deadline	Research England	
2022			
TBC	Code of Practice & Submissions published	Research England	

Falmouth University – Code of Practice on the selection of staff for the Research Excellence Framework (REF) 2021

Appendix 2 – REF Definition of Research

1. For the purposes of the REF, research is defined as a process of investigation leading to new insights, effectively shared.
2. It **includes** work of direct relevance to the needs of commerce, industry, culture, society, and to the public and voluntary sectors; scholarship¹; the invention and generation of ideas, images, performances, artefacts including design, where these lead to new or substantially improved insights; and the use of existing knowledge in experimental development to produce new or substantially improved materials, devices, products and processes, including design and construction. It excludes routine testing and routine analysis of materials, components and processes such as for the maintenance of national standards, as distinct from the development of new analytical techniques. It also **excludes** the development of teaching materials that do not embody original research.
3. It **includes** research that is published, disseminated or made publicly available in the form of assessable research outputs, and confidential reports.

¹ Scholarship for the REF is defined as the creation, development and maintenance of the intellectual infrastructure of subjects and disciplines, in forms such as dictionaries, scholarly editions, catalogues and contributions to major research databases.

Falmouth University – Code of Practice on the selection of staff for the Research Excellence Framework (REF) 2021

Appendix 3 – Terms of Reference REF Steering Group

REF STEERING GROUP - TERMS OF REFERENCE

Reports to:

Vice Chancellor

Occurrence:

At least four times a year

Sub-committees:

REF Advisory Panel

Membership:

- Deputy Vice-Chancellor (Academic) – (Chair)
- Director of Research
- Research & Innovation Chairs
- Director of HR & Chair of Equality & Diversity Group
- Head of Communications
- REF Manager & Institutional REF Contact

In attendance:

- Research & Innovation Administrator (Secretary)

Terms of Reference:

Subject to the responsibilities of the Vice-Chancellor, the REF Steering Group shall be responsible for the following activities;

1. Ensure that the Code of Practice was developed to reflect the requirements of the REF2021 and ensure consistency with the Guidance on Submissions, as published by Research England.
2. Develop and deliver a robust communications plan to ensure that all relevant staff are aware of the implications of the REF2021 Code of Practice and the mechanisms for providing feedback on the draft Code of Practice.
3. Ensure that the methodology for identifying staff with a significant responsibility for research, determining research independence and selection of outputs for REF submission is applied in an equitable and consistent manner.
4. Determine which Unit of Assessment/s will be an accurate reflection of the research activity undertaken at Falmouth.
5. Lead on the development of the REF2021 submission, including management of mock REF exercises.
6. Monitor the developments of the Equality Impact Assessment.
7. Ensure adherence to Data Protection Legislation through consistent monitoring of data collection for the purposes of the REF.

The REF Steering Group may establish such committees as it considers necessary to enable it to carry out its responsibilities provided that each establishment is first approved by the Vice-Chancellor. The number of members of any such committee and the terms on which they are to hold and vacate office shall be determined by the REF Steering Group.

Term of Office:

The tenure of academic and professional services staff members shall be two years, or the residue thereof.

Quorum:

A meeting shall be quorate when 50% plus one (Chair or the Deputy Chair must be included) of the membership is present.

Conduct of meetings:

An ordinary meeting shall be convened by the circulation of a notice to all members of the Board by the Secretary, normally not less than seven days before the meeting is to take place.

An extraordinary meeting shall be convened either at the Chair's discretion or on receipt of a request for such a meeting signed by 75% of the Board.

Papers for inspection by staff and students, including agenda, minutes, reports or papers considered at meetings will be lodged within the Research & Innovation Public SharePoint Site.

Approved by:

Academic Board on 26th March 2019

Falmouth University – Code of Practice on the selection of staff for the Research Excellence Framework (REF) 2021

Appendix 4 – Terms of Reference REF Advisory Panel

REF ADVISORY PANEL - TERMS OF REFERENCE

Reports to:

Director of Research

Occurrence:

At least four times a year

Sub-committees:

N/A

Membership:

- Director of Research (Chair)
- Research & Innovation Chairs
- Research & Innovation Programme Leads
- REF Project Manager

In attendance:

- Research & Innovation Administrator (Secretary)

Terms of Reference:

The REF Advisory Panel shall be responsible for the following activities;

1. Lead on the review of research and innovation proposals within the Individual Research & Innovation Plans (IRIP).
2. Ensure Falmouth's readiness for REF by developing and delivering a mock REF.
3. Identify external support to assist with the peer review of outputs and the compilation of impact case studies.
4. Advise the REF Steering Group on the selection of outputs for Falmouth's REF2021 submission.
5. Monitor the developments of the Equality Impact Assessment.
6. Ensure adherence to Data Protection Legislation through consistent monitoring of data collection for the purposes of the REF.

Term of Office:

The tenure of academic and professional services staff members shall be two years, or the residue thereof.

Quorum:

A meeting shall be quorate when 50% plus one (Chair or the Deputy Chair must be included) of the membership is present.

Conduct of meetings:

An ordinary meeting shall be convened by the circulation of a notice to all members of the Board by the Secretary, normally not less than seven days before the meeting is to take place.

An extraordinary meeting shall be convened either at the Chair's discretion or on receipt of a request for such a meeting signed by 75% of the Board.

Papers for inspection by staff and students, including agenda, minutes, reports or papers considered at meetings will be lodged within the Research & Innovation Public SharePoint Site.

Approved by:

Academic Board on 26th March 2019

Falmouth University – Code of Practice on the selection of staff for the Research Excellence Framework (REF) 2021

Appendix 5 –Guidance on Individual Staff circumstances

Extract from; Guidance on Submissions, Research Excellence Framework, pg 40-41;

160. 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. Details of the permitted reductions are set out in Annex L:

- a. Qualifying as an ECR (on the basis set out in paragraphs 148 and 149 and Annex L).
- 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 162 to 163.
- 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 in Annex L.
 - iv. Other caring responsibilities (such as caring for an elderly or disabled family member).
 - v. Gender reassignment.
 - vi. Other circumstances relating to the protected characteristics listed in the ‘Guidance on codes of practice’, Table 1, or relating to activities protected by employment legislation.

161. 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.

162. 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.

163. This allowance is made on the basis that the clinical 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 162, and has had significant additional circumstances – for any of the other reasons in paragraph 160 – the institution can make a case for further reductions as part of the unit reduction request, using the tariffs set out in Annex L as a guide.

Falmouth University – Code of Practice on the selection of staff for the Research Excellence Framework (REF) 2021

Appendix 6 – Description of Open Access Policy

What is Open Access?

Open Access (OA) publishing is digital, online, and free of charge to the reader. It does not require a personal or institutional subscription and is free of most copyright and licensing restrictions.

There are two routes to making research Open Access - **Gold** and **Green**.

Gold Open Access is where the author makes their article or conference paper Open Access in a journal, usually on payment of an Article Processing Charge (APC). This journal may be exclusively Open Access or it may have a mixture of Open Access and subscription-only articles (hybrid).

Green Open Access is where the author publishes in a journal and then deposits (self-archives) a version of this article into a subject or institutional repository, such as the Falmouth University Research Repository (FURR).

Open Access requirements for the REF 2021

The new Open Access policy for REF2021 states that certain outputs must be available as Open Access to be eligible for submission.

Policy Summary

The policy applies to **journal articles and conference proceedings with an ISSN accepted for publication on or after 1st April 2016 and published on or before 31st December 2020.**

'Date of acceptance' means **the date given in the acceptance letter or email from the publisher to the author as the 'firm' accepted date.**

To be eligible for submission to the REF, the author's accepted manuscript **must be deposited in an appropriate repository within three months of acceptance for publication.** Open access to deposited manuscripts can be embargoed, providing this does not exceed 12 months for REF Panel A and B, or 24 months for REF Panel C and D- Falmouth outputs will typically fall under REF Panel D but check with your Department Director if you are uncertain. Specific exceptions to these requirements are allowed by the policy.

The output must be presented in a form that allows anyone with internet access to search electronically within the text, read it and download it without charge, while respecting any constraints on timing (such as embargoes). It is advised that outputs licensed under a Creative Commons Attribution Non-Commercial Non-Derivative (CC BY-NC-ND) licence would meet the minimum requirement. Once accessible, the output must remain so.

Outputs that are published by a journal or conference proceedings which does not require peer review are within the scope of this policy. In this instance, the author's final accepted version must be deposited. The date of acceptance in this instance should be taken as **the date that the publisher confirms that the article has been received from the author and will subsequently be published.**

'Date of Publication' means the date that the final version-of-record is first made publicly available (such as on the publisher's website). This will usually mean that the 'early online' date, rather than the print publication date, should be taken as the date of publication.

Author's accepted manuscript refers to the final peer-reviewed text which may otherwise be known as the 'author manuscript' or 'final author version' 'post-print'.

These Open Access requirements do not apply to output types such as:

- monographs and other long-form publications, such as books or book chapters
- non-text outputs
- working papers or outputs submitted to pre-print systems that are not the version 'as accepted for publication'
- the data which underpins some research
- confidential reports that are not published because of commercial or other sensitivity
- outputs underpinning research impact.

It should be noted that Open Access requirements also do not apply to **unpublished conference proceedings**, and **articles published in journals without an ISSN**.

How to make your work eligible

Once your work has been accepted for publication, upload a copy of your author accepted manuscript to the Falmouth University Research Repository (FURR).

Please remember that the Open Access requirements are only applicable to journal articles and conference proceedings. It does not apply to monographs, book chapters or books. If you are unsure if Open Access will apply to your work contact FURR.

EQUALITY & DIVERSITY STRATEGY

2015–20

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*“Diversity: the art of thinking
independently together.”*

Malcolm Forbes

INTRODUCTION

We believe that positively engaging with equality and diversity will mean we are better placed to provide the best possible experience for our students, improve staff satisfaction, strengthen our decision-making and our overall performance. Increasing evidence across the sector suggests that diverse and inclusive institutions are more efficient, more productive and deliver better outcomes.

To take full advantage of these opportunities we will need to ensure that we plan for a diverse workforce to create a talent pipeline that reflects a global mind-set, one that is culturally fluent and adept at working across traditional boundaries, internationally as well as across sectors.

One of the goals of the Government's White Paper on Higher Education is to drive fairness of opportunity in access to university education, with a specific aim to double the proportion of people from disadvantaged backgrounds entering Higher Education by 2020. In addition to this national focus on widening participation, Falmouth's Strategic Plan 2015-20 sets out ambitious targets for the institution, including specific measures of success in relation to student satisfaction levels, diverse modes of study, and student headcount, with major increases in the numbers of international students and students from Cornwall.

The University's equality and diversity agenda is important in supporting the achievement of these targets and goes beyond compliance and the meeting of legal requirements. Ensuring equality of opportunity will provide Falmouth with access to the widest possible talent pool to recruit both staff and students from, while valuing the diversity of our staff and student groups helps to uncover the potential of all individuals, as well as promoting Falmouth as an attractive and inclusive place to work and study. The University's equality and diversity mission is therefore:

"To support Falmouth in being a world class place to study and work, by providing an inclusive environment where there is equal opportunity for a diverse student and staff community to reach their full creative, academic and entrepreneurial potential."

This strategy describes to staff, how together, we will build on the equality work we have already undertaken to achieve this mission, and the specific objectives and measures of success that will be monitored by Falmouth's Equality & Diversity Group to ensure we are making good progress towards this aim.

Professor Anne Carlisle
Vice-Chancellor & Chief Executive
Falmouth University

CONTEXT AND DRIVERS

OUR AIMS

Falmouth's equality work aims to have the following impacts:

- To ensure that anyone with talent and potential should be able to study with us by promoting inclusion, advancing equality of opportunity, and creating a diverse student population in which all students, regardless of background are offered the same choices and opportunity
- To have a staff group that reflects the makeup of, and is able to effectively support, our increasingly diverse and global student profile
- To attract staff and students from all backgrounds to ensure the widest possible talent pool from which to recruit
- To create and maintain a diverse and inclusive working environment that is reflected in staff and student satisfaction and engagement, and in our reputation
- For every staff member to have the opportunity to reach their potential within the organisation – maximising performance and motivation
- To have a workforce with a diverse range of experiences, outlooks and approaches to bring maximum flexibility, creativity, and problem solving skills
- To ensure Falmouth is compliant with its legal responsibility to have due regard to the need to eliminate discrimination, advance equality of opportunity and foster good relations between people of different protected groups

Falmouth's Accessibility team provide help, support and advocacy for students of all backgrounds and also lead a programme of work to improve and promote accessibility and the inclusiveness of teaching and learning.



Objective 1

TO ENHANCE ACCESS FOR DISADVANTAGED STUDENTS

HOW

To be inclusive and raise aspirations

We will raise the aspirations of Cornish students by promoting an inclusive environment, by making the curriculum clearer, and by reducing barriers to create an experience in which all our students feel welcome and supported to realise their full potential.

Introduce new roles and support

We will introduce new roles in each academic department to coordinate access activity, provide further targeted tutoring support, and increase specific initiatives to promote employability. We will require every course at Falmouth to offer entrepreneurial content, industry-led curriculum and professionally connected staff.

Prioritise access for specific groups

On selected courses we will offer guaranteed interviews and guaranteed places for students from specific schools and colleges.

A supportive staff group

We will ensure our academic staff understand the University’s aim to prioritise access for specific groups and are appropriately supported in its implementation. We will introduce departmental targets and measures to track our progress.

Do it with partners

We will develop and deliver a range of access projects in partnership with local schools and colleges, including events and open days, and co-delivered or University validated courses. We will extend outreach work to help support access for groups who are under-represented in higher education.

WHY

To improve access, retention, and employment outcomes for students from disadvantaged groups and higher education ‘cold spots’ in Cornwall supports the following of Falmouth’s Strategic Plan objectives:

- ‘To Produce Satisfied Graduates Who Get Great Jobs’ – While Falmouth is already rated 6th in the UK for graduate employment in the Destination of Leavers from Higher Education Survey, the improved retention and progression of Cornish students, particularly those from disadvantaged groups, is consistent with Falmouth’s targets to increase the proportions of leavers in graduate level employment, self-employment, and in work or study within the South West, and the institutional target to achieve a 95% student retention rate.
- ‘To Help Grow Cornwall’ – Falmouth has a specific target to increase the numbers of undergraduate students from Cornwall with the aim of retaining more of our creative talent for the benefit of Cornwall.

Measures of Success	Baseline 2015	Target 2020
Number of undergraduate students recruited from Cornwall	662	1,126
Percentage of students recruited from Low Participation Neighbourhoods (reaching the Higher Education Statistics Agency (HESA) benchmark of 12.7%)	8.7%	12.7%
Percentage of students from State Schools (exceeding HESA benchmark of 93.6%)	95%	95%

Falmouth University's annual CreatEd exhibition showcases and celebrates work produced by Year 11, 12 and 13 students studying creative subjects. Falmouth University is committed to working with schools and colleges to raise awareness and inspire local students to progress to higher education.



Objective 2

TO PROVIDE STUDENTS WITH AN INCLUSIVE EXPERIENCE

HOW

Extend support for disabled students at all stages of the student journey

We will take a whole lifecycle approach to supporting students with disabilities, starting with increased collaboration on outreach activities with our partner institutions, schools and colleges across the county.

Extend support for international and Black and Minority Ethnic (BME) students at all stages of the student journey

We will focus on not only extending our outreach work but also building and delivering a targeted programme of events and initiatives. This will be underpinned by the delivery of our inclusive learning project which aims to embed inclusive teaching and learning practice across all subject areas.

Enhance awareness of the support for transgender students

In partnership with FXU, we will increase awareness of the range of support available for transgender students, with the aim of helping to ensure that students feel safe and comfortable with who they are during their time at university and able to access advice when needed.

Enhance the inclusivity of our teaching and learning

We will develop a range of bespoke resources that meet the needs of the creative sector. We will implement an online inclusive learning audit tool, provide specialist training and support, and improve ease of access to students' Individual Learning Plans.

Increase students' knowledge and capability to use Assistive Technology

We will proactively support students to use assistive technology to build independence and better prepare students with the skills they need for both their academic studies and securing great jobs.

Improve the accessibility and inclusiveness of the student journey

We will address student accessibility priorities through activities such as an audit of campus buildings, improvements to website accessibility, effective implementation of Individual Learning Plans, and disability awareness training for staff including enhancing knowledge about reasonable adjustments.

Do it with Partners

We will work collaboratively with specialist charities, accessibility specialists, education partners and a wide cross-section of other organisations (for example, third sector and BME organisations) to deliver the changes required.

WHY

Falmouth believes that students from every background should be supported to reach their full potential, and is committed to increase student retention to 95%. Across the higher education sector, the retention rates of students with disabilities and their degree attainment tends to be on average less than those without disabilities. The higher than average instance of specific learning difficulties and mental health conditions amongst the Falmouth student cohort requires the University to target these groups for additional support to further improve retention rates, the student experience, and degree and employment outcomes. This will help not only to better meet the needs of specific students but also improve the quality of learning for all. Additional support will be offered to further improve retention rates, the student experience, and degree and employment outcomes. This will help not only to better meet the needs of disabled students but also improve the quality of learning for all.

Accessibility advisers are available to discuss students' needs in a confidential environment and arrange support to assist them with their studies.



Measures of Success	Baseline 2015	Target 2020
Retention rate of at least 95% for disabled, BME and international students	TBC	95%
Increased student satisfaction on the accessibility and inclusiveness of student life. The university:		
• environment is accessible for all students	58% agree	85% agree
• does a good job of making adjustments for students with a disability	63% agree	90% agree

Objective 3

TO EXTEND AND BENCHMARK DATA COLLECTION AND ANALYSIS

HOW

Better understand our workforce

We will develop an Equality Dashboard to provide an overview of the protected characteristics of our workforce, enabling easier identification of any trends or unintended bias, as well as showing progress against specific targets. We will review what additional information outside the protected characteristics it may be beneficial to collect.

Broaden our understanding of the student journey

We will review the student record dataset to ensure that outcomes for application, offer, acceptances, enrolment and progression are harmonised. We will ensure future reporting of our student profile and degree attainment includes more detailed analysis by age, gender, race, disability and part time status for both undergraduate and postgraduate groups.

Embed equality analysis

We will ensure that Equality Analysis is integral to strategy and policy development as a means to improve our understanding of the needs and experiences of our workforce and students and to make evidence based decisions.

Do it with partners

We will benchmark ourselves against our peers both within the sector, and outside to ensure that new proposals and initiatives are informed by best practice.

WHY

In relation to our workforce, improving our data collection and analysis capabilities will allow us to better understand and support our staff, impacting staff engagement, motivation and performance, and helping to ensure all individuals are given the opportunity to reach their potential within the organisation. In relation to our students, a fuller data set will enable a broader analysis of the student journey and ensure more targeted and responsive planning to areas of need.

Having comprehensive data sets also allows Falmouth to measure our progress towards the objectives set out in the Strategic Plan by enabling the University to:

- Benchmark ourselves both within the sector, and outside
- Set clear, measurable targets
- Regularly monitor and report on our performance

Measures of Success	Implementation date
Development of Equality Dashboard	2017
Enhanced reporting of student profile and degree attainment	2017



The Higher Education Statistics Agency (HESA) is the official agency for the collection, analysis and dissemination of quantitative information about higher education in the UK. Like other higher education institutions, Falmouth University has to routinely pass certain personal data on staff and current and former students to HESA and HESA's agents and contractors. Data collection and analysis also enables the university to monitor its equal opportunities policies and ensure that the welfare needs of staff and students are met.

HESA

Objective 4

TO FURTHER PROMOTE AND IMPROVE GENDER EQUALITY

HOW

Review our staff gender balance

We will undertake a review of the gender balance at each grade and occupational group, and the balance of representation on Falmouth's main committees.

Identify any gender pay gap

While the JNCHES Gender Pay report 2015 rated Falmouth as being in the top 5 UK universities in terms of pay parity for academic staff, we will undertake a more detailed analysis to understand whether this is the case in all occupational groups and levels of seniority.

Analyse and Respond

We will investigate the reasons for any differences in gender representation and pay, and put in place an action plan to address any imbalance identified.

Do it with partners

We will work with key organisations such as the Equality Challenge Unit as well as with specialist partners and national and international higher education institutions to benchmark our work and findings.

WHY

We are committed to ensuring we systematically address any gender differences in terms of pay and opportunity because it is important to:

- Provide the University with access to the widest possible pool of talent
- Benefit from the better business performance that is correlated with diverse management teams
- Build Falmouth's reputation as a fair employer that provides equal opportunity for individuals to reach their full potential
- Demonstrate the University's commitment to have due regard to the need to eliminate discrimination and advance equality of opportunity
- Support objective 4 of the University's Strategic Plan 'to escalate our research and innovation' by evidencing our commitment to gender equality which is increasingly a requirement of research bids
- Ensure Falmouth is compliant with best practice guidelines and prepared for future legislation.

Measures of Success	Implementation date
Gender balance review for pay grades and committees and action plan	2017
Gender pay gap review and action plan	2017

The University has adopted an equal pay scheme for evaluating roles to ensure equal pay for work of equal value across all staff.



MONITORING OUR PROGRESS

Governance

Falmouth's Equality and Diversity Group is responsible for monitoring the University's progress against the objectives set out in this strategy and will advise and update the Board of Governors through the Vice-Chancellor's Executive Group on progress.

Related strategies

The objectives in this strategy are supported by related work-streams, including Falmouth's Access Agreement, our Learning, Teaching and Employability Strategy 2015-2020, the Research and Innovation Strategy 2015-2020 and our Workforce Planning process. The objectives of this strategy are also underpinned by the business plans for academic departments and professional services areas which support the objectives at a local level, and reflect the institution's commitment to equality and diversity in everything we do.

Measures of Success

We have developed a set of performance indicators, which use quantitative and qualitative information to provide an overview of progress against each of our equality objectives. We will use the information gathered to develop and refine our strategy and objectives and to communicate the resulting achievements and outcomes.



EQUALITY AND DIVERSITY TOOLKIT

This toolkit is designed to signpost staff and students to resources related to Equality and Diversity at Falmouth, such as sources of information and support. The toolkit will be updated on an ongoing basis by representatives of Falmouth's Equality and Diversity Group.

EDT (1)	Where can I view Falmouth's Equality and Diversity policies?	EDT (16)	Where can I find out more about my study skills, strengths and weaknesses?
EDT (2)	Where can I view Falmouth's Equality and Diversity dashboard?	EDT (17)	Where can I find information on my students' study skills' strengths and weaknesses?
EDT (3)	Where can I access training on Equality and Diversity?	EDT (18)	How can I find tools to audit how inclusive I am in my teaching?
EDT (4)	How can I find out more about Dignity at Work?	EDT (19)	Where can I access students' Individual Learning Plans?
EDT (5)	How do I complete an Equality Impact Assessment?	EDT (20)	Where can students access online mental health support?
EDT (6)	What is the University doing about the gender pay gap?	EDT (21)	Where can I find study skills' tools, resources and apps?
EDT (7)	I have a disability - how can I access help and support?	EDT (22)	Where can I find information on inclusive teaching and learning?
EDT (8)	I am an international student - how can I access help and support?	EDT (23)	Where is the University's Accessibility Audit Tool?
EDT (9)	What additional support does the University provide for international students?	EDT (24)	Where can I find the student Accessibility questionnaire?
EDT (10)	What additional support does the university provide for Black and Minority Ethnic students and staff?	EDT (25)	How do I access study skills support?
EDT (11)	Where do I go to find out about career progression at Falmouth?	EDT (26)	Where do I go for drop-in accessibility support?
EDT (12)	What are the opportunities for flexible working?	EDT (27)	Where do I go to borrow specialist equipment?
EDT (13)	Why is it important to record my personal information?	EDT (28)	How do I access assistive technology training?
EDT (14)	What should I be aware of as a recruiting line manager?	EDT (29)	Where do I go for support on using apps to help me with planning, organising and mind mapping?
EDT (15)	How do I access additional support for a student?	EDT (30)	What support or resources are available for transgender staff or students, including those who are transitioning?



FIXED TERM CONTRACT POLICY

EFFECTIVE FROM: 01 APRIL 2014

REVIEW DATE: 30 SEPTEMBER 2017

CONTRACTUAL STATUS: NON CONTRACTUAL

Compiled by the Human Resources Department

FIXED TERM CONTRACT POLICY

THIS DOCUMENT SETS OUT THE POLICY AND PROCEDURAL FRAMEWORK OF FALMOUTH IN RESPECT OF THE USE, RENEWAL AND EXPIRY OF FIXED TERM CONTRACTS.

1. Scope

This policy and the procedures involved are applicable to all staff directly employed by Falmouth on fixed term contracts.

2. Purpose

The aim of this policy is to:

- promote the appropriate use of fixed term contracts to balance the genuine needs of Falmouth for a flexible and efficient workforce, with the desire to maximise security of employment for staff wherever possible
- ensure that Falmouth is compliant with its legal responsibilities concerning the equal treatment of fixed term employees
- ensure that the expiry and non-renewal of any fixed term contract is fair and reasonable

3. Definitions

Fixed Term Contract - The Fixed-Term Employees (Prevention of Less Favourable Treatment) Regulations 2002 define a fixed term contract of employment as one that will terminate:

- On the expiry of a specific term, or
- On the completion of a particular task, or
- On the occurrence or non-occurrence of any other specific event

Continuous Service - Continuous service in the context of this policy is defined as the period of time for which the member of staff has been employed by Falmouth without a break, other than where the reason for the break is that there is no work for the individual (temporary cessation of work), for example breaks between terms or assessment periods when there is no requirement for teaching. Employment is deemed to be continuous over a series of consecutive fixed term contracts, provided the fixed term contract is renewed before the end date of the contract and the renewal takes effect within four weeks of the previous contract expiring, or, where there has been no renewal/extension prior to the expiry of the previous contract, the new contract begins within a week of the previous one expiring.

Permanent Contract - Otherwise known as an open ended contract, a permanent contract is one which is not for a fixed-term, but may be lawfully terminated in various circumstances, including resignation, ill-health, capability, conduct and redundancy.

Redundancy - Section 139 Employment Rights Act 1996 defines redundancy as: "An employee shall be taken to be dismissed by reason of redundancy if the dismissal is attributable wholly or mainly to the fact that:

- His/her employer has ceased, or intends to cease, to carry on the business for the purposes of which the employee was employed, or has ceased, or intends to cease, to carry on that business in the place where the employee was so employed, or
- The requirements of that business for employees to carry out work of a particular kind, or for employees to carry out work of a particular kind in the place where he/she was so employed, have ceased or diminished or are expected to cease or diminish”

4. Related Policies and Procedures

This policy should be read in conjunction with the following Falmouth Policies:

- Redundancy Policy – where the reason for the expiry and non-renewal of a fixed term contract is redundancy (see section 8)
- Redeployment Policy – where a fixed term contract is terminated for reasons of redundancy and the post holder has more than two years continuous service

5. When to Use Fixed Term Contracts

Falmouth needs a professional, flexible and modern workforce to deliver its ambitious strategic plans and recognises that fixed-term contracts may, in appropriate circumstances, be a useful resource management tool. However, it is Falmouth’s policy to restrict the use of fixed-term contracts to those circumstances where there are transparent, necessary and objectively justifiable reasons for doing so.

When considering whether the use of a fixed term contract rather than a permanent contract, is objectively justifiable, recruiting managers should consider whether the use is in response to a genuine need, is appropriate for achieving that need, and is necessary for that purpose. Objectively justifiable reasons for the use of, or extension or renewal of, fixed-term contracts by Falmouth can include, but are not limited to:

- Where there is a demonstrable case that Falmouth requires specialist expertise or recent experience not already available in the institution in the short term
- Where Falmouth can demonstrate a specific project that will only last for a limited term
- To cover staff absence (eg. maternity leave, secondment, long-term sickness)
- To provide a secondment or career development opportunity
- To respond to uncertainty in student or other business demand
- Where there is no reasonably foreseeable prospect of short-term funding being renewed or other external or internal funding becoming available

6. Principle of Equal Treatment

Falmouth will ensure that any staff member employed on a fixed-term contract is entitled to terms and conditions of employment that are not less favourable on a pro-rata basis than the terms and conditions of a permanent employee undertaking broadly similar work, unless there is an objectively justifiable reason for offering different terms. Falmouth will ensure that staff on fixed term contracts

will be treated in the same way as comparable permanent employees in relation to opportunities for training, promotion, transfer and appraisal.

Where requested by a member of staff, Falmouth will provide within 21 days of receipt of the request, a written statement explaining any differences in their employment arrangements from those of comparable permanent employees, taking into account the overall employment package.

7. Successive Fixed Term Contracts

Where a fixed-term contract is renewed, extended, or the member of staff is re-engaged on a new fixed-term contract, and they already have a period of four or more years of continuous employment, the renewal or new contract becomes a permanent appointment, unless continued employment on a fixed-term basis can be objectively justified. Where requested by a member of staff who has four years continuous service, Falmouth will provide within 21 days of receipt of the request, a written statement explaining whether the contract is permanent, or the objective reasons for continuing the fixed-term employment if this has not been provided earlier.

Where a post initially filled on a fixed-term contract later becomes a permanent position, unless the holder of the fixed term contract has more than four years' service, there is no right to permanent employment for the fixed term member of staff, and the post can be advertised as usual, ensuring that the current post holder is made aware of this and has the same opportunity to apply.

8. Expiry and Non-Renewal of Fixed Term Contracts

Where there is no requirement to extend or renew the fixed term contract, it will come to an end on its expiry date. The expiry and non-renewal of a fixed term contract is a dismissal in law, and the reason for the dismissal needs to be determined. In cases where the contract is ending due to the ceasing or diminishing of the work, such as the end of a piece of project work or funded work, the reason for the dismissal will usually be redundancy (see definition in section 3). Where the need for the work continues, such as when the substantive post holder returns from maternity leave, the reason for the dismissal is likely to be 'some other substantial reason'. If it is not planned to renew a fixed term contract due to conduct or performance issues, this should be managed in line with Falmouth's Disciplinary or Capability policy.

If redundancy is the reason for the dismissal, the responsible manager should ensure that they individually consult with the member of staff, determine their entitlement to a redundancy payment if they have two years' service or more, and should also consider the usual redundancy issues, including whether the pool for redundancy selection ought to be widened so that other employees may be involved (see Redundancy Policy). It should be noted that redundancies due to the expiry of fixed term contract, are not included in the numbers for the purposes of determining whether the Collective Consultation Requirements apply, unless the contract is terminated for the reason of redundancy before its expiry date.

The expiry and non-renewal of a fixed term contract should be managed in line with the procedure set out in section 11. Where it is necessary to terminate a fixed term contract before its expiry date for reasons other than conduct or capability, such as due to the early return of the original post holder from a period of leave, the procedure in section 11 should be followed ensuring that the meeting is held in time to allow the notice period set out in the contract of employment.

9. Research Contracts

Research staff are particularly vulnerable to the lack of employment security associated with fixed term contracts, due to the short term funding that often finances such posts. The responsible

manager should therefore ensure that conversations about maximising job security are started as early as possible, and options to consider as part of these discussions include, but are not limited to:

- Where the research can be continued, whether other sources of funding, either internal or external, can be considered to replace the ending of the specific funding stream
- Whether it is possible for research staff to work across more than one project, to reduce the reliance on one stream of funding for continued employment
- Whether Falmouth is able to maintain employment by financially bridging any gaps between funded research projects
- Whether it is possible to generate further funding for a new project
- Developing skills to allow research staff to transition into other posts within Falmouth

10. Appeals

Any member of staff who is dismissed due to the expiry and non-renewal of a fixed term contract, or the early termination of a fixed term contract for reasons other than capability or conduct, can appeal against their dismissal under this policy. Any such appeal should be made in writing to the Vice Chancellor and Chief Executive setting out the grounds of appeal, and should be lodged within seven calendar days of the formal notice of dismissal being given.

An appeal hearing will then be arranged at which the member of staff can make representations to the appeal panel. The appeal panel will constitute the Vice Chancellor Chief Executive and a representative from the HR Department who will consider the process and the grounds for appeal to determine whether or not to confirm the decision to end the fixed term contract. The outcome of the appeal will be communicated to the member of staff in writing within seven calendar days of the appeal hearing. The decision of the appeal hearing will be final.

11. Procedure

11.1 Employing Staff on Fixed term Contracts - Falmouth will ensure that the objective justification for any contract being offered on a fixed term basis, and the point at which the contract will expire are stated clearly and in writing at the time any offer of employment is made. The recruiting manager is responsible for ensuring any fixed-term member of staff is provided with appropriate induction, training and development for the position for which they are employed. The recruiting manager is also responsible for ensuring that any members of staff employed on fixed term contracts are made aware of where they can access Falmouth's current job vacancy listings.

11.2 Renewing or Extending Fixed Term Contracts - Various factors may lead to the need to renew or extend a fixed term contract, including the continuation of a specific project beyond the original anticipated completion date, additional funding for a post becoming available, or additional cover being required due to a post holder remaining on leave for longer than anticipated. In these circumstances, the responsible manager should review the reasons for the renewal or extension to ensure that the post is still objectively justified on a fixed term basis, and has not in fact become a permanent requirement (see sections 5).

Employing staff on fixed term contracts or any extensions or renewals of fixed term contracts will require approval in line with the 'Establishment Changes Guidance' available on the Human Resources page of SharePoint.

11.3 Managing the Expiry and Non-Renewal of Fixed Term Contracts - Where it is not anticipated that the fixed term contract will be renewed or extended, the responsible manager should write to the individual inviting them to a meeting to discuss the end of their contract, and the potential for dismissal. The member of staff should be given at least five calendar days' notice of the meeting, and be given the right to be accompanied by a Trade Union representative or work colleague.

The meeting should ideally be held 30 days before the end of the contract, although this may not always be possible in the case of short duration fixed term contracts, in which instance the meeting should be held within good time. The purpose of the meeting is to:

- Explain why extension or renewal of the fixed term contract is not possible
- Provide the employee with the opportunity to ask questions or raise any relevant issues with regard to the cessation of their contract
- Discuss any potential options which may avoid the dismissal of the employee

Where redundancy is the reason for the dismissal, this meeting will constitute the individual consultation meeting, and should be held in line with the relevant section of the Organisational Change and Redundancy Policy.

If the outcome of the meeting is confirmation that the employment should end on the expiry of the contract, the member of staff will also be advised of:

- The redeployment process if they have more than two year's continuous service (see Redeployment Policy) or where to access the current job vacancies listing if they have less than two years' service
- Any payments they may be eligible to receive e.g. redundancy payments
- Information relating to any pension payments they have made
- The support that is available to staff members whose posts are at risk of redundancy including the right to time off to seek alternative employment and relevant training opportunities and ;
- The right to appeal against their dismissal.

The outcome of the meeting should be confirmed in writing to the individual, and the necessary leaver's paperwork completed. Managers and staff members should ensure that any outstanding leave or TOIL accrued is taken prior to the expiry of the fixed- term contract as payments will not normally be made.

ADDENDUM TO JOB DESCRIPTION

Job title: Strand: Research

Description: Research is defined as a 'process of investigation leading to new insights effectively shared. This includes work of direct relevance to the needs of commerce, industry, culture, society, and to the public and voluntary sectors; scholarship; the invention and generation of new ideas, images, performances, artefacts including design, where these lead to new or substantially improved insights; and the use of existing knowledge in experimental development to produce new or substantially improved materials, devices, products and processes, including design and construction.

Responsible to: Line Manager

Date: March 2019

Main duties and responsibilities

The main duties and responsibilities of this strand form an addendum to the core requirements of an academic, and have been grouped under the following headings:

1. Growing Research & Innovation
2. Build staff capacity and capability
3. Capitalise on our resources
4. Achieve RDAP
5. Enhance our REF performance

1) Growing Research & Innovation

- a) To align research activity to the University's three key themes: Digital Economy, Creative Connected Communities and Design Thinking.
- b) To actively seek opportunities to develop cross-departmental, trans-disciplinary collaborations, both internally and with other Higher Education Institutions.
- c) To align research activity to the challenges faced by Cornwall and maximise the impact of Falmouth University as an anchor institution.
- d) To engage in a series of public engagement events to help raise the profile and to maximise the impact of Falmouth's research activity.

2) Build staff capacity and capability

- a) To utilise the Individual Research and Innovation Plan (IRIP) to identify areas for personal development and to access sessions of the Researcher Development Programme accordingly.
- b) To play an active role in a subject association, learned society or professional body that will further the impact of your research activities.
- c) To seek opportunities to contribute to the wider academic community through engaging in activity such as external examiner for research degree, panel member for the validation or review of research degree programmes.
- d) To ensure compliance with the Concordat to Support Research Integrity by adhering to Falmouth's Research Integrity and Ethics Policy.

3) Capitalise on our resources

- a) To develop research activity to meet real market opportunities.
- b) To work with external partners at a local, national and international level to utilise research activity to support economic growth and societal wellbeing.
- c) To identify opportunities to align research activities to the development and/or enhancement of undergraduate curriculum.
- d) To identify the contribution your research activity makes to the realisation of departmental business plans.

4) Achieve RDAP

- a) To embed PhD students within a Department, through the provision of teaching opportunities and by promoting their research within the Departmental community.
- b) To support the development of Falmouth's PGR community through registering to be research student supervisor. If you are already an active supervisor, to engage in the development and delivery of Falmouth's Research Student Development Programme (RSDP) and Supervisor training programme.
- c) To promote Falmouth's research activity through seeking opportunities to engage in editorial boards, conference committees, external examining and by the organisation of international conferences.

5) Enhance our REF performance

- a) To take personal responsibility for enhancing the quality of your work, to a level of 3* or above, by seeking internal and external peer review of research outputs.
- b) To have a clear strategy for maximising the impact of your research activity from the beginning, including identification of preferred publications and conferences.
- c) To actively seek opportunities to promote your research activities at a local, national and international level.
- d) Guarantee alignment with Open Access Policy by ensuring research outputs are recorded on FURR.

ADDENDUM TO JOB DESCRIPTION

Job title: Strand: Innovation & Knowledge Exchange

Description: Knowledge exchange and innovation involves using expertise, scholarship, skills or the outcomes of research to generate tangible responses to needs or opportunities without necessarily producing new knowledge as part of the activity. Practice and innovation may include commercial and entrepreneurial activities where the emphasis is on achieving tangible business benefits.

Responsible to: Line Manager

Date: March 2019

Main duties and responsibilities

The main duties and responsibilities of this strand form an addendum to the core requirements of an academic, and have been grouped under the following headings:

1. Growing Research & Innovation
2. Build staff capacity and capability
3. Capitalise on our resources
4. Achieve RDAP
5. Enhance our REF performance

1) Growing Research & Innovation

- a) To align innovation and knowledge exchange activity to the University's three key themes: Digital Economy, Creative Connected Communities and Design Thinking.
- b) To engage with industry partners to **develop Knowledge Transfer Partnerships (KTP)**.
- c) To align innovation and knowledge exchange activity to the challenges faced by Cornwall in order to help build the Cornish economy and lead to global export and impact.
- d) To **engage in a series of public engagement events** to help raise the profile and to maximise the impact of Falmouth's innovation and knowledge exchange activity.

2) Build staff capacity and capability

- a) To utilise the Individual Research and Innovation Plan (IRIP) to identify areas for personal development and to access sessions of the Researcher Development Programme accordingly.
- b) To **play an active role in a subject association, learned society or professional body** that will further the impact of your innovation and knowledge exchange activities.
- c) To identify opportunities to promote your innovation and knowledge exchange activity through **participation in local, national and international conferences**.
- d) To identify opportunities to align innovation and knowledge exchange activities to the **development and/or enhancement of undergraduate curriculum**.

3) Capitalise on our resources

- a) To **develop innovation and knowledge exchange activity to meet real market opportunities**.
- b) To explore opportunities to provide **consultancy services** to a range of external organisations.
- c) To actively seek opportunities to **develop collaborative projects with industry partners** with the aim of both enhancing the student experience and generating commercialisation income.
- d) To identify the contribution the innovation and knowledge exchange activity makes to the realisation of departmental business plans.

4) Achieve RDAP

- a) To provide PhD students with the opportunity to engage in innovation and knowledge exchange activity across the institution.
- b) To embed PhD students within a Department, through the provision of teaching opportunities and by promoting their research within the Departmental community.
- c) To actively promote opportunities for undergraduate students to continue their student journey at Falmouth.

5) Enhance our REF performance

- a) To utilise innovation and knowledge exchange activity to enhance the impact of research outputs at Falmouth University.
- b) **To seek opportunities to commercialise Falmouth's research activity.**
- c) To maintain an awareness of the latest research within your area of innovation and knowledge exchange practice.

Mr Steven Hill
Director of Research
Research England
Nicholson House
Lime Kiln Close
Stoke Gifford
BRISTOL
BS34 8SR

5 September 2019

Dear Steven,

Following your correspondence dated the 16th August 2019, I am writing to confirm that staff agreement has been obtained for the processes outlined in Falmouth's Code of Practice on the Selection of Staff for the Research Excellence Framework 2021.

All academic staff were invited to review the proposals outlined in Falmouth's draft Code of Practice during a four week period of consultation. This included liaison with the Chair of the Equality and Diversity Group, the Chair of the Inclusive Practice and Experience Reference Group (IPER) and the regional representative of the University and College Union (UCU). Feedback from the consultation was considered before the final draft Code of Practice was approved by the Vice Chancellors Executive Group in June 2019 before the submission deadline.

If you have any further questions concerning this matter then please do not hesitate to contact our Director of Research, Professor David Prior.

Yours sincerely



Professor Anne Carlisle OBE
Vice-Chancellor