Harper Adams University REF2021 Code of Practice

Part 1: Introduction

The Research Excellence Framework (REF) 2021 is the system put in place for assessing the quality of research in UK higher education institutions. Each Higher Education Institution making a submission to REF 2021 is required to develop, document and apply a Code of Practice.

The Harper Adams University (henceforth the University) Code of Practice has accordingly been developed and has been approved by the Academic Board. The Code of Practice sets out the process that, as a single Unit of Assessment, the University will follow for selecting staff for inclusion in its submission to REF 2021. The Code of Practice covers how individual staff circumstances will be managed, the timetable that will be followed and how information will be communicated.

The Code of Practice has been prepared in such a way as to ensure that the University will adopt a fair, evidence-based and transparent process. The process will ensure that all eligible staff are considered whilst avoiding discrimination and adhering to appropriate legislation. The Code of Practice has been developed following consultation across the University including with key committees and Union representatives.

The REF 2021 submission will be a single UoA institutional submission which ultimately addresses the requirements of Research England.

The University does not intend to use staff selection or non-selection in any other decision–making process. Whether staff have, or have not, been included in our REF submission will not be used by the University as a measure of research performance of an individual member of staff, lead to any contractual changes nor will it be regarded as material to the University's promotion procedure.

The University Code of Practice has been developed in line with our Equality and Diversity Policy which supports the University's commitment to eliminating discrimination and promoting diversity and equality of opportunity in its practices, policies and procedures.

This policy sets out provisions encompassing all areas of equality and diversity across the University and provides for the coordination and implementation of the University's strategic objectives in this area as set out in its Vision and Strategic Plan as amended from time to time. The University will continue to develop other policies to support this Policy and specific areas of equality and diversity, as appropriate. This Policy was developed by the Human Resources Department in consultation with the University's main stakeholders, including the University and College Union (UCU) and the Staff Consultative Group.

Since our submission to REF 2014, the University has taken steps to broaden the research base amongst academic staff and now has a higher proportion of research active staff in what has historically been a teaching focused institution. This has been achieved through new appointments and also by greater engagement and involvement of staff through in-house training, particularly of early career researchers.

The University is committed to making the REF preparations and submission fair and transparent and will communicate the Code of Practice and selection procedure to staff. This will be achieved by:

- The Code of Practice will be available on the Harper Adams University webpage at http://www.harper-adams.ac.uk/research/ref2021.cfm

- The Chair of the REF Steering Group (Deputy Vice-Chancellor) will individually e-mail all academic members of staff and send a copy of the Code of Practice and timetable for completion of the REF 2021 exercise.

- Staff who are absent from work for an extended period will be sent hard copies to their home address.

- Briefing sessions on the Code of Practice will be offered to staff during the Autumn term 2019.

- The outcome of the selection process will be communicated to staff through the Chair of the REF Steering Group.

Part 2: Identifying Staff with Significant Responsibility for Research

The University has historically operated predominantly as a teaching-focussed institution. In common with other post-1992 institutions the University has an established workload planning model in operation that records 550 hours of an academic's workload. This specifies that formal scheduled teaching responsibilities should not normally exceed 18 hours in any week or a total of 550 in the teaching year. The plan effectively acts as a resource allocation model for teaching commitments and other defined tasks. Research is recorded as a defined task within the workload planning model where a) staff are in receipt of externally sourced research income, b) supervise postgraduate research students or c) have received remission from teaching to undertake 'pump-priming' research activity.

The Heads of Departments (HoDs) in conjunction with their respective Associate Heads of Department (AHoDs) for each of the five academic departments at the University have responsibility for allocation of an individual lecturer's time. A Workload Forecast (WLF) Review Group is responsible for ensuring consistency across the University. Transparency is achieved through publication of all Workload Plans on the University intranet.

The University intends to define 'significant responsibility for research' as those staff that have research activity allocated to them on the Workload Plans that exceeds 5% of their time in the two academic years prior to submission and will not normally submit staff who are solely engaged in teaching or are below this threshold. This methodology is fully auditable through the University Workload Plans. As a single UoA, there will be no variation across the University in how this selection criterion is applied.

Figure 1: Process for identifying staff with 'significant responsibility for research'

AHoDs/ HoDs	→	Workload Plans	→	WLF Review Group	→	REF Steering Group	→	Academic Board

Stages of approval

Approximately half way through each academic year, HoDs/AHoDs begin the process of drafting the Workload Plan (WLP) for the following academic session. WLPs are reviewed by the Workload Forecasting Review Group before the start of the academic year to ensure consistency of approach across the University (and in our case, consistency for a single REF UoA) and are reviewed again towards the end of the academic session to ensure consistency

has been maintained. The Workload Forecasting Review Group will forward names to the REF Steering Group of staff who fall in to one or more of categories a-c, outlined above, in both of the two years prior to the submission date in 2020 and also staff who fall in to categories a-c for only one of those years. The REF Steering Group will review and confirm staff identified as having a 'significant responsibility for research', will ensure that the correct process has been followed and will, in turn, make a recommendation of inclusion/exclusion of staff to the Academic Board. The University will use discretion where an individual staff member has not met the minimum threshold for inclusion over the two year period leading up to the submission date in 2020 where a) the member of staff has recently been appointed to the University b) where the staff member has only recently become research active and does not meet the required criteria for both of the two years or c) has applicable circumstances. This discretion will be exercised by the Academic Board.

The timetable for decision making is outlined below.

Applicable circumstances

For our previous REF 2014 submission, HAU staff members were required to submit four outputs unless they had circumstances that may have restricted their research productivity over the REF period. Maternity leave, illness, disability, caring responsibilities were some of the examples of an individual's reduced capacity to undertake research. In these situations, the number of outputs required by an individual was reduced on a sliding scale based on the nature of the circumstance.

For REF 2021 the situation is different. In place of four outputs per person, our Unit of Assessment is required to submit a specific number of outputs based on the number of staff members who have a 'significant responsibility for research', with each individual submitted having at least one output allocated to them, with a maximum of five. As a consequence of this, additional measures have been put in place to recognise the effect that equality-related circumstances may have on HAU staff research productivity.

Outcomes

The outcomes of the process depend on the nature of staff circumstances.

Managing staff expectations

HAU will ensure that our submission will recognise the effect that circumstances have had upon a staff member's research productivity in our expectations of the staff member's contribution to the output pool. This will be achieved through a meeting with the Head of HR.

Remove the minimum of one requirement

The requirement for a minimum of one output to be submitted can be waived where it can be demonstrated that staff have:

- Been absent from research for an overall period of 28-46 months or more, or have circumstances equivalent to 28-46 months or more absence from research, within the period 1 January 2014 to 31 July 2020, due to one of more of the circumstances set out below.
- Two or more qualifying periods of family-related leave.

AND

- The effect of these circumstances are that staff have been unable to produce an eligible output published in the census period.

In these cases, HAU staff will be submitted with zero outputs and the total number required for submission by our Unit of Assessment will be reduced by one.

Unit reductions

Whereas for REF 2014 when reductions were applied at an individual level, for REF 2021 they will be applied at a Unit of Assessment level. The reason for this is that REF feel that there is sufficient flexibility in the new approach for the submission of outputs (when combined with the provisions for removing the minimum of one) to cover most circumstances. However, if HAU feels that when taken together the cumulative effect of the circumstances of our staff will disproportionately impact on the pool of available outputs, then HAU may make a case to the REF to submit fewer outputs.

Disclosure and review process

HAU considers that individual staff members are in the best position to consider whether their circumstances have affected their research output productivity during the REF assessment period. Staff should not feel compelled to declare anything if they do not wish to do so.

Staff wishing to declare circumstances should do so on the online form. To enable a judgement to be reached as to whether an adjustment should be made, sufficient evidence-based information should be provided, (although HAU and the REF will accept individuals' self-descriptions of their circumstances).

The process will be confidential and administered by Human Resource staff. Information provided by staff will not be used for any other purpose, and will not be passed to line managers without explicit consent from staff members.

Any submitted disclosures will be reviewed after internal HAU deadlines of 22 November 2019, and 17 January 2020 as HAU will need to submit requests to the REF by March 2020. If required, there will be a further opportunity for new starters to declare circumstances.

Circumstances that are clearly defined and do not require a judgement will be processed by the REF Panel Coordinator (ECR, secondments or career breaks, family-related leave etc).

More complex circumstances that require a judgement to be made will be considered at the next meeting of the REF Panel

Disclosure form

REF rules do not allow HAU to use any other source of information regarding equality-related circumstances that staff may have provided previously for other reasons. The Disclosure Form is therefore the only mechanism for equality-related circumstance to be considered for REF purposes.

Eligible circumstances

The REF has defined the following equality-related circumstances which, in isolation or together, may significantly constrain HAU staff's ability to produce outputs or to work productively throughout the assessment period.

Qualifying as an early career researcher (ECR)

ECRs are defined as Category A Eligible staff who started their career as an independent researcher on or after 1 August 2016.

- To remove the minimum of one output then staff must have first met the criteria of an ECR on or after 1 August 2017 (and have no eligible outputs).
- When a unit-level reduction has been approved, then the number of outputs that may be reduced for each ECR as follows:

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

Secondments or career breaks

Absence from work due to secondments or career breaks of at least 12 months outside of the HE sector and in which the individual did not undertake academic research.

- To remove the minimum of one output then staff must have been absent for at least a total of 28-46 months (and have no eligible outputs).
- When a unit-level reduction has been approved, then the number of outputs that may be reduced for each staff member's total absence is:

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

Family-related leave

Statutory maternity leave or statutory adoption leave taken substantially during the period 1 January 2014 to 31 July 2020, regardless of the length of the leave. Additional paternity or adoption leave, or shared parental leave lasting for four months or more, taken substantially during the period 1 January 2014 to 31 July 2020. Shorter periods of such leave can be taken into account when there are additional circumstances equivalent to absence (see below).

- To remove the minimum of one output then staff must have had two qualifying periods of family-related leave (and have no eligible outputs).
- When a unit-level reduction has been approved, then the number of outputs that may be reduced by 0.5 for each discrete period of family-related leave.

Circumstances equivalent to absence

Circumstances with an equivalent effect to absence include:

- Disability
- Ill health, injury, or mental health conditions
- Constraints relating to pregnancy, maternity, paternity, adoption or child care that fall outside of, or justify the reduction of further outputs in addition to, the allowances made above,
- Other caring responsibilities
- Gender reassignment
- Other circumstances relating to the characteristics protected by employment legislation.

HAU will need to make a judgement about the effect of such circumstances, including in combination with those above, in terms of the equivalent period of time absent and apply the reductions to approved unit requests as set out below.

To remove the minimum of one output then staff must have been absent for at least a total of 28-46 months (and have no eligible outputs).

When a unit-level reduction has been approved, then the number of outputs that may be reduced for each staff member's total absence is:

Total months equivalent to absence between 1 January 2014 and 31 July 2020	Output pool may be reduced by up to
Fewer than 12 calendar months	0
At least 12 calendar months but less than 28	0.5
At least 28 calendar months but less than 46	1
46 calendar months or more	1.5

Combining circumstances

If staff have had a combination of circumstances then these may be accumulated up to a maximum unit-level reduction of 1.5 outputs. Only one circumstance can be taken into account for any period of time during which they took place simultaneously.

Procedures for appointing designated staff and Committees

Of those individuals and committees involved in identifying staff with significant responsibility for research, all are currently in place and have met, with the exception of the reconstituted REF Steering Group and the currently vacant post of Research Coordinator (which will be filled through open competition shortly).

HoDs/AHoDs are usually appointed in to post on a fixed term appointment.

The Workload Forecasting Review Group has been established following an external review of the University WLP process by KPMG and includes those responsible for creating WLPs, the Resources and Financial Planning Manager (Finance Department) and a nominated member from UCU (see Appendix 1).

The REF Steering Group has been reconstituted following an invitation to participate to all the University Professoriate (of whom 6 have self-nominated) and includes the University Head of HR and Research Grants Administrator as Secretary (see Appendix 1).

The Academic Board's constitution is shown in Appendix 1.

The Workload Forecasting Review Group will provide data on staff with a significant responsibility for research to the REF Steering Group. The REF Steering Group will ultimately make recommendations to the Academic Board. The Academic Board (chaired by the Vice-Chancellor) will make the final decision on inclusion/exclusion of staff for submission.

Terms of reference for all committees involved in the REF submission process are shown in Appendix 1.

The procedures for appointing designated staff are:

1. For roles within the University and those involved in the process of preparation for REF 2021, roles have been filled though open competition and measured against a set of essential and desirable criteria. The policy and guidance for recruitment is covered in Appendix 2.

2. Internally recruited roles e.g. AHoDs are advertised via an all staff email and expressions of interest and CVs are requested. Candidates are interviewed by the DVC and relevant HoD and an offer made to the preferred candidate.

Records of all committees involved in the process of staff identification and selection of outputs will be maintained by the Research Grants Administrator acting as Secretary for these committees.

The inter-relationship of key committees within this process are shown in Figure 2.
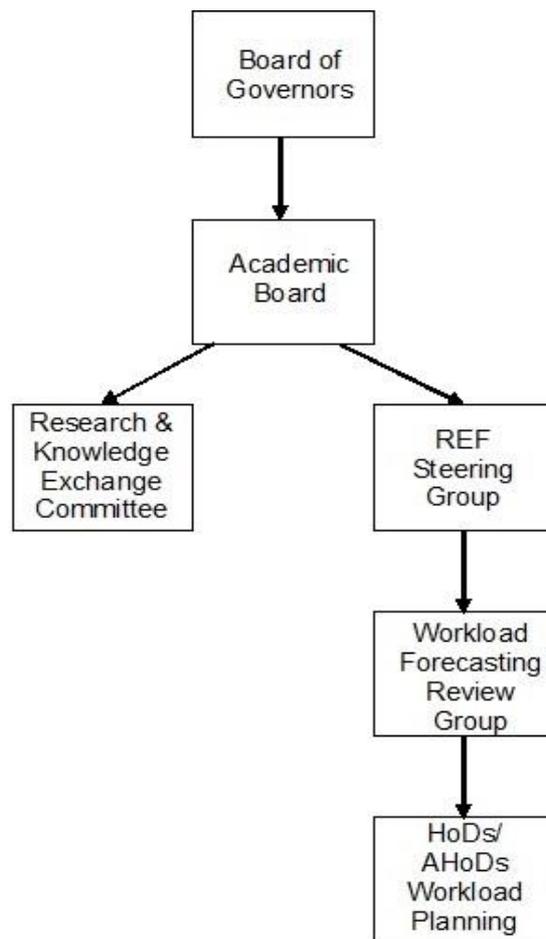
Training

All staff at the University undertake Equality and Diversity training. The WLF Review Group and REF Steering Group members will receive additional training prepared by the Equality Challenge Unit (Research Excellence Framework Equality) and delivered by the Human Resources Officer responsible for Equality and Diversity, Mrs Jackie Cameron. This will provide a clear awareness of guidance on the legislative context for REF 2021, and the relevant policies within The University relating to equality and diversity.

Training of research active staff in self-assessment of the quality of outputs was delivered in 2018 by Professor Peter Mills (DVC) who was an output assessor for UoA 6 for REF 2014. Training involved use of case studies.

Appeals

A REF 2021 Appeals Panel will be created. The panel will decide if there is sufficient evidence to warrant reconsideration of decisions made by the REF Steering Group and subsequently approved by Academic Board.

Figure 2: Institutional management structure of key committees

The REF Appeals Panel will compose;

University Secretary

Director of Learning and Teaching

A representative from Human Resources (not involved elsewhere in the REF 2021 process)

Panel members will receive training prepared by the Equality Challenge Unit.

Staff members will be given an opportunity to appeal following the outcome of decisions made by the REF Steering Group prior to final submission.

An appeal will constitute a written submission that will outline the grounds for appeal to include evidence to substantiate the appeal. Appeals will be submitted to Human Resources who will normally convene an appeals panel within 10 working days of receipt of the appeal.

Outcomes

Staff who have appealed will normally receive a written response from Human Resources within 5 working days of Panel consideration. The Panel outcome will be;

- the appeal is upheld and the REF Steering Group will be informed of the outcome and requested to amend the original decision
- the appeal is dismissed and the REF Steering Group will be informed that the original decision would stand

There will be no further right of appeal within this process.

Grounds for Appeal

Following feedback to staff regarding inclusion/exclusion from the University submission, individuals who wish to appeal against the final outcome are able to do so as outlined above. However;

- Appeals will not be accepted on the basis of an individual wishing to be excluded from the submission.
- Appeals will be limited to issues of potential bias. This could include the belief that there is prejudice against a particular field of research or methodology.
- Appeals will be accepted if individuals believe that special or complex circumstances have not been applied appropriately such that they have been excluded from the submission.
- Appeals will be accepted if individuals believe that our stated procedure has not been adhered to.
- Individuals will be encouraged to have informal discussions with HR staff prior to an official appeal.

If necessary, a staff member appealing against a decision on the grounds of special or complex circumstances, or on the final outcome of selection will additionally be able to meet with the Vice-Chancellor (who will also have received training prepared by the Equality Challenge Unit) and be accompanied by a local UCU representative or work-place colleague as part of the appeals process.

The timetable for appeals is included in the Timetable section below. Any appeals will be resolved before the REF submission deadline. Communication of the outcome of appeal decisions will be through the Head of HR.

Equality Impact Assessment

As part of the requirement of the Public Sector Equality Duty of the Equality Act 2010 to consider and understand the effect of our policies on equality, the University will undertake a rolling Equality Impact Assessment on all elements of the selection process: the Staff Selection Policy within the Code of Practice, the 'dry run' selection and the outcome of the process. This will take place over the 18-month period from July 2019 – December 2020. The impact assessment will compare the protected characteristics for which data are available for the group submitted with those not submitted. This assessment will determine whether the selection procedure has had a detrimental impact on particular groups. Results of this assessment may be used to inform and adjust the process outlined in this Code of Practice where deemed necessary.

The University recognises that as a small institution with a small group of staff with a significant responsibility for research that comparator pools may be more challenging to identify and/or statistically less meaningful. Every attempt will be made to produce meaningful assessments.

Timetable

1. 2015-18: Ongoing quality assessment of outputs by previous REF 2014 output assessor

2. April 2019: Commence Equality Impact Assessment on REF Staff Selection Policy.

3. May 2019: Code of Practice drafted and discussed at Research and Knowledge Exchange Committee, Workload Forecasting Review Group, Academic Board and with local branch of UCU at Joint Consultative and Negotiating Committee

4. June 2019: Code of Practice submitted

5. August 2019: REF Steering Group undertake dry run of selection based on assessments conducted to date.

6. October 2019: Code of Practice communicated to staff

7. October 2019: Further Equality Impact Assessment conducted on outcome of dry run selection (to be used to determine any required adjustments to avoid discrimination).

8. October 2019: Staff invited to disclose any clearly defined or complex circumstances.

9. November 2019: Returns accepted on any clearly defined or complex circumstances.

10. November 2019: Peer review committee established and review of process of outputs selection commences.

11. December 2019: Appeals against decisions made on clearly defined and complex circumstances to be invited

12. January 2020: Outcome of appeals to be promulgated.

13. January 2020: Outputs of peer review committee to be submitted to the REF Steering Group.

14. April 2020: REF Steering Group to finalise draft list of staff to be included in submission (decisions on a small number of staff may still be outstanding at this stage).

15. May 2020: Academic Board make final decision.

16. May 2020: Staff notified individually of decisions by Academic Board (for a small number of individuals, a decision may be delayed and these individuals will be informed if this is the case).

17. Within one month of notification date; appeals lodged.

18. July 2020: Appeals completed.

19. November 2020: Submission date.

20. December 2020: Further Equality Impact Assessment conducted on outcomes.

At any stage during the process, staff will be able to enquire from the REF Steering Group Secretary on the progress of the current position relating to their own circumstances.

Communication

The University is committed to making the REF preparations and submission fair and transparent and will communicate the Code of Practice and selection procedure to staff. This will be achieved by:

- The Code of Practice will be available on the University webpage at http;//www.harper-adams.ac.uk/research/ref2021/cfm.
- The Deputy Vice-Chancellor and Chair of the REF Steering Group will individually email all academic members of staff and send a copy of the Code of Practice and timetable for completion of the REF 2021 exercise.
- Staff who are absent from work for an extended period will be sent hard copies to their home address.
- Briefing sessions on the Code of Practice will be offered to staff during the Autumn term 2019.
- The outcome of the selection process will be communicated to staff through the Chair of the REF Steering Group.

Part 3: Research Independence

The University will consider all Category A eligible staff as those who have research only contracts and those who meet the 5% threshold by the census date outlined above to be independent researchers. Research Assistants and Postdoctoral Research Assistants will not be considered independent researchers unless they a) have significant responsibility for drafting of research proposals submitted to funders, b) are acting as principal investigator on an externally funded research project, c) are in receipt of a competitively won fellowship or d) lead on a work package within a large research project/programme.

The REF Steering Group will consider research independence and make recommendations to the Academic Board.

Staff and Committees are as outlined in Section 2.

Part 4: Selection of Outputs

Due to a relatively small population of research active staff, the University will adopt an inclusive approach to the selection of outputs as it did for REF 2014. Initially, staff members with the required number of outputs will be invited to take part in a Peer Review Panel. This Panel will make quality assessments of outputs. Outcomes of assessments by the Peer Review Panel will be submitted to the REF Steering Group which will resolve any issues of inconsistency. The REF Steering Group will have the responsibility for making the final recommendations of outputs to be submitted which will be ratified by the Academic Board.

Training of research active staff in assessment of the quality of outputs was delivered in 2018 by Professor Peter Mills (DVC) who was an output assessor for UoA 6 in REF 2014. Training involved use of case study materials.

Other training is as already outlined in section 2.

Staff who have left the University and have been determined as having significant responsibility for research will be included in our submission, but only including outputs published during their employment at the University or with the University as their affiliation.

Any staff who may be made redundant from the University will not be submitted.

The process outlined above has been approved by the Research and Knowledge Exchange Committee, the Workload Forecasting Review Group, Academic Board and the local UCU representatives through the Joint Consultative and Negotiation Committee (JCNC).

Procedures for taking into account staff with circumstances that have affected their ability to research productively throughout the period are covered in Applicable Circumstances in Section 2.

Staff and Committees are as outlined in Section 2.

As previously stated, an Equality Impact Assessment will be conducted on all stages of the process and will be used to inform the final selection of staff and outputs.

Part 5: Appendices

Appendix 1: Terms of Reference for Key Committees

1. Terms of Reference for Research Excellence Framework Steering Group

A.   Committee Constitution

There shall be a Research Excellence Framework Steering Group responsible for;

- Advising on strategic planning for the REF submission in the University
- Advising on the selection of staff with a significant responsibility for research
- Advising on the selection of research outputs for submission to REF

and with the following membership;

- Deputy Vice-Chancellor (Chair)
- Research Coordinator
- Research Grants Administrator (Secretary)
- Representatives of the University Professoriate (up to 6)
- Head of Human resources

B.   Committee Appointment and Tenure

Nominations for the REF Steering Group from the University Professoriate shall be invited by the Chair. Members shall normally serve for a 2-year period but are eligible for two consecutive full periods of membership. Provision shall be made for periodic (staggered) replacement of members and for co-option.

C.   Terms of Reference of the Committee

The Committee is empowered by the Academic Board to:

a. Take a lead in advising on the strategic direction for REF:

    i.   Strategic planning for REF
    ii.   Selection of staff with a significant responsibility for research
    iii.   Selection of outputs for submission to REF

b. Ensure appropriate training is received on Equality and Diversity

c. Invite disclosures for clearly defined or complex circumstances for consideration

d. Undertake a 'dry-run' selection and output assessment during the year proceeding a REF submission

e. Inform staff individually of inclusion/exclusion from the University submission via the Chair

The committee will meet at least three times annually and more frequently in the final 12 months prior to REF submission

D.   Committee Reporting Procedures

The REF Steering Group shall inform Academic Board by:

a. submitting an annual Report to the Spring Board meetings which shall include an evaluation of the preparation for the University REF

b. Provide recommendations on staff and output selection when required

2.   Terms of Reference for Research and Knowledge Exchange Committee

A.   Committee Constitution

There shall be a Research and Knowledge Exchange Committee responsible for;

- Advising on strategic planning of research in the University
- Advising on strategic planning of knowledge exchange activity of the University

and with the following membership;

- Deputy Vice-Chancellor (Chair) (Ex-officio)
- Research Coordinator (Ex officio)
- Research Grants Administrator (Secretary)
- Representative on Research and Knowledge Exchange from each Academic Department (5 in total)
- Chair of the Research Ethics Committee
- Senior Business Finance Partner (Ex-officio)
- Librarian (Ex-officio)
- Business Development Manager (Ex-officio)
- One elected postgraduate research student

B.   Committee Appointment and Tenure

Nominations for the Research and Knowledge Exchange Committee from Academic Departments shall be made by Heads of Department. Staff members shall normally serve for a three-year period but are eligible for two consecutive full periods of membership. Provision shall be made for periodic (staggered) replacement of members. Research students will elect representatives annually and those elected shall be eligible for re-nomination.

C.   Terms of Reference of the Committee

The Committee is empowered by the Academic Board to:

a. Take a lead in advising on the strategic direction for research including:

      i.   priorities for research and knowledge exchange activity and funding;
      ii.   multidisciplinary research and knowledge exchange activities;
      iii.   resources required for research and knowledge exchange;
      iv.   effective communication of research and knowledge exchange opportunities;
      v.   collaborative arrangements with other institutions;
      vi.   monitoring and evaluating the research and knowledge exchange activity, and output of the University.

b. Receive reports from the Research Degrees Committee and the Research Degrees Awarding Board.

The committee will meet three times annually.

D.   Committee Reporting Procedures

The Research and Knowledge Exchange Committee shall inform Academic Board by:

a. submitting Committee minutes to the next meeting of the Board, including recommendations and advice to the Board;

b. submitting an annual Report to the Spring Board meetings which shall include an evaluation of the research and knowledge exchange work of the University over the past 12 months informed by agreed performance indicators, together with annexes listing publications, research degree completions, registrations for higher degrees and knowledge exchange activities.

3. Terms of Reference for the Academic Board

The Academic Board, chaired by the Vice-Chancellor, is the main academic decision-making body of the University. It has circa 27 members, including student representatives and a member of the Board of the Governors, providing a link to academic decision- making within the institution. The Academic Board's responsibilities include learning and teaching, research, knowledge transfer and matters relating to student welfare. It also considers and contributes to major strategic developments and academic policies.

Extract from Section 2 *Academic Quality Assurance Manual*
Boards and Committees: Constitution and Terms of Reference

2.3 Academic Board
2.3.1 Academic Board Terms of Reference

The Academic Board is responsible for:

a. determining the direction of academic policy at the University;

b. developing academic plans that will inform the corporate planning process;

c. approving the academic elements of the Strategic Plan and the annual Corporate Planning Statement;

d. ensuring that the resource implications of academic planning and policy making are fully considered in relation to programme development and teaching, research and knowledge transfer activities;

e. maintaining oversight of the size and shape of the academic portfolio and, where appropriate, to take action to suspend or terminate recruitment to programmes;

f. considering the recommendations of the Programme Approvals Committee in relation to new course developments or revisions to existing programmes, in excess of 80 credits, and accepting, deferring or rejecting proposals as appropriate;

g. approving and monitoring the Learning and Teaching Strategy, Research and Knowledge Transfer Strategy, the International Strategy and the Access Agreement with the Office of Fair Access (OFFA);

h. approving new collaborative partners, involved in programmes in excess of 80 credits, and annual approval of the register of all collaborative partners;

i. maintaining oversight of the student experience;

j. determining criteria for the admission of students and approval of the Admissions Policy;

k. considering nominations for the award of Honorary Degrees and University Fellowships and making recommendations to the Board of Governors;

l. determining procedures for students to submit complaints;

m. advising on such other matters as the Governing Body or the Vice-Chancellor may refer to the Academic Board.

2.3.2 Constitution of the Academic Board

There shall be an Academic Board of no more than 27 members, comprising the Vice-Chancellor (who shall be Chair) and such other numbers of staff and students as may from time to time be approved by the Governing Body. The membership shall be as follows:

Ex-officio (8)

- Vice-Chancellor (Chair)
- Director of Academic Services (Secretary)
- Deputy Vice-Chancellor
- Director of International Policy
- Head of Educational Development & Quality Enhancement
- University Secretary
- Board of Governors' representative
- Chair of the Academic Standards Committee

Academic Board*
Research & Knowledge Transfer Committee*
Research Degrees Standards Committee*
Academic Standards Committee*
Programme Approvals Committee
Collaborative Programmes Management Committee
Research Ethics Committee
Research Degrees Awarding Board
Course Committees*
Course Assessments Boards
Subject Assessments Boards
Review and approval sub-committees: Validation Panels

* Denotes student membership

In addition to:
- Heads of Academic Departments (2)
- Elected representatives of academic staff (5)
- Elected representatives of students (3)
- Elected member of non-academic staff (1)
- Co-opted members in line with current strategic imperatives, within the maximum membership limit

2.3.3 Academic Board Tenure, Appointments and Elections

The period of appointment of members and the selection or election arrangements shall be subject to the approval of the Governing Body.
Members representing the academic staff and non-academic staff shall be nominated and elected by members of their constituency who are not ex-officio members of the Academic Board and shall serve for a period of three years and are eligible for re-election for one further three-year period only.
Co-opted members shall be nominated by the Chair for the approval of the Board.
The Vice-Chancellor may nominate a Deputy Chair from among the members of the Academic Board to take the Chair in the absence of the Vice-Chancellor.

4. Terms of Reference for Workload Forecasting Review Group

A. Committee Constitution

There shall be a Workload Forecasting Review Group responsible for;

- Reviewing academic Departmental workload plans twice annually to ensure consistency of approach across the University
- When required, to help identify staff for submission to the Research Excellence Framework

and with the following membership;

- Deputy Vice-Chancellor (Chair)
- Head of Crops and Environment Sciences Department
- Head of Animal Production, Welfare and Veterinary Sciences Department

- Head of Engineering Department
- Head of Food Technology and Innovation Department
- Head of Land, Farm and Agribusiness Management Department
- A nominated AHoD from one academic Department
- The Resources and Financial Planning Manager
- A nominated member from the UCU

B.   Committee Appointment and Tenure

Academic HoDs shall normally serve for their tenure as HoD. The nominated AHoD and UCU members shall normally serve for a 3-year period and may be eligible for a further 3-year term. Provision shall be made for periodic (staggered) replacement of members.

C.   Terms of Reference of the Committee

The Committee is empowered by the Academic Board to:

1. Take a lead in advising on the workload planning process

   a. To ensure consistency of tariffs across the University
   b. When required, propose changes to the tariffs

2. Take a lead in advising on identification of staff for submission to the Research Excellence Framework by;

   c. a. Identifying staff with a 'significant responsibility for research' through recognition on the WLP of staff with:

      i. Externally funded research
      ii. Supervision of PhD students
      iii. Providing remission for research where there is a need for 'pump priming'

The committee will normally meet twice annually but in preparation for the Research Excellence Framework may be required to meet more frequently

D.   Committee Reporting Procedures

The Research Committee shall inform Academic Board by:

a. submitting an annual Report to the Autumn Board meetings which shall include comment on the consistency of the use of the University Workload Plans over the past 12 months.

b. In the two years prior to the Research Excellence Framework submission, report to Academic Board on the process and progress towards identifying staff with a 'significant responsibility for research' for submission to REF.

Appendix 2: Recruitment Policy and Recruitment Guidance

1. Recruitment Policy

It is the University's policy to recruit staff in accordance with the need to fill long term permanent vacancies, temporary positions of fixed or short-term duration and to recruit the best person for each vacancy regardless of gender, sexual orientation, marital status, age, race, colour, ethnic or national origin, religion or belief or disability. Where appropriate, existing employees will be invited to apply for promotion opportunities within the University.

A. Procedure

1. Staff involved in the recruitment process at all levels must ensure that they comply fully with the Equality and Diversity Policy.

2. This procedure is supplemented by a number of Recruitment Guidance documents, which can be located on the HR pages of the portal. Guidance documents are as follows:

   i. Recruitment Guidance – Process to Recruit
   ii. Recruitment Guidance – Shortlisting and Selection
   iii. Recruitment Guidance – Right to Work Checks
   iv. Recruitment Guidance – Casual Workers and Casual Tier 4 (General) Student Workers
   v. Recruitment Guidance – International Staff

   A number of templates are also available for use as part of the recruitment procedure, which can also be located on the HR pages of the portal.

3. The recruitment process for all vacancies may not commence until a recruitment request form duly authorised by the relevant signatories has been received by the Human Resources Department. The recruitment request form should be supported by draft Particulars of Appointment, including job description, person specification and advertising copy, as appropriate.

4. Staff vacancies will normally be advertised externally and will be brought to the attention of existing staff by means of the internal notice boards and all staff e-mails.

   In certain circumstances such as in a redundancy situation or, where a post is regarded as offering a promotional opportunity for existing staff, the vacancy may be advertised internally only in the first instance.

   External advertising will be discussed with the recruiting manager and guidance offered by the Human Resources Department regarding the most suitable publications/websites in which to place job advertisements.

5. The recruitment information pack provided online via the e-recruitment page to prospective applicants should include:

   a. Particulars of the Appointment, including job description and person specification and containing:

      i. brief introduction to the University;
      ii. appropriate details of the functions and structure of the department and

<div style="padding-left: 4em;">

    the context of the post to be filled;

iii.   description of the post;

iv.   qualifications and experience necessary;

v.   a broad outline of conditions of service.

</div>

b.   Application form

c.   Equal Opportunities Monitoring Form

The contents of the recruitment information pack may be supplemented as appropriate to the particular vacancy.

6.   All applications for posts will be acknowledged automatically by e-mail via the e-recruitment system.

7.   Managers conducting the recruitment process need to be aware that nationals from any non- EEA countries (migrant workers) who apply for vacant positions within the University will require authorisation to work in the United Kingdom.

If the University is required to sponsor the migrant worker under the points-based system, there may be a considerable delay to the start date for the successful applicant.

The conditions and restrictions to employing migrant workers are subject to regular changes by UK Visas and Immigration. Further advice and guidance can be obtained from the Human Resources Department. It should be noted that it is a civil offence to employ a migrant worker who does not have the right to work in the UK. It is also a criminal offence to knowingly employ a migrant worker who does not have the right to work in the UK.

Further information can also be found at: www.gov.uk/topic/immigration-operational-guidance

8.   Shortlisting will normally be carried out by at least two members of the selection panel. In the case of senior posts shortlisting will also include input from the Board of Governors. Shortlisting records will be completed online by the shortlisting panel. It is important that shortlisting decisions are recorded on the electronic recruitment system.

Those applicants who are not selected for interview must be informed accordingly as soon as possible. This will be done by the Human Resources Department.

9.   External applicants invited for interview are to be sent a location map, advised where to report on arrival and given an outline of the interview programme. Appropriate staff (Receptionist/Security) are to be advised of the candidate names and interview arrangements.

10.   References will be taken for the selected candidate following interview. Satisfactory references must be received from the selected candidate's current or most recent employer plus one other referee before an offer of employment can be made. In the case of engagement of agency staff from 'temp to perm' references will be obtained as above.

11.   Where appropriate, skills tests may form part of the interview. Testing will only be

used if the test has been validated in relation to the post, is free of gender or racial bias and is administered and validated by a suitably trained employee or consultant.

12. A 'Panel Chair and Panel Member Interview Question Record', is included in the recruitment pack and should be completed by each panel member and retained for each candidate interviewed. A 'Panel Chair – Appointment Decision Record' should be completed by the Chair of the selection panel and forwarded to the Human Resources Department with all interview packs on completion of interviews. Where a presentation has formed part of the selection activity, relevant paperwork should also be completed to record decisions. Contracts of employment will not be issued until all appropriate paperwork has been completed.

13. When a suitable candidate has been identified, an offer of the post, specifying the salary (as approved in the recruitment request) will be made subject to any other specific conditions (e.g. Disclosure & Barring Certification) pertaining to the appointment. Ideally the offer should be made at the bottom point of the relevant pay grade, unless there is a justified rationale to offer at any point higher. In these cases, the rationale should be discussed with a member of the Human Resources Department before an offer is made.

14. In the case of internal promotions, the employee who is to be promoted must be made aware of the conditions attached to the promotion e.g. salary and benefits.

15. Unsuccessful candidates are to be notified of the decision as soon as possible. This will normally be undertaken by the Human Resources Department.

16. All documentation relating to applicants will be treated confidentially in accordance with the General Data Protection Regulation. Applicants have the right to access any documentation held on them in accordance with the act.

17. When a starting date has been arranged the Line Manager will be responsible for developing the individual induction programme and announcing the appointment. The Human Resources Department is responsible for providing joining instructions and for delivering the generic induction programme.

18. All permanent, temporary and fixed term appointments will be subject to satisfactory completion of a probationary period.

19. For academic appointments the application and duration of the probationary period will be determined by reference to the provisions of the nationally agreed contract, which is normally twelve months. For non-teaching posts the duration of the probationary period will normally be six months but may be longer for senior posts.

20. During the probationary period the new employee's progress and suitability for the post will be monitored and assessed by their Line Manager in accordance with the Probationary Review Procedure. The probationary period may be extended if there is any doubt about suitability for the post. The outcome of probationary reviews will be confirmed in writing to the employee.

B.   Policy Statement on the Recruitment of Ex-Offenders

1. As an organisation using the Disclosure and Barring Service (DBS) checking service to assess applicants' suitability for positions of trust, Harper Adams University complies fully with the Code of Practice and undertakes to treat all applicants for positions fairly.

It undertakes not to discriminate unfairly against any subject of a DBS check on the basis of a conviction or other information revealed.

2. Harper Adams University is committed to the fair treatment of its staff, potential staff or users of its services, regardless of race, gender, religion, sexual orientation, responsibilities for dependants, age, physical/mental disability or offending background.

3. We have a written policy on the recruitment of ex-offenders, which is made available to all DBS applicants at the outset of the recruitment process.

4. We actively promote equality of opportunity for all with the right mix of talent, skills and potential and welcome applications from a wide range of candidates, including those with criminal records. We select all candidates for interview based on their skills, qualifications and experience.

5. A DBS check is only requested after a thorough risk assessment has indicated that one is both proportionate and relevant to the position concerned. For those positions where a DBS check is required, all application forms, job adverts and recruitment briefs will contain a statement that a DBS check will be requested in the event of the individual being offered the position.

6. Where a DBS check is to form part of the recruitment process, we encourage all applicants called for interview to provide details of their criminal record at an early stage in the application process. We request that this information is sent under separate, confidential cover, to the Head of Human Resources at Harper Adams University and we guarantee that this information will only be seen by those who need to see it as part of the recruitment process.

7. Unless the nature of the position allows Harper Adams University to ask questions about your entire criminal record, we only ask about 'unspent' convictions as defined in the Rehabilitation of Offenders Act 1974.

8. We ensure that all those in Harper Adams University who are involved in the recruitment process have been suitably trained to identify and assess the relevance and circumstances of offences.

   We also ensure that they have received appropriate guidance and training in the relevant legislation relating to the employment of ex-offenders, e.g. the Rehabilitation of Offenders Act 1974.

9. At interview, or in a separate discussion, we ensure that an open and measured discussion takes place on the subject of any offences or other matter that might be relevant to position sought could lead to withdrawal of an offer of employment.

10. We make every subject of a DBS check aware of the existence of the Code of Practice and make a copy available on request.

11. We undertake to discuss any matter revealed in a DBS check with the person seeking the position before withdrawing a conditional offer of employment.

12. We have a written policy statement on the secure storage, handling, use, retention and disposal of Disclosures and Disclosure information, this is available on request from the Human Resources Department.

13. Having a criminal record will not necessarily bar an individual from working with the

University. This will depend on the nature of the position and the circumstances and background of the offences.

2. Recruitment Guidance

A. Overview

The University recognises that its staff are fundamental to its success. The University therefore needs to be able to attract and retain staff of the highest calibre and a strategic, professional approach to recruitment is essential to do this. The purpose of this guidance document is to provide a sound framework for the recruitment and selection of staff based upon the principles outlined below, which also meet the requirements of the University's Equality and Diversity Policy, the Equality Act 2010 and all other relevant employment legislation.

The guidance covers the steps that should be taken in order to recruit a new member of staff to the University. It is applicable to all staff recruitment except casual staff. Any employee who is involved in any aspect of the recruitment and/or selection of staff should be familiar with the contents of this document and follows the process as outlined. Ultimately it is the responsibility of the senior management in the University, including Heads of Departments, in conjunction with HR to ensure that this is the case.

B. Core Principles

- The University has a principle of open competition in its approach to recruitment.

- The University will seek to recruit the best candidate for the job based on merit. The recruitment and selection process should ensure the identification of the person best suited to the job and the University.

- The University wishes to encourage the recruitment of staff with disabilities and will make reasonable adjustments to all stages of the recruitment process and as required in order for a successful candidate with a disability to undertake the post.

- The University will ensure that the recruitment and selection of staff is conducted in a professional, timely and responsive manner and in compliance with current employment legislation.

- The University will provide appropriate training, development and support to those involved in recruitment and selection activities in order to meet these core principles. Any member of staff involved in the selection of staff should satisfy him or herself that he/she is appropriately trained and can comply with the requirements of this policy and procedure. As a minimum requirement any member of staff who takes part in any activity under this policy and procedure must first have completed the University's online Equality and Diversity and Unconscious Bias training. All panel chairs and ideally panel members should have completed a recruitment briefing by a member of the Human Resources team.

- The University will treat all candidates fairly, equitably and efficiently, with respect and courtesy, aiming to ensure that the candidate experience is positive, irrespective of the outcome.

- The University will promote best practice in recruitment and selection. It will continuously develop its recruitment and selection practices to allow new ideas and approaches to be

incorporated.

- The University will ensure that its recruitment and selection process is cost effective.

- If a member of staff involved in the recruitment process has a close personal or familial relationship with an applicant they must declare this as soon as they are aware of the individual's application and avoid any involvement in the recruitment and selection decision-making process.

- Recruiting Managers, Interview Panel Chairs and Interview Panel Members will ensure that the necessary documentation is completed at each stage of the recruitment process, utilising the template documentation provided by the HR Department.

- All documentation relating to applicants will be treated confidentially in accordance with the General Data Protection Regulations. Under these regulations, applicants will have the right to access any documentation held on them as part of the recruitment procedures.

C. Process to Recruit

There are a number of key stages in recruiting and selecting for a post. Preparation Stage

- The recruitment and selection process should not commence until a recruitment request form duly authorised by the relevant signatories has been received by the Human Resources Department. The recruitment request form should be supported with a job description, person specification and advertising copy.

- All new or changed posts must be formally reviewed by Human Resources using the HERA job evaluation tool and be appropriately graded before they are advertised in order to help ensure equal pay for work of equal value.

- If a recruiting manager believes that there may be potential difficulties in recruiting to a post they should contact the HR Department for advice and guidance on comparative market rates and options for appropriate action.

- If a recruiting manager believes that they may be selecting from an international field, they should familiarise themselves with the 'Recruitment Guidance - International Staff' document, carefully read sections four and five below in respect of meeting the Resident Labour Market Test and seek specialist advice from the HR Department.

Job Description and Person Specification

- A job description and person specification must be produced or updated for any vacant post that is to be filled. A template for both documents is available on the HR pages of the portal here. The job description should accurately reflect the main duties and responsibilities of the post. The person specification should state both the essential and desirable criteria in terms of skills, aptitudes, knowledge and experience, all of which should be directly related to the job and applied equally to all applicants. Care should be taken when writing the person specification to ensure that criteria used do not indirectly discriminate against certain groups of applicants. Please also see guidance in the 'Recruitment Guidance - Shortlisting and Selection' document.

Advertising

- As a minimum all positions will normally be advertised within the University. This will help maximise equality of opportunity and provide staff with opportunities for career

development, thus maintaining the skills and expertise of existing staff. Vacancies will be brought to the attention of existing staff by means of the internal notice boards and all staff emails.

- In certain circumstances such as in a redundancy situation or, where a post is regarded as offering a promotion opportunity for existing staff, the vacancy may be advertised internally only in the first instance.

- External advertising will be discussed with the recruiting manager and guidance offered by the HR Department regarding the most suitable publications/websites in which to place job advertisements.

- The template job advertisement should always be utilised.

- The recruitment information pack provided online via the e-recruitment page to prospective applicants should include a job description and person specification containing:

  o brief introduction to the University;
  o appropriate details of the functions and structure of the department and the context of the post of the filled;
  o description of the post;
  o qualifications and experience necessary;
  o a broad outline of the conditions of service;
  o application form;
  o Equal Opportunities Monitoring Form.

- The contents of the recruitment information pack may be supplemented as appropriate to the particular vacancy.

- All applications for posts will be acknowledged automatically by e-mail via the e-recruitment system.

- Managers conducting the recruitment process need to be aware that nationals from any non-EEA countries (migrant workers) who apply for vacant positions within the University will require authorisation to work in the United Kingdom. Please see further guidance below and in the 'Recruitment Guidance - International Staff' document.

- If the post is likely to attract international candidates, who are likely to require a Tier 2 (General) Certificate of Sponsorship to apply for permissions to work in the UK, the post must be advertised in line with UKVI requirements to meet the Resident Labour Market Test. (RLMT). Please see the 'Recruitment Guidance - International Staff' document and carefully read the section four below.

- If the University is required to sponsor the migrant worker under the points based system, there may be a delay to the start date for the successful applicant. The conditions and restrictions to employing migrant workers are subject to regular changes by UK Visas and Immigration. Further advice and guidance can be obtained from the Human Resources Department. It should be noted that it is a civil offence to employ a migrant worker who does not have the right to work in the UK. It is also a criminal offence to knowingly employ a migrant worker who does not have the right to work in the UK. Further information can also be found at: www.gov.uk/topic/immigration- operational-guidance. All Certificate of Sponsorship (CoS) applications will be subject to a check by an external legal adviser prior to submission to the Home Office via the Sponsorship Management System (SMS).

<u>Preparation for Interview</u>

- External applicants invited for interview are to be sent a location map, advised where to report on arrival and given an outline of the interview programme. Appropriate staff (Receptionist/Security) are to be advised of the candidate names and interview arrangements.

- References will be taken for the selected candidate following interview. Satisfactory references must be received from the selected candidate's current or most recent employer plus one other referee before an offer of employment can be made. In the case of engagement of agency staff from 'temp to perm' references will be obtained as above.

- Where non-EEA applicants have been shortlisted and invited to attend for interview, please make arrangements for one of the interview panel to be a member of the HR Department.

Guidance relating to shortlisting and selection is available in the 'Recruitment Guidance - Shortlisting and Selection' document.

D. Meeting the Resident Labour Market Test (RLMT)

If the University wishes to recruit a migrant worker to a skilled job that is not on the list of shortage occupations, we may only do so if the job is a genuine vacancy and we complete a resident labour market test (RLMT). If the RLMT is not met we cannot issue a Certificate of Sponsorship (CoS).

Definition: The **Resident Labour Market Test (RLMT)** is the process an employer must follow before employing a person who is not a permanent resident of the United Kingdom. The employer is required to show that no resident worker could be found to take a job. The only exception to showing that no suitable settled worker is available to fill the job is if the job falls within one of the PhD SOC Codes. For such PhD roles the most suitable candidate must be appointed. All vacancies must be advertised to settled workers for 28 calendar days. The advertising method for each role is determined by UKVI.

You must conduct a RLMT before assigning a CoS unless one of the following applies:

- the gross annual salary package for the job will be £159,600 or more;
- the individual is a current employee making a Tier 2 extension application to the same job;
- the job is on the UKVI shortage occupation list;
- the migrant is 'switching' in country from Tier 4 to Tier 2;
- the role is a supernumerary research position and the migrant has been made an award following a competitive process.

Advertisements

Advertisements used to support Tier 2 Certificate of Sponsorship must be placed for a minimum of **28 calendar days**. The four weeks do not need to be consecutive. For example, advertisements may be placed for two weeks in the first instance and if no suitable resident workers are found, the same advert must be placed for a further two weeks before a Tier 2 Certificate of Sponsorship can be issued. Each period of advertising must be at least seven calendar days.

You must produce two advertisements for the role in question and publish these to

approved recruitment platforms.

- If the salary is below £73,900 the job must be advertised on the government's 'Find a Job' system (previously Universal Jobmatch) plus one other medium.
- If the salary is above £73,900 or the role is classed as 'PhD level' the job does not need to be advertised on 'Find a Job' but must still be advertised in two places.
- As we employ over 250 permanent employees the advertisement can be placed on the Harper Adams University website.

Recruiting Manager Responsibilities

To comply with the RLMT standards, you must:

- base your advert on the template job advertisement. You <u>must not</u> remove any details from the standard job template but can add additional job specific elements where appropriate.
- include and clearly state in the advert any attributes to be used for shortlisting/appointment decision making.
- ensure that comments have been recorded on the electronic recruitment system at the point of shortlisting and that all interview notes and 'Panel Chair - Appointment Decision Record' form have been returned to the HR Department.
- ensure that the interview notes justify the appointment of the selected candidates. The notes must show that for PhD level jobs each shortlisted EEA candidate was less suitable than the selected candidate and for non-PhD level jobs no EEA candidate was suitable for appointment (i.e. did not meet the essential criteria for the post).
- **An offer of employment will not be made to the preferred candidate unless all completed and signed paperwork has been submitted to the HR Department.**

E. Defining the Vacancy and SOC Codes

The UKVI has a Code of Practice for Skilled Workers that the University must adhere to. The Code of Practice classifies jobs in terms of skill level and skill content. These classifications are listed as SOC codes.

When applying for a Certificate of Sponsorship (CoS) the University has to provide evidence to UKVI that the role the migrant is filling meets the required skill level and appropriate rate of pay as specified in the Code of Practice and subsequent SOC code.

The minimum skill level for the job must be **degree level or above (RQF level 6)**.

In practice, most jobs at or above Grade 7 **may** be eligible for sponsorship through Tier 2. Research Assistants and Teaching Associates may also be eligible. **Please discuss this with the HR department before commencing the recruitment process.**

For a job to be eligible, it must be matched against an applicable SOC Code as confirmation that it meets minimum skill level requirements. Appendix J of the Immigration Rules detail the SOC codes and the relevant minimum salary requirements.

When applying for a Tier 2 Certificate of Sponsorship, **the recruiting manager must have chosen the relevant SOC Code for the job that the sponsored employee will fill**.

It is good practice that, where a recruiting manager feels that a role can meet the minimum skills level and salary level to be eligible for sponsorship, the appropriate SOC code has already been identified at the start of the recruitment process. This will ensure that:

- it is known whether the job meets the minimum requirements for a Tier 2 visa; and
- the recruiting manager can ensure that the advertising and selection requirements meet the resident labour market test.

The SOC code tool will enable you to search for key words within the role to identify the correct code for your vacancy.

Academic and Research Vacancies

Where an appointment is made to an Academic or Research role, such vacancies will commonly be classified within a **PhD level** SOC Code (**Please note:** there is no requirement for those working in a PhD level SOC code to actually hold a PhD. It simply means that the work the person will do is skilled to that level).

Any start date of a successful candidate requiring sponsorship must be planned carefully and agreed with HR, as there is limited flexibility in amending start dates once the sponsorship process has started.

Appendix 3: Key Role Descriptions

A. Vice-Chancellor

For REF; Chair of the Academic Board (final decision making forum) and final arbiter for staff appeals.

B. Deputy Vice-Chancellor

For REF; Chair of REF Steering Group. Chair of Research and Knowledge Exchange Committee. Chair of Workload Forecasting review Group.

Specific Areas of Responsibility

The duties of the post are currently:

a) To develop and drive the strategic direction of the academic provision of the University and be responsible for the overall academic development plan, covering learning and teaching, research and third-stream activities

b) To lead and co-ordinate, at strategic level, the work of the University's academic departments and major strategic academic initiatives

c) To ensure that academic planning and learning and teaching provision at undergraduate and postgraduate level is clearly co-ordinated with research and third-stream activities in order to assist their respective development and to maximise the benefits arising from research and third-stream work in learning and teaching. In so doing, the Deputy Vice-Chancellor will work **with** those staff leading special initiatives in third-stream work and with the Research Co-ordinator, as well as with Heads of Academic Departments

d) To have strategic oversight of the University's curriculum, and resources required for the operation of the curriculum, and, with the assistance of the Curriculum Manager ensure that the University's academic portfolio is current, has due regard to the requirements of employers and is of rigorous academic quality

e) To ensure, in collaboration with the Head of Educational Development and Quality Enhancement and the Director of Academic Services and Academic Registrar, that adequate and appropriate procedures and processes are operated for the maintenance and protection of the University's reputation for high quality academic provision

f) To contribute to the strategic direction-setting for collaborative partnerships in learning and teaching, working with the Head of Educational Development and Quality Enhancement in the development and delivery of effective partnership arrangements

g) To oversee the development and successful implementation of the University's Research Strategy, working with the Heads of Academic Departments and the Research Co-ordinator, including:

   i) Research planning, the establishment of targets and the monitoring of outputs, including providing leadership to stimulate research activities
   ii) Securing research income from external sources
   iii) Collaboration in research with other HEIs and appropriate external organisations
   iv) Management of the University's role in complying with the concordat for contract research staff
   v) Production of management information and an annual report on research activities, together with the promotion of research more generally
   vi) Management of the University's Research Excellence Framework submission and such other returns on research activity required of the University

h) To lead the providers of key academic support facilities and services under the management of the Deputy Vice-Chancellor, to ensure that they satisfactorily support core learning and teaching, research and third-stream activities

i) To undertake teaching, from time to time, in specialist subject areas at undergraduate and/or postgraduate level so as to maintain contact with this aspect of the University's academic work. It is expected that such teaching will be of an occasional nature

j) To undertake research and third-stream activities in specialist subject areas and/or as part of a research team, so as to generally contribute to delivery of the University's Research and Knowledge Transfer Strategy. It is expected that the appointee will be able to contribute to external assessments of the University's research

k) To contribute, alongside other members of the management team, to the general strategic development of the University, including the formulation of the institutional Strategic Plan

l) To ensure that a watching brief is maintained with key external organisations so that the University's academic activities can be informed by external developments and the University is able to make suitable contributions to such developments

m) To chair or participate in appropriate committees and working groups necessary for the delivery of the duties required of the Deputy Vice-Chancellor

n) To act in an ambassadorial capacity for the University in external events and meetings, as required by the Vice-Chancellor or otherwise consistent with the duties of the Deputy Vice-Chancellor

o) To act as deputy on all University matters in the absence of the Vice-Chancellor, or as otherwise determined by the Vice-Chancellor

p) To undertake any other duties required by the Vice-Chancellor

C. Research Coordinator

For REF; Member of Research and Knowledge Exchange Committee. Member of REF Steering Group

- Provide line management to the Research Grants Administrators
- Provide line management to the Researcher Developer
- Responsibility for the approval of grant applications below £20,000
- Respond to Government and other research-related audits, surveys and strategy requests
- Provide REF Impact Case Studies
- To be a member of the REF Steering Group, including assessing papers
- Provide advice and assistance following ad hoc requests from Heads of Department (HoDs)
- Respond to staff requests for funding advice
- Liaise with Research Students Administrator on PhD student research seminar speakers
- Advise Research Students Administrator and liaise with staff research seminar speakers
- Respond to staff requests for PhD supervision advice
- Provide new PhD supervisor training
- Responsibility for PhD account authorisation
- Plan and Chair annual Research Forum
- Manage two funding consultants (EU and Social Science)
- Represent HAU at GuildHE CREST Research Leads meetings
- Attend funders' meetings
- Provide research induction for new staff
- Liaise with overseas consultants on research collaborations
- Respond, and deliver, to staff requests to give presentations/discuss research with visitors

- Provide specific PhD training sessions at Induction and Easter Programme
- Examine internal PhD 1st and 2nd year reports
- Examine internal PhD final theses
- Liaise with staff on their research development, proactively search for funding for them, and provide advice on application
- Attend Research and Knowledge Exchange (R&KE) Committee
- Attend Research Degrees Awarding Board (RDAB) Committee and Research Degrees Committee (RDC)

D. Head of Human Resources

For REF; Member of REF Steering Group. Responsible for Equality Impact Assessments.

Title of the post: Head of Human Resources Officer (permanent, full-time)

Department: Human Resources

Reporting to: University Secretary

Specific Areas of Responsibility

a) Develop and put into operation the next Human Resources Strategy, whilst ensuring that the current Strategy is delivered and monitored. The Human Resources Strategy will need to continue to be created in the context of the Strategic Plan for the University, and draw on guidance such as key reports produced by HEFCE and bodies such as the Equalities Challenge Unit;

b) Lead and Manage the Human Resources Team to ensure that the very best possible service is available to current staff and those seeking to join the organisation, with particular reference to:

- Organisational planning and development
- Human resource management information, systems and services
- Staff recruitment, selection and retention
- Employee relations/conditions of service/communication of employment policies and procedures
- Staff development including personal development planning, talent planning and succession
- Grading remuneration and benefits
- Staff support strategies
- Promotion and progression
- Occupational Health referrals and follow up
- Policy review and development
- Staff satisfaction survey and follow up action planning
- Establishing the University as an employer of choice
- Ensuring immigration regulations are fully met

c) Monitor developments in best practice and legal requirements so as to ensure that the systems and processes that are in place within the Human Resources Office are fit for purpose and can provide effective management data within set timescales and at short notice where required for both internal data needs as well as those set by external stakeholders such as HEFCE, or the Higher Education Statistical Agency (HESA);

d) Ensure that the Staff Handbooks and Staff Policies of the University are up to date and regularly reviewed;

e) Proactively promote good employment practice to all managers and staff and be able to work with managers to resolve staffing issues where these arise;

f) As required undertake case work and liaise with the University Secretary and the University's legal advisers;

g) Ensure that effective staff surveys are undertaken and that appropriate reports and action plans are developed and delivered as appropriate;

h) Provide regular formal reports to the Staffing Committee of the Board of Governors and such other reports as may from time to time be required by Staffing Committee and/or University Executive;

i) Ensure effective links with the Finance team to integrate systems and work collaboratively on payroll and pension matters in particular;

j) As part of the University Secretary's wider team, contribute to the work of that team including (where appropriate) supporting major University Events;

k) Assist the Vice-Chancellor and Clerk to the Governing Body in providing strategic advice to the Governing Body on staffing matters;

l) Represent the University, at the request of the Vice-Chancellor/University Secretary on appropriate national and sectoral bodies;

m) Undertake any other duties as required by the University Secretary or Vice-Chancellor.

Key Accountabilities

a) As a member of the University Secretary's Team, help shape the development of the University and establish appropriate strategic and operational plans in relation to Human Resources;

b) To effectively lead and manage the Human Resources Team, ensuring that the Team is meeting performance targets and delivering a high-quality service to all stakeholders;

c) To provide professional leadership to the University's Human Resources Team and to review and develop systems, policies and procedures as necessary to deliver high quality Human Resources Management and Personnel services to the wider University community and other external stakeholders;

d) To ensure that the Vice-Chancellor, University Secretary and other relevant senior colleagues are appraised of issues relating to personnel matters across the University and relevant external developments;

e) To promote a strong culture of excellence in the role of Head of Human Resources and to provide a positive role model for the University with internal and external stakeholders.

E. Research Grants Administrator

For REF; Secretary to Research and Knowledge Exchange Committee. Secretary to REF Steering Group. Responsible for record keeping.

The person appointed will be responsible to the Research Co-ordinator for the discharge of his/her duties which will include:

- identification and dissemination to academic staff of research funding opportunities;

- development and maintenance of databases of research funding opportunities, academic staff expertise and other relevant research-related information;

- working with academic and finance staff to prepare and submit research grant and contract applications;

- post-award administration of research grants and contracts in conjunction with finance staff, the Executive Assistant to the Vice Chancellor and other relevant staff;

- mapping the research environment and identification of potential external collaborations;

- any other research-related duties as may reasonably be requested by the Research Co-ordinator.

F. Human Resource Officer

For REF; Responsible for Equality training of all staff involved in the REF process

Title of the post: Human Resources Officer

Department: Human Resources

Reporting to: Head of Human Resources

This is an HR generalist role to provide a comprehensive, professional, HR Management and Staff Development service to the University community, which currently numbers some 580 staff. You will be required to provide pragmatic and timely advice and support on a wide range of people-related issues. The role also offers an opportunity to contribute to the University's continuously evolving HR agenda and to bring your own specialist knowledge to provide valuable input into the broader aspects of human resource management.

Your key responsibilities will be to:

- To maintain and develop knowledge of key employment legislation, draft policies and procedures as required and provide support, guidance and advice to line managers, as appropriate;

- To manage the people related aspects of any restructuring or major operational project work for the University;

- To coach/mentor and advise managers on cases and issues (both informal and formal) and provide options and solutions whilst assessing the risk to ensure appropriate resolution in a timely manner;

- To provide advice to managers in relation to Employee Relations issues including discipline, grievance, harassment and bullying, redundancy, fixed term contracts, DBS and UKVI;

- To work with our in-house legal adviser on complex and high-risk ER cases;

- To provide advice and support to line managers and staff on a diverse range of HR issues including conditions of service and staffing policies and procedures;

- To play an active role in the recruitment and selection process and act as HR representative on staff selection panels, as required;

- To identify and advise on any possible pay parity or job evaluation queries and provide input/challenge to managers to ensure proper consideration, fairness and consistency across the University;

- To conduct job evaluations (training will be provided) to ensure roles are appropriately specified and to ensure the integrity of the HERA grading system remains consistent;

- To actively promote the University's commitment to equality and diversity issues throughout the University;

- To assist in the identification of best practice within and outside of the HE Sector and its appropriateness in supporting staffing practices and procedures;

- To prepare letters of appointment and Principal Statements of terms and conditions of employment;

- To conduct new starter inductions as required;

- To produce bespoke and ad-hoc reports/data analyses as required;

- To undertake such other duties or assignments within the scope of the post as may be reasonably requested by the Head of HR.

G. Head of Department

For REF; jointly responsible for workload planning including allocation of hours for research with AHoDs

Main Duties and Responsibilities:

Strategic

- Provide academic leadership and act as Line Manager for the efficient planning, operation, monitoring and evaluation of the academic work of the Department.

- To develop research and knowledge transfer programmes by stimulating research and knowledge transfer activities, securing research income and collaborating in research with other University Departments, HEIs and appropriate external organisations.

- To provide an "external face" to industry, their representative bodies and academic/research bodies by promoting Harper Adams and the discipline of 'food' as appropriate.

- To implement and review agreed University and Department strategies and policies and prepare contributions for Strategic and Operating Plans, Annual Reports and reports to Governors.

- To ensure that the work of the Department is co-ordinated with activities in other Academic Departments to promote interdisciplinary approaches to the University's core functions.

- To plan, develop and manage physical facilities and their use specific to the department and in conjunction with other groups or departments where the facilities are shared.

- To generate additional funds to enhance the academic programmes and resources of the University, especially for the provision of new facilities.

Operational

- To lead staff in curriculum development; the recruitment and selection of students; examining and counselling students; research and consultancy (particularly in the winning of grants and contracts and the publication or research outputs); and meetings of appropriate boards and committees.

- To lead the development of new initiatives for teaching, research and reach-out activities as appropriate to the interests and expertise within the Department.

- To recruit, select, induct, appraise and develop staff in accordance with University policies and procedures.

- To manage, effectively, financial resources and delegated budgets. To formulate and co-ordinate bids for capital and recurrent funding.

- To hold regular Department meetings and promote open communication with and between staff, and to external organisations, about the Department's activities.

- To take the lead in promoting the Department and its activities within and beyond the University in conjunction with the University's Marking and Communications Department.

- To chair the Subject Board for the modules of the Department and liaise with external examiners.

- To take responsibility for all matters relating to health and safety within the Department.

- To undertake teaching, research and reach-out activities in specialist areas of expertise at undergraduate and/or postgraduate levels.

H. Associate Head of Department

For REF; jointly responsible for workload planning including allocation of hours for research with HoDs

Title of Post: Associate Head of Department (Head of Section)

Reports to: Head of Department

Responsible for: Assisting the Head of Department with the management of academic and related staff, courses, and other resources, within the relevant academic department

Main Duties and Responsibilities

Strategic

The strategic duties undertaken by the Head of Section will be determined in discussion with the Head of Department but may include:

- To provide (academic) leadership and act as Line Manager in the efficient planning, operation, monitoring and evaluation of the (academic) work of the Department

- To assist the Head of Department in implementing and reviewing agreed University and Departmental strategies and policies. Prepare contributions for Strategic, Operating and Departmental Plans; Annual Reports; and Reports to Governors

- To assist the Head of Department in ensuring that the work of the Department is coordinated with activities in other Departments, and to promote interdisciplinary approaches to the University's core functions

- To generate additional funds to enhance the academic programmes and resources of the University

- To manage physical facilities and their use specific to the Department, and in conjunction with other Departments where the facilities are shared.

Operational

The operational duties undertaken by the Head of Section will be determined in discussion with the Head of Department but may include:

- To assist the Head of Department in recruiting, selecting, inducting, mentoring, appraising and developing staff in accordance with the University's policies and procedures

- To assist the Head of Department in effectively managing financial resources and delegated budgets. To formulate and co-ordinate bids for capital and recurrent funding relating to the Department

- To assist the Head of Department in promoting open communication with and between staff, and to external organisations, about the Department's activities

- To assist the Head of Department in the development of new initiatives for teaching, reach-out and research as appropriate to the interests and expertise within the Department

- To assist the Head of Department in curriculum development; the recruitment and selection of students; examining and counselling students; research and consultancy; meetings of appropriate Boards and Committees

- To assist the Head of Department in promoting the department and its activities within and beyond the University, in conjunction with Marketing and Communications

- To assist the Head of Department with the efficient and effective operation of the Subject Assessment Board

- To take responsibility for all matters relating to the Health and Safety at Work Act within the Section

- To carry out other duties and responsibilities delegated by the Vice-Chancellor via the Deputy Vice-Chancellor and Head of Department

I. Financial Planning Manager

For REF; Member of Workload Forecasting Review Group

The post is critical to the achievement of the university's Strategic Framework for 2020, by developing quantitative analysis to ensure limited resources are allocated in a way to ensure that departments may deliver their strategic objectives and consequently strengthening the University's reputation.

A key objective of the post is to identify where staff resources are required to ensure that student experience is prioritised thus supporting teaching and research excellence together with new initiatives

Major Activities and Responsibilities:

Student Income and related Student Planning Data

- To be responsible for the efficient preparation of detailed student income and tuition fee waiver forecasts for the current financial year and for budgets and five-year forecasts liaising closely with Student Planning Officer and Head of Financial Systems and Performance providing data and analysis to utilise in the resource allocation model.

- To establish a partnership with academic areas to develop a close understanding of academic delivery models and therefore the consequences of student recruitment targets and sense check against current sources of income to ensure targets and forecasts are complete. To forge and maintain appropriate senior working relationships on an individual and function level.

- To keep up to date with current funding methodology for Home & EU students fees and grants and with international recruitment contracts and validate HEFCE grant with student numbers returns.

- To understand the data held within SITs and the Registry calendar of returns to ensure that financial forecasts are updated regularly using the most up to date data and have a working knowledge of SITS processes that impact student funding.

- To identify opportunities to improve the quality of student number forecasts for all students: UG, PGT, PG Res, Work force Development, and Short Courses for both accredited and non-accredited courses.

- To work in partnership with student planning officer to develop processes to enable reforecasting and budgeting of tuition fees, HEFCE grants to be undertaken as efficiently and as accurately as possible with the risks clearly understood.

- Assist with the redevelopment of all student income related Planning Office reports in the last using SITs reporting - Business Objects.

- Support the student related information needs of University's committees, and actively represent the Finance Team (and/or Registry) at appropriate University Committees, or working groups.

- Promote the use of HEIDI as an information tool to staff across the institution.

- Gain an understanding of Higher Education issues and undertake environmental scanning of sector, regional, national and international developments particularly.

- Identify the risks and principles of accounting policy regarding student income e.g. income recognition and cut off.

Institutional Staff Resources Planning

To lead a review of academic workload models and undertake analysis to ensure there is clear understanding of how institutional policy is applied to each academic department. To develop institutional workload policy as necessary to ensure consistency across the institution. Provide insight of academic costs to Commercial and Project accountant to ensure that project costing is accurate.

- Provide analysis to cost the delivery of undergraduate vs postgraduate modules / courses.

- To undertake wider analysis benchmarking to identify opportunity for efficiencies in academic /non-academic operation / management of staff.

- To maintain and update staff establishment and control staff budget preparation working closely with management accountant and head of financial management and planning.

Costing of Organisational Activity - TRAC, RAM and Farm Enterprise Costing

- To be responsible for the University TRAC return and submitting to HEFCE, benchmarking outputs with published data chairing institutional TRAC meetings and ensure record retention meets all requirements.

- Attending regional group and TRAC updates on behalf of the organisation and be the Harper Adams technical expert.

- To manage the TAS process and coordinate returns optimising accuracy and efficiency, advising the management accounts team of input data where they will need to update for operational changes.

- To provide training/instructions to ensure TAS records are accurately completed on a timely basis by academic colleagues.

- Maintenance of cost drivers for RAM and TRAC models working with the management accountants to be updated as a result of their close business partnering with budget holders.

- Compare TAS output to academic workload planning models and sense check the results.

  Development of efficient information flows to enable management accountants to report and forecast farm enterprise costs linking with TRAC for academic elements.

  Undertake general duties required of all Finance staff, including involvement in enrolment, and re-enrolment of students.

- To prepare periodic reports for Senior Management Group and Finance Committee.

- To undertake other duties as required by the Director of Finance.

General Duties

- To be a senior member of the Finance team and expected to lead discussion and recommend methods and processes in response to identified issues and then lead the team in implementing any changes for a successful delivery of agreed adjustments.

- To lead discussions and present at Finance team meetings and at other departmental meetings by invitation.

- Undertake general duties required of all Finance staff, including involvement in enrolment, and re-enrolment of students.

- To undertake other duties as required by the Director of Finance.