Nottingham Trent University

Research Excellence Framework 2029 (REF 2029) Code of Practice

1. Introduction

1. How your CoP supports the principles of:

Robustness

About the volume measure

The volume measure is used to determine the size of each institution's REF submission, ensuring that it is proportionate to its research capacity. In a continuation from REF 2021, the volume measure will be informed by academic staff considered to have significant responsibility for research (SRR) and research-only staff considered to have independent research (IR) status. Staff with SRR are those for whom explicit time and resources are made available to engage actively in independent research, and that is an expectation of the job role. IR status is assessed against set criteria provided by the national REF Team.

Data on SRR and IR will be gathered annually and reported through the Higher Education Statistics Agency (HESA) Staff record, starting from the pilot year of 2024/25. The volume measure will be calculated using the percentage of a full-time equivalent (FTE) of contracts identified as having SRR and IR status in the HESA return. Volume contributing contracts (those with SRR and IR status) across academic years 2025-26 and 2026-27 will be averaged to calculate the REF 2029 volume measure. The volume measure will be applied at the level of individual unit of assessment (UoA) and determine how many outputs and impact case studies each UoA is required to submit. A fictional worked example is provided below. In this instance, the volume measure is 14 FTE.

REF UoA – C15 Archaeology	**2025/6 HESA return**	**2026/7 HESA return**	**Average volume contributing contracts**
SRR staff	10 FTE	12 FTE	11 FTE
IR staff	2 FTE	4 FTE	3 FTE
Combined volume	12 FTE	16 FTE	14 FTE

Identifying those with Significant Responsibility for Research (SRR)

Since 2018, the University has recognised three career pathways for all academic colleagues - Teaching and Practice (T&P), Teaching and Research (T&R) and Teaching and Scholarship (T&S). These different pathways, which were developed independently to the REF, reflect the varied and valued contribution made by all academics to support delivery of the University's strategic ambitions and help to increase the profile and standing of teaching, practice, research and scholarship activity. They were consulted and agreed upon with the University and College Union (UCU), who, through a branch vote, formally accepted the framework in June 2018. Irrespective of pathway, all academic colleagues hold the same contract.

The pathways enable the University to be open and transparent about the expectations of different academic roles at NTU. They carry parity of esteem, provide equal opportunities for recognition and progression and contain the ability for movement between them. They are underpinned by appropriate professional development support, internal communities and networking opportunities, reward and recognition mechanisms, and effective processes for recruitment, promotion and appraisal.

The Academic Career Pathway (ACP) process will be used to determine staff with SRR in REF 2029. This approach has been developed in consultation with staff within the NTU branch of UCU. Staff on the T&R pathway are those which will be considered to have significant responsibility for research. This does not imply that those on the T&P and T&S pathways do not undertake any research – fluidity across pathways gives evidence to this – but only those on the T&R pathway have significant expectations to undertake research. All those on T&R have been assigned a workload allowance for research that provides them with dedicated time to engage actively in independent research. Research is a clear expectation of their job role, and this is reflected in their annual objective setting and appraisal. The criteria for each pathway relating to Lecturer, Senior Lecturer, Associate Professor and Professor are detailed in Appendix A. While all Principal Lecturers are placed on a pathway, separate criteria have not been created for this role due to its management function. For the purposes of expectations on research, the criteria for Senior Lecturers apply. Many senior staff, such as Executive Deans, Deputy Deans and members of the University Executive Team do not have a pathway designation; however, for any that are classed as academic staff in the HESA return, are on the T&R pathway and have appraisal objectives covering their own research, they will be included as having significant responsibility for research.

Identifying those with independent research status

All staff holding research-only contracts are eligible to contribute to the volume measure but only those identified as having IR status will contribute to it. The process for identifying IR status is set out in more detail in Part 3 of this Code of Practice. The University will identify IR status through assessing all eligible (research-only) contracts to determine if the staff member undertakes self-directed research, rather than primarily carrying out another individual's research programme. Staff typically exhibiting IR status are those who:

- act as lead applicant on (successful) externally funded research projects.
- hold an independently won, competitively awarded fellowship requiring research independence. (an indicative list of fellowship requiring research independence is available on the REF website).
- lead a research group or a substantial/specialised work package.
- have research independence as an inherent expectation of a contract.

for UoAs 13-34 (at NTU, this is all UoAs except A03 (Allied Health), A04 (Psychology), B11 (Computer Science) and B12 (Engineering) this may also include:

  - being named as a co-applicant on (successful) externally funded research grants/awards.
  - having significant input into the design, conduct and interpretation of the research.

The above criteria, including those applicable only to UoAs 13-34, align with those provided by the national REF Team.

Transparency

The below table sets out which groups and individuals are responsible and accountable for the Code of Practice, and which are to be consulted and kept informed. Appendix H sets out research governance structures at NTU, including how the REF Planning Group and Unit of Assessment Coordinators and Coordination Groups fit within these.

Table 1: NTU REF Code of Practice RACI (Responsible, Accountable, Consulted, Informed) Table

Responsible	**Accountable**
• Head of Research Policy and Governance	• The University REF Planning Group (Chair, Pro Vice-Chancellor – Research and International) • The University Executive Team (Chair – Vice-Chancellor)
Consulted	**Informed**
• All academic and research-only staff • The NTU branch of the University and College Union • School Research & Innovation Committees • Academic Board • Research-focused directorates	• NTU Board of Governors • General Public (the Code of Practice will be published on NTU's website post-approval)

Feedback on the draft Code of Practice was solicited and various opportunities presented to staff to provide input prior to submission of the draft Code of Practice to the funding bodies for approval. These feedback channels are outlined below.

- Management representatives, including the Pro Vice-Chancellor – Research and International (PVC R&I), engaged with Trade Union representatives on the development of the draft Code of Practice, and continue to utilise the formal University and College Union (UCU) Joint Consultation Committee meeting structures at regular intervals;
- The draft Code of Practice was presented by the PVC R&I at the University's Academic Board, where views were solicited;
- School Associate Deans for Research were invited to discuss the development of the draft Code of Practice at School Research & Innovation Committee meetings;
- The draft Code of Practice was promoted through a live 'Research Town Hall' webinar, during which time the PVC R&I highlighted the Code of Practice consultation and opportunity was provided for questions from participants;
- Relevant staff groups and networks had the opportunity to provide feedback on the Code of Practice;
- The NTU Newsroom and Research Newsletter were used to communicate the draft Code of Practice;
- During the development of NTU's Code of Practice, the draft version was published internally via a dedicated Code of Practice SharePoint site. This platform also provides a mechanism for supporting information to best support staff;
- Details of the consultation on the draft Code of Practice, and how to access it, were sent by post to any staff identified as working outside the University, or who were absent from the University for a lengthy period of time and for any reason, where email contact was known to be a problem.
- Feedback obtained from each of these channels was used to inform the continued development of the Code of Practice in readiness for formal submission to Research England.

• Following approval, the Code of Practice will be made publicly available on the NTU website and promoted to all NTU staff via the NTU Newsroom and researchers specifically via the Research Newsletter. Staff requiring accessible or alternative formats will be able to request this on a case-by-case basis. Details of the final Code of Practice, and how to access it, will be sent to any staff identified as working outside the University, or who are absent from the University for a lengthy period of time and for any reason, where email contact was known to be a problem.

Equity and inclusion

Equality Impact Assessments

To ensure equity and inclusion in NTU's submission to REF 2029, equality impact assessments (EIAs) will be undertaken on the following processes:

- Identifying contracts with SRR
- Identifying R-only staff with IR status
- Appeals mechanisms for identifying contracts with SRR and R-only staff with IR status
- Selection of outputs

An equality analysis will also be conducted on the following process:

- Allocating eligible contracts to UoAs

Where EIAs evidence any systemic inequalities, steps will be taken to address these. It should be noted that patterns from assessments may emerge in some areas sooner than others; for example, outputs will not be selected until later in the REF 2029 period.

Equality and Diversity at NTU is supported through institutional Equality, Diversity and Inclusion (EDI) policies, promoted and secured as part of NTU's expectation of its employees through mandatory equalities training, and embedded within NTU's employment framework of policies, practices and procedures. See 2. Contextualisation within Institutional Policies for more details.

Identifying Staff with SRR

The Academic Career Pathways (ACP) process, used to identify staff with SRR, has equality and inclusion at its core. The ACP reflects the University's strategy and commitment to outstanding teaching, scholarship, internationally significant research and professional practice. The overarching vision is for all colleagues: to recognise where they fit within NTU's structures and career pathways; be clear about the expectations of their current job and the support available to help them deliver their role effectively; and understand the opportunities for progression and associated development which may enable them to fulfil their career ambitions.

Teaching and Research Pathway

The breadth and depth of indicators used to evidence alignment with the T&R pathway (See Appendix A) reflects the University's commitment to recognising and rewarding the diversity of contributions to research and the research process. It is not expected that each 'non-core indicator' will always be relevant to each colleague on the T&R pathway, and guidance issued to all academic colleagues makes clear that the indicators 'neither necessarily cover every aspect of what a specific individual may be undertaking nor prevent them performing a task outside of the relevant pathway.' Non-core indicators include, but are not limited to,

active roles in learned societies, organisation of national or international conferences and some peer review activities. It is important that colleagues view them in the round rather than on a strict item by item basis.

Expectations of all staff on the T&R pathway cover broad areas of teaching, learning and research; collegiality, collaboration and leadership; disciplinary expertise, output and impact; external esteem and credibility, and sustaining research income generation. Expectations are appropriate for career level and metrics are not used as a primary mechanism to assess performance in relation to output quality, in line with the University's commitment through the Coalition for Advancing Research Assessment.

Outputs

In relation to outputs, NTU has a longstanding output review process underpinned by qualitative assessment. Outputs of any format can be assessed through this process, and NTU is committed to submitting the highest quality of outputs identified through this inclusive process, irrespective of format of publication. As such, the University anticipates including, as a minimum, journal articles, books, book chapters and multiple component outputs (MCOs) in its submission to REF 2029.

Individuals supporting the output review process are asked to endorse a statement setting out institutional expectations of reviewers. The statement also sets out how assessments they provide will be used by the University and requests reviewers to view a three-minute video on unconscious bias produced by the Royal Society.

2. Contextualisation within Institutional Policies:

REF Planning Group

The REF Planning Group has overall responsibility for the development of the University's REF submission. Membership and Terms of Reference of the Group is contained in Appendix B. As an entity, the Group will not have a direct role in the identification of staff with significant responsibility for research (SRR) or research independence (RI), though members of the Group will, either as individuals or as smaller panels. The Group will review the developing submission and have final sign-off.

No detriment

The University will adopt a 'no detriment' position in relation to staff contribution to the REF, be that through contribution to the volume measure, authorship of submitted outputs, developing impact case studies or some other means. This is taken to mean that no member of staff will be advantaged or disadvantaged based on contribution or absence of contribution to REF 2029, nor will those who do contribute be advantaged or disadvantaged based on REF 2029 outcomes, rating, or performance. Assessment and evaluation of staff will continue to be through existing internal processes independent of the REF.

EDI and PCE Policies

As noted previously, Equality, Diversity and Inclusion (EDI) at NTU is supported through institutional EDI policies, promoted and secured as part of NTU's expectation of staff through mandatory equalities training, and embedded within NTU's employment framework of policies, practices and procedures. Appendix C provides further detail on related EDI policies and procedures at NTU.

EDI is included in the University's Essential Learning requirements, which comprises compulsory training for staff at NTU. The following modules all contain some focus on EDI and relate to the expected and promoted values and behaviours at NTU.

- Anti-racism and white privilege
- Introduction to EDI
- Prevent
- Preventing sexual harassment
- Student safeguarding
- Unconscious bias

Essential Learning provides a baseline to facilitate better understanding and more effective working amongst staff. Essential Learning is supplemented by additional training specific to different roles. For example, NTU offers a training resource for researchers in Science, Technology, Engineering, Mathematics and Medicine (STEMM) subjects to drive a positive change in culture and practices in equality, diversity and inclusion in these disciplinary areas.

Support for fixed-term, part-time and contract research staff

As a point of principle, NTU makes no distinction between staff holding permanent and full-time positions and those in part-time or fixed-term roles in relation to support and opportunities it makes available to staff. Allowances are made for colleagues working part-time, such as pro rata reduction in responsibilities and adjustment of expectations. Regarding training, NTU has adopted a whole-person approach, offering flexible, tailored training to meet diverse needs of researchers at all career stages, including part-time, fixed-term and contract researchers. As a long-standing supporter of the Concordat for the Career Development of Researchers (see page 8 for details) the University has taken numerous steps to improve the situation for fixed-term staff, including improving job security for researchers, for example through more effective redeployment processes and greater use of open-ended contracts.

The following initiatives have been taken to facilitate the development of a more equal, diverse and inclusive research culture and environment for the betterment of all those who are part of or engage with it.

REF 2029 and use of Artificial Intelligence

Artificial Intelligence (AI) is a rapidly developing area, with policies and processes constantly being created and updated to keep pace with AI capacity and capability. AI can provide legitimate benefit to the University's operations by facilitating greater creativity and productivity, provided it is used appropriately and with human checks and balances, and this is no different for REF preparations. Given this, AI may be used at any stage of REF preparations, including for drafting and refining purposes and configuration of submissions. It may be used in a supplementary capacity but not as a primary means of development. Any use of AI will be in alignment with the University's AI guidance and policy, including the use of Copilot instead of ChatGPT to make use of the specific data security agreement NTU has in place with Microsoft. In all instances, REF preparations will be led and overseen by humans, who will retain overall responsibility and accountability for the submissions.

Athena Swan Charter

Institutional Award: In 2025 NTU secured an institutional Silver Award, having held a Bronze Award since 2018. The Silver Award is underpinned by an extensive action plan, with a number of actions that build on NTU's continued support to forge greater equality in the field of research. These include increased funding support for women to access and attend leadership programmes, development of NTU's Women in the Academy network, and the NTU Support of Academic Returners (SOAR) Scheme that provides funding for academic colleagues returning from caring leave (e.g. maternity/shared parental leave) to advance

research, teaching, or scholarly activities supporting career development. Additionally, action set out under the University Award also commits to embedding Athena Swan principles of gender equality across Professional Services and achievement of local Professional Service directorate level Awards over the lifecycle of the Silver Award.

NTU has also secured the following local Awards in this REF period and thus now holds local Awards across every School:

NOTTINGHAM TRENT UNIVERSITY	**SILVER**	**November 2025**
School	**Award Level**	**Date**
School of Animal, Rural & Environmental Sciences	Bronze	August 2024
School of Architecture, Design & Built Environment	Bronze	October 2022
Nottingham Business School	Bronze	January 2025
Nottingham Law School	Bronze	September 2023
Nottingham School of Art & Design	Bronze	November 2022
School of Science & Technology*		
Biosciences	Bronze	July 2026
Engineering	Bronze	August 2025
Chemistry & Forensics	Bronze	June 2025
Computer Science	Bronze	January 2026
Physics and Mathematics	Bronze	July 2026
Sport Science	Bronze Bronze	October 2020 September 2024
School of Social Sciences*		
School of Arts & Humanities **	Silver	July 2023
Criminology & Criminal Justice	Bronze	May 2025
Psychology	Bronze Silver	April 2019 July 2024

* Large Schools: Unit submissions at department level
** School of Arts & Humanities is now part of School of Social Sciences

Of note:
Psychology: The Department of Psychology in the School of Social Sciences (aligned with REF UoA A04); Silver Award 2024. As part of the action plan underpinning the application, the Department is implementing a new structure of EDI governance for the current academic year onwards, constituting a departmental EDI committee to be supported by their School EDI Partner.

School of Animal, Rural and Environmental Sciences: The School of Animal, Rural and Environmental Sciences (aligned with REF UoA C14); Bronze Award 2024. In the action plan included in the submission, the School committed to supporting research staff development through the provision of workshops and mentoring, and to improving gender balance within the Teaching and Research pathway and for senior level research staff.

Nottingham Business School: Nottingham Business School (aligned with REF UoA C17); Bronze Award early 2025. Priorities set out in the action plan include creation of a Women in Research Network, improving female representation amongst the professoriate and across undergraduate and postgraduate taught programmes as well as increasing engagement in the strategic decision making in the School.

Race Equality Charter

NTU received the Race Equality Charter Bronze Award in 2022. Since then the University has implemented related action plans and established a Race Equality Charter Self-Assessment Team (RECSAT), who act as an advisory board and hold the University accountable for actions taken as part of its commitments under the Charter.

Stonewall (LGBTQ+)

NTU is committed to being a progressive, inclusive and diverse employer and is proud to support and promote LGBTQ+ inclusion at the University. Resources are provided to staff through the NTU Inclusive Community/LGBTQ+ site to help increase personal knowledge and understanding of LGBTQ+ inclusion issues, challenge unacceptable behaviours wherever they surface, and actively and openly support LGBT+ people and events.

Disability confident employer

NTU is a 'Disability Confident Employer' under the government's Disability Confident employer scheme. The University provides a bank of resources (NTU login required to access) to help better support staff identifying as disabled, including information on reasonable adjustments, upcoming disability awareness events for staff and managers, as well as access guides to NTU buildings and the NTU EnAble Programme.

Concordat to Support the Career Development of Researchers

NTU has implemented the Concordat to Support the Career Development of Researchers and secured and retained the European HR Excellence in Research Award since 2013, in recognition of its commitment to enhancing working conditions and careers for research staff. NTU's commitment to researcher support is further exemplified with the appointment of NTU's Pro Vice-Chancellor, Research and International as Chair of the national Researcher Development Concordat Strategy Group. A full list of action plans and outcomes covering the period 2013-2026 is available on NTU's website.

Technicians' Commitment

NTU is a signatory of the Technician Commitment, pledging action against the key challenges impacting on technical staff and coalescing around four key areas of visibility, recognition, career development and sustainability. A new 36-month action plan has been created covering 2024-27 focusing on, amongst other things, establishing and communicating a clear technical structure linked to a comprehensive career development pathway and promoting and supporting professional registration.

Staff Appraisals and Individual Research Plans

The appraisal process conversations are one of the most significant and important mechanisms to identify staff development needs and career aspirations that support both personal and organisational strategic goals. The University's robust and comprehensive approach to staff appraisal have ensured consistently high completion rates, improving from 98.5% in 2019 to 99.5% in 2024. All staff have access to the individual research plan (refreshed in 2024) to support alignment with University research themes and for use in the annual appraisal process and informing mentoring objectives.

Research Assessment Policies

The primary mechanism through which NTU assesses research outputs is through a qualitative process underpinned by peer review. Whilst this process has been in place since the previous REF period, it was formally codified in 2021 in the form of the Principles and

Processes for the Assessment of Research Outputs and updated in September 2025 following internal consultation. It coalesces around five principles of discipline-informed assessment, equity, inclusivity, relevance and transparency. Metrics may only be used in a supplementary fashion and in line with NTU's Responsible Metrics Statement. This qualitative-based approach to research assessment accords with that advocated by the Coalition on Advancing Research Assessment, of which NTU became a member in 2023. An institutional action plan has been created to ensure the University is fully aligned with the Agreement's ten core commitments.

Research Culture and Environment and the University's Strategic Plan

Valuing Ideas is the research-focused theme of the University's Strategic Plan. One of the three workstreams under Valuing Ideas is Research Culture and Environment. This workstream is overseen by a Research Culture and Environment Team, headed by the Director of Research Culture and Environment, which has responsibility for developing NTU's portfolio of activities under the workstream. Highlights of activities that have occurred under the workstreams remit include:

- **The Collaboratory Research Hub (Collab).** This pioneering, collaborative 8 year, £7.4m project launched in 2022 is supported by Research England, and brings together researchers, community-focused organisations, and citizens as a coalition for change. Cited as a case study in the East Midlands Combined County Authority Inclusive Growth Report, Collab aims to rebuild norms of reciprocity and across the East Midlands region by reconnecting citizens to the research mission of local universities through a programme which is delivering meaningful change for the people of local communities. Collaboratory comprises both PhD candidates and Research Placement candidates from local communities, supporting them to become future leaders in community engaged research.

- **Equity in Doctoral Education through Partnership and Innovation (EDEPI).** EDEPI is one of 13 Research England and Office for Students funded programmes, created to tackle persistent inequalities that create barriers to access and participation in doctoral education for racially minoritised groups. The project has contributed to transformation in sector practice in outreach, recruitment, admissions, and research culture to address the underrepresentation of racially minoritised groups in doctoral education. Through partnerships with NHS trusts, it created new pathways including pre-application workshops, asynchronous modules, and a part-time doctoral route, meeting its target of recruiting 48 racially minoritised candidates. It developed and piloted a sector-facing Competency-Based Admissions Framework, engaging 24 institutions through a Community of Practice and national dissemination events. The project also enhanced doctoral transition and culture by delivering the GRIT Breakthrough programme, equity-focused staff development, and inclusive supervision resources, with evidence of improved confidence, belonging, and progression among participants. Its strong partnerships with organisations such as the Royal College of Nursing, Advance HE, GRIT, and the UK Council for Graduate Education (UKCGE) ensure a lasting sector legacy.

- **National Coordinating Centre for Public Engagement (NCCPE) Engage Watermark:** The Engage Watermark is the NCCPE charter mark for universities in recognition of their outstanding strategic support for, and commitment to improving, public engagement. It is a national award that indicates that engagement runs through the fabric of an institution. The application process follows a rigorous assessment leading to a report which provides a synthesis of evidence collected and core recommendations. The resulting action plan is also assessed, enabling institutions to progress in the following years. In October 2025, NTU were invited to take part in the programme, with outcomes announced in Summer 2026.

- **Open Research**: A programme of activities aligned with University's commitment as set out in the NTU Open Research Position Statement, including Open Research Awards and Open Research Weeks to better support, recognise and reward Open Research practices.

- **Training:** NTU has adopted a whole-person approach, offering flexible, tailored training to meet diverse needs of researchers at all career stages, including part-time, international, and under-represented groups, equipping them with skills for personal and career growth in academia and beyond, which is delivered through: a time-optimised training model: balances accessibility, engagement, and depth by combining 75% short-form online workshops and seminars (e.g. 'Researcher Project Management' Series, 'PGR Toolkit' Series, 'Open Research Week') with 25% cohort-based, long-form programmes (e.g. VC Future Research Leaders programme, UKCGE Supervisor Recognition Scheme); training repositories: edited videos and adjunct resources are available for one year after most training to enable access for part-time and neurodivergent researchers; PGR core training: Doctoral Education Training and Development annual programme covers project approval, developing your writing, research methods and analysis, publication and impact, researcher identity development, and submission and defence; supervisor training: Supervisor Education and Development Programme is an annual programme of workshops that explores aspects of supervision pedagogies and practice (evidence item 5.10); aligned with current research and UKCGE's good supervision practice framework; includes cohort-based support for emerging and experienced supervisors to apply to the UK Council on Graduate Education for recognition of their supervisory practice (pilot group has comprised: 20 awards to date).

Update on Actions Since REF 2021:

The post-REF 2021 submission EIA found that 'across the three core characteristics, gender, ethnicity and disability that there have been significant positive increases in the headcount of these groups who were in scope. Despite these positive advancements however, women in particular, and those with a declared disability, and in terms of ethnicity those colleagues who identify as Black, remain proportionally underrepresented within the return when compared to NTU's academic community's demographic profile. NTU will continue to maintain a strong focus on how to increase, and support colleagues from these particular equality groups to pursue or advance their career pathway into research.'

Since the submission to REF 2021, the following steps have been taken to enhance representation and advancement across all characteristics. These cover a broad range of characteristics but have a particular focus on gender, ethnicity and disability. These are in addition to actions linked to the initiatives detailed in Section 2.Contextualisation within Institutional Policies.

Research Leadership: NTU's College for Leadership Engagement and Research nurtures the next generation of research leaders. Its flagship programme, Vice-Chancellor's Future Research Leaders, is a 12-month cohort-based programme (48 participants since 2021). It has achieved a balance in gender over four cohorts, with 35% of participation from racialised groups, and resulted in a 35% promotion success rate upon completion since 2021.

Research Accelerator Programme: The Programme delivered five major strands of training between September 2023 - January 2025, including building partnerships and

networks and developing consortia for funding proposals, over two years. It achieved gender distribution of 47% female, and 38% racialised groups.

Aurora and Women in Academia: NTU has invested in the Aurora development programme to support female career advancement. Aurora has supported 146 women since 2016-17, with the most recent impact survey showing that 40% of participants had been promoted since attending the programme, with 10% stating they had taken a sideways move or changed departments, and 17% have shifted their career in a different direction.

Tailored ECR support: Ten professional and personal development sessions focused on career progression and developing academic practice; designed to complement Researcher Induction; supported by a virtual Postdoc and ECR professional and personal growth training hub.

Support for early-career women in research: 'Daring to Dare' is a programme that comprises five online workshops and accountability groups focusing on themed discussions, reflection, and peer support.

Changes to Pathway Criteria: To address inequalities in promotions to professor/associate professor (since 2020-21 47% of successful applicants were women and 14% from racialised groups) the criteria for all three academic pathways have been rewritten to recognise a diversity of experiences, skills, competencies and outputs. For the Teaching and Research Pathway, criteria were revised to include 'all publications and equivalent outputs, including highly regarded and influential subject-relevant outputs e.g. films, exhibitions, cultural productions, curated collections, textbooks, government/industry/professional reports, policy documents, responses to consultation papers.' The criteria also recognise broader cultural and environmental contributions through 'advocacy for inclusivity and diversity' and 'successful delivery of opportunities for others in ways that benefit institutional practice and colleagues' development.' No reference is made to use of research metrics, some of which can have hidden biases leading to skewed outcomes.

Part 2: Identifying Staff Contracts with Significant Responsibility for Research (SRR)

1. Policies and Procedures:

Criteria for SRR

Since 2018, the University has recognised three career pathways for all academic colleagues - Teaching and Practice (T&P), Teaching and Research (T&R) and Teaching and Scholarship (T&S). The different pathways reflect the varied and valued contribution made by all academics to support delivery of the University's strategic ambitions and help to increase the profile and standing of teaching, practice, research and scholarship activity. The pathways enable the University to be open and transparent about the expectations of different academic jobs at NTU. They carry parity of esteem, provide equal opportunities for recognition and progression, and contain the ability for movement between them. The pathways are underpinned by appropriate professional development support, internal

communities and networking opportunities, reward and recognition mechanisms, and effective processes for recruitment, promotion and appraisal.

Academic staff are not confined to a single pathway, and each year staff will have opportunity to move between the three pathways. Since the 2020-21 academic year and up to and including the 2024-25 academic year, 43 people have moved onto the T&R pathway and 79 people from it. The distribution of employees across the pathways varies by departments and schools, reflecting what is appropriate for subject disciplines and taking into account the differentiated skills required to deliver both School and strategic objectives. The overall profile is determined by the Executive Dean in consultation and discussion with their school executive.

Staff on the T&R pathway are deemed to have SRR. The expectations for T&R pathway staff are set out in Appendix A and are proportionate to each career stage of Lecturer, Senior Lecturer, Associate Professor and Professor. All staff on the T&R pathway, irrespective of level of seniority, are expected to:

- Establish and develop a personal research portfolio, including activities leading to external esteem and reputation enhancement.
- Bid for and secure external research income.
- Engage in supervisory activities of postgraduate research students.
- Produce research outputs of internationally excellent quality.
- Build internal and external research networks and engage in collaborative research.

More senior roles, namely those at Associate Professor and Professor level are expected to:

- Contribute to active management of the research culture and environment.
- Participate in and lead research-focused committees and other units of operation.
- Co-ordinate research activities and support the career development of others.
- Develop research impact.
- Undertake an active role in learned societies, professional bodies, or significant national organisations.

The balance of activities may vary by role and across time, but in all cases, progress will be monitored through the annual appraisal cycle.

All those on T&R have been assigned a workload allowance for research that provides them with dedicated time to engage actively in independent research and deliver on the expectations made of them.

Decision-Making and Communication:

The Academic Career Pathway Framework has been developed in consultation with staff groups. The University and College Union accepted the Framework through a formal vote in June 2018. The Framework was used to identify staff with SRR in REF 2021, and its use for the same purpose in REF 2029 was again discussed with the UCU. The full development timeline, including discussion and consultation with all University staff, is included in Appendix D.

Each member of academic staff will be recruited onto a specific pathway. Staff have the option to transfer across pathways through the annual appraisal cycle and wherever there is evidence to support a transfer. The process for transferring between pathways is set out below in Table 2. For each year of the REF 2029 cycle, up to and including 2024/25, there have been transfers onto and from the T&R pathway.

Table 2: Process for transferring across Academic Career Pathways

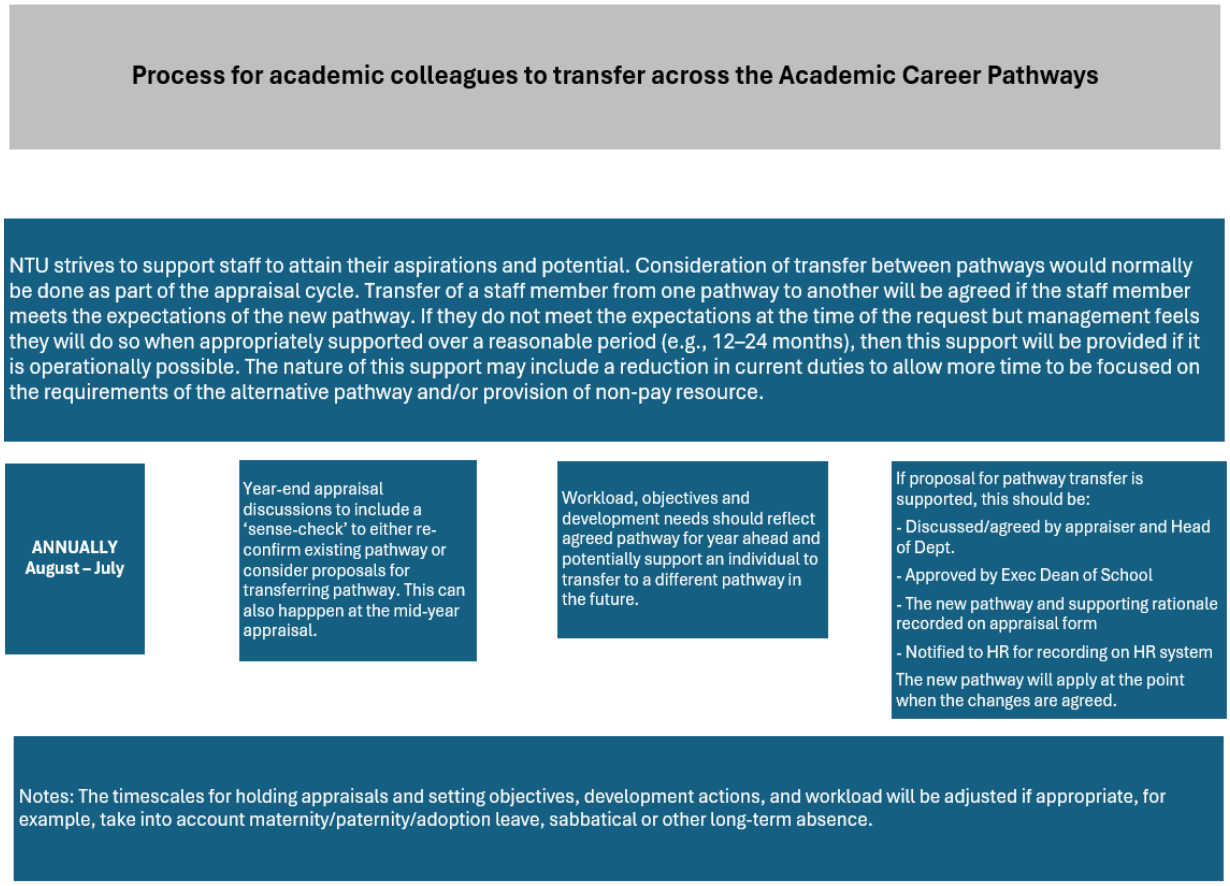


Table 2: Transcription

Process for academic colleagues to transfer across the Academic Career Pathways

NTU strives to support staff to attain their aspirations and potential. Consideration of transfer between pathways would normally be done as part of the appraisal cycle. Transfer of a staff member from one pathway to another will be agreed if the staff member meets the expectations of the new pathway. If they do not meet the expectations at the time of the request but management feels they will do so when appropriately supported over a reasonable period (e.g., 12–24 months), then this support will be provided if it is operationally possible. The nature of this support may include a reduction in current duties to allow more time to be focused on the requirements of the alternative pathway and/or provision of non-pay resource.

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Year-end appraisal discussions to include a 'sense-check' to either re-confirm existing pathway or consider proposals for transferring pathway. This can also happen at the mid-year appraisal.

Workload, objectives and development needs should reflect agreed pathway for year ahead and potentially support an individual to transfer to a different pathway in the future.

If proposal for pathway transfer is supported, this should be:

- Discussed/agreed by appraiser and Head of Dept.
- Approved by Exec Dean of School.
- The new pathway and supporting rationale recorded on appraisal form.
- Notified to HR for recording on HR system.

The new pathway will apply at the point when the changes are agreed.

Notes: The timescales for holding appraisals and setting objectives, development actions, and workload will be adjusted if appropriate, for example, take into account maternity/paternity/adoption leave, sabbatical or other long-term absence.

Multiple Processes (if applicable)

The same process is used for each UoA.

2. Staff, Committees, and Training:

Roles and Responsibilities

The following have roles and responsibilities in relation to the process relating to the transference of staff across Academic Career Pathways, specifically those wishing to transfer onto the T&R pathway. It should be noted that all academic roles are recruited onto a specific pathway, with the specific pathway determined by the requirements of the hiring department and in consultation with the relevant Executive Dean.

Member of academic staff making the request to transfer pathway: It is the responsibility of the member of academic staff making the transfer request to provide justification for it and set out evidence that the expectations of the pathway to which they wish to transfer can be met.

Line manager of member of academic staff making the request to transfer pathway: The line manager will consider the request and take a view on whether the member of staff making the request is currently meeting or has potential to meet the expectations of the new pathway.

Human Resources Department: Will advise on the process and provide relevant information to support its implementation and note decisions on the HR system.

Head of Department: The Head of Department will be part of the decision-making group on whether to accept requests to transfer onto the T&R pathway in their department.

Associate Dean for Research: The Associate Dean for Research will be part of the decision-making group on whether to accept requests to transfer onto the T&R pathway in their school.

Executive Dean: The Executive Dean will be part of the decision-making group on whether to accept requests to transfer onto the T&R pathway in their school.

Training

In addition to the mandatory training detailed in Part 1 Section 2, all members of staff chairing interview panels are required to undergo additional training to help ensure a fair and robust recruitment and interview process. Those involved with the decision-making process on staff requesting to change pathways will likely have received this training.

All members of staff with a leadership role in relation to REF 2029 – including the REF Planning Group and Unit of Assessment Coordinators – will receive additional EDI training situated within the REF context. This will be delivered by NTU's Research Strategy and Operations Department and developed in consultation with NTU's EDI Team.

3. Appeals:

Designed into the Academic Career Pathway Framework and embedded within the appraisal process are opportunities for review. This embedded process – set out in more detail above - enables staff who wish to be assigned to a different pathway the opportunity to request re-

alignment. In particular, in the context of the REF, staff not assigned to the T&R pathway and thus not identified as having SRR, may request a pathway transfer. Requests for reconsideration are made at the time of annual appraisals and can also be made during interim six-month reviews. This structured approach provides regular and multiple opportunities across the period covered by this Code of Practice for staff to have their pathway reviewed.

4. Equality Impact Assessment (EIA):

EIA Integration

An Equality Impact Assessment (EIA) is a tool that assists in integration of equality, diversity and inclusivity into policies, processes and procedures. An EIA provides an opportunity to further promote equality and help identify, avoid and remove negative or adverse impacts on people based on protected characteristics.

The process used for the identification of SRR - the Academic Career Pathway Process – is a continuation from REF 2021. The EIA from REF 2021 is included as Appendix E and steps taken to address findings from this are detailed earlier on in this Code of Practice. The EIA for REF 2029 represents an assessment of the Academic Career Pathway Process as it is in 2025 and will be updated throughout the remainder of this REF period. As it has been in place for the entirety of this REF 2029 period, it is possible to track outcomes going back to 202-21. The EIA will be included as an Appendix to this Code of Practice post submission to the REF 2029 exercise. Furthermore, because the Academic Career Pathway Process is a live, institutional process being used for the REF rather than created for the REF, descriptors and expectations at differing grades, as well as outcomes are monitored on a regular basis and steps taken to address challenges wherever they are found. These have been set out earlier in this Code of Practice.

The expectations for Professors and Associate Professors across all of the pathways were reviewed and updated in September 2024. For the T&R pathway, this process was led by the Pro Vice-Chancellor – Research and International and saw the involvement of a broad range of professorial and associate professorial colleagues on the T&R pathway. The principal changes resulting from this review coalesced around making the criteria more inclusive, including broadening out the definitions of research-related activity to ensure colleagues could claim credit for these as well as expanding definitions of types of research outputs to make clear that all output types underpinned by a process of research are included and recognised.

The REF 2029 EIA on SRR, including data up to the end of 2024, found that the Teaching and Research pathway included an overrepresentation of staff from a racialised minority (3.8%), a slight underrepresentation of staff declaring a disability (-1.8) and a persistent although reducing underrepresentation of women (-10.6%). The persistent issue from REF 2021 is the underrepresentation of women on the T&R pathway in comparison to the University's academic profile more generally. The underrepresentation is reducing slightly, and while the number of transfers onto the T&R pathway has been almost even for the last four years (18 men and 20 women) and the transfers off the pathway over the same period being greater for men (32) than women (26), the impact of recent changes to the pathway criteria will be monitored in relation to promotion applications and pathway change requests and outcomes from 2026 and subsequent years.

An EIA for the appeals mechanisms for identifying contracts with SRR and R-only staff with IR status will be included as an Appendix in this Code of Practice post submission to REF 2029.

Part 3: Determining Research Independence

1. Policies and Procedures:

Criteria and Evidence

Research only contracts are held by members of staff employed solely for the purpose of undertaking research. Examples of these roles include Research Assistants and Research Fellows. Staff with research only contracts are considered to demonstrate independent research (IR) status if they undertake self-directed research, rather than primarily carrying out another individual's research programme. Those with IR status will contribute to the volume measure in the same way that those with SRR will (see Part 2).

NTU will use criteria aligned to those provided by the national REF Team to assess staff for RI. These criteria are listed below.

For all staff holding research only contracts:

- act as lead applicant on (successful) externally funded research projects.
- hold an independently won, competitively awarded fellowship requiring research independence. (the national REF Team have provided an indicative list of eligible fellowships).
- lead a research group or a substantial/specialised work package.
- where research independence is an inherent expectation of a contract.

For UoAs 13-34 (at NTU, this is all UoAs except A03 (Allied Health Professions, Dentistry, Nursing and Pharmacy), A04 (Psychology, Psychiatry and Neuroscience), B11 (Computer Science) and B12 (Engineering) this may also include:

- being named as a co-applicant on a (successful) externally funded research grant/award.
- having significant input into the design, conduct and interpretation of the research.

Each indicator may not individually demonstrate independence and where appropriate multiple factors will be considered, though not all indicators need to be met in order for RI to be demonstrated. Furthermore:

1. Being named on research outputs alone does not necessarily qualify for demonstrating IR status.

2. IR status will be considered to be persistent and only in exceptional circumstances will it be removed, for example, the ending of an independent fellowship, and the individual then moving onto a research only contract working on a programme of research where someone else is PI.

3. Research assistants/associates – primarily employed to support another individuals' research rather than pursuing independent research – would not be considered to meet the definition of IR except in exceptional circumstances.

4. The 'no detriment' policy noted in Part 1 Section 2 of this Code of Practice makes clear that the presence or absence of IR status will not lead to any advantage or disadvantage. IR

is identified solely for the purpose of reflecting an accurate volume measure for use in REF 2029.

Decision-Making and Communication: Note that members of staff being assessed will include those holding both fixed-term and permanent contracts.

Assessment panels

A small panel of leaders from each of NTU's Academic Schools will be convened to make the initial IR decisions on staff holding research only contracts in their School. Decisions will be made on an annual basis and in line with the timeline noted below. Each panel will be made up of a minimum of three people and include the School Associate Dean for Research, Unit of Assessment Coordinator(s) based in the School, and one other research leader to be selected by the Associate Dean for Research. Diversity of the panel will be considered and, as a minimum, both male and female staff should be represented, while the characteristics and career stage of members could also be considered.

Assessment process

Staff from Research Strategy and Operations will make an initial assessment of each member of staff based on centrally held information. Assessment Panels will be asked to review these initial assessments and make adjustments based on information known or held at School level. A brief rationale will be provided for any adjustments made. In the initial assessments provided by staff in Research Strategy and Operations, UoA affiliation information will also be provided, and this will be based on best fit, which will take into account the School and Department in which the member of staff is based, UoAs in which their outputs may have been reviewed and the UoA affiliation of their line manager. Schools will also have the option to make adjustments to staff UoA affiliation, providing brief rationale wherever this occurs.

Communication and appeals

Staff will be informed of the outcome of the assessment via email or, for those absent from the University for a lengthy period of time, the most appropriate form of communication will be used. The option and process to appeal the decision will be included in the communication to staff who have been assessed. See Section 3 below for more details on the appeals process.

Indicative annual timeline for determining Research Independence

- July – Assessment of IR by School-based panels, in advance of the HESA staff census date of 31 July each year.
- August to early September - Staff holding research only contracts to be written to and informed of the decision by each panel. The option and process for submitting an appeal will also be highlighted.
- By late September – Appeals to have been heard and outcomes relayed to appellants.
- Late September to early October – HR to be informed of all staff, including their UoA assessment alignment, contributing to the volume measure – those with SRR and IR. This information will be included in the HESA staff return made by HR.

The process will be repeated annually at the same time of year. Only those who have not previously been assessed or those who have had their status changed following the completion of the assessment will be written to. This is to reduce burden across the

exercise. Colleagues on research-only contracts will be able to request the outcome of assessment for them and submit an appeal where they feel the outcome is incorrect. The timescale is subject to change based on external and internal deadlines and requirements.

2. Staff, Committees, and Training

As noted above, assessment panels will operate at School level and be composed of the following:

- School Associate Dean for Research (Chair)
- Unit of Assessment Coordinator(s) based in the School
- One other research-focused member of staff in the School without REF leadership responsibilities (additional members of staff may be added as appropriate for the volume and breadth of members of staff being assessed).

Diversity of panel membership will be considered and, as a minimum, both male and female staff should be represented.

Roles and Responsibilities

Assessment Panels

Assessment Panels will have decision-making responsibilities. They will be asked to evaluate research only members of staff against criteria provided by the national REF Team to determine the presence of IR status. They will also confirm UoA affiliation.

Appeals Panels

Appeals Panels will have decision-making responsibilities. They will be asked to evaluate any appeals received against decisions made by Assessment Panels.

Research Strategy and Operations

Staff in the Research Strategy and Operations Department will have advisory and support responsibilities. They will have responsibility for making suggestions on initial decisions and allocations based on centrally held information and managing and overseeing the process.

Human Resources

Human Resources will have support responsibilities, in particular through the provision of data which will inform the decision-making process.

Training:

Training will be the same as detailed in Part 3 Section 2.

3. Appeals:

Appeals can only be made on the basis of the application of the criteria rather than the criteria themselves. Any appeals submitted will be assessed by a sub-panel of REF Planning Group members who were not involved in the initial assessment process. Staff will be informed of the outcome of the appeal. For unsuccessful appeals, there will be no further option for appeal, though a further assessment will be made the following year. In future assessments, only staff not previously assessed and those who have had a change to their status will be written to. All other staff can request information relayed about them in the staff HESA return and challenge this where they feel it includes any inaccuracies, particularly in relation to IR status. For the 2025/26 academic year, all staff will be written to, irrespective of whether or not they were assessed in the 2024/25 pilot year and the outcome of that assessment. It should be noted that being assessed as not having IR status does not preclude contribution to REF 2029 in the form of outputs or impact case studies.

Appeals panels will compose of the following members, with individual representation differing based on the School affiliation of the appellant. Members of appeals panels will always be different to those who made the initial decision.

- School Associate Dean for Research from a different school to the appellant (Chair)
- Academic member of the REF Planning Group
- Professional Services member of the REF Planning Group

Diversity of panel membership will be considered and, as a minimum, both male and female staff will ordinarily be represented while the characteristics and career stage of panel members could also be considered.

4. Equality Impact Assessment (EIA):

EIA Integration

Equality considerations were not part of the development process for the criteria because these were provided by the national REF Team.

Equality considerations formed part of the process for determining RI, in particular:

The composition of Assessment Panels. While proportionality was an important consideration in the number of members required for each panel, as a minimum, both male and female staff will be required to be represented while the characteristics and career stage of panel members could also be considered.

1. Both professional services staff (Research Strategy and Operations), and academic colleagues (through the panels) contribute to the assessment process, ensuring that multiple perspectives are included in the decision-making process.
2. The appeals process allows all staff assessed to challenge decisions made.
3. The inclusion of a no detriment policy is intended to reduce any anxiety about being 'in the REF.'

Data, findings, and actions taken

An assessment of the overall demographic profile of the research only staff base will be completed using HR data and reported where the numbers are of sufficient size to allow for this. The same assessment will then be completed based on the staff identified as having IR status. A comparison will then be undertaken between the two – based primarily on gender, race and disability – though the anticipated small *n* for the staff with IR could it difficult to complete and draw any generalisable conclusions. The EIA will be included as an Appendix to the Code of Practice post submission to REF2029, and appropriate steps will be taken based on any findings in the EIA.

Part 4: Allocating Contracts to UoAs

(Required for all participating institutions)

1. Policies and Procedures:

Criteria and Evidence: Clearly outline criteria and evidence used to allocate contracts to UoAs

Eligible contracts will be assigned to UoAs based on best fit with UoA descriptors. This fit will be determined through a combination of:

- the internal UoAs in which each individual holding an eligible contract has had their research reviewed, and;
- the academic school or department in which they are based

In many instances, there is a close correlation between academic school or department and UoA to which staff holding eligible contracts are allocated. The guide available in Appendix G, produced by NTU's Research Strategy and Operations, maps departments with UoAs to aid with this process. Where staff holding eligible contracts have not had any outputs assessed, which is more the case with some research-only contract staff, in particular those without research independence status, the guide will be used in conjunction with the UoA affiliation of their line manager to help determine UoA allocation.

Decision-Making and Communication: Describe the process, roles, and timelines.

The process to align eligible contracts with UoAs is described below.

Step 1: Staff in Research Strategy and Operations will align all SRR and research-only staff to one of the 13 UoAs to which a submission is being prepared. This alignment will be based on 'best fit' of the individual staff member, considering the department in which they are based, the UoA in which their research has been (predominantly) reviewed and alignment with UoA descriptors and, where applicable, the UoA with which their line manager is aligned (applicable only to some research-only staff).

Step 2: Staff in Research Strategy and Operations will then share the alignments with School Associate Deans for Research (ADRs), who will be asked to consider among themselves and with Unit of Assessment Coordinators (drawing in other research leaders as required) and return the agreed list to Research Strategy and Operations.

Step 3: Where agreement cannot be reached i.e. multiple claims are made over the same individual, the Pro Vice-Chancellor – Research and International, will adjudicate. The criteria to be used to facilitate adjudication will be relevance to UoA and reflection of NTU's research activities and priorities. Staff in Research Strategy and Operations will provide further information to support the process as needed.

Step 4: The final alignment will be shared with NTU's Human Resources for inclusion in NTU's annual staff return to HESA and reflected on the Worktribe Research Information System (for REF preparatory purposes) by staff in Research Strategy and Operations.

The above process will take place annually in line with preparations for the University's HESA staff return and will be applied to each member of staff not previously aligned with a UoA i.e. those staff who have arrived during the year being assessed or did not previously have an eligible contract.

2. Staff, Committees, and Training:

- *If this section is the same as Part 2, please just refer to the earlier text.*
- **Roles and Responsibilities:** Define roles and responsibilities of individuals and committees, distinguishing between advisory and decision-making roles.

Staff in Research Strategy and Operations: Will have responsibility for making the initial alignment of eligible contracts and UoAs based on the criteria noted above, providing information to the Pro Vice-Chancellor – Research and International where agreement cannot be reached and relaying UoA alignment of those with eligible contracts to Human Resources .

School Associate Deans for Research, UoA Coordinators and other research leaders: Will have responsibility for reviewing the initial allocations made by Research Strategy and Operations and proposing changes.

Pro Vice-Chancellor – Research and International: Will have responsibility for adjudicating on any disagreements.

Staff in Human Resources: Will have responsibility for submitting NTU's HESA staff return showing alignment to UoA of those with eligible contracts.

Training: Detail training provided.

In addition to the mandatory training detailed in Part 1 Section 2, all members of staff with a leadership role in relation to REF 2029 – including the REF Planning Group and Unit of Assessment Coordinators – will receive additional EDI training situated within the REF context. This will be delivered by NTU's Research Strategy and Operations Department with input from the University's EDI Team.

3. Equality Impact Assessment (EIA):

EIA Integration:

An initial equality impact assessment (EIA) will be undertaken on the allocation of eligible contracts to UoAs after the 2024/5 HESA staff return has been made. The 2024/5 return represents a pilot year for REF information to be used to calculate the volume measure and, as such, a post-submission assessment will allow for any key learnings to be identified and actions taken based on these, should any be required, before the 2025/6 submission. The EIA will consider equality impacts of the process for allocating contracts to UoAs and specifically reflect on the fairness and inclusivity of the process employed. The EIA for allocating contracts to UoAs will be included as an Appendix to this Code of Practice post submission to REF 2029.

Part 5: Selecting outputs

Policies and procedures for identifying substantive link to outputs

A substantive link describes the relationship between NTU and research, submitted in the form of an output. The University can submit outputs which it has enabled during this REF period, demonstrated through a substantive link. In line with REF 2029 requirements, a substantive link must be evidenced through an eligible employment relationship with an author (or equivalent) who has made a significant research contribution to the output. The University will demonstrate a substantive link through the following mechanism:

Contract. On the date when the first version of the output came into the public domain and one or more of the authors were employed at NTU on an eligible contract, this will be taken as evidence of a substantial connection. It is anticipated that the majority of outputs submitted to REF 2029 will evidence a substantive link through the contractual route.

Research enabling indicators. These will be applied to any outputs selected which were authored by former members of staff but published within the time limited period specified in REF 2029 guidance. This will be two years for the majority of outputs and five years for long-form and extended process outputs. The intention is to allow NTU to submit outputs which it has enabled during the research and/or writing-up process, but which were published after the author ceased to be employed by the University. A non-exhaustive list of indicators is included below:

- evidence of internal research support (for example, allocation of time to undertake the research or write-up the findings, funding for research materials, technical or research support, conference attendance).
- evidence of work in progress presentations (internally and externally).
- evidence of an external grant to support a relevant programme of research.

Additional rules apply to longform and/or extended process outputs. Where a researcher is employed on a contract that constitutes an eligible employment relationship at NTU at the point the REF submission is made, long-form and/or extended process outputs published before this contract commenced will be eligible for submission if:

- they were first made publicly available during the REF period (January 2021 to December 2028) **and**
- the staff member's eligible employment relationship with NTU commenced within 5 years of the output first being made publicly available.

- **Policies and procedures for selecting outputs where the substantive link is via former staff**

  Any outputs selected for submission where the substantive link is via former staff will be assessed through the same process as for current staff. This ensures equality of information in the output selection process. This applies both to former staff who were employed at the University at the time the first version of the output was brought into the public domain and those who had left before this point, but where a substantive link can be evidenced through one or more of the research-enabling indicators detailed above. Any outputs produced by former staff and assessed through internal procedures will be considered on an equal footing to those authored by current staff. Although the circumstances of departure are not always known to those making output sections, the University will not knowingly submit outputs authored by staff made compulsorily redundant.

- **Policies and procedures for selecting outputs authored during an excluded contract**

  Outputs authored by individuals while on an excluded contract may be eligible for submission if the individual subsequently moved to an eligible contract during the REF period, subject to the following conditions:

  - the contracts were both held at the same institution and meet the definition of continuous employment (as defined by Section 210 of the Employment Rights Act 1996 (ERA 1996))
  - all other eligibility criteria for an eligible employment relationship are met within the REF period (1 January 2021 to 31 December 2028)

  The primary mechanism for assessing research outputs at NTU is through the institutional *Principles and Processes for the Assessment of Research Outputs* (see further down this Code of Practice for more details). This ongoing, qualitative process is agnostic to the contractual status of NTU authors, meaning all outputs assessed

passed through the same process. Consequently, selection considerations for any eligible outputs authored during an excluded contract will be the same as for all other eligible outputs and based principally on information generated through the qualitative research assessment process.

- **Policies and procedures for allocating/assigning outputs to UoAs**

  Outputs will be assigned to UoAs based on best fit with UoA descriptors. In the majority of instances, it is anticipated there will be a relationship between author and output UoA affiliation. The University operates an internal cross-referral process to allow outputs initially sent to one UoA (based on author affiliation) to be referred to another where assessment in the initial UoA suggests closer alignment with another UoA or where there would be value in gaining the views of assessors in an additional panel. In such instances, outputs will then be sent by staff in Research Strategy and Operations for assessment by the second UoA and the assessment outcomes will then be recorded on the institutional research information management system. In this way, outputs authored by authors primarily affiliated with one UoA through volume measure can be assessed in other UoAs, mirroring to some extent the processes employed by national REF sub-panels.

- **Procedures for supporting diversity of outputs**

  The internal output review process is agnostic to output publication form or venue. The only requirement (for current members of staff) is that the output is uploaded to the institutional research information management system (Worktribe). All outputs uploaded will be sent to at least one UoA to be considered for review, with the option to cross-refer to other UoAs (described above) where appropriate. This process allows for all outputs produced by researchers to be considered within the review process.

  Additional measures have been put in place to ensure that UoAs where portfolio or creative outputs are produced are properly supported. This currently applies exclusively to UoA D32 - Art and Design: History, Practice and Theory where multiple component outputs (MCOs) are in development. Staff engaged in practice-based research are identified and supported in the iterative development of MCOs in one-to-one meetings with the D32 REF UoA Coordinator. A template has been provided to support the development of comprehensive and consistent MCOs. The development and review of MCOs is an iterative process. Draft MCOs are internally peer reviewed periodically, with feedback provided on the development of further components and the compilation and presentation of the MCO. Individual components may go through internal peer review where appropriate. External peer review may be used to calibrate internal peer review as the MCOs near completion.

- **Procedures for ensuring submissions are representative of the research undertaken within the submitting unit during the REF period**

  In addition to ensuring that the highest quality outputs are submitted, the University must also ensure that submissions are representative of the research undertaken by each submitting UoA during the REF period.

  To support representation of research areas and research groups in output submissions, all UoA submissions are required to represent the subject range and diversity of research activities undertaken and outputs produced during the REF 2029 cycle, as described in the outline of research activity within the submitting unit, and to discuss this within the statement of representation included as part of the Strategy, People and Research Environment submission element. Furthermore, the expectation is that no more than five outputs are associated with a single substantive link (author) within a submission at UoA level. There is no minimum submission requirement placed on authors.

  Representative submissions will be achieved through the following mechanisms:

- Each UoA will identify its principal areas of research activity. This will be achieved through use of research structures that are most relevant to each UoA. This autonomy is important because the size, shape and operation of each UoA will differ, making it inappropriate to impose a standardised approach across all UoAs. Information on the scope of the research activity in each submitting UoA will be relayed in the Statement of Representation in the Strategy, People and Research Environment submission element.
- Each output that is under consideration for submission will then be aligned with one or more of the structures to be used by each UoA.
- In selecting outputs, UoAs will need to ensure that each principal area of research activity is represented. Owing to structural changes over this REF cycle, including levels of activity and volume associated with each area of research activity, as well as overlap between these areas, the only minimum requirement will be for at least one output associated with each area of research activity to be included. In practice, the expectation that each area will be represented by multiple outputs in most cases.
- **Policies and procedures for responsible research assessment practice.**

  The primary mechanism for assessing research outputs at NTU is through the institutional *Principles and Processes for the Assessment of Research Outputs,* which is included as Appendix F. Qualitative peer review is the foundation on which output review at NTU is based. This aligns with a core principle of the Coalition for Advancing Research Assessment, of which NTU is a member and an early signatory to the Coalition's Agreement on Reforming Research Assessment. The *Principles and Processes for the Assessment of Research Outputs,* formally operationalised in 2021, has undergone a review in Spring/Summer 2025. This has been undertaken with the communities being evaluated to ensure appropriateness, buy-in and awareness. This aligns with the SCOPE Framework for Research Evaluation's principle of 'evaluating with the evaluated'.

  NTU's review process is guided by the following five principles:

- **Discipline-informed assessment**: The content of an output will be used to determine its quality and peer review will be the primary route to assess quality.
- **Equity**: Outputs in all subject areas will be assessed against a given set of criteria.
- **Inclusivity**: All types of research-related outputs, e.g. journal articles, books, book chapters, reports, installations, and exhibitions will be assessed on an equal basis to ensure a parity of esteem.
- **Relevance**: In subject areas where they are widely used and understood, research metrics may be used to supplement expert assessment of research outputs, in line with NTU's Responsible Metrics Statement.
- **Transparency**: Assessment criteria and potential uses of output rating data will be made available to all members of staff.

  While the process is based on internal assessment, where each output is typically reviewed by two assessors and then again as part of a panel-led moderation process, a selection of outputs are sent for external assessment. These are typically where internal assessment has indicated a score at a boundary that saw notable attrition between predicted and actual outcomes in REF 2021, as well as any outputs for which an agreed score has been hard to reach through internal assessment, with external review required for additional perspective. External assessors are selected for their discipline expertise and recognised experience as reviewers. All external assessors are required to endorse a statement of expectations to indicate their adherence to fair and proper assessment of published research outputs and engage with a short training resource on unconscious bias.

- **Procedures for outputs in British Sign Language**

  Any outputs produced in British Sign Language (BSL) will not be treated any less favourably in the output review and selection process. Where any outputs in BSL are considered through the output review process, appropriate mechanisms will be implemented to ensure that an equitable review can be completed, including the translation of such outputs into written English or assessment by internal or external reviewers with relevant expertise.

An equality analysis will be undertaken on the outputs selected for inclusion and included in the Appendix of this Code of Practice post submission to REF 2029.

Part 6: Appendices

Appendix A

Academic Career Pathway Criteria at Lecturer, Senior Lecturer, Associate Professor and Professor level

1. Teaching and Research Pathway Professor Bands 2024/25

NTU rationale for and commitment to Professor Teaching and Research

The Teaching and Research career pathway makes a valuable contribution to the University and carries parity of esteem with the pathways for Teaching and Scholarship and Teaching and Practice.

Every pathway carries an expectation that all academic colleagues are involved in the provision of high-quality teaching and in enhancing student learning opportunities and outcomes.

The role of a Professor on the Teaching and Research pathway is to provide strategic leadership for research across NTU and externally. In applying for Professor, colleagues will demonstrate that they already have influence and impact, and that they have a plan to develop further once they are a professor.

Bands

The criteria are threshold standards and there is an expectation of development while in a Professorial role, beyond meeting these threshold standards.

It is recognised that research and leadership take many different forms and Professorial careers may be highly specialised and distinct from each other. However, Professors at NTU are also expected to have a well-rounded professional profile and be active across all five research categories.

Band A

This is the normal entry level for newly appointed Professors. Band A Professors will be able to evidence sustained impact at national level in their areas of strength. They will be known for their expertise at institutional and national level. Some Band A Professors may have an emerging international reputation already.

Significant development and sustained performance within Band A may be sufficient to progress to Band B, where a strong international profile which enhances NTU's reputation is established. However, it is not a *requirement* that Band A Professors progress to Band B.

- It is a requirement that Band A Professorial appointees on this pathway must hold **Fellowship of Advance HE**.

- Professors on this pathway must meet the **Core** criteria for all five Categories. They must also meet the Band A criteria for **Strength** in three of the five Categories. Strength is related to the breadth, leadership, scale, reach or significance of the activity.

Band A applicants must refer to the full application requirements before making their case.

Band B

Band B Professors will be able to demonstrate a sustained and extensive international profile, such that the prestige of NTU is enhanced. This profile will be characterised by international recognition for the quality and impact of research, sustained external support for research activity and impact of outputs.

- Professors on this pathway must meet the **Core** criteria for all five Categories. They must also meet the Band B criteria for **Strength** in three of the five Categories. Strength is related to the breadth, leadership, scale, reach or significance of the activity.

Categories of evidence for research and threshold standards

Research is multifaceted and the descriptors below represent one way of categorising what is a broad range of activities. Recognising the diversity of professorial careers, it should be noted the category descriptors below are indicative, rather than exhaustive. Other, equivalent evidence may be used.

Category	Core	Band A Research Strength	Band B Research Strength
1: Teaching and learning 'Teaching' is also assumed to include facilitation of learning, and assessment. Teaching is defined as teaching students who are enrolled on courses at the University. It includes supervision of postgraduate research students. It also includes creation of a high-quality environment for learning. Appointees from outside of academia will need to show commitment to achieving these criteria in an agreed timeframe.	Evidence of sustained high levels of student satisfaction and outcomes. These might be evidenced through quantitative measures, such as B3 metrics, as well as qualitative measures, such as independent peer feedback in External Examiner or external reviewer reports. Sustained, contribution to the relevant subject discipline as a teacher, tutor and facilitator of student learning, including: • Designing and delivering sustained excellence in research-informed teaching that creates a stimulating environment for student learning and improves the student experience.	Evidence of impact on student outcomes. This may be reflective of context for example, where teaching happens in a more challenging context (such as subjects that are perceived to be more difficult or less popular, or where students have lower entry grades, or are from backgrounds of low participation in higher education). • Evidence of positive engagement and outcome of peer observation and peer review. • Evidence of external use of open educational resources developed by the applicant. Presentation at teaching showcases at national events, or for podcasts for national bodies, or to contribute teaching toolkits, chapters or articles to national collections, professional periodicals, or books (e.g., for AdvanceHE or Times Higher).	Evidence of positive engagement and outcome of peer observation and peer review which has improved teaching quality of self or colleagues. Evidence of substantial uptake and use of educational resources developed by the applicant by multiple external institutions. Presentation at teaching showcases at international events, or for international bodies, contribution of teaching toolkits, chapters or articles to international collections.
Category	**Core**	**Band A Research Strength**	**Band B Research Strength**

2: Collegiality, collaboration and leadership All professorial appointments are expected to be visible contributors to the leadership and management of their discipline.	Responsible financial management of research awards. Effective management and supervision of research staff, technicians or specialist practitioners. Contributing to the leadership of successful activity of a research group or centre. Provision of leadership and active management of aspects of the relevant research environment. Contributing to the successful activity of a university-wide research theme or initiative. Leading and managing strategic collaborations with overseas partners. Successful supervision of PhD researchers to completion. Successful delivery of opportunities for others in ways that benefit institutional practice and colleagues' development.	Evidence of a sustained contribution to shaping and influencing research related strategy. This may be within a single University, and the sector/discipline (or both). Leadership of collaborative research activity with external institutions. Sustained recognition for contribution to academic strategy within the discipline and/or University. Contribution and delivery of staff development activities for research and/or research training for staff and graduate students (DTPs, DTCs etc.). Successful contribution to internal advisory panels and review groups. Sustained contribution to a REF unit of assessment or impact assessment group. Sustained contribution to University research related committee in a named role i.e. Chair, Vice Chair, etc.	Evidence of exceptional contribution to the implementation of research strategy within the University, which has resulted in demonstrable, measurable enhancements in research quality and volume through sustained leadership. Initiating and delivering new strategic collaborations with overseas partners. Significant contribution to international research programmes involving multiple partners. Sustained and successful leadership of a research centre with a significant external profile. Successful development and leadership of new externally funded post-graduate research programmes. Development and delivery of a new research centre, theme, or crosscutting initiative for the benefit of the University. Evidence of developing the capacity and capability of staff, including midcareer research staff to secure a high level of performance.

	Demonstration of own professional development which supports effective research development. Advocacy for inclusivity and diversity demonstrating a commitment to promoting equitable practices and creating inclusive environments that cater to diverse stakeholders and communities.		Sustained contribution to national/international external research related committees.
Category	**Core**	**Band A Research Strength**	**Band B Research Strength**
3: Disciplinary expertise, outputs and impact Outputs include all publications and equivalent outputs (e.g. a monograph – which may have a double weighting, an exhibition/installation). Recognising the diversity of professorial careers, it should be noted that the balance of outputs and impact will differ for individuals. Category descriptors are indicative, rather than exhaustive. Applicants	**A combination of…** At least three original, peer-reviewed outputs over the most recent six-year rolling period equivalent to at least REF 3* quality. • Outputs may include highly regarded and influential subject-relevant outputs e.g. films, exhibitions, cultural productions, curated collections, textbooks, government/industry/professional reports, policy documents, responses to consultation papers. **… and/or**	**A combination of …** At least two original, peer-reviewed outputs over the most recent six-year rolling period equivalent to REF 4* quality. • Outputs may include highly regarded and influential subject relevant outputs e.g. films, exhibitions, cultural productions, curated collections, textbooks, government/industry/professional reports, policy documents, responses to consultation papers. **… and/or**	**A combination of …** At least three original, peer-reviewed outputs over the most recent six-year rolling period equivalent to REF 4* quality. • Outputs may include highly regarded and influential subject relevant outputs e.g. films, exhibitions, cultural productions, curated collections, textbooks, government/industry/professional reports, policy documents, responses to consultation papers. **… and/or**

may include other, equivalent evidence. Professorial appointments are expected to have sustained evidence of active delivery of innovation and impact beyond academic discipline. The nature of the impact will be aligned to the discipline.	Undertake academic and research activity which creates a demonstrable impact on wider society. Examples include research which leads to influence on decision making in industrial, government or third-sector organisations.	Undertake sustained, nationally leading academic and research activity which creates a demonstrable impact on wider society. Examples include research which leads to: • IP creation • spin-out company formation Significant influence on decision making in industrial, government or third-sector organisations Undertake the development of research and associated impact internally assessed to be of sufficient quality for submission as a case study in the current REF cycle.	Undertake academic and research activity which creates a demonstrable impact internationally. Examples include research which leads to: • IP creation generating significant income for the university • Sustained successful performance of a spin-out company • Repeated leadership of decision making in industrial, government or third-sector organisations Successful leadership of research and associated impact internally assessed to be of internationally excellent for submission as a case study in the current REF cycle.
Category	**Core**	**Band A Research Strength**	**Band B Research Strength**
4: External Esteem and Credibility Professorial appointments are expected to have sustained evidence of	Evidence of growing trajectory of external esteem as an expert in the chosen discipline. Invitation to present research results through appropriate high-profile	Membership of significant national organisations, charitable bodies, expert committees etc.	Recognised expertise called upon to advise agenda-setting international bodies, or at the inter-government level.

active participation in activities to enhance the profile/reputation/esteem of both themselves and the University.	national/international conferences and workshops. Sustained high-profile peer review activities for funding bodies. Initiating and leading new collaboration in research & innovation initiatives with other HEIs and relevant bodies. Maintaining significant relationships with industry and other end users of research.	Active role in learned societies, professional bodies or comparable organisations. Advising and providing expert opinion and advice to industry, government or third-sector bodies. Leadership of the organisation of international conferences or workshops. Editorship of internationally eminent journals. Membership of peer review college or panel membership of national funding bodies.	Membership of national decision-making bodies e.g. main or sub REF panel. Membership of major/prestigious international bodies. Receiving prizes, awards of distinction and/or recognition from major societies and international bodies for contribution to world-class research. Chairing independent national-level reviews and enquiries. Election to chair of major international academic institutions or chairing the leading world conference for the discipline. Receiving International visiting/honorary professorships or receiving funding to host international visiting/honorary professorships at NTU.
Category	**Core**	**Band A Research Strength**	**Band B Research Strength**
5: Sustaining research: Income Generation. Professorial appointments are expected to have	Sustained and growing external research income to support the delivery of internationally recognised research activity which may support a range of colleagues in a collaborative	In the most recent six-year rolling period, research income should be 1.75 times the annual level commensurate with discipline norms (as defined by mean income per FTE	In the most recent six-year rolling period, research income should be 2.25 times the annual level commensurate with discipline norms (as defined by mean income per FTE

sustained evidence of income generation supporting research and innovation. For internal appointments, the value of award to NTU excluding partner costs should be reported (available via Worktribe). For external appointments, the value of awards to the host institution should be considered.	team. Research income may be as a PI or co-I but should show a growing trajectory of income and responsibility for leadership by the appointee. In the most recent six-year rolling period, research income should be 1.25 times the annual level commensurate with discipline norms (as defined by mean income per FTE for most relevant unit of assessment in most recent REF assessment see Appendix A). Total research income from various sources can be combined. Research income is that defined by HESA and excludes "research related" income e.g. income to support postgraduate education programmes such as DTCs, DTPs etc (these may be used as evidence in section Collegiality, collaboration and leadership). Secure funding from a range of external sources for PhD student study within own research group. Membership of funded collaborative research projects with other HE institutions.	for most relevant unit of assessment in most recent REF assessment see Appendix A). Total research income from various sources can be combined. Research income is that defined by HESA and excludes "research related" income e.g. income to support postgraduate education programmes such as DTCs, DTPs etc. Sustained contract, consultancy or CPD research which delivers income to support research activity at the University. Contribution to coordination of externally funded collaborative research projects with other HE institutions nationally or internationally.	for most relevant unit of assessment in most recent REF assessment see Appendix A). Total research income from various sources can be combined. Research income is that defined by HESA and excludes "research related" income e.g. income to support postgraduate education programmes such as DTCs, DTPs etc. Sustained and substantial contract, consultancy or CPD research which delivers income to support research activity at the University. Play a major role in the philanthropic strategy to the University. Leading coordination of major externally funded collaborative research projects with other HE institutions nationally or internationally.

2. Associate Professor Performance Criteria – Teaching and Research 2024/25

Overview

The Teaching and Research career pathway makes a valuable contribution to the University and carries parity of esteem with the pathways for Teaching and Scholarship and Teaching and Practice.

The main focus of an Associate Professor in Teaching and Research is to make a significant contribution to, the design, delivery and dissemination of high-quality research, with additional contribution to high quality teaching, assessment and management activities within their host School. This additional contribution will be at a level proportionate to their role, and other activities being undertaken.

At NTU Associate Professors in Teaching and Research will have a national, and emerging international, reputation for their clear and sustained contribution to teaching and research. Illustrative examples of activities that would demonstrate performance at this level are detailed below, but do not indicate an expectation that an Associate Professor would undertake all examples provided at any one time.
(Note: There is no weighting applied to the separate categories of activity.)

The criteria are threshold standards and there is an expectation of development while in a Associate Professor role, beyond meeting these threshold standards.

It is recognised that research and leadership take many different forms and careers may be highly specialised and distinct from each other. However, Associate Professors at NTU are also expected to have a well-rounded profile and be active across all five categories.

Associate Professors on this pathway must meet the **Core** criteria for all five Categories. They must also meet the **Strength** in three of the five Categories.

In this case, Strength is related to the breadth, leadership, scale, reach or significance of the activity.

Categories of evidence for research and threshold standards

Research is multifaceted and the descriptors below represent one way of categorising what is a broad range of activities. Recognising the diversity of professorial careers, it should be noted the category descriptors below are indicative, rather than exhaustive. Other, equivalent evidence may be used.

Category	Core	Research Strength
1: Teaching and learning 'Teaching' is also assumed to include facilitation of learning, and assessment. Teaching is defined as teaching students who are enrolled on courses at the University. It includes supervision of postgraduate research students. It also includes creation of a high-quality environment for learning. Appointees from outside of academia will need to show commitment to achieving these criteria in an agreed timeframe.	Evidence of sustained high levels of student satisfaction and outcomes. These might be evidenced through quantitative measures, such as B3 metrics, as well as qualitative measures, such as independent peer feedback in External Examiner or external reviewer reports. Sustained, contribution to the relevant subject discipline as a teacher, tutor and facilitator of student learning, including: Designing and delivering sustained excellence in research-informed teaching that creates a stimulating environment for student learning and improves the student experience. Possession of Higher Education Academy Fellowship professional recognition	Evidence of impact on student outcomes. This may be reflective of context for example, where teaching happens in a more challenging context (such as subjects that are perceived to be more difficult or less popular, or where students have lower entry grades, or are from backgrounds of low participation in higher education). • Evidence of positive engagement and outcome of peer observation and peer review. • Evidence of external use of open educational resources developed by the applicant. Presentation at teaching showcases at national events, or for podcasts for national bodies, or to contribute teaching toolkits, chapters or articles to national collections, professional periodicals, or books (e.g., for AdvanceHE or Times Higher).

2: Collegiality, collaboration and leadership All appointments are expected to be visible contributors to their discipline.	Undertake an appropriate level of academic leadership, management, and administration. Examples of relevant activity include: Management and supervision of research students, research staff and research focussed lecturing staff. Where relevant, maintain oversight and active management of aspects of the relevant research environment within the discipline area. Financial management of personal grants. Sustained contribution to relevant School's committees for teaching and / or research. Contributing to the membership of a successful research group or centre. Successful supervision of PhD researchers to completion. Demonstration of own professional development which supports effective research development. Advocacy for inclusivity and diversity demonstrating a commitment to promoting equitable practices and creating inclusive environments that cater to diverse stakeholders and communities.	Evidence of a sustained contribution to shaping and influencing research-related strategy. This may be within a single University, and the sector/discipline (or both). Successful delivery of opportunities for others in ways that benefit institutional practice and colleagues' development. Contributing to the successful activity of a university-wide research theme or initiative. Membership of collaborative research activity with external institutions. Engagement with delivery of staff development activities for research and/or research training for staff and graduate students. Sustained contribution to University research related committee. Effective management and supervision of research staff, technicians or specialist practitioners. Design and delivery of activities which support student / staff research activities. Contributing towards the delivery of Doctoral School activities.

		Co-ordinating research activities, for example, co-ordinating a seminar series for a subject group / research group / School. Supporting the career development of colleagues through personal mentoring and supervision of research staff and other early career researchers. Contributing to the delivery of the School Research Plan, through research activities.
3: Disciplinary expertise, outputs and impact	**A combination of**	**A combination of**
Category	**Core**	**Research Strength**
Outputs include all publications and equivalent outputs (e.g. a monograph – which may have a double weighting, an exhibition/installation). Recognising the diversity of academic careers, it should be noted the that a balance of outputs and impact will differ for individuals. Category descriptors are indicative, rather than exhaustive. Applicants may include other, equivalent evidence.	Active participation in activities to enhance the profile/reputation/esteem of both themselves and the University. Build academic capacity via supervision of research students consistent with national discipline norms, and with completion rates above the HEFCE average research degree qualification rate. Examples of research impact could include supporting or contributing towards a REF impact case study or in the exploitation or adoption of research findings, perhaps developed on a contact or collaborative basis, by entities external to NTU for commercial, policy etc purposes.	At least three original, peer-reviewed outputs over the most recent six-year rolling period equivalent of at least REF 3* quality. • Outputs may include highly regarded and influential subject-relevant outputs e.g. films, exhibitions, cultural productions, curated collections, textbooks, government/industry/professional reports, policy documents, responses to consultation papers. **… and/or** Undertake sustained, nationally leading academic and research activity which creates a demonstrable impact on wider society. Examples include research which leads to:

Appointments are expected to have sustained evidence of active delivery of innovation and impact beyond academic discipline. The nature of the impact will be aligned to the discipline	At least two original, peer-reviewed outputs over the most recent six-year rolling period equivalent to at least REF 3* quality. • Outputs may include highly regarded and influential subject-relevant outputs e.g. films, exhibitions, cultural productions, curated collections, textbooks, government/industry/professional reports, policy documents, responses to consultation papers. **… and/or** Undertake academic and research activity which creates a demonstrable impact on wider society. Examples include research which leads to influence on decision-making in industrial, government or third-sector organisations.	• IP creation • spin-out company formation • Significant influence on decision-making in industrial, government or third-sector organisations Undertake the development of research and associated impact internally assessed to be of sufficient quality for submission as a case study in the current REF cycle.
4: External Esteem and Credibility Appointments are expected to have sustained evidence of active participation in activities to enhance the profile/reputation/esteem of both themselves and the University.	Evidence of growing trajectory of external esteem as an expert in the chosen discipline. Invitation to present research results through appropriate high-profile national/international conferences and workshops. Hold a national, with emerging international reputation, with contribution to key discipline, and / or multi-disciplinary networks.	Membership of significant national organisations, charitable bodies, expert committees etc. Active role in learned societies, professional bodies or comparable organisations. Sustained high-profile peer review activities for funding bodies. Relevant peer review activities e.g. external examining of research degrees, editorial review panel membership.

	Also provide evidence of a role in developing relationships and collaborations with external bodies, for example: Collaboration in research initiatives with other HEIs and relevant bodies. Membership of national organisations, charitable bodies, expert committees etc. Active role in learned societies or professional bodies or comparable organisations. Undertaking contract and collaborative research with, and for, external partners.	Maintaining significant relationships with industry and other end users of research. Involvement in the organising of a national / international level conferences / symposia / workshops.
5: Sustaining research: Income Generation. Appointments are expected to have sustained evidence of income generation supporting research and innovation. For internal appointments, the value of award to NTU excluding partner costs should be reported (available via Worktribe). For external appointments, the value of awards to the host institution should be reported.	Sustained external research income to support the delivery of research activity which may support a range of colleagues in a collaborative team. Research income may be as a PI or co-I but should show a growing trajectory of income and responsibility by the appointee. In the most recent four-year rolling period, research income should be at least equal to the combined annual level commensurate with discipline norms (as defined by mean income per FTE for most relevant unit of assessment in most recent REF assessment see Appendix A). Total research income from various sources can be combined. Research	Sustained research income from a range of sources that supports a growing research group. Sustained contract, consultancy or CPD research which delivers income to support research activity at the University. Contribution to coordination of externally funded collaborative research projects with other HE institutions nationally or internationally.

	income is that defined by HESA and excludes "research related" income e.g. income to support postgraduate education programmes such as DTCs, DTPs etc (these may be used as evidence in section Collegiality, collaboration and leadership). Secure funding from a range of external sources for PhD student study within own research group. Membership of funded collaborative research projects with other HE institutions.	

3. Lecturer and Senior Lecturer indicative activity examples

TEACHING AND PRACTICE

Lecturer

Indicative examples of activities that a Lecturer typically would undertake are provided below. This does not mean that an individual will necessarily meet all the measures set out at any given time.

Teaching, Learning and Assessment

Make an appropriate level of contribution to the University and relevant subject discipline(s) as a teacher, tutor, assessor and facilitator of undergraduate, postgraduate and other emerging strands of student learning (e.g. apprenticeships) and student experience. In so doing, deliver NTU's expectations of high quality evidence-based and inclusive teaching as defined in the Quality Handbook and other relevant documentation, guided by constructive reflection and development of personal practice and taking into account student feedback, course data, observation, peer review etc.

Lecturers will be involved with the delivery and on occasion leadership of modules, applying appropriate approaches to teaching materials, methods and assessment.

Design and deliver learning and teaching informed by specialist knowledge, discipline pedagogy and engagement with professional practice, with guidance and support from experienced colleagues and Course Leaders. Collaborate with the course team to ensure the effective running of programmes. This may include involvement in the accreditation of courses by professional bodies.

May supervise research students (including PhD, MRES, MPhil, Prof D), possibly as part of a supervisory team, in particular for those students undertaking a professional doctorate or practice-based research collaborations with employers.

Engage with the Trent Institute of Learning and Teaching to ensure that personal teaching skills and approaches reflect innovations being developed at NTU to enhance the student learning experience.

Practice Outputs and Impact

Establish a personal practice portfolio aligned to the strategic objectives of the department and/or discipline. This could include: preparing individual and/or collaborative proposals for professional consultancy; developing materials for publication or exhibition; developing bespoke teaching and learning activities for employers; developing outreach activities for the public; developing projects with professionals in the relevant field; international business development; and commercialising knowledge and research outcomes. These may be jointly authored.

Contribute to the delivery of the practice portfolio of senior colleagues, where appropriate.

Contribute to the development of innovative teaching materials and methods which reflect current professional practice and/or industry standards. This could include collaborating with colleagues on broader course and curriculum development based on understanding of trends and challenges within the area of professional practice.

Connect colleagues and students to external organisations undertaking relevant professional practice, where appropriate. This could involve developing and supporting student work-based learning activities.

Make an original and innovative contribution to the development of professional pedagogy and the scholarship of the professions which informs teaching outputs.

Contribute to the individual and/or collaborative development of impact case studies which inform research outputs and outcomes and which can be evidenced within the University and/or wider society.

Practice Collaboration and Esteem

Build and be directly involved with internal and extend external practice-based networks in order to exchange ideas on professional practice and establish relationships for future collaboration.

Participate in relevant societies, professional bodies or regulatory bodies.

Submit individual and/or collaborative proposals to contribute to national and/or international conferences and events in the area of professional practice.

Support the design and delivery of practice-based programmes, professional courses, CPD/executive education or other teaching and learning activities.

Contribute to developing knowledge-based commercial and wider enterprise-related entities and companies.

Practice Income Generation

Seek opportunities to prepare proposals and applications for both internal and external funding sources connected with the area of professional practice with the support of more senior colleagues. Subject to the norms of the subject area, a Lecturer would normally be expected to be involved in at least one funding application (as lead or co-applicant) in a three year period.

Contribute to proposals for new practice-based programmes, professional courses, CPD/executive education or other teaching and learning activities.

Contribute to proposals for establishing new degree apprenticeships.

Academic Leadership, Management and Associated Activity Fulfil module leadership responsibilities, as and where assigned. Provide appropriate level of input to departmental administration. Contribute to effective student recruitment and retention, in line with any agreed Department/School plans and targets. For example this may could include actively engaging in open days, admissions, course induction and Success for All. Participate in department and/or discipline committees and/or working groups linked to development of professional practice.
Qualifications and Professional Recognition Typically hold a postgraduate qualification in a relevant subject or hold a degree along with equivalent experience. Hold a recognised practice or professional status accreditation, where available, and possess teaching and/or relevant professional experience within specialist subject area. New Lecturer appointees will normally hold or be working towards a postgraduate qualification in higher education. Established Lecturers are required to gain Higher Education Academy Fellowship professional recognition.

TEACHING AND PRACTICE

Senior Lecturer

Indicative examples of activities that a Senior Lecturer typically would undertake are provided below. This does not mean that an individual will necessarily meet all the measures set out at any given time.

Teaching, Learning and Assessment

Make a sustained and appropriate level of contribution to the University and relevant subject discipline(s) as a teacher, tutor, assessor and facilitator of undergraduate, postgraduate and other emerging strands of student learning (e.g. apprenticeships) and student experience. In so doing, deliver NTU's expectations of high quality evidence-based and inclusive teaching as defined in the Quality Handbook and other relevant documentation, guided by constructive reflection and development of personal practice and taking into account student feedback, course data, observation, peer review etc.

Senior Lecturers typically hold Module and/or Course leadership responsibilities and make sustained contributions to the planning of innovative practice-informed curriculum design and its subsequent delivery. This may involve leading the accreditation of courses by professional bodies.

Aim to supervise research students (including PhD, MRES, MPhil, Prof D), as part of a supervisory team, in particular for those students undertaking a professional doctorate or practice-based research collaborations with employers.

Engage with the Trent Institute of Learning and Teaching to ensure that personal and course team teaching skills and approaches reflect innovations being developed at NTU to enhance the student learning experience.

Practice Outputs and Impact

Possess an established professional portfolio with clear deliverables for individual or joint projects aligned to the School's and/or department's priorities. This could include: preparing proposals for professional consultancy; developing materials for publication or exhibition; developing bespoke teaching and learning activities for employers; developing outreach activities for the public; developing projects with professionals in the relevant field; leading international business development; and commercialising knowledge and research outcomes.

Initiate innovative teaching materials and methods which reflect current professional practice and/or industry standards. Lead broader course and curriculum development based on understanding of trends and challenges within the area of practice.

Identify and connect colleagues and students to external organisations undertaking relevant professional practice. This could involve developing and supporting student work-based learning activities.

Subject to the norms of the subject area, a Senior Lecturer would normally be expected to produce or contribute to at least two subject or practice-based outputs, e.g. exhibitions, collections, government/industry reports, journal articles, consultation papers, within a six year rolling period. These may be jointly authored.

Contribute to and/or produce impact case studies which inform research outputs and outcomes and which can be evidenced within the University and/or wider society.

Practice Collaboration and Esteem

Demonstrable evidence of internal and/or external collaboration.

Evidence of active participation in and taking responsibility within relevant societies, professional bodies or regulatory bodies.

Contribute to, present at, or design and run national and/or international conferences and events in the area of professional practice.

Initiate and/or support the design and delivery of external practice-based programmes, professional courses, CPD/executive education or other teaching activities.

Develop knowledge-based commercial and wider enterprise-related entities and companies.

Practice Income Generation

Lead proposals and applications for both internal and external funding sources connected with professional practice activity. Subject to the norms of the subject area, a Senior Lecturer would normally be expected to achieve at least one successful funding application (as lead or co-applicant) in any rolling six year period.

Lead proposals for new practice-based programmes, professional courses, CPD/executive education or other teaching and learning activities.

Contribute to or lead proposals for establishing new degree apprenticeships.

Academic Leadership, Management and Associated Activity

Fulfil Module and/or Course leadership responsibilities.

Demonstrate leadership for course teams and ensure a high level of visibility for student representation.

Support and mentor less experienced colleagues.

Supervise or co-supervise members of project specific staff, where available.

Provide appropriate level of input to departmental administration.

Make a significant contribution to effective student recruitment and retention, in line with any agreed Department/School plans and targets. For example, this may include actively leading on course admissions, outreach activity, international recruitment and Success for All.

Lead Department and/or discipline committees and/or working groups linked to development of professional practice.

Initiate and/or contribute to TILT projects, for example related to practice-based pedagogy.

Qualifications/Professional Recognition

Typically hold a postgraduate qualification in a relevant subject or hold a degree along with equivalent experience.

Hold a recognised practice or professional status.

Possess teaching and/or relevant professional experience within specialist subject.

New Senior Lecturer appointees will normally hold a postgraduate qualification in higher education or equivalent level of experience. Senior Lecturers are required to gain Higher Education Academy Fellowship professional recognition.

TEACHING AND RESEARCH

Lecturer

Indicative examples of activities that a Lecturer typically would undertake are provided below. This does not suggest that an individual will necessarily meet all the measures set out at any given time.

Teaching, Learning and Assessment

Make an appropriate level of contribution to the University and relevant subject discipline(s) as a teacher, tutor, assessor and facilitator of undergraduate, postgraduate and other emerging strands of student learning (e.g. apprenticeships) and student experience. In so doing, deliver NTU's expectations of high quality, evidence-based and inclusive teaching, as defined in the Quality Handbook and other relevant documentation, guided by constructive reflection on and development of personal practice and taking into account student feedback, course data, observation, peer review etc.

Lecturers will be involved typically with the delivery and on occasion leadership of modules, applying appropriate approaches to teaching materials, methods and assessment to ensure these are research informed and support the development of students' research capabilities.

Design and deliver learning and teaching and assessment informed by specialist knowledge and discipline research with guidance and support from experienced colleagues and Course Leaders. Collaborate with the course team to ensure the effective running of programmes.

Aim to be a member of at least one research student supervision team (including PhD, MRES, MPhil, Prof D) within a three year period. Engage with collaborative bidding for the annual NTU funded PhD studentship scheme.

Engage with the Trent Institute of Learning and Teaching to ensure that personal teaching skills and approaches reflect innovations being developed at NTU to enhance the student learning experience.

Research Outputs and Impact

Establish a personal research portfolio and develop proposals for individual or joint research aligned to the School's Research Plan and at least one of the School Research Groups or Centres or NTU's Strategic Research Themes.

Conduct individual and/or collaborative research and publish findings in appropriate outlets. Subject to the norms of the subject area, a Lecturer would normally be expected to achieve at least one peer-reviewed output (paper, book chapter or discipline equivalent output) assessed at 3* or above within a three year period. Outputs may be jointly authored.

Contribute to individual and/or collaborative research underpinning or the development of impact case studies beyond academic publication where appropriate.

Research Collaboration and Esteem

Build internal and external research networks and participate in the research community associated with a Group/Centre/Research Theme to share information and establish relationships for research collaboration.

Put forward successful individual and/or collaborative submissions to present at national and/or international conferences.

Research Income Generation

Engage in the preparation of proposals for submission to external research funders in line with the University/School research proposal processes with the support of more senior colleagues and, potentially, external collaborators. Subject to the norms of the subject area, a Lecturer would normally be expected to achieve at least one successful funding application (as PI or CI) in a three year period, with income levels equivalent to at least 25% average income levels per FTE, in the subject area concerned, at other relevant comparator institutions.

Academic Leadership, Management and Associated Activity

Fulfil module leadership responsibilities, as and where assigned.

Provide appropriate level of input to departmental administration.

Contribute to effective student recruitment and retention, in line with any agreed Department/School plans and targets. For example this may could include actively engaging in open days, admissions, course induction and Success for All.

Participate in department committees and/or working groups linked to development of a department or discipline research culture and/or specific related activity.

May be involved in mentoring research assistants, where available.

Qualifications and Professional Recognition

Post-holders will hold a postgraduate qualification (typically at doctorate level) in a relevant subject or exceptionally hold another bachelor or masters degree along with equivalent experience.

Post-holders should have teaching and/or research experience and, where deemed appropriate, a relevant professional qualification within specialist subject areas.

New Lecturer appointees will normally hold or be working towards a postgraduate qualification in higher education. Established lecturers are required to gain Higher Education Academy Fellowship professional recognition.

TEACHING AND RESEARCH

Senior Lecturer

Indicative examples of activities that a Senior Lecturer typically would undertake are provided below. This does not mean that an individual will necessarily meet all the measures set out at any given time.

Teaching, Learning and Assessment

Make a sustained and appropriate level of contribution to the University and relevant subject discipline(s) as a teacher, tutor, assessor and facilitator of undergraduate, postgraduate and other emerging strands of student learning (e.g. apprenticeships) and student experience. In so doing, deliver NTU's expectations of high quality, evidence-based and inclusive teaching as defined in the Quality Handbook and other relevant documentation, guided by constructive reflection and development of personal practice and taking into account student feedback, course data, observation, peer review etc.

Senior Lecturers typically hold Module and/or Course leadership responsibilities and make sustained contributions to the planning of research-informed curriculum design and its subsequent delivery to engage students in disciplinary research culture. This may involve leading the accreditation of courses by professional bodies.

Typically act as lead supervisor or member of a supervisory team for at least two research students at any one time (including PhD, MRES, MPhil, Prof D). Aim to achieve at least two research student completions as a member of a supervisory team in a rolling six year period. Engage with collaborative bidding for the annual NTU funded PhD studentship scheme.

Engage with the Trent Institute of Learning and Teaching to ensure that personal and course team teaching skills and approaches reflect innovations being developed at NTU to enhance the student learning experience.

Research Outputs and Impact

Possess an established personal research portfolio with clear deliverables for individual or joint research aligned to the School's Research Plan and at least one of the School Research Groups or Centres or NTU's Strategic Research Themes.

Conduct individual and/or collaborative research and publish findings in appropriate outlets. Subject to the norms of the subject area, a Senior Lecturer would normally be expected to achieve at least three peer-reviewed outputs (paper, book chapter or discipline equivalent output) in a rolling six year period, of which at least two are assessed at 3* or above and the remainder assessed to be 2* or above. These may be jointly authored.

Undertake individual and/or collaborative research activity which underpins the development of impact (beyond the production of academic outputs) which can be evidenced within the University and/or wider society.

Research Collaboration and Esteem

Demonstrable evidence of internal and/or external, potentially international, research collaboration, including joint authored academic outputs (or equivalent) and encompassing networks associated with an NTU Group/Centre/Research Theme.

Continued track record of successful individual and/or collaborative applications to participate in relevant national and/or international conferences. Potentially invited to contribute to the organisation of or delivery at such conferences.

Seek opportunities to undertake relevant peer review activities for publishers or for grant awarding bodies, e.g. journal editorships, external examining (including for research students).

Research Income Generation

Take an active role in developing and reviewing research proposals to external funding bodies through the University/School processes.

Demonstrate awareness of matching grant applications to the external funding environment. Subject to the norms of the subject area, a Senior Lecturer would normally be expected to achieve at least one successful grant application (as PI or CI) in any three year period with income levels equivalent to 50% average income levels per FTE in comparator institutions.

Show a track record of securing internal funding, for example to support a development plan for research grant capture through QR funding at School level.

Academic Leadership, Management and Associated Activity
Fulfil Module and/or Course leadership responsibilities. Demonstrate leadership for course teams and ensure a high level of visibility for student representation. Support and mentor early career colleagues, including PGR students. Supervise or co-supervise a member of research staff, where available. Provide appropriate level of input to departmental administration. Make a significant contribution to effective student recruitment and retention, in line with any agreed Department/School plans and targets. For example, this may include actively leading on course admissions, outreach activity, international recruitment and Success for All. Participate in departmental, school or University committees and/or groups, for example School Research Committee, and make an active contribution to the teaching and/or research culture of the Department and/or discipline. Active support for research planning at Research Group/Centre or Theme level. Initiate and/or contribute to TILT projects, for example related to research-based pedagogy.
Qualifications and Professional Recognition
Hold a postgraduate qualification at doctorate level in a relevant subject or, exceptionally, hold another bachelor or masters degree along with equivalent experience. Possess teaching and/or research experience and potentially relevant professional qualification within specialist subject areas, where deemed appropriate. New Senior Lecturer appointees will normally hold a postgraduate qualification in higher education or equivalent level of experience. Senior Lecturers are required to gain Higher Education Academy Fellowship professional recognition.

TEACHING AND SCHOLARSHIP

Lecturer

Indicative examples of activities that a Lecturer typically would undertake are provided below. This does not mean that an individual will necessarily meet all the measures set out at any given time.

Teaching, Learning and Assessment

Make an appropriate level of contribution to the subject discipline(s) as a teacher, tutor, assessor and facilitator of undergraduate, postgraduate and other emerging strands of student learning (e.g. apprenticeships) and student experience. In so doing, deliver NTU's expectations of high quality, evidence-based and inclusive teaching as defined in the Quality Handbook and other relevant documentation, guided by constructive reflection and development of personal practice and taking into account student feedback, course data, observation, peer review etc.

Lecturers will be involved with the delivery and on occasion leadership of modules, applying appropriate approaches to teaching materials, methods and assessment.

Design and deliver learning and teaching informed by pedagogic knowledge and discipline scholarship, with guidance and support from experienced colleagues and Course Leaders. Collaborate with the course team to ensure the effective running of programmes. This may include involvement in the accreditation of courses by professional bodies.

May supervise research students as part of a supervisory team (including PhD, MRES, MPhil, Prof D), in particular for those students undertaking a professional doctorate.

Engage with the Trent Institute of Learning and Teaching to ensure that personal teaching skills and approaches reflect innovations being developed at NTU to enhance the student learning experience.

Scholarly Outputs and Impact

Develop and adopt innovative, evidence-based teaching materials and methods within a discipline area and context, including the use of digital technologies and active collaborative learning, which is aligned with the departmental, School and University strategy.

Collaborate with colleagues on course and curriculum development.

Contribute to the scholarship (including subject knowledge) that underpins learning and teaching within a discipline, which may inform scholarly or pedagogic outputs, e.g. textbooks, journal articles, conference papers, comprehensive literature/book/media reviews, case studies or discipline equivalent. These may be jointly authored.

Lead students in enquiry-based activities within the curriculum, which may generate scholarly outputs, such as journal articles, conference papers and textbooks.

Scholarly Collaboration and Esteem

Build internal and external networks to exchange ideas and establish relationships for future scholarly collaboration to enhance the development of teaching and learning within a discipline.

Submit individual and/or collaborative proposals to contribute to national and/or international conferences, for example those associated with societies and professional bodies, which highlight innovation in scholarship and/or pedagogy.

Scholarly Income Generation Prepare proposals and funding applications for both internal and external sources connected with learning, teaching and scholarship activity or other student/community engagement with the support of more senior colleagues. Subject to the norms of the subject area, a Lecturer would normally be expected to be involved in at least one funding application (as lead or co-applicant) in a three-year period. Contribute to proposals for new courses and new modes of study, at NTU and/or with collaborative partners.
Academic Leadership, Management and Associated Activity Fulfil Module leadership responsibilities, as and where assigned. Provide appropriate level of input to departmental administration. Contribute to effective student recruitment and retention, in line with any agreed Department/School plans and targets. For example this may could include actively engaging in open days, admissions, course induction and Success for All. Participate in Department committees and/or working groups, for example those related to course development, course management and teaching quality.
Qualifications and Professional Recognition Typically hold a postgraduate qualification in a relevant subject or hold a degree along with equivalent experience. Possess teaching experience and/or relevant professional experience within a specialist subject area, where deemed appropriate, potentially including continued engagement with a professional or accreditation body relevant to the discipline. New Lecturer appointees will normally hold or be working towards a postgraduate qualification in higher education. Established lecturers are required to gain Higher Education Academy Fellowship professional recognition.

TEACHING AND SCHOLARSHIP

Senior Lecturer

Indicative examples of activities that a Senior Lecturer typically would undertake are provided below. This does not mean that an individual will necessarily meet all the measures set out at any given time.

Teaching, Learning and Assessment

Make a sustained and appropriate contribution to the University and relevant subject discipline(s) as a teacher, tutor, assessor and facilitator of undergraduate, postgraduate and other emerging strands of student learning (e.g. apprenticeships) and student experience. In so doing, deliver NTU's expectations of high quality, evidence-based and inclusive teaching as defined in the Quality Handbook and other relevant documentation, guided by constructive reflection and development of personal practice and taking into account student feedback, course data, observation, peer review etc.

Senior Lecturers typically hold Module and/or Course leadership responsibilities and make significant and sustained contributions to the planning and delivery of curriculum design informed by current disciplinary understandings and, possibly, by evidence-based pedagogic approaches that are suited to context. They also make sustained contributions to the design of courses that deliver University-wide priorities for student outcomes. This may involve leading the accreditation of courses by professional bodies.

Aim to supervise research students as part of a supervisory team (including PhD, MRES, MPhil, Prof D), in particular for those students undertaking a professional doctorate.

Engage with the Trent Institute of Learning and Teaching to ensure that personal and course team teaching skills and approaches reflect innovations being developed at NTU to enhance the student learning experience.

Scholarly Outputs and Impact

Develop and disseminate innovative, evidence-based teaching materials and methods, including the use of digital technologies and active collaborative learning. These will have relevance beyond the discipline area.

Make a clear contribution to curriculum design, refresh and delivery within the discipline and/or department.

Ensure that students are engaged in enquiry-based activities within the curriculum and co-curriculum, which may inform scholarly outputs.

Lead the development of evidence that underpins learning and teaching within and beyond the discipline, including for example, evaluation and promotion of pedagogic innovation which may inform scholarly outputs. Subject to the norms of the subject area, a Senior Lecturer would normally be expected to produce or contribute to at least two subject and/or pedagogic outputs, e.g. textbooks, journal articles, conference papers, comprehensive literature/book/ media reviews, case studies or discipline equivalent, within a six year rolling period. These may be jointly authored.

Scholarly Collaboration and Esteem

Demonstrable evidence of internal and/or external collaboration in pursuit of the development and dissemination of innovation in teaching and learning.

Contribute to national and/or international conferences, for example those associated with societies and professional bodies, which highlight innovation in pedagogy and/or subject knowledge.

Seek opportunities to undertake relevant peer review activities, e.g. external examining, membership of panels for course approval and periodic review, or peer review of publications and conferences.

Support the design and delivery of innovative programmes, collaborative partnerships and executive education activities.

Scholarly Income Generation

Lead proposals and funding applications for both internal and external sources connected with learning, teaching and scholarship activity. Subject to the norms of the subject area, a Senior Lecturer would normally be expected to achieve at least one successful funding application (as lead or co-applicant) in any rolling six year period.

Lead proposals for new courses and new modes of study, at NTU or with collaborative partners.

Academic Leadership, Management and Associated Activity

Fulfil Module and/or Course leadership responsibilities.

Support and mentor less experienced colleagues.

May supervise or co-supervise members of project-specific staff, where available.

Provide appropriate level of input to departmental administration.

Make a significant contribution to effective student recruitment and retention, in line with any agreed Department/School plans and targets. For example, this may include actively leading on course admissions, outreach activity, international recruitment and Success for All.

Demonstrate leadership for course teams and ensure a high level of visibility for student representation.

Initiate, convene and/or chair Department or School committees and/or working groups, for example those related to course development and review or management of teaching quality.

Contribute to institutional quality panels and committees.

Initiate and lead or contribute to TILT projects, for example related to pedagogy, curriculum and course design.

Qualifications/Professional Recognition

Typically hold a postgraduate qualification in a relevant subject or hold a degree along with equivalent experience.

Possess teaching and/or scholarship experience and/or relevant professional experience within specialist subject area including continued engagement with a professional or accreditation body relevant to the discipline.

New Senior Lecturer appointees will normally hold a postgraduate qualification in higher education or equivalent level of experience. Senior Lecturers are required to gain Higher Education Academy Fellowship professional recognition.

Appendix B

Terms of Reference and Membership of the NTU REF Planning Group

The REF Planning Group will be responsible for overseeing the preparation of the University for the next REF. The Planning Group will:

- Advise UET, Academic Board, the Board of Governors, the Academic Schools, NTU Doctoral and UoA Co-ordination Groups on the details of the REF process;
- Develop an overarching NTU-wide preparation timetable for REF and monitor and report progress against the actions in the timetable to UET and the academic governance structures for research within NTU;
- Ensure that mechanisms are in place to assure that the overall institutional quality level target for the next REF is met;
- Make recommendations to UET on which Units of Assessment (UsoA) will be submitted to REF;
- Ensure that Research Strategy and Operations provide timely and relevant research management information data to Schools and UsoA and effectively manages NTU planning and preparation for the REF;
- Pro-actively support the planning of the UoA submissions: including providing advice on strategy, highlighting areas for investment; sharing best practice between Schools and UsoA. Through regular reporting at UET the Planning Group will be able to ensure that appropriate advice is acted upon;
- Oversee the appointment of appropriate external UoA/REF aspect assessors and advisors;
- Lead on/support the development and approval of any policies/procedures that are required by the REF process e.g. the Code of Practice, Equality Analysis and institutional REF narrative.
- Undertake the assessment of all aspects of potential UoA submissions in accordance with the UET agreed timeline.
- Oversee the actual submission process by NTU to REF 2029.

Membership

Pro Vice-Chancellor Research & International, Chair
Associate Deans for Research
REF2021 and REF 2029 Sub-Panel Members
Executive Director of Research, Knowledge Exchange and Innovation
Chief People Officer
Research Impact and Engagement Manager
Secretariat

Reporting lines

In terms of governance, the REF Planning Group will be constituted as a sub-group of UET. In addition, Planning Group members will make timely and appropriate presentations at School Research and Innovation Committees, the Pro Vice-Chancellor Research and International will update the University Research and Innovation Committee, Academic Board and the Board of Governors.

Appendix C

NTU's Employment Framework: Policies, Practices and Procedures

A full A-Z of NTU institutional policies and associated guidance materials are available for all employees to access via the NTU internet (MyHub). This includes direct links to the following policies and procedures that constitution NTU's framework of employment policies, practices and procedures:

- Adoption Leave and Pay Policy and Procedure
- Annual Leave
- Appraisal
- Career Break Policy and Procedure
- Dignity and Respect Policy
- Disciplinary Policy and Procedure
- Equality, Diversity and Inclusion Policy
- Flexible Working Policy
- Grievance Policy and Procedure
- Maternity Leave and Pay Policy Procedure
- Parental Leave Policy and Procedure
- Paternity Leave and Pay Policy and Procedure
- Probation Policy and Procedure
- Redundancy Policy and Procedure
- Sabbatical Leave Policy and Procedure
- Secondment Policy and Procedure
- Shared Parental Leave and Pay Policy and Procedure

Appendix D

REF 2029 Code of Practice Development Timeline

- January 2026 – Draft Code of Practice (CoP) published via a dedicated CoP page on the Research Support SharePoint site and promoted via the NTU Research Newsletter and e-News (internal all staff announcements). All staff offered the opportunity to provide feedback.
- January 2026 – ADRs invited to discuss the CoP at School R&I Committee meetings.
- January 2026 – Details of the CoP consultation and feedback opportunities to be sent by post to any staff identified as working outside the University, or who are absent from the University for a lengthy period of time and for any reason, where email contact is known to be a problem.
- December 2025/March 2026 – PVC – R&I and others to hold a meeting with UCU (Joint Consultation Committee) seeking feedback on the Code of Practice.
- February 23 2026 – CoP discussed at Town Hall meeting hosted by PVC – R&I.
- March 4 2026 – PVC – R&I to present CoP at Academic Board.
- End of March 2026 – all comments to have been received, considered, incorporated where possible and the final draft version produced by NTU Research Strategy and Operations.
- April 2026 – Final version to be tabled for approval at REF Planning Group and UET, in that order.
- May 2026 – Submission deadline.
- Summer 2026 – Approved CoP to be published on the NTU website.

Appendix E

REF 2021 Equality Impact Assessment

1. Background

The Research Excellence Framework 2021 (REF2021) is managed by Research England on behalf of the four UK higher education funding bodies. It is a process of expert review carried out by panels for each of the 34 subject-based units of assessment (UsoA) under the guidance of four main subject panels.

With each implementation of the REF, and the data made available from them, lessons in relation to the impact on equality issues have become clearer. Research England have used the data and lessons drawn from the past, to help shape and inform the REF2021 exercise. A specific focus has been to support greater fairness and equality.

2. Research England Policy requirement for an Institutional Code of Practice

To participate in the REF2021 exercise Higher Education Institutions (HEI) had to submit a Code of Practice (CoP) to Research England for assessment and approval.

Each institution's CoP was required to articulate how it would meet the following four principles:

- Transparency in relation to decision making processes and communication.
- Consistency through governance and oversight of institutional processes.
- Accountability in relation to the responsibilities of individuals and committee and/or groups involved in relevant processes.
- Inclusivity and how it is supported and promoted across areas and within the work of the institution.

Most specifically, the CoP articulated how the HEI would meet the guidance provided by Research England in relation to local processes for the following:

- Determining which staff had significant responsibility for research and would therefore be in scope for the REF;
- Deciding which UsoA to submit to and which staff would be allocated to each UoA;
- Selecting which outputs to submit;
- Determining which research-only staff were in scope for REF through an appropriate panel and appeals process;
- Enabling individual staff to request a reduction in the number of outputs required due to early-career status or special circumstances, and the associated decision and appeals process; and
- EDI analysis and review pre- and post-submission.

Research England established an external panel of experts, the Equality and Diversity Advisory Panel (EDAP) whose role was to review and validate each HEI's Codes of Practice to ensure the correct expectations and standards set within Research England's guidance had been met.

NTU's Code of Practice was validated and approved by EDAP in November 2019 and subsequently implemented.

3. Equality data

3.1 Gender

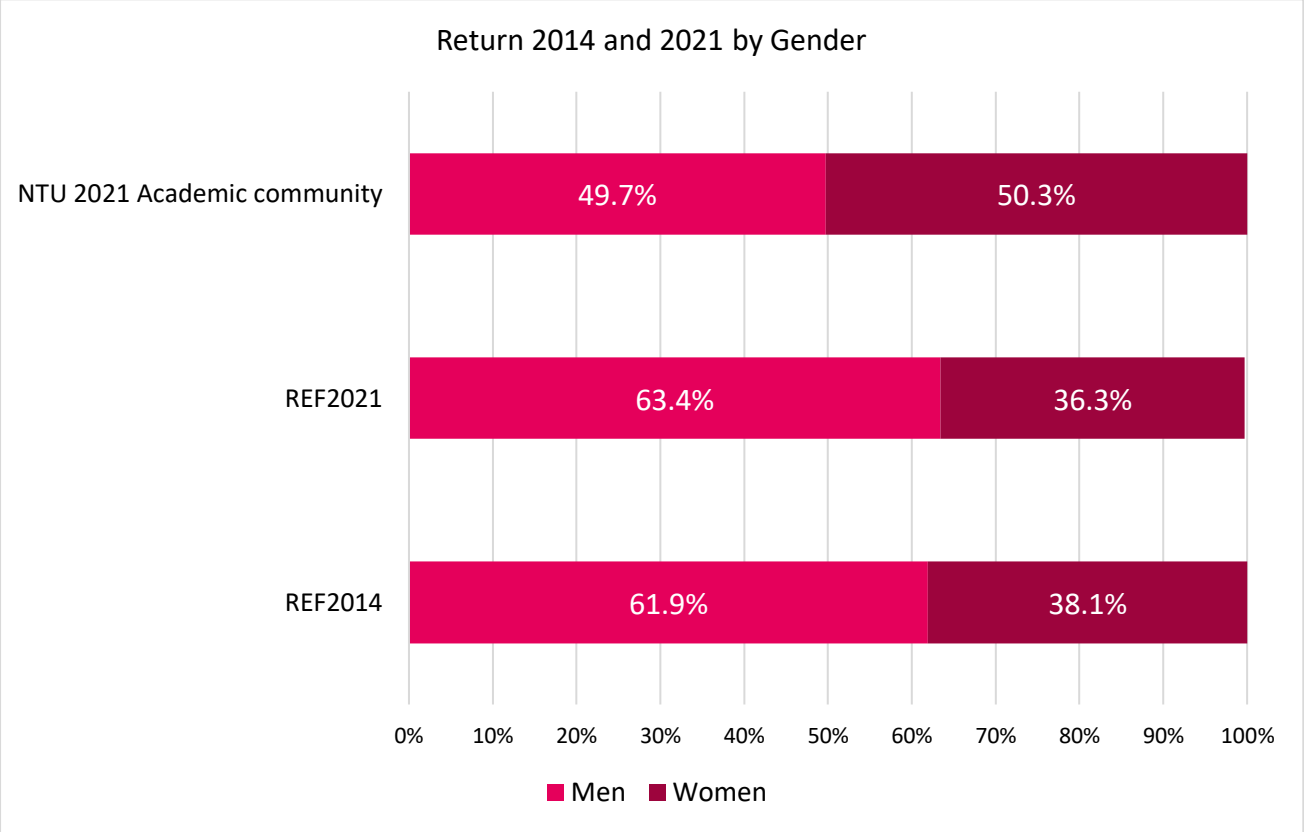
Compared to the REF2014 exercise, NTU's REF2021 saw an increase in the in-scope headcount of both men (+100) and women (+50).

Proportionally, men formed 63.40% of the 2021 return and women 36.30%.

Despite the increase in the in-scope headcount of women (+50) the percentage representation of in scope women compared to the previous exercise decreased by 1.8 percentage points (pp) (Chart 1 and Table 1).

Chart 1 also indicates that when compared to the gender representation of NTU's academic community[1] men continue to be overrepresented in those in-scope for REF2021. For the 2021 exercise men were overrepresented by 13.7pp and women continue to be underrepresented by 14pp.

Chart 1 NTU's REF2014 and 2021 return percentage by gender



Data from Chart 1: NTU's REF2014 and 2021 return percentages by gender (Tabular form)

Group	Men (%)	Women (%)
NTU 2021 Academic Community	49.7%	50.3%
REF 2021	63.4%	36.3%
REF 2014	61.9%	38.1%

[1] Academic community data as at census date 31st July 2020.

Table 1 NTU's REF2014 and 2021 return headcount by gender

-	REF2014 in scope headcount	REF2021 in scope headcount	Shift in headcount and % increase REF2014 vs REF2021
Women	103	153	+50 (48.5%)
Men	167	267	+100 (59.8%)
Other	0	1	+1
Total	**270**	**421**	**+151 (55.9%)**

It is noted that one member of staff declare their gender as "other" in the REF2021 context, but had selected "male" or "female" in the wider staff context. The two selections were made at different times.

3.2. Ethnicity

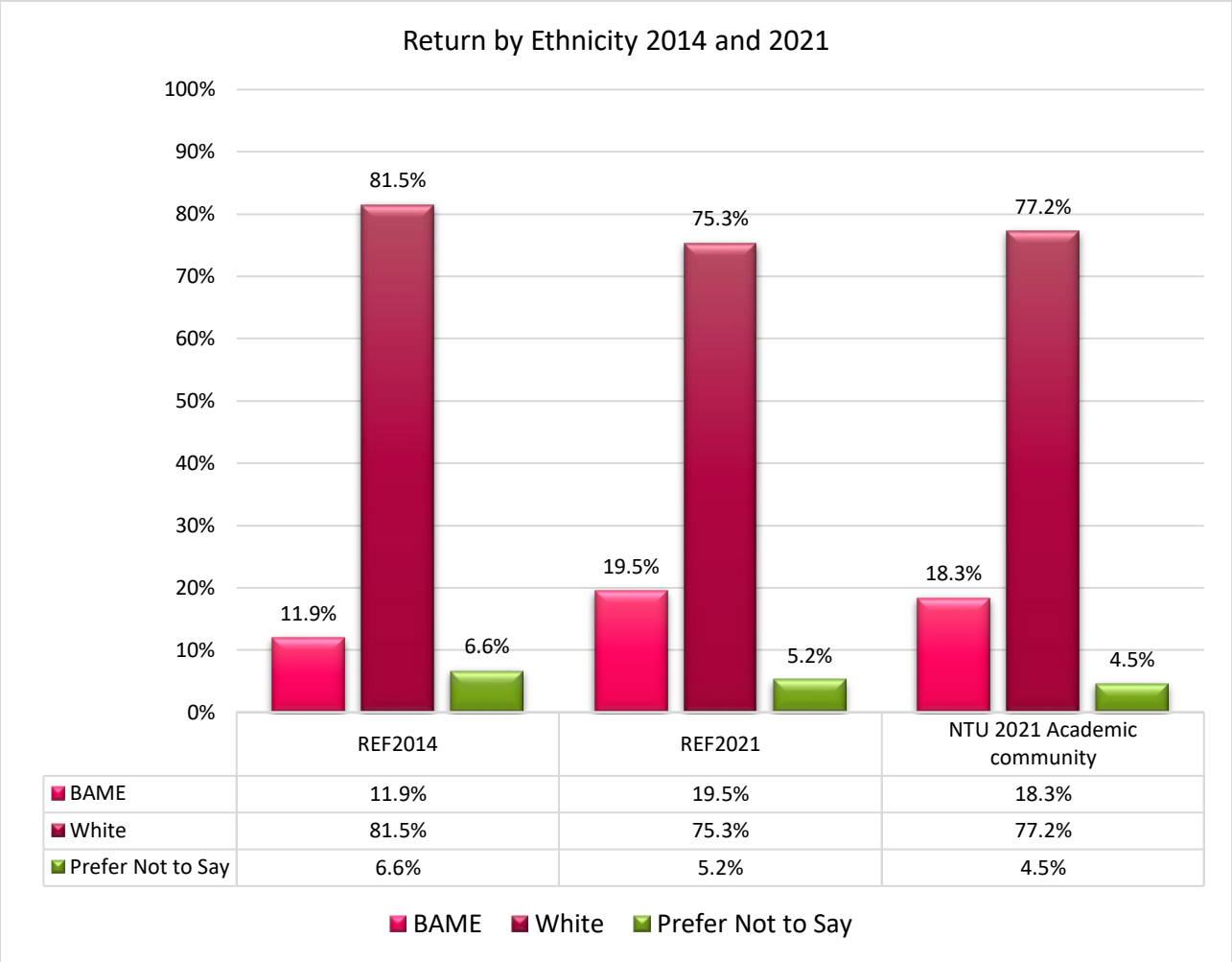
Compared to the REF2014 exercise, NTU's REF2021 saw an increase in the in-scope headcount of both BAME (+50) and White (+97) staff.

Proportionally, the BAME profile formed 19.50% of the 2021 return and the White profile 75.30%.

The increase in the in-scope headcount of the BAME profile (+50) has generated a 7.6 pp increase in the representation of the in-scope BAME profile compared to the previous exercise, Chart 2 and Table 2.

Chart 2 also indicates that when compared to the ethnicity representation of NTU's academic community the BAME proportional representation is more similar. For the 2021 exercise the BAME profile was slightly overrepresented by 1.2pp.

Chart 2 NTU's REF2014 and 2021 return percentage by ethnicity



Data from Chart 2: NTU's REF2014 and 2021 return percentage by ethnicity (Tabular form)

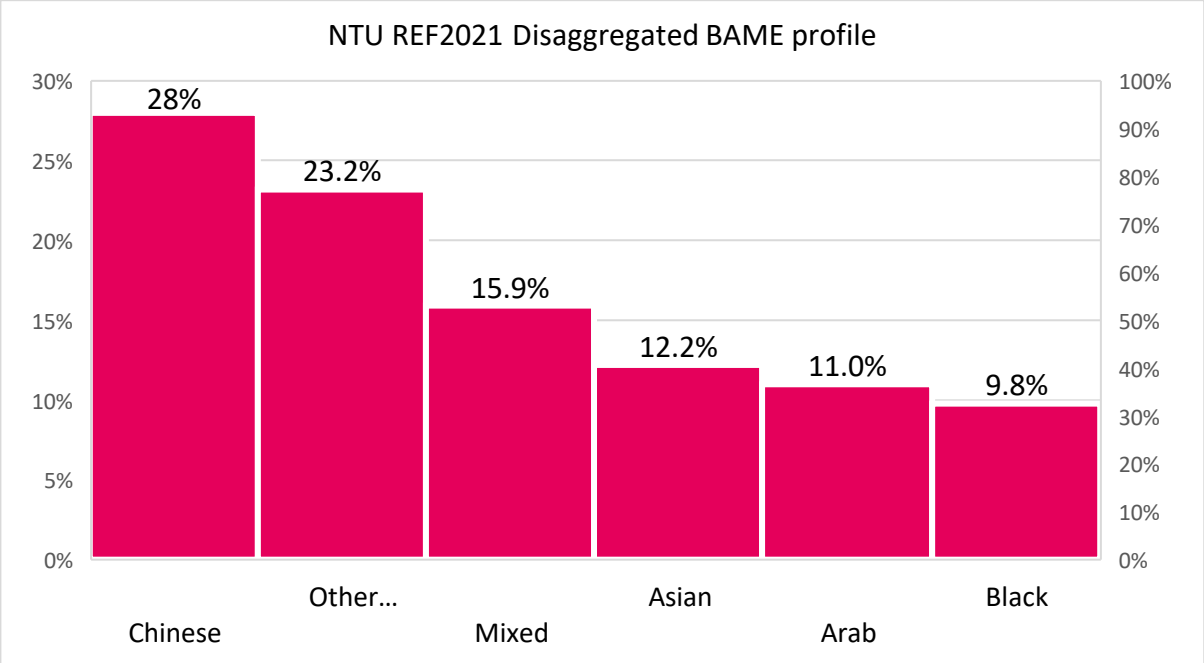
-	**REF 2014**	**REF 2021**	**NTU 2021 Academic Community**
BAME	11.9%	19.5%	18.3%
White	81.5%	75.3%	77.2%
Prefer not to say	6.6%	5.2%	4.5%

Table 2 NTU's REF2014 and 2021 return headcount by ethnicity

-	**REF2014 in scope headcount**	**REF2021 in scope headcount**	**Shift in Headcount REF2014 vs REF2021**
BAME	32	82	+50 (156.3%)
White	220	317	+97 (44.0%)
Prefer not to say	18	22	+4 (22.2%)
Total	**270**	**421**	**+151 (55.9%)**

Charts 3 and 4 provide the disaggregated data of the BAME profile for the NTU 2021 return[2]. The data indicates that the self-identified ethnicity group Chinese formed the largest group (28.04%) of the in scope BAME profile, whereas the self-identified ethnicity group Black formed the smallest (9.75%). Chart 4 also indicates that when compared to the ethnicity profile of the academic community these two groups are significantly overrepresented and underrepresented respectively.

Chart 3 NTU REF2021 disaggregated BAME profile

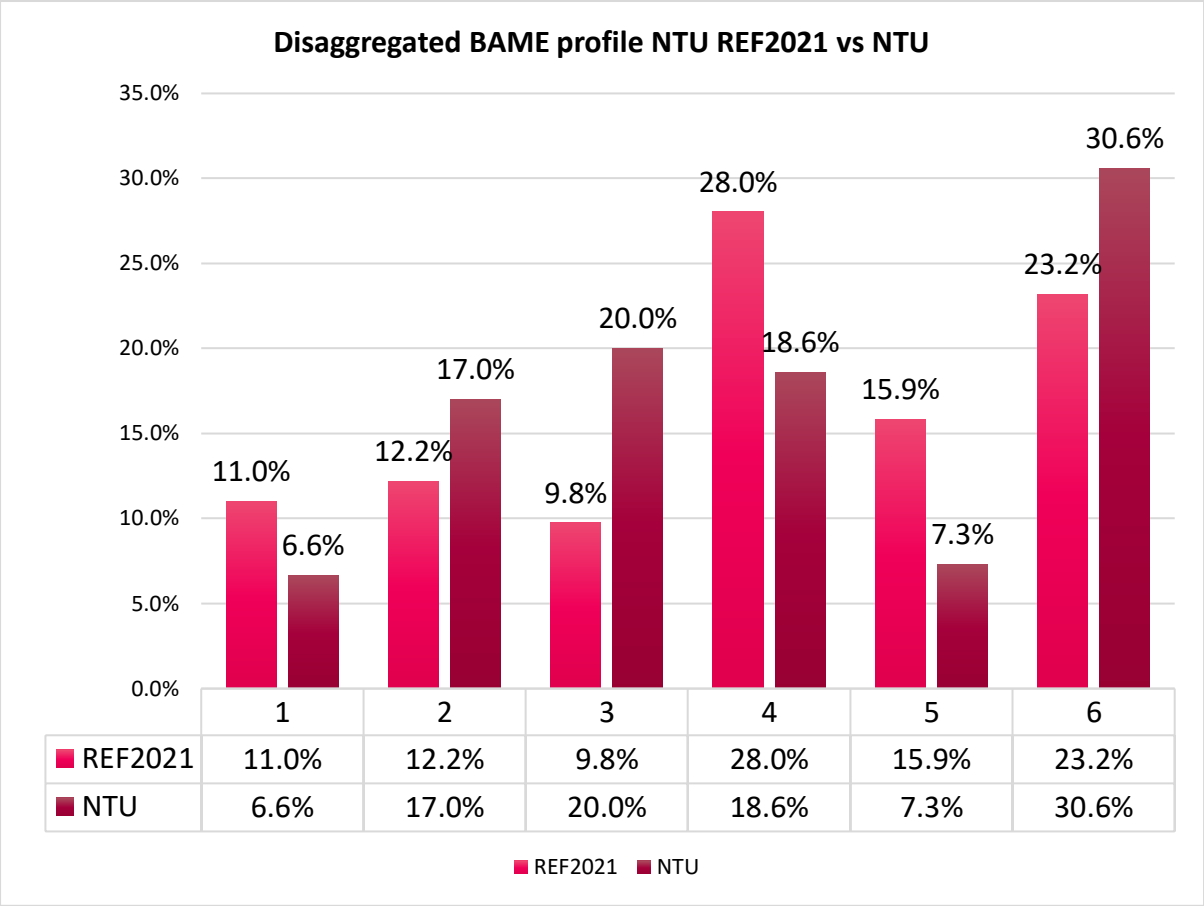


Data from Chart 3: NTU REF2021 disaggregated BAME profile (tabular form)

Ethnicity Group	Percentage (%)
Chinese	28%
Other	23.2%
Mixed	15.9%
Asian	12.2%
Arab	11%
Black	9.8%

Chart 4 NTU disaggregated BAME profile REF2021 vs NTU academic community

[2] BAME disaggregated data is not available from the 2014 exercise.



Data from Chart 4: disaggregated BAME profile REF2021 vs NTU academic community (tabular form)

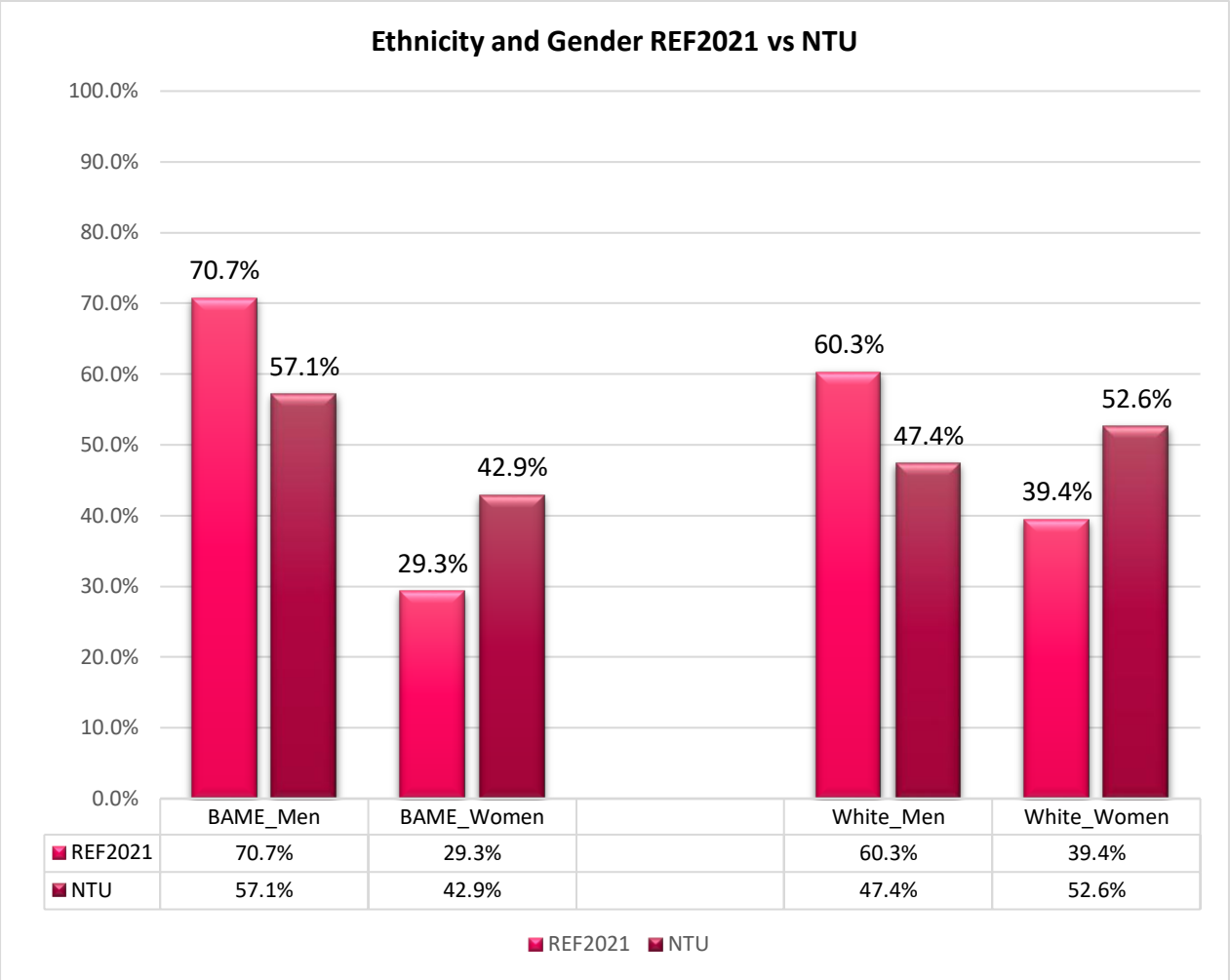
-	1	2	3	4	5	6
REF 2021	11.0%	12.2%	9.8%	28.0%	15.9%	23.2%
NTU	6.6%	17.0%	20.0%	18.6%	7.3%	30.6%

3.3 Ethnicity by Gender

Charts 5 provide an intersectional (ethnicity and gender) view of the 2021 return.

Women are underrepresented within the 2021 return. Chart 5 indicates that Women of colour are underrepresented by 13.6pp and White women are underrepresented by 13.2pp, suggesting that the sex identifier ‘woman’ is the intrinsic factor within the 2021 return.

Charts 5: NTU REF2021 BAME and White profile by gender vs NTU academic community



Data from Chart 5: NTU REF2021 BAME and White profile by gender vs NTU academic community (tabular form)

-	BAME Men	BAME Women	White Men	White Women
REF 2021	70.7%	29.3%	60.3%	39.4%
NTU	57.1%	42.9%	47.4%	52.6%

3.4 Disability

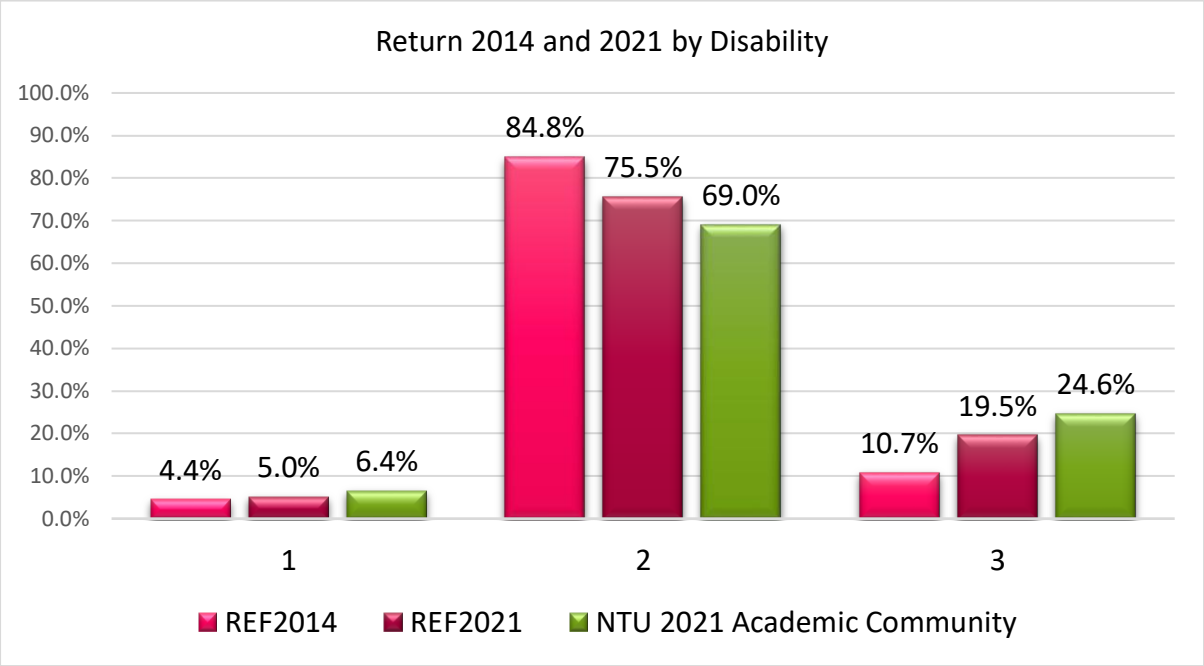
Compared to the REF2014 exercise, NTU's REF2021 saw an increase in the in-scope headcount of both declared disabled (+9) and not disabled (+89). The headcount of the category 'prefer not to say' also increased by a headcount of 53.

Proportionally, the declared disabled profile formed 5.0% of the 2021 return, with the 'not disabled' profile 75.50%. The 'prefer not to say' category formed a significant proportion at 19.5%.

The increase in the headcount of the in-scope declared disabled profile (+9) has generated a marginal increase of 0.6pp in representation compared to the previous exercise. The most significant difference to observe is the decrease of 9.3pp of the not disabled and 8.8pp increase of the 'prefer not to say' categories, Chart 6 and Table 3.

Chart 6 also indicates that although there has been a marginal increase in the representation of in scope disabled colleagues, when compared to the disability representation of NTU's academic community, the group remain underrepresented by 1.38pp.

Chart 6 NTU's REF2014 and 2021 return percentage by disability



Data from Chart 6: NTU's REF2014 and 2021 return percentage by disability (tabular form)

Disability Status	REF 2014 (%)	REF 2021 (%)	NTU 2021 Academic Community (%)
Declared Disabled	4.4%	5.0%	6.4%
Not Disabled	84.8%	75.5%	69.0%
Prefer not to say	10.7%	19.5%	24.6%

Table 3 NTU's REF2014 and 2021 return headcount by disability

-	**REF2014 in scope headcount**	**REF2021 in scope headcount**	**Shift in headcount REF2014 vs REF2021**
Disabled	12	21	+9 (+75%)
Not Disabled	229	318	+89 (+38.8%)
Prefer not to say	29	82	+53 (+182.7%)
Total	**270**	**421**	**+151 (55.9%)**

4. Conclusions

The equality data clearly evidences that across the three core characteristics, gender, ethnicity and disability that there have been significant positive increases in the headcount of these groups who were in scope.

Despite these positive advancements however, women in particular, and those with a declared disability, and in terms of ethnicity those colleagues who identify as Black, remain proportionally underrepresented within the return when compared to NTU's academic community's demographic profile.

NTU will continue to maintain a strong focus on how to increase, and support colleagues from these particular equality groups to pursue or advance their career pathway into research.

Initiatives such as the new Future Research Leaders Programme; Support for Academic Returners (SOAR); Aurora and Women in Academia under the Athena SWAN agenda; Calibre programme recognising disability personal and professional leadership; along with the future developments and initiatives via the Race Equality Charter and REAP2 will remain a core focus and priority.

Appendix F

Principles and Processes for the Assessment of Research Outputs

Any assessment of output quality should draw upon universally recognised standards, such that the University is in a sector-informed position to appreciate the quality of research outputs produced by NTU researchers.

The assessments generated should support discussions relating to career development and progression and be included as appropriate in any relevant NTU processes. An indicative list of such processes is included below:

- Academic Career Pathways
- Appraisals linked with financial reward and recognition
- Awards and Titles (academic promotions)
- Mentoring and support for researchers
- PhD scholarship awards (supervisory teams)
- Professorial Review
- QR funding allocation
- Research Excellence Framework (REF)
- Vice-Chancellor's Excellence Awards (Research and Practice categories)

Guiding principles

- **Discipline-informed** assessment: The content of an output will be used to determine its quality and qualitative review will be the primary route to assess quality.

- **Equity**: Outputs in all subject areas will be assessed against a given set of criteria.

- **Inclusivity**: All types of research-related outputs, e.g. journal articles, books, book chapters, reports, installations, and exhibitions will be assessed on an equal basis to ensure a parity of esteem.

- **Relevance**: In subject areas where they are widely used and understood, research metrics may be used to supplement expert assessment of research outputs, in line with NTU's Responsible Metrics Statement.

- **Transparency**: Assessment criteria and potential uses of output rating data will be made available to all members of staff and are set out in this document.

Assessment criteria

Outputs will be assessed against the following criteria, taken from the Research Excellence Framework (REF) 2021. Each criterion may not always carry equal weighting in assessments, and the score will be based on the overall quality of the output.

- **Originality** will be understood as the extent to which the output makes an important and innovative contribution to understanding and knowledge in the field. Outputs demonstrating originality may do one or more of the following: produce and interpret new empirical findings or new material; engage with new and/or complex problems; develop innovative research methods, methodologies and analytical techniques; show imaginative and creative scope; provide new arguments and/or new forms of expression, formal innovations, interpretations and/or insights; collect and engage with novel types of data; and/or advance theory or the analysis of doctrine, policy or practice, and new forms of expression.

- **Significance** will be understood as the extent to which the work has influenced, or has the capacity to influence, knowledge and scholarly thought, or the development and understanding of policy and/or practice.

- **Rigour** will be understood as the extent to which the work demonstrates intellectual coherence and integrity, and adopts robust and appropriate concepts, analyses, sources, theories and/or methodologies.

Challenges

- **Qualitative review**: It is recognised that a qualitative review process, informed by disciplinary expertise and experience, can at times be subject to bias. Adopting a panel of reviewers and ensuring that any output is reviewed by at least two panel members with transparent arrangements for moderation should mitigate against bias. Metrics can also be used to inform these processes in accordance with recognised guidance, in ways that are appropriate to the discipline/subject area and to guard against such bias. Metrics will never be used as the primary form of assessing outputs.

- **Anonymity**: Outputs are not rendered anonymous and even if they were, it may be possible to determine authorship, meaning reviewers will know the names of the authors. The review process using more than one reviewer, and cross-University reviewers as appropriate should mitigate against any potential bias based on known or detected authorship.

Process

This process relates to the assessment of outputs underpinned by a process of research.

Step 1: Output review panels operate at School level and are broadly aligned with the Research Excellence Framework (REF) units of assessment to which the University is developing a submission. School Associate Deans for Research (ADRs) will have ownership of this aspect of the process. For some discipline areas, the review panel will be hosted by a lead School and will draw from across the University to reflect the interdisciplinary nature of the research assessed by the panel. Suggested panel membership is included in Annex A of this document.

Step 2: Those leading the output review panels (ADRs or other appointed individuals) will receive a list of outputs generated over a six-month period. Panels will have discretion to determine which outputs are to be reviewed, based on conversations with authors and/or knowledge of individual outputs. To ensure a sustainable review process, the number of outputs will be limited to an average of three outputs per year, per author, though it is recognised that these may not be evenly distributed across years. This should be seen as an upper limit and not an entitlement quota. There will be some flexibility in this for given circumstances, such as for new starters at NTU.

Step 3: Each output will be assessed by two assessors, and then a final rating will be agreed though a process of moderation at panel level. Membership, structures, and specific processes operated by each panel will need to be approved by the relevant School Research and Innovation Committee and reviewed on a periodic basis.

Step 4: The outcome of assessments will be provided to output authors on behalf of the panel. Particular care should be taken to avoid identifying any individuals undertaking assessments for the panels in the outcomes provided. In cases where feedback is also provided, care should be taken to emphasise the developmental aspect and sign-post researchers to discussions with their line manager/ADR if required. ADRs should have access to feedback provided to output authors.

Step 5: Ratings are uploaded to Worktribe for use in REF planning and other purposes as required. The Research Governance Team will manage these data. ADRs will have access to the information held on Worktribe as will those leading output review panels.

Step 6: A sample of research outputs will be sent on a biannual basis to external assessors[3] aligned to disciplinary areas. Outputs to be sent for external review will be selected based on specific needs of each individual panel[4].

Step 7: Requests are made to the Research Governance Team for output assessment data. These must be made by relevant teams/colleagues to support pertinent institutional processes.

[3] These will be appointed based on their experience assessing outputs on national REF sub-panels. It is expected that a substantial majority of external assessors engaged by NTU will have relevant REF-related experience.

[4] Outputs may be selected for a number of reasons, including where they attract internal ratings at specific boundary thresholds or where the internal review process requires additional assessment to be undertaken for a rating to be awarded.

Output Review Panels

Panels will operate as follows:

1. Panels will assess outputs against criteria of originality, significance and rigour.

2. Authors will have the option to provide details of their contribution to the output as part of a wider/related body of research to inform the grading process where this is appropriate and/or required.

3. The timing of key milestones in the output assessment process will align as closely as possible with other NTU processes, for example having assessment data returned from panels in time to be available for end of year appraisal discussions.

4. Training for review panels can be facilitated where required. This can be delivered by NTU colleagues or external providers.

5. Work loading of output assessment panels will be considered through institutional workload allocation processes.

6. ADRs will work with relevant colleagues in each School to determine the shape and size of output review panels, ensuring equality, diversity and inclusivity issues are addressed. Output review panels will normally be made up of staff on the Teaching and Research pathway, though staff on other pathways and those holding non-academic contracts may be involved as appropriate. All members of output review panels will be asked to endorse the 'NTU Output Reviewer Expectations' document.

7. Members of the output review panels will be required to demonstrate that they are compliant with NTU's GDPR training. Panels will be supported to utilise metrics responsibly to inform review in accordance with NTU's Responsible Metrics Statement. In terms of the metrics utilised, assessors should be able to select the metrics from the NTU 'Menu of Metrics' which includes information on their advantages, disadvantages and potential uses.

Appointment of External Assessors

NTU review panels will be supported by external assessors selected for their discipline expertise and recognised experience as a reviewer and in accordance with NTU's commitment to diversity and inclusivity. All external assessors will be asked to endorse a statement of expectations to indicate their adherence to fair and proper assessment of published research outputs. By way of reciprocation, NTU will make clear how external assessors' ratings and feedback will be utilised.

Annex A

Proposed output assessment panel membership

*School ADR or nominee to chair the panel

- School Associate Dean for Research *
- REF UoA Coordinator or nominated lead in discipline area*
- Professors, Associate Professors and, exceptionally, Senior Lecturers and Professional Services staff with relevant experience and expertise, to reflect the size of the School/subject area and specialisms within it. EDI considerations to be reflected in the membership of this group, including academic pathways and career stages.
- Individuals affiliated with a REF UoA who have experience of reviewing research outputs.
- Other suitably qualified individuals affiliated with the discipline area who would enhance diversity and inclusivity within.

Appendix G

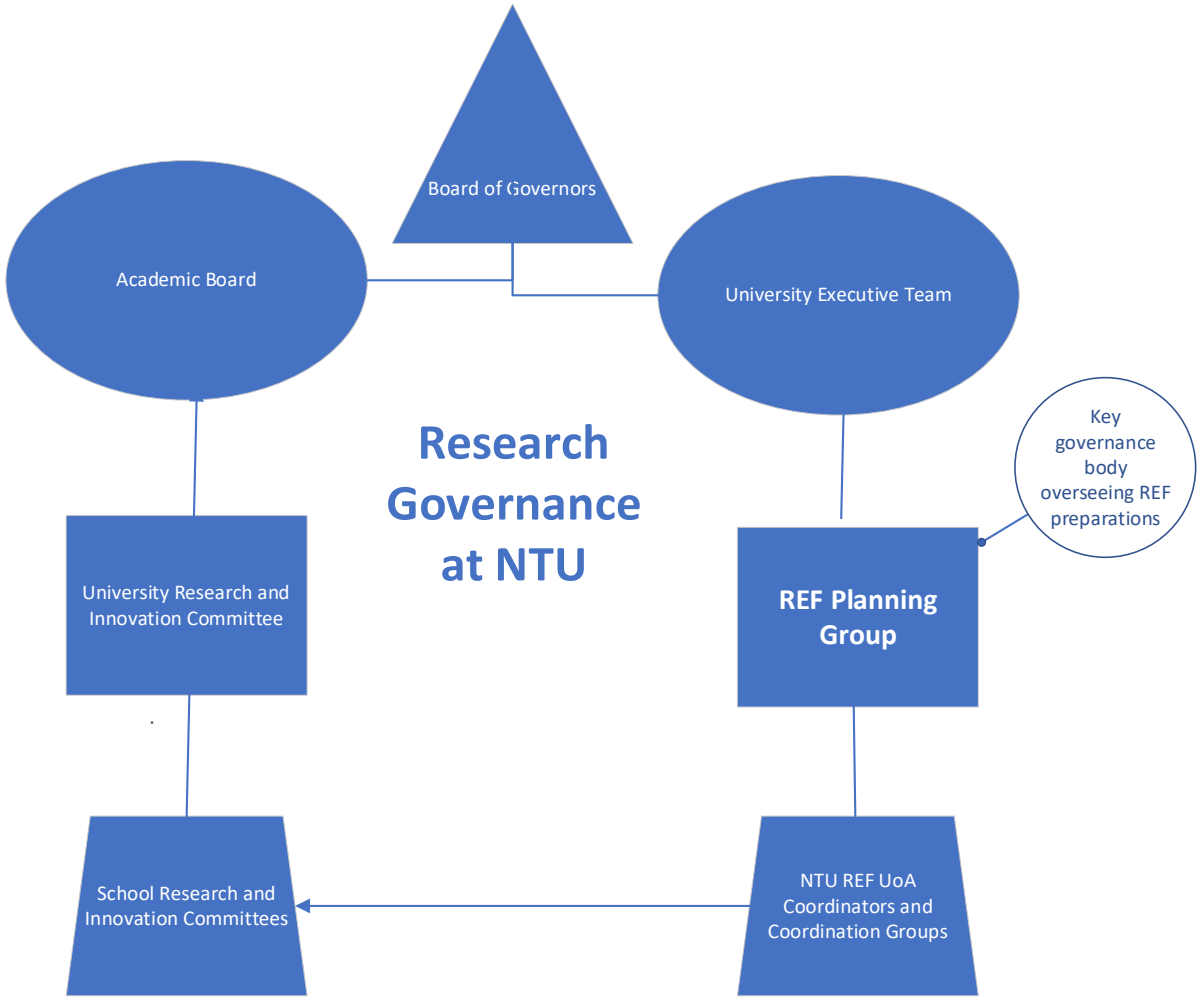
Alignment between NTU departments and UoAs to which the University is preparing a return

School	Department	Corresponding UoA
Nottingham Business School	Accounting and Finance	C17
Nottingham Business School	Economics	C17
Nottingham Business School	Human Resource Management	C17
Nottingham Business School	Management	C17
Nottingham Business School	Marketing	C17
Nottingham Business School	Strategy, Analytics and Operations	C17
Nottingham Law School	Academic Undergraduate Programmes	C18
Nottingham Law School	Vocational and Professional Programmes	C18
Nottingham School of Art and Design	Fashion	D32
Nottingham School of Art and Design	Design and Digital Arts	D32
Nottingham School of Art and Design	Fashion Textiles and Knitwear Design	D32
Nottingham School of Art and Design	Visual Arts	D32
Nottingham School of Art and Design	Visual Communications	D32
School of Animal, Rural and Environmental Sciences	No separate departments in ARES – single School	C14
School of Architecture Design and Built Environment	Civil Engineering	C13
School of Architecture Design and Built Environment	Architecture	C13
School of Architecture Design and Built Environment	Construction Management and Quantity Surveying	C13
School of Architecture Design and Built Environment	Property Management and Development	C13
School of Architecture Design and Built Environment	Product Design	C13
School of Science and Technology	Biosciences	A03
School of Science and Technology	Chemistry	B12
School of Science and Technology	Computer Sciences	B11
School of Science and Technology	Engineering	B12
School of Science and Technology	Forensic Science	B12
School of Science and Technology	Mathematics	B12
School of Science and Technology	Physics	B12
School of Science and Technology	Sports Science	C24

School of Science and Technology	Medical Technologies Innovation Facilities	B12
School of Science and Technology	Jon van Geest Cancer Research Centre	A03
School of Social Sciences	Criminology and Criminal Justice	C20
School of Social Sciences	Department of Humanities	D27/D28
School of Social Sciences	Journalism and Media	D27/D28
School of Social Sciences	Institute of Health and Allied Professions	C20
School of Social Sciences	Institute of Education	C20
School of Social Sciences	Institute of Languages and Intercultural Communication	D27
School of Social Sciences	Psychology	A04
School of Social Sciences	Social and Political Sciences	C20
School of Social Sciences	Social Work, Care and Community	C20

Appendix H

Research governance structures at NTU



List 1. Research Governance at NTU

- Board of Governors
  - Oversees REF preparations (key governance body)
  - Connected to:
    - Academic Board
    - University Executive Team
- Academic Board
  - Reports through:
    - University Research and Innovation Committee
      - School Research and Innovation Committees
- University Executive Team
  - Reports through:
    - REF Planning Group
      - NTU REF Unit of Assessment (UoA) Coordinators and Coordination Groups