

The University of Nottingham

Research
Excellence
Framework 2021
Code of Practice

June 2019



Research Excellence Framework (REF): Code of Practice June 2019

| Contents | Page |
|---|-----------|
| Part 1: Introduction | 3 |
| 1. The University of Nottingham | 3 |
| 2. The REF Process | 3 |
| 3. Actions taken since REF 2014 | 4 |
| 4. The Legislative Context | 4 |
| 5. Equality Impact Assessment | 5 |
| 6. General Principles | 5 |
| 7. Communication Strategy for the Development of the Code of Practice | 6 |
| Part 2: Identifying staff with significant responsibility for research | 7 |
| 1. University Policy of Staff Return | |
| 2. Significant Responsibility Decision Making Process | |
| Part 3: Determining research independence | 8 |
| 1. Eligible Staff Selection Criteria | 8 |
| 2. Category A Eligible Staff | 8 |
| 3. Determining 'Independent Researchers' | 9 |
| 4. Process for Determining 'Independent Researchers' | 9 |
| 5. Category C Eligible Staff | 10 |
| 6. Allocating Staff to UOAs | 10 |
| 7. Governance | 11 |
| a. Terms of Reference and decision making process | |
| b. Procedures for appointing staff to committees | |
| c. Code of Practice Governance process | |
| 8. Training | 13 |
| 9. Independent Researcher Appeals | 13 |
| Part 4: Selection of outputs | 14 |
| 1. Eligibility of research outputs | 14 |
| 2. Selection of Outputs Process | 15 |
| 3. Attribution and Distribution | 16 |
| 4. Staff Circumstances | 16 |
| 5. Removing the 'minimum of 1' requirement | 16 |
| 6. Staff Circumstance Process | 17 |
| 7. Voluntary Declaration of Staff Circumstances Process | 17 |
| 8. Personal Circumstances Group | 18 |
| 9. Process of Communicating Results | 18 |
| 10. Absent Staff | 19 |
| 11. Staff Circumstances Appeals Process | 19 |
| 12. Support for Employees | 19 |
| 13. Part time Employees | 20 |
| 14. Fixed-term Employees | 20 |

Part 5: Appendices

| | |
|---|----|
| 1. Legislative Background | 22 |
| 2. Draft One Code of Practice: Consultation Form | 23 |
| 3. REF 2021 Unit of Assessment Co-ordinators Responsibilities | 24 |
| 4. Process for the Selection of REF Coordinators | 26 |
| 5. Terms of References: | 27 |
| a. REF Steering Group | |
| b. REF Outputs Operations Group | |
| c. REF Impact Operations and Advisory Group | |
| d. REF Environment Operations Group | |
| e. REF Systems and Process Group | |
| f. REF Staffing and Personal Circumstances Operations Group | |
| g. REF UOA Coordinators Operations Group | |
| 6. REF Equality, Diversity and Inclusion Training Plan | 38 |
| 7. Communication of Individual Staff Circumstances | 41 |
| a. Declaration of Individual Staff Circumstances Application Form | |
| 8. Personal Information | 46 |
| 9. UOAs to be returned | 47 |
| 10. All Equality Impact Assessments | 48 |
| a. EIA on the Terms of Reference for REF Committees – as at December 2018 | |
| b. EIA on Research Independence – as at December 2018 | |
| c. EIA on Selection of Outputs – as at March 2019 | |

Figures

| | |
|---|----|
| Figure 1: Committee Structure to Support their Delivery of REF with Level of Responsibility | 11 |
| Figure 2: Code of Practice Governance Route | 12 |
| Figure 3: Voluntary Declaration of Staff Circumstances Process | 17 |

Part 1: Introduction

1. The University of Nottingham

The University of Nottingham is a large teaching and research-intensive University, proud of its broad discipline base and long standing values. This document is underpinned by the University's Global Strategy 2020, Global People and Human Resources Strategy 2020 and Research Strategy. These strategies focus on the attraction, retention and motivation of individuals with high quality research credentials and providing them with an environment to successfully undertake their work. Equality, Diversity and Inclusion is embedded within these strategies and supporting processes.

As an equal opportunities employer the University seeks to create conditions whereby staff are treated solely on the basis of their merits, abilities and potential, regardless of age, disability, gender reassignment, race, religion or belief, sex, sexual orientation, marriage and civil partnership, pregnancy and maternity. At the time of writing this Code, the University is conducting a University wide consultation into the Equality, Diversity and Inclusion (EDI) Strategic Delivery Plan that will underpin the University Strategy. The University is committed to ensuring that EDI considerations are embedded across the University for all staff and students. The Code of Practice has been written with this in mind.

The Code of Practice applies to all those involved in the development and submission of the University's REF 2021 return. It provides a framework within which recommendations and decisions are made giving information about how the University will carry out its submission process. This is based on a strategy of 100% inclusion for all eligible staff (see General Principles, page 5, and Section 2).

The University's activities in support of the primary objectives of teaching and research are diverse. The University of Nottingham values its staff, and considers staff performance on the basis of a rounded contribution to teaching, academic service, and research (including work reflected in our REF submission).

2. The REF Process

The REF will be a process of expert review. Expert sub-panels for each of 34 units of assessment (UOAs) will carry out the assessment, working under the leadership and guidance of four main panels. In December 2019 the four UK higher education funding bodies will invite UK higher education institutions to make submissions to REF 2021 by 27th November 2020. Each submission, in each UOA, will contain a common set of data comprising:

- a) Information on staff in post on the census date, 31 July 2020, eligible for 100% submission;
- b) Details of assessable outputs that eligible staff have produced during the publication period (1 January 2014 to 31 December 2020);
- c) Impact case studies describing specific impacts that have occurred during the assessment period (1 August 2013 to 31 July 2020) that were underpinned by excellent research undertaken in the submitting UOA. The underpinning research must have been produced by the University during the period 1 January 2000 to 31 December 2020;
- d) Environment Data including data about research doctoral degrees awarded and income related to the assessment period 1 August 2013 to 31 July 2020;
- e) A completed template describing the environment for research and enabling impact for each submitting UOA, related to the period 1 August 2013 to 31 July 2020;
- f) An Institutional Environment Statement for the period 1 August 2013 to 31 July 2020.

As stated above, the deadline for submissions is 27 November 2020. Submissions will be assessed by the REF panels during the course of 2021. Results will be published in December 2021, and will be used by the higher education funding bodies to inform research funding from academic year 2022-23.

3. Actions taken since REF 2014

The University has experienced significant changes in its senior management structure and governance since REF 2014. The appointment of a new Pro-Vice Chancellor for Research and Knowledge Exchange in 2016 and the introduction of five new senior management positions (Associate Pro-Vice Chancellor for Research Strategy, Policy, Performance and REF, Associate Pro-Vice Chancellor for Graduate School and Researcher Career Development, Associate Pro-Vice Chancellor for Innovation, Impact and Business Engagement and Academic Leads for Impact and Environment) has led to change in the governance of REF. The University strengthened its Faculty structure in 2015-16 appointing Faculty Pro-Vice Chancellors to lead each of the five faculties. Each Faculty Pro-Vice Chancellor is supported by a Faculty Associate Pro-Vice Chancellor (APVC) for Research and Knowledge Exchange. All these senior staff provide support to the Pro-Vice Chancellor for Research and Knowledge Exchange in the management of REF preparation and submission.

A new Vice Chancellor was appointed and joined the University in October 2017 and has increased the focus on Equality, Diversity and Inclusion. This has led to the appointment of the first Pro-Vice-Chancellor for Equality, Diversity and Inclusion, who is responsible for leading and delivering the Equality, Diversity and Inclusion agenda for the University and is involved in the REF management processes. The PVC for Equality, Diversity and Inclusion has reviewed and revised the EDI processes and governance at the University. The EDI Board was replaced with the EDI Committee in the academic year 2018-19; this Committee is a sub-committee of the University Executive Board.

Six REF Operations Groups were introduced into the governance structure of REF, as detailed in Part 3: Governance section, to deliver different aspects of REF 2021 submissions.

With the introduction of new rules for REF 2021 submissions, the University procedure for managing REF preparations has been updated since REF 2014.

The University has implemented a Research Information System (RIS) for better management and audit of the REF data and seamless submission to REF 2021.

The University signed the San Francisco Declaration on Research Assessment (DORA) in January 2019. A working group on responsible publication metrics is preparing recommendations for the University Research Committee on ensuring responsible publication metrics are reflected in relevant University processes, with preparation for REF 2021 agreed as one of eight processes in focus. Our work on internal peer review is in line with the responsible metrics agenda, with actions concentrating on ensuring that use of metrics is appropriate, consistent and transparent at all levels. In this, we are being heavily informed by the principles of the Leiden Manifesto as well as DORA.

4. The Legislative Context

The University recognises its obligations as an employer under the following key equal opportunities legislation:

- The Equality Act 2010 (Gender Pay Gap Information) Regulations 2017;
- The Equality Act 2010;
- Part-time Workers (prevention of less favourable treatment) Regulations 2000 (amended 2002);
- Fixed-term Employees (prevention of less favourable treatment) Regulations 2002.

Further information on the legislation can be found in Appendix 1.

The University has seriously considered the legislative context and the EDI implications in writing this Code of Practice and making the REF 2021 submission. The Draft University EDI Strategic Delivery Plan has similar themes to the REF principles:

- Demonstrable equality in experience for all of our staff and students;
- Transforming the diversity and inclusive practice of our staff and student communities;
- Excellence and ambition in delivery of embedded EDI;

- The University, Nottingham, and our Global Community.

The Communication Strategy in section 7 below outlines the role that the EDI infrastructure has had on the development of the Code of Practice.

5. Equality Impact Assessment (EIA)

The University will undertake an analysis of the staff eligible for submission. The analysis will include age, disability, gender and race and will clearly indicate staff submitted as part of the REF. The University has limited information on staff sexual orientation or religious belief as part of its normal HR processes. The University will conduct a university wide preliminary impact assessment with breakdowns by unit of assessment six months before the final REF submission date which will enable the University to investigate any areas where there appears to be an imbalance. The Code of Practice has been subject to consultation within the academic community and the various University staff equality networks and staff representatives prior to its finalisation and submission to Research England.

The University will conduct a variety of other EIAs that will be adapted and developed through the processes to ensure that new data and changes in practice and policy are assessed. At the time of writing, the following EIAs have been developed and can be found in Appendix 10:

- EIA on the Terms of Reference for REF Committees – as at December 2018;
- EIA on Research Independence – as at December 2018;
- EIA on Selection of Outputs – as at March 2019.

6. General Principles

The following principles will be followed in all stages of preparing REF submissions:

1. **Transparency:** The processes for determining research independence and selecting outputs for inclusion will be transparent. The Code of Practice has been made available to all staff to input into during its creation and will be published on the University Website once finalised and agreed.
2. **Consistency:** 100% of eligible individuals will be included. Staff on Teaching and Research or Research Only contracts, provided they are independent as determined by the REF criteria, will be considered eligible. The detailed criteria and processes for determining REF eligible staff are set out in Part 3.
3. **Accountability:** The Code of Practice clearly outlines the staff and committees and their responsibilities that are involved in the different elements of the process of REF preparation and management so that all are clear about who is responsible and accountable for each element.
4. **Inclusivity:** The Code of Practice has been written and the REF processes delivered in line with the Universities Core Values and Principles:
 - Put students at the heart of the University;
 - Value all staff and support them to excel;
 - Focus on quality and excellence;
 - Value diversity and promote equality;
 - Think globally, deliver locally, and engage personally;
 - Take an international view across all our activities;
 - Sustain our commitment to being comprehensive, research intensive and socially responsible;
 - Enrich our heritage and build on the legacy of Sir Jesse Boot, to honour our public obligations to current and future generations of students, alumni and staff, and the communities in which we are embedded.

7. Communication Strategy for the Development of the Code of Practice

The University is committed to open and transparent communication with all staff including those on leave of absence and interested stakeholders. The University has consulted on the development of this Code of Practice. The details of the governance process that the University has followed to agree the Code of Practice is outlined in the Governance section of Part 3.

The first draft of the Code of Practice was shared in a consultation exercise with the University Community in December 2018. The consultation process provided the draft Code of Practice to stakeholders, inviting them to provide feedback, offering a dedicated contact for any questions, and offering attendance at meetings to provide further clarity. The first draft of the Code of Practice was shared with the Staff Network leads and the EDI Committee to ensure that opinions were sought about the EDI implications from the first draft. There was a meeting with the UCU Chair and UCU provided detailed feedback about the first draft.

To establish the opinions of the University community the consultation asked 3 specific questions, see Appendix 2. The consultation process was valuable and productive. The feedback from this consultation process led to changes in the University's Strategy, leading to the decision to return 100 per cent of Category A eligible staff, see Part 2, without recourse to the 'significant responsibility' provisions. From the consultation process and the *Final Guidance on Submissions REF 2018/01 January 2019*, the University decided to run a process, using the *Guidance* indicators of 'research independence' for 'Research Only' staff as test of eligibility, see Part 3.

The second draft of the Code of Practice was shared widely across the University Community in March 2019. The EDI Committee reviewed this and provided feedback prior to cascading. Opportunity to comment was offered to stakeholders, including staff networks, UCU and all Teaching and Research and Research Only staff. The final draft of the University's Code of Practice was amended based on further feedback and discussions. On 29 March 2019 REF Steering Group discussed the final draft and commissioned a group to review and make the final amendments. The amended final draft was circulated via e-mail to REF Steering Group, outlining the changes and was signed off by the Chair.

Much of the detailed work in preparing for REF 2021 is carried out within Schools and Faculties. At a Faculty level, APVCs for Research and Knowledge Exchange, REF Coordinators, Impact and Environment leads and professional services REF leads in Faculties are an important conduit and source of information both to and from the University Central REF Team.

Alongside this consultation, the Pro-Vice-Chancellor for Research and Knowledge Exchange, APVCs for Research Strategy, Policy, Performance and REF, Academic Lead for Impact and the REF Manager held a series of meetings with the relevant Faculty Pro-Vice Chancellors and their relevant leadership teams to identify issues and discuss interventions.

Part 2: Identifying staff with significant responsibility for research

1. University Policy of Staff Return

In accordance with the guidance in paragraph 135a, *Guidance on Submissions REF 2018/01 January 2019*, the University will return 100 per cent of Category A eligible staff to REF 2021.

2. Significant Responsibility Decision Making Process

Prior to the *Guidance on Submissions REF 2018/01 January 2019* the University considered and consulted on whether it should develop a process for identifying staff who do not have a significant responsibility for research as part of the First Draft of the Code of Practice.

The First Draft of the Code of Practice consultation supported the University's position to include 100 per cent of Category A eligible staff as outlined in the *Guidance on Submissions, REF 2018/01 January 2019*, It was therefore decided that no decision making process is required for identifying staff with significant responsibility for research.

Part 3: Determining research independence

1. Eligible Staff Selection Criteria

The University will submit all Category A eligible staff, including all staff on 'Teaching and Research' contracts and all staff on Research Only' contracts who satisfy the requirements for being an independent researcher.

2. Category A Eligible Staff

Within each UOA, Academic staff are determined to be Category A eligible staff who on the census date:

1. Have a contract of employment of 0.2 FTE or greater;
2. Are on a Teaching and Research contract; or
3. Are on a Research Only contract and satisfy the requirements of an independent researcher;
4. Are on the payroll of the University.

Additional criteria used when staff:

1. Have a *substantive connection* with the UOA and its disciplines.
 - I. Staff employed on a minimum fractional contract (0.2-0.29) need to provide a short 200 word statement evidencing the clear connection to the UOA. A range of indicators are not limited to but could include:
 - a. Evidence of participation in and contribution to the UOAs research environment;
 - b. Evidence of wider involvement in the HEI;
 - c. Evidence of research activity focused in the HEI;
 - d. Period of time with the HEI (past and future).
 - II. This statement will not be needed for staff with a 0.2-0.29 contract if they have:
 - a. Caring responsibilities;
 - b. Staff circumstances e.g. ill health, disability;
 - c. Reducing hours approaching retirement;
 - d. Reflects normal practice (e.g. joint appointment with industry).
2. Are *clinical academics* and:
 - I. The University is the primary employer;
 - II. They have two contracts – they should return for the contracted FTE with HEI.
3. Are on *unpaid absence or secondment outside the University* and are contracted to return within 2 years:
 - I. In these cases EITHER the staff OR their replacement may be considered Category A; and
 - II. Both staff can submit outputs but the FTE of the post should only be included once in the submission.
4. Are *pensioned staff* while continuing in salaried employment contracted to carry out research and meet the criteria 1, 2 and 3 above.

Potentially Category A Staff are staff on the census date who:

1. Are on *secondment to another HEI within the UK*.
 - I. Institutions should agree the portion of FTE returned by each with a minimum of 1 output each (these outputs could be the same or different);

- II. The FTE of any staff who cover the secondment should be included (up to the lower of 1 FTE or the total contracted FTE of the post);
 - III. The minimum of one output should also be met by the cover staff.
2. Have a *contract with more than 1 HEI*. In these cases the FTE must be divided by both HEIs to no greater than 1 FTE.
 1. The same or different outputs can be submitted.

To note:

- An individual who has a joint appointment within same HEI can only be submitted by 1 UOA.
- People serving notice period can only be submitted by their current employer.

3. Determining 'Independent Researchers'

Staff employed on 'Research Only' contracts must be independent researchers to meet the definition of Category A eligibility. For the purposes of the REF, an **independent researcher** is defined as an individual who undertakes self-directed research, rather than carrying out another individual's research programme.

The University will use the following **potential indicators of independence** as listed below:

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

In addition, for Main Panels C & D, the following attributes may apply:

- Being named as a Co-I on an externally funded research grant/award;
- Having significant input into the design, conduct and interpretation of the research.

Research Assistants (also described as postdoctoral research assistants, postdoctoral research fellows, research associates or assistant researchers) are defined as academic staff whose primary employment function is 'Research Only', and who are normally employed to carry out another individual's research programme rather than work as independent researchers in their own right (unless, exceptionally, they meet the definition of an 'independent researcher' above).

It is the responsibility of Faculty Pro-Vice Chancellors, working with their relevant leadership teams, to determine whether individual 'Research Only' staff within each UOA meet the criteria of 'independent researcher'. Each case will be holistically considered against these indicators. A single indicator may not demonstrate independence, multiple indicators will be considered.

4. Process for Determining 'Independent Researchers'

The University has developed a process to determine the research independence of 'Research Only' staff. The process involves all decisions concerning whether an individual is deemed to be an independent researcher, are made by the Faculty Pro-Vice Chancellors, working with their relevant leadership teams in coordination with the relevant REF Coordinators. The details must be recorded on RIS by the UOA Coordinator for audit purposes. The process is as below:

- The Central REF Team will provide each of the Coordinators with the list of all individuals on 'Research Only' contracts within their UOA;
- Coordinators will liaise with Faculty Pro-Vice Chancellors, working with their relevant leadership teams (and any other appropriate individuals) to determine whether these researchers are 'independent' by identifying which of the indicators of independence, as listed above, they satisfy;

- Coordinators should refer to the 'indicators of independence' listed in the Code of Practice, as above, to generate a 'description of independence' that they should then add to the REF database in RIS;
- Where possible, information about the grants, fellowships, work packages etc. signifying independence should be included in the 'description of independence' statement as evidence of research independence;
- If a researcher is not independent then Coordinators should provide specific reasons for non-independence;
- Once a 'description of independence' has been entered for each 'Research Only' staff within a UOA, the Central REF Team will check the information and the evidence provided, and mark individuals as either 'submit' or 'ineligible' according to the information provided by UOA coordinators;
- The final list of 'Research Only' staff will be subject to approval by the REF Steering Group whose responsibility is to ensure that the criteria are being applied consistently across the University.

5. Category C Eligible Staff

Category C staff are defined as individuals employed by an organisation other than an HEI, whose contracted job role includes the undertaking of research, and whose research is primarily focused in the submitting unit. Information about the contribution of Category C staff to the environment for research and enabling impact will be provided in the REF5B UOA level Environment templates, as outlined in the *Guidance on Submissions REF 2018/01 January 2019*.

6. Allocating staff to UOAs

There are various factors that will be taken into account in determining the most appropriate UOA to which staff should be returned:

1. The first stage of the process involves allocation of staff to the UOA where their collective outputs selected for return fit within the sub-panel descriptors and boundaries.
2. Where the attributed outputs selected for return, for an individual or a group of staff, do not fit within a particular UOA but may be a potential fit in several UOAs, the relevant REF Coordinators and Faculty Pro-Vice Chancellors, working with their leadership teams, will reach an agreement on what is likely to deliver the optimum return for the University. Individuals will be kept informed of the basis for returning attributed outputs to the selected UOA.
3. In cases where the decision is finely balanced, Faculty Pro-Vice Chancellor(s) can bring forward cases to the REF Steering Group for approval. Faculty Pro-Vice Chancellors, working with their relevant leadership teams may discuss the case/s with the Pro-Vice-Chancellor for Research and Knowledge Exchange and APVC-Research Strategy, Policy, Performance and REF while developing the cases.
4. The overall University UOA configuration will be agreed and signed off by the REF Steering Group, taking into account all the factors that could impact on optimising the University's submission, including any EDI implications.

As configuration details are agreed at UOA level, at Faculty level and by the REF Steering Group, data changes will be made by the Central REF team in RIS.

7. Governance

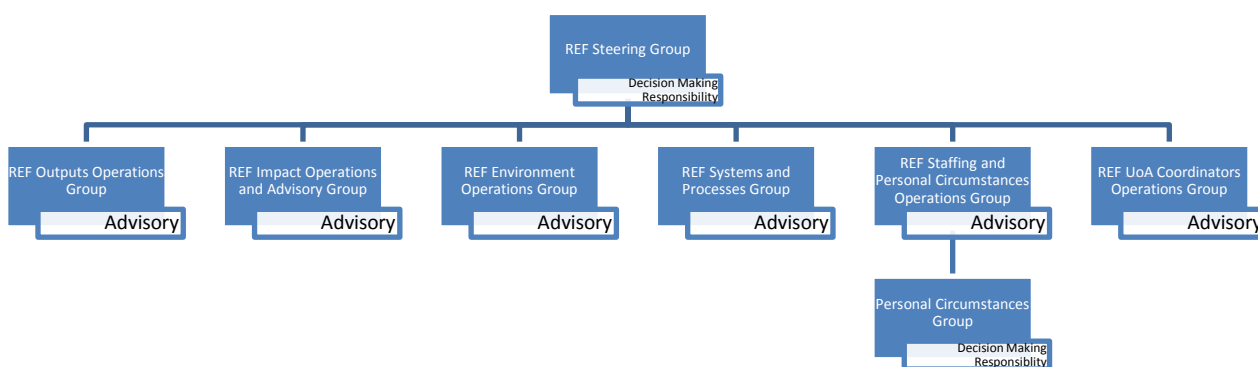
The University's University Executive Board, chaired by the Vice Chancellor, has overall responsibility for the REF process. This responsibility is delivered through the Pro-Vice-Chancellor for Research and Knowledge Exchange and the Faculty Pro-Vice-Chancellors. Faculty Pro-Vice-Chancellors have line management responsibility for Heads of Schools/Departments.

University Executive Board has developed governance to have oversight of, and to shape the University's REF Submissions. The Research Committee is established as a subcommittee of University Executive Board. A REF Steering Group reports to and seeks approval from the Research Committee on overall REF activities. The REF Steering Group, chaired by the Pro-Vice Chancellor for Research and Knowledge Exchange, is responsible for providing strategic direction, authorisation and approvals, development of policies and procedures, as well as the final validation and sign off of REF submissions. The Terms of Reference and membership of the REF Steering Group are contained in Appendix 5a of this Code.

The REF Steering Group is supported by 6 Operations Groups to deliver the different aspects of REF. The committees are:

- REF Outputs Operations Group, see Appendix 5b;
- REF Impact Operations and Advisory Group, see Appendix 5c;
- REF Environment Operations Group, see Appendix 5d;
- REF Systems and Process Group, see Appendix 5e;
- REF Staffing and Personal Circumstances Operations Group, see Appendix 5f;
- REF UOA Coordinators Operations Group, see Appendix 5g.

Figure 1: Committee Structure to Support their Delivery of REF with Level of Responsibility



A Personal Circumstances Group (PCG) will be established in June 2019 to report to the REF Staffing and Personal Circumstances Operations Group. The PCG will assess all staff circumstances, ensure there is a consistent and fair assessment of all circumstances and record the decisions appropriately. The PCG will have specific decision-making responsibility for determining staff circumstances, as outlined in Part 3, Section 7.

a. Terms of Reference and decision making process

The Faculty Pro-Vice Chancellors have responsibility to work closely with the Faculty APVCs for Research and Knowledge Exchange, Heads of Schools/Departments and REF Co-ordinators within their Faculties to plan and develop REF submissions and bring forward regular reports and recommendations to the REF Steering Group.

Faculty Pro-Vice Chancellors, working with their relevant leadership teams, have line management responsibility for academic and research staff who are eligible to be included in REF submissions. They will also be required to authorise and "sign-off" the final submissions for their relevant UOAs.

The Terms of Reference for all the above Committees are contained in Appendix 5. In December 2018 an EIA was conducted on the membership of the Committees that provide governance for our REF Submission, see Appendix 10a. This will be reviewed again in October to December 2019 when the academic year 2019-20 is in session.

b. Procedures for appointing staff to committees

The Operations Groups bring together those people who are working on REF operationally to provide advice and guidance, share best practice and provide a route to bring issues to the attention of the REF Steering Group, which has the power to modify processes and practices for REF planning and preparations. The people on the Operations Groups include REF Coordinators, who are appointed by Heads of Schools or Faculty Pro-Vice Chancellors through a nomination process and Professional Services staff who are recruited to specific posts which include REF support responsibilities. Representatives from the central REF Team and the team of the Pro-Vice Chancellor for Research and Knowledge Exchange, chair and/or are members of these Groups. Each Operations Group is established to include representation from across Faculties, spreading the workload across all those who are involved in REF planning and preparations.

The REF Steering Group and Personal Circumstances Group have specific decision-making responsibilities and their memberships reflect this, drawing on those who need to be involved in University level decision making for REF planning and processes. The Pro-Vice Chancellor for Research and Knowledge Exchange invites members to join the REF Steering Group and the Director of HR invites members to join the Personal Circumstances Group.

c. Code of Practice Governance Process

The University followed a clear governance process to develop and agree the Code of Practice.

Figure 2: Code of Practice Governance Route

| Week Commencing | Key Milestone | Committee |
|------------------------|--|--|
| 24 September 2018 | Timeline – Discussed | REF Staffing and Personal Circumstances Operations Group |
| 8 October 2018 | Timeline for CoP – Noted | REF Steering Group |
| 15 October 2018 | Draft 1 CoP – Produced Consultation Plan – Discussion | REF Staffing and Personal Circumstances Operations Group |
| 29 October 2018 | Draft 1 CoP – Discussed | EDI Committee |
| 5 November 2018 | Draft 1 CoP – Consultation Plan – Approved | REF Staffing and Personal Circumstances Operations Group |
| December 2018 | Draft 1 CoP – For Consultation | |
| 2 January 2019 | Review feedback | REF Staffing and Personal Circumstances Operations Group |
| 10 January 2019 | Draft 2 CoP – Discussion Feedback reviewed | REF Steering Group |
| 21 January 2019 | Draft 2 CoP – Discussion Feedback reviewed | EDI Committee |
| 31 January 2019 | Final Guidance Released | |
| 25 February 2019 | Draft 2 CoP – proposed | REF Staffing and Personal Circumstances Operations Group |
| 4 March 2019 | Draft 2 CoP – Discussion Feedback reviewed | EDI Committee |
| 11 March 2019 | Draft 3 CoP – Discussion | REF Staffing and Personal Circumstances Operations Group |
| 29 March 2019 | Draft 3 CoP – Proposed and discussed | REF Steering Group |
| 20 May 2019 | Final Draft CoP – Discussion | REF Staffing and Personal Circumstances Operations Group |
| 27 May 2019 | Final Draft CoP – Approved | REF Steering Group |

8. Training

As part of the University's commitment to Equality, Diversity and Inclusion, training has been tailored to meet the needs of the REF. This training will be delivered to all members of the REF Steering and Operations Groups, the REF Co-ordinators, Heads of Schools/Departments and relevant others from January to June 2019 through the Human Resources Department. The training approach and plan can be found in Appendix 6.

9. 'Independent Researcher' Appeals

Any employee who considers that the indicators for demonstrating independent research have not been fairly or correctly applied to them can appeal. The Appeals Panel will consist of the Pro-Vice Chancellor for Equality, Diversity and Inclusion and a member of Professional Services. If an individual wishes to make an appeal they should do so in writing to the Pro-Vice Chancellor for Equality, Diversity and Inclusion, either via e-mail or by post, stating the grounds of appeal within ten working days from when they have been advised of their status regarding independence or the publication of the Code of Practice. The employee will need to outline how the process has not been applied fairly and demonstrate the evidence of the research independence.

All appeals will be considered within four weeks of the appeal being made to the Pro-Vice Chancellor for Equality, Diversity and Inclusion. The outcome and rationale for the decision will be set out in full in writing and in confidence to the appellant. The Pro-Vice Chancellor for Equality, Diversity and Inclusion will be responsible for excusing themselves from any cases where they have had prior involvement in the case and alternate suitable University Executive Board member will be appointed. As part of their appeal, an employee may also request that an alternative suitable University Executive Board member is appointed in the Appeals Panel if they believe that the Pro-Vice Chancellor for Equality, Diversity and Inclusion has had a prior involvement in their case.

A written response will be provided by the Appeals Panel within four weeks of the receipt of the appeal letter. All communication with regards to appeal will be made mostly via e-mail marked confidential in the subject line. All appeals should be completed by end of June 2020, i.e. a month before the REF Census date. See Annex E for the timetable in the *Guidance on Submissions REF 2018/01 January 2019*.

Part 4: Selection of outputs

1. Eligibility of research outputs

The University is using the following definitions of eligibility of research outputs for REF 2021 Submissions.

An output will be eligible for REF 2021 submission if it was/is:

- a. First brought into the public domain during the publication period 1 January 2014 to 31 December 2020 or, if a confidential report, lodged with the body to whom it is confidential during this same period (Refer to paragraphs 261 to 263 in *Guidance on Submissions REF 2018/01 January 2019*).
- b. Attributable to a current or former member of staff, who made a substantial research contribution to the output, which must be either:
 - i. produced or authored solely, or co-produced or co-authored, by a Category A submitted staff member, regardless of where the member of staff was employed at the time they produced that output; or
 - ii. produced or authored solely, or co-produced or co-authored, by a former staff member who was employed by the submitting HEI according the Category A eligible definition when the output was first made publicly available.
- c. Made available in an open access form, where the output is within scope of the open access policy. The requirement to comply with the open access policy applies to the following outputs:
 - i. the output type is a journal article with an ISSN or the output is a conference contribution in conference proceedings with an ISSN; **and**
 - ii. the date of acceptance of the output for publication is after 1 April 2016.

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

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

Where an author-accepted manuscript is the version of an output to be first made publicly available, either that date or the earliest date that the version of record is first made publicly available will be accepted.

An output first published in its final form during the REF 2021 publication period that was 'pre-published' in the previous publication period – whether in full in a different form (for example, as a pre-print), or as a preliminary version or working paper – is eligible for submission to REF 2021, provided that the 'pre-published' output was not submitted to REF 2014.

An output published during the REF 2021 publication period that includes significant material in common with an output submitted to REF 2014 is eligible only if it incorporates significant new material. In these cases:

- a. The REF panel may take the view that not all of the work reported in the listed output should be considered as having been issued within the publication period; and if the previously published output was submitted to REF 2014, the panel will assess only the distinct content of the output submitted to REF 2021.
- b. Submissions should explain, where they believe necessary, how far any work published earlier was revised to incorporate new material.

It is noted that outputs may only be attributed to individuals who made a substantial research contribution to the output. This information will be made available to panels to enable them to establish whether a substantial research contribution has been made.

Outputs determined to be ineligible through audit will be removed from the submission and an unclassified score added to the profile to account for the 'missing' output. Where this involves removing the only output associated with a Category A submitted staff member, the Research England REF team may audit the eligibility of the staff member, and review the submitted FTE accordingly.

2. Selection of Outputs Process

Research England's publications, *Decisions on staff and outputs (2017/04)* and *Initial decisions on the Research Excellence Framework 2021 (REF 2017/01)*, during autumn 2017, provided the University with the initial framework for planning for REF 2021 and informed the development of the process for the overall mapping of the University's REF 2021 submissions. This includes the process for UOA configuration, outputs selection, additional unit submissions and moving individual staff between UOAs.

The University has developed the following procedures to ensure the fair and transparent selection of outputs for REF 2021 submissions:

1. Each eligible member of staff within a Faculty/School/Department/UOA, on receiving a request from their REF Coordinator, identifies outputs from their eligible pool of outputs. Going forward this will be done on RIS (the University's system for submitting REF).
2. REF Coordinators identify and recruit reviewers from within the University with the expertise and knowledge required to undertake a review process using the assessment criteria outlined in Annex A of *Guidance on Submissions REF 2018/01 January 2019*. The REF Coordinators takes responsibility for ensuring the eligibility of outputs.
3. The selected outputs are reviewed applying scoring methodologies implemented by the University centrally through annual REF Readiness Review processes
4. Within the review process, the REF Coordinator evaluates the scores and where necessary, facilitates 'calibration' of the score to ensure accuracy. This may involve meeting with the reviewers to discuss specific outputs or asking a third reviewer to assess the output.
5. The REF Coordinator for each UOA will consider outputs of members of staff who have left, that they identify as eligible for their UOA, where there is a prima facie case that the additional outputs will positively contribute to the return, by applying stages 2-4 above.
6. The selection of outputs are implemented in the RIS.
7. The University will use modelling to help determine the optimal submission for each UOA taking into account the internal quality ratings, the REF requirements for minimum and maximum output submission per FTE, average number of outputs submission per FTE and any special and/or staff circumstances. The modelling will be monitored to ensure it does not disadvantage any particular group(s) of individuals and REF Coordinators' expertise will be used to finalise the outputs submission for each UOA.
8. All those involved in the process will have completed Equality Diversity and Inclusion training and the REF Equality Diversity and Inclusion training as outlined in Appendix 6.

The outputs selection process was developed as part of the University's UOA configuration and REF Readiness Review processes in consultation with the REF Coordinators, Faculty Pro-Vice-Chancellors, and Faculty Associate Pro-Vice Chancellors for Research and Knowledge Exchange. This process was endorsed by the REF Steering Group.

Decision-making on selection of outputs will be undertaken at UOA and Faculty levels. The selection of outputs will be done in RIS by the REF Coordinators. Challenging cases that cannot be resolved at UOA/Faculty level will be presented to the REF Steering Group for decision-making and approval.

For each eligible staff member the University will attribute a minimum of 1 output and a maximum of 5 outputs. The UOA will submit an average of 2.5 outputs per full time equivalent (FTE); and a total of 2.5XFTE. This will only be reduced where the University accepts a member of staff's voluntary declaration of circumstances, the number of outputs that they need to produce is reduced and that this

reduction is applied to the UOA (see Process of communicating results below). This is rounded up to the nearest whole number.

3. Attribution and Distribution

At any stage of the selection of outputs process, the REF Coordinators may review the attribution and distribution of outputs, on the basis of the information that will be provided to REF Panels and commented on in the Environment Statement, and request or make attribution modifications within the constraints of the REF maximum and minimum requirements for attributed outputs. In considering these modifications, REF Coordinators will be able to draw on internal modelling of scenarios and distributions of outputs done outside RIS.

The outputs returned for each UOA will be made available to all staff.

4. Staff Circumstances

REF 2021 recognises that there may be a number of staff circumstances which make it appropriate for individuals to produce less than an average of 2.5 outputs; as outlined in *Guidance on Submissions REF 2018/01 January 2019*. This process has been devised to allow individual employees to voluntarily declare any such relevant staff circumstances and the impact these circumstances have had on the volume of outputs they have been able to generate within the assessment period.

The following circumstances could have significantly constrained the ability of the eligible staff to produce outputs or to work productively throughout the assessment period:

1. Qualifying as an early career researcher (on the basis set out in paragraph 160 and Annex L in the *Guidance on Submissions REF 2018/01 January 2019*).
2. Absence from work due to secondments or career breaks (on the basis set out in paragraph 160 and Annex L in the *Guidance on Submissions REF 2018/01 January 2019*).
3. Qualifying periods of family-related leave (on the basis set out in paragraph 160 and Annex L in the *Guidance on Submissions REF 2018/01 January 2019*).
4. Other circumstances that apply in UOAs 1–6, for Category A staff who are junior clinical academics (as defined at paragraph 162-3 and Annex L in the *Guidance on Submissions REF 2018/01 January 2019*).
5. Circumstances equivalent to absence, that require a judgement about the appropriate reduction in outputs, which are (defined in paragraph 160e and Annex L in the *Guidance on Submissions REF 2018/01 January 2019*):
 - i. Disability;
 - ii. Ill health, injury, or mental health conditions;
 - iii. Constraints relating to pregnancy, maternity, paternity, adoption or childcare that fall outside of or justify the reduction of further outputs in addition to family related leave outlined in 3 above;
 - iv. Other caring responsibilities (such as caring for an elderly or disabled family member);
 - v. Gender reassignment;
 - vi. Other circumstances relating to the protected characteristics listed in *Guidance on Submissions REF 2018/01 January 2019* Table 1, or relating to activities protected by employment legislation.

5. Removing the 'minimum of 1' requirement

Where there have been staff circumstances that have had an exceptional impact on an eligible employee's ability to work and they have not been able to produce an eligible output, the request can be made for the 'minimum of 1' to be removed and the total outputs will be reduced further by 1. This will be in addition to any reduction made (up to 1.5) due to the reduction applicable to staff circumstances (above).

Removing the 'minimum of 1' requirement can be applied when from 1 January 2014 to 31 July 2020:

- They have had and overall period of absence of 46 months or more due to:
 - Early Career Researcher (ECR);
 - Secondment or career break;
 - Family-related leave;
 - Other circumstances that relate to UOA 1-6.
- The following circumstances have led to 46 months or more absence from research:
 - Disability;
 - Ill health, injury, mental health conditions;
 - Constraints relating to family-related leave that falls outside statutory or additional leave;
 - Other caring responsibilities;
 - Gender reassignment;
 - Other protected characteristics or activities related to employment legislation.
- 2 or more qualifying periods of family-related leave.
- The period of absence does not equal 46 months or more but the individual circumstances are deemed to have resulted in a similar impact.

6. Staff Circumstances Process

Employees may declare voluntarily any relevant circumstances to request for reductions on the grounds as outlined above. Employees who request either form of reduction of outputs (removal of 'minimum of 1' requirement or reduction of outputs due to staff circumstances), need to be aware who will review their application. The applications will be administered by a small team within the HR department. The Personal Circumstances Group will review the applications. It is also possible that further information will be needed, for example from the Head of School/Department, Faculty APVC for Research and Knowledge Exchange, Faculty HR Business Partner or Occupational Health.

Complex cases (i.e. any case based on conditions as defined in Staff Circumstances and removing the 'minimum of 1' requirement) will be considered at a full meeting of the Personal Circumstances Group. Clearly defined cases may be decided via correspondence within the group.

The outcome of the decision will be communicated in writing to the employee who has applied for a reduction in outputs within 10 days of the meeting of the Personal Circumstances Group. A rationale for the decision will be included in the communication together with a copy of the relevant decision summary. Details of the mechanism of appeal against the decision of the Personal Circumstances Group will also be included in the outcome letter. Appeals will be considered by the Pro-Vice Chancellor for Equality, Diversity and Inclusion, see section on Staff Circumstance Appeal Process below.

Where it is agreed that the individual reduction is added to the UOA reduction (see Process for communicating results below) the employee will be asked to confirm their agreement to the summary being entered onto the RIS and consequently provided to Research England in the outcome letter.

7. Voluntary Declaration of Staff Circumstances Process

Figure 3 : Voluntary Declaration of Staff Circumstances Process

| Month | Action | By Who |
|----------------|--|----------|
| June 2019 | Communicate with all UOA Coordinators about the Staff Circumstances Process Write to all employees who are eligible to be returned to invite them to apply for a reduction: <ul style="list-style-type: none"> - Outlining the reasons that reductions can be requested: - Requesting that they confirm by 31 July 2019 that they would like this to be considered: - Directing to the Code of Practice, the process, case studies and the online form: - Offering a confidential conversation with the Head of HR Business Partnering if needed. | HR |
| July 2019 | Complete Office 365 form requesting the reduction. | Employee |
| August 2019 | Reductions are analysed. | PCG |
| September 2019 | Write to employee to confirm reduction. | HR |

| | | |
|---------------|---------------------------------------|----------|
| October 2019 | Appeal submitted. | Employee |
| November 2019 | Appeal hearing. | Panel |
| December 2019 | Write to employee to confirm outcome. | HR |

Each member of staff who is Category A Eligible will be individually contacted by email and invited to apply for any reduction they believe is appropriate. The email will provide a link to an electronic form on Office 365 which may be completed and returned via email or in hard copy if so desired. They will also be directed to the Office 365 page which contains the Code, process, case studies and online form so that they may inform the Personal Circumstances Group of any staff circumstances. A copy of the draft application form is provided in Appendix 7.

The University recognises that staff circumstances may change. If this is the case, then staff should contact their HR Business Partner or the Head of HR Business Partnering to provide the updated information.

8. Personal Circumstances Group

To assess and implement the Staff Circumstances in a transparent and robust way a review process will be established at the University. A small group comprising the Head of HR Business Partnering, Head of HR Specialist Services (or nominated deputy) and the REF Manager will form the Personal Circumstances Group. The group will report on its activities to the REF Steering Group (whilst preserving confidentiality of individual circumstances).

The Personal Circumstances Group will be responsible for:

1. Receiving applications for reductions and collecting/requesting any evidence or further information regarding an application;
2. Ensuring a consistent and fair assessment of all complex circumstances;
3. Recording and communicating the decision to the applicant, including a rationale for the decision;
4. Ensuring that the Research Information System (RIS) is updated to include any agreed reductions;
5. Communicating the appeal mechanism to the applicant.

The Personal Circumstances Group will agree to treat all applications for reductions received from employees disclosing their staff circumstances with appropriate degree of confidentiality; this information will only be used for the purposes of REF unless by agreement. The PCG will meet at least once a term from June 2019 to consider cases for reduction of outputs.

The Personal Circumstances Group will conduct an EIA on those who apply to ensure that the process has been fair and transparent.

9. Process of communicating results

The Personal Circumstances Group will advise Faculty Pro-Vice Chancellors of the number of individuals in each UOA, for which they have a responsibility, who have had their voluntary declaration agreed and the corresponding reduction in the number of outputs required. The Faculty Pro-Vice Chancellor will take into account the size of the available output pool in proportion to the total number of outputs required as a useful indicator for determining whether a reduction request should be submitted for each UOA.

Where a 'reduction of the minimum of 1' has been agreed by the Personal Circumstances Group this will be applied automatically.

The REF Steering Group has the responsibility for ensuring that this process is consistently applied across the University. Where UOA reduction requests are to be submitted, Faculty Pro-Vice Chancellors will communicate these to the REF Steering Group for approval.

10. Absent Staff

The Staff Circumstances process also applies to employees who are on authorised absence from the University (i.e. due to sickness, family leave, study leave, secondment, career break or special leave) at the time of the publication of the Code of Practice and implementation of the Staff Circumstances Process. They will be contacted in writing at their last notified home address to inform them of the existence of the Code of Practice and the Staff Circumstances Process. They will be provided with an application form and the relevant information provided in an alternative format where required and also a web-link in the letter should they wish to access both the University website and relevant details of the REF Code of Practice and Staff Circumstances Process.

11. Staff Circumstances Appeals Process

There will be a Right of Appeal against the decision of the Personal Circumstances Group to the Pro-Vice Chancellor for Equality, Diversity and Inclusion. The Appeals Panel will consist of the Pro-Vice Chancellor for Equality, Diversity and Inclusion and a member of Professional Services. If an individual wishes to make an appeal they should do so in writing to the Pro-Vice Chancellor for Equality, Diversity and Inclusion, either via e-mail or by post, stating the grounds of appeal within ten working days from when the decision on reduction of outputs is communicated to them by the PCG.

All appeals will be considered within four weeks of the appeal being made to the Pro-Vice Chancellor for Equality, Diversity and Inclusion. The outcome and rationale for the decision will be set out in full in writing and in confidence to the appellant. The Pro-Vice Chancellor for Equality, Diversity and Inclusion will be responsible for excusing themselves from any cases where they have had prior involvement in the case and alternate suitable University Executive Board member will be appointed. As part of their appeal, an employee may also request that an alternative suitable University Executive Board member is appointed in the Appeals Panel if they believe that the Pro-Vice Chancellor for Equality, Diversity and Inclusion has had a prior involvement in their case.

A written response will be provided by the Appeals Panel within four weeks of the receipt of the appeal letter. All communication with regards to appeal will be made via e-mail marked confidential in the subject. All appeals will need to be made by end of February 2020, i.e. a month before the *unit reduction requests* deadline. The Appeals process will be concluded prior to *unit reduction requests* deadline in March 2020, see 198-201 of the *Guidance on Submissions REF 2018/01 January 2019*.

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

12. Support for Employees

All members of staff within the University Research and Teaching job family, regardless of whether they are fixed-term or permanent, part-time or full-time, are subject to regular appraisals by their line manager to review progress and identify development needs. The University's Staff Development Policy details our commitment to the development of all staff and offers all staff the opportunity for both personal and professional development. The Graduate School, Professional Development, the Leadership and Management Academy, Research and Innovation, and the Institute for Policy and Engagement all offer opportunities for professional research development to all staff. The People Section of the Universities Institutional Environment Statement outlines the support available to enhance the research activities, outputs and impacts of our Teaching and Research and Research Only staff.

The University has achieved the 'HR Excellence in Research' award which is:

"A UK-wide process, incorporating the *QAA Code of Practice for Research Degree Programmes* and the *Concordat to Support the Career Development of Researchers*, that enables institutions to gain the European Commission's 'HR excellence in research' badge, acknowledging alignment with the principles of the European Charter for Researchers and Code of Conduct for their Recruitment".

13. Part time Employees

As part time hours working is taken into account of within the calculation for the overall number of outputs required for the UOA (which is determined by multiplying the UOAs FTE by 2.5) reduction requests on the basis of part time working hours should be only made by exceptionally.

14. Fixed-term Employees

As part of the University's commitment to equal opportunities the University has developed policies to support fixed-term staff. Information on the career development and support available to all research staff is summarised in the Research Staff webpage:

<http://www.nottingham.ac.uk/researchstaff/index.aspx>.

The Short Course programme run through Professional Development is open to all staff regardless of contract type: <https://training.nottingham.ac.uk/cbs-notts/Portal/DesktopDefault.aspx?GoHome=1>

The Careers and Employability Service is committed to supporting the career development of post doctoral research staff and PhD students at The University of Nottingham. Details of the service can be found at: <http://www.nottingham.ac.uk/careers/research/index.aspx>

Part 5: Appendices

1. Legislative Background
2. Draft One Code of Practice: Consultation Form
3. REF 2021 Unit of Assessment Co-ordinators Responsibilities
4. Process for the Selection of REF Coordinators
5. Terms of References:
 - a. REF Steering Group
 - b. REF Outputs Operations Group
 - c. REF Impact Operations and Advisory Group
 - d. REF Environment Operations Group
 - e. REF Systems and Process Group
 - f. REF Staffing and Personal Circumstances Operations Group
 - g. REF UoA Coordinators Operations Group
6. REF Equality, Diversity and Inclusion Training Plan
7. Communication of Individual Staff Circumstances
 - a. Declaration of Individual Staff Circumstances Application Form
8. Personal Information
9. UOAs to be returned
10. All Equality Impact Assessments
 - a. EIA on the Terms of Reference for REF Committees – as at December 2018
 - b. EIA on Research Independence – as at December 2018
 - c. EIA on Selection of Outputs – as at March 2019

Legislative Background

Equality Act 2010

The Act makes it unlawful to directly or indirectly discriminate on the grounds of a person's:

- Age
- Disability
- Sex
- Gender reassignment
- Marriage/Civil partnership
- Pregnancy and maternity
- Race (meaning colour, race, nationality or ethnic or national origin)
- Religious belief
- Sexual orientation

The University is also subject to the Public Sector Equality Duty. In summary, those subject to the Equality Duty must, in the exercise of their functions, have due regard to the need to:

- Eliminate unlawful discrimination, harassment and victimisation and other conduct prohibited by the Act;
- Advance equality of opportunity between people who share a protected characteristic and those who do not;
- Foster good relations between people who share a protected characteristic and those who do not.

These are sometimes referred to as the three aims or arms of the general equality duty. The Act helpfully explains that having due regard for advancing equality involves:

- Removing or minimising disadvantages suffered by people due to their protected characteristics;
- Taking steps to meet the needs of people from protected groups where these are different from the needs of other people;
- Encouraging people from protected groups to participate in public life or in other activities where their participation is disproportionately low.

The Act states that meeting different needs involves taking steps to take account of disabled people's disabilities. It describes fostering good relations as tackling prejudice and promoting understanding between people from different groups. It states that compliance with the duty may involve treating some people more favourably than others.

The new duty covers the following nine protected characteristics: age, disability, gender reassignment, pregnancy and maternity, race, religion or belief, sex and sexual orientation. Public authorities also need to have due regard to the need to eliminate unlawful discrimination against someone because of their marriage or civil partnership status. This means that the first arm of the duty applies to this characteristic but that the other arms (advancing equality and fostering good relations) do not apply.

Fixed-Term Employees (prevention of less favourable treatment) Regulations 2002

These regulations make it unlawful to treat a fixed-term employee less favourably than a permanent employee on the grounds that they are a fixed-term employee unless it can be objectively justified. The regulations limit the successive use of fixed-term contracts to four years unless the further use can be objectively justified. Only service accumulated from 10 July 2002 will count towards the four year limit.

Part-Time Workers (prevention of less favourable treatment) Regulations 2000 (amended 2002)

These regulations make it unlawful to treat a part-time employee less favourably than a full-time employee on the grounds that they are a part-time employee unless it can be objectively justified. The regulations state that part-time employees must receive (pro-rata where appropriate) the same treatment as comparable to a full-time employee regarding; rates of pay, access to pension schemes and pension scheme benefits, access to training and development, holiday pay, entitlement to career break schemes, contractual sick pay, contractual maternity and paternity pay and treatment in the selection criteria for promotion and transfer, and for redundancy.

Draft One Code of Practice: Consultation Form – December 2018

As part of REF 2021 the University has developed a Code of Practice to set out the systems and processes that the University intends to follow to make the REF 2021 submission.

The Code of Practice has been developed following the 'Draft Guidance on Submissions REF 2018/01 July 2018'. Further guidance is due to be published in 2019; there could therefore be some slight changes to the direction of the Code of Practice.

The University is keen to understand your initial thoughts about the first draft of the Code of Practice and we would welcome your feedback. Once feedback from stakeholders has been incorporated the second draft will be presented to REF Steering Group on 16 January 2019.

With the above in mind please provide feedback via this online form by mid-day on Monday 17 December 2018.

1. Identifying staff with significant responsibility for research;
The University is intending to make a 100% submission. The Code of Practice outlines, on page 5, that:
“All R&T staff will be considered eligible and will be included on the basis of their contractual status. All employees on Research and Teaching contracts (levels 5 – 7) or Research contracts (levels 5-7) will be considered eligible”.
Please provide any feedback regarding the approach set out above.
2. Selection of Outputs:
The Code of Practice outlines, on page 9 [this was the page on the first draft], the following procedures to ensure the fair and transparent selection of outputs for REF 2021 Submissions:
 1. Each eligible member of staff within a School/Department /UOA identifies and selects outputs from a pool of eligible outputs.
 2. REF Coordinator for each UOA supplement the above process by drawing in outputs of members of staff who have left and any others that they identify as eligible for their UOA.
 3. Once selected outputs are in our Research Information System (RIS), they are scored applying scoring methodologies that are suitable for their discipline/UOA.
 4. Each REF Coordinator constructs an optimum outputs submission for their UOA taking into account the internal quality ratings, the REF requirements for minimum and maximum output submission per FTE, average number of outputs submission per FTE and any special and personal circumstances, and taking any relevant advice.

Please provide any feedback regarding the approach set out above.
3. Personal circumstances:
The Code of Practice outlines, on pages 10 to 13 [this was the page on the first draft], the personal circumstances in which employees can request to reduce their outputs and the process to support consideration of personal circumstances.
Please provide any feedback on this section.
4. Please provide any other feedback regarding the Code of Practice.

REF 2021 Unit of Assessment Co-ordinators Responsibilities

For REF2021 Submissions, all 21 Schools and the Faculty of Engineering within the University of Nottingham have been mapped on to 29 out of 34 Units of Assessment (UOAs). UOA Coordinators have been nominated for each UOA with responsibility for coordinating and managing the preparation of the REF submission for their UOA.

Each UOA, with the exception of some UOAs, has three coordinators responsible for the three elements of REF and sit on one of the six REF Operations Groups. All Lead UOA Coordinators are members of the REF Coordinators Operations Group as described in the governance and management structure. The REF Coordinators are supported by the Central REF Team in Research and Innovation on provision of guidance and advice on policies, procedures, systems and different aspects of REF submissions. The REF Steering Group (chaired by the Pro-Vice Chancellor for Research and Knowledge Exchange), Faculty Pro-Vice Chancellors and Heads of Schools/Departments working with the UOA Coordinators have oversight of all academic and staff issues. Coordinators receive guidance from the REF Coordinators Operations Group (chaired by the REF and Research Policy Manager) as well as directly from the Central REF Team on practical aspects of preparing the University's submission.

Role of the UOA Coordinators

Following the procedures outlined in the Code of Practice, the *REF Lead Coordinator* is responsible for:

- Identifying and inclusion of eligible staff in the RIS system;
- Output selection, ranking and scoring, maximising the quality of the UOA's return;
- Ensuring all REF data related to their relevant UOA in RIS and the Research England Submission System is accurate;
- Complying with the REF Code of Practice.

The *REF Impact Coordinator* is responsible for:

- Selecting and refining the Impact Case Studies;
- Ensuring that all required evidence for all relevant impact case studies are collated and stored as per the guidance from the Central REF Team.

The *REF Environment Coordinator* is responsible for:

- Drafting the UOA Environment Statement, working with appropriate colleagues.

All coordinators are expected to keep all personal data, discussions and decisions confidential.

Staff Eligibility

Lead UOA Coordinators are responsible for identifying eligible Category A and C Staff for their UOA, in line with the policies agreed by the REF Steering Group. All UOA Coordinators are required to take part in the University's REF Equality and Diversity training in order to be involved in this process.

Output Selection

Lead UOA Coordinator is responsible for selection of outputs for their UOA. Output selection is undertaken through internal REF Readiness Review processes. For the internal University output reviews, UOA coordinators must ensure eligible researchers within their UOA put forward their highest quality publications for rating and consideration for submission to the Central REF Team using the system in provision. The UOA Coordinators are responsible for coordinating the output selection and assessment process within their UOA. Where there are outputs with multiple authorships, the UOA Coordinators may need to decide which author(s) the publication should be submitted against using the optimisation methodology. UOA Coordinators will also identify if any output is or will be judged as 'double weighted' with full justification, and select a high quality reserve should the request for double-weighting be rejected.

Outputs should only be submitted if they are of high quality in terms of originality, significance and rigour. The overall quality of the submission for the UOA should be considered when deciding upon which outputs to allocate to individuals.

Impact Case Studies and Statement

UOA Impact Coordinators must select the Impact case studies that are judged to be highest in quality. They must ensure that the underpinning research for the case studies is of at least 2* quality. Case studies must be drafted to the highest quality and there must be clear narrative linking the research and the subsequent impact. The impact needs to be realised demonstrating reach and significance and be evidence based. In addition, the Impact Coordinator should work collaboratively with the Environment Coordinator in order to develop the overall statement for their UOA's approach to supporting and enabling impact as required for submission (REF5B, in the Guidance on Submissions).

UOA Level Environment template

UOA Environment Coordinators are responsible for drafting a UOA level Environment template for the REF 2021 submission, which contains the following sections:

1. Unit context and structure, research and impact strategy;
2. People;
3. Income, infrastructure and facilities;
4. Collaborations and contribution to the research base, economy and society.

In addition to the template, environment data is required for the REF4a/b/c section, as per the Guidance on Submissions. UOA Environment Coordinators will be asked to confirm the accuracy of environment data including numbers of doctoral degrees awarded, and research income within their UOA, and research income-in-kind. Provision of support, sharing best practice and guidance on developing Environment templates is organised by the Central REF Team in Research and Innovation.

Institutional Environment Statement

An Institutional Environment Task Group has been commissioned to write the Institutional Environment Statement (REF5A, in the Guidance on Submissions), which will contain the following sections:

1. Context and Mission;
2. People;
3. Income, infrastructure and facilities;
4. Collaboration and contribution to research base, economy and society.

This group is chaired by the Academic Lead for Environment who is the Associate Pro-Vice-Chancellor (Research and Knowledge Exchange – Faculty of Arts). Members of the task group will consult with the necessary teams across the University to produce an institutional statement. A draft Institutional Environment Statement will be published for consultation before a final version is submitted for REF 2021. Support will be organised by the Central REF Team in Research and Innovation.

Process for the Selection of REF Coordinators

This document contains an outline of the process for selecting REF Coordinators from the Schools/Departments for the University's REF 2021 submission.

- In 2016 an email was sent to each of the five Faculty Pro-Vice Chancellors and the relevant Heads of Schools/Departments from the Pro-Vice Chancellor for Research and Knowledge Exchange, by the Central REF Team in Research and Innovation, requesting them to nominate 3 members of staff from their School/Department, to take up the roles of Lead REF Coordinator with responsibility for coordinating outputs submission as well as the overall submission of the relevant UOA, Impact Coordinator and Environment Coordinator. By this point, the potential Units of Assessment configuration of the University was agreed by the University Executive Board. Appendix 9 displays the potential mapping of schools to relevant UOA, at the time of Code of Practice submission.
- The first step was for each Faculty Pro-Vice Chancellor and/or Head of School/Department to nominate a potential REF Coordinator, assisted by guidance provided by the Central REF Team in Research and Innovation. The process of nomination began as soon as the request went out.
- REF Coordinators are expected to be senior academics who may, for example, have previous RAE/REF experience, such as panel membership and/or with a strong research record.
- Where more than one School has been agreed to be submitted to the same unit or one School is opting to submit to more than one unit, the relevant Faculty Pro-Vice Chancellor is expected to consider the nominations and decide which option would be most suitable.
- The REF Steering Group provides guidance where the process requires clarification and is responsible for approving nominations and finalising the selections, ensuring that one REF Coordinator is selected for either each UOA or each of the discipline areas within the UOA. For example, in the case of UOA6, two coordinators may be selected due to the size of Biosciences and Veterinary Medicine and Science. The REF Manager in Research and Innovation notified the Coordinators of their selection as REF Coordinators and invited the lead REF Coordinators to be members of the REF UOA Coordinators Operations Group. The Central REF Team works closely with all REF Coordinators throughout the process of REF 2021 preparation, reporting to and receiving guidance from the REF Steering Group and the REF UOA Coordinators Operations Group.
- The Central REF Team in Research and Innovation provide inductions to new REF Coordinators to make them fully aware of the duties and responsibilities that their role encompasses, and provide training as relevant.

REF Steering Group

Terms of reference – as at September 2018

1. The REF Steering Group's role is to advise the University on the preparation and delivery of the REF and assist in the development of robust, workable and efficient policies and systems for seamless and successful submission to the REF.
2. In particular, the REF Steering Group will provide advice on:
 - The aims and objectives of the University's REF submissions;
 - The selection of UOAs and staff to be returned;
 - The establishment of pilot and review exercise panels and how they will operate;
 - Gathering and reviewing feedback from the pilot review exercises carried out within the University;
 - Capturing the knowledge to inform and develop University policies for REF;
 - Reporting feedback to Research Board and the University Executive Board;
 - Establishment of policies and procedures for successful delivery of REF.
3. The REF Steering Group will meet three times every year. Members may be asked to comment on items by e-mail, if necessary.
4. The REF Steering Group will refer to the Operations Groups for delivery of REF.
5. All members of this group will be required to undertake equality and diversity training.

Membership

1. Pro-Vice Chancellor, Research & Knowledge Exchange (**Chair**)
2. Associate Pro-Vice Chancellor, Research Strategy Performance, Policy and REF
3. Associate Pro-Vice Chancellor, Graduate School and Research Career Development
4. Academic Lead for Impact
5. Director of Human Resources
6. Director Digital Research
7. Director of Libraries
8. Faculty Pro-Vice Chancellor Sciences
9. Faculty Pro-Vice Chancellor, Arts and Humanities
10. Faculty Pro-Vice Chancellor Medicine and Health Sciences
11. Faculty Pro-Vice Chancellor, Social Sciences
12. Faculty Pro-Vice Chancellor, Engineering
13. REF and Research Policy Manager (**Secretary**)
14. REF Impact Manager
15. Pro-Vice-Chancellor- Equality, Diversity and Inclusion
16. Faculty Associate Pro-Vice Chancellor for Research and Knowledge Exchange, Science
17. Faculty Associate Pro-Vice Chancellor for Research and Knowledge Exchange, Arts
18. Faculty Associate Pro-Vice Chancellor for Research and Knowledge Exchange, Medicine and Health Sciences
19. Faculty Associate Pro-Vice Chancellor for Research and Knowledge Exchange, Social Sciences
20. Faculty Associate Pro-Vice Chancellor for Research and Knowledge Exchange, Engineering
21. Head of Research Strategy, Development and Impact
22. Director of Research and Innovation

REF Outputs Operations Group**Terms of reference – as at September 2018**

1. The REF Outputs Operations Group's role is to look at the outputs submissions in its entirety, and offer advice and create principles and a framework for selection and submission of outputs.
2. In particular, the REF Outputs Operations Group will be responsible for:
 - Principles for strategic selection of outputs;
 - Sharing best practice that can lead to improvements in the quality of outputs submissions, as well as data submission requirements of outputs, and physical outputs collection and submission;
 - Monitoring and implementing actions to ensure that an inclusive and transparent approach is in place at all stages of the output assessments.
3. The REF Outputs Operations Group will meet three times a year. Members may be asked to comment on items by e-mail, if necessary.
4. The REF Outputs Operations Group will report to the REF Steering Group.
5. All members of this group will be required to undertake equality and diversity training.

Membership

| | |
|---|------------------------------------|
| Associate Pro-Vice Chancellor for Graduate School and Research Career Development (Chair) | |
| Associate Pro-Vice-Chancellor for Research Strategy Performance, Policy and REF | Executive Office |
| Associate Director, Content and Discovery | Libraries |
| REF UOA Lead Coordinator - Faculty of Arts | English |
| REF UOA Lead Coordinator – Faculty of Arts | History |
| REF UOA Lead Coordinator - Faculty of Arts | CLAS |
| REF UOA Outputs Coordinator - Faculty of Engineering | Architecture and Built Environment |
| REF UOA Outputs Coordinator - Faculty of Engineering | Engineering |
| REF UOA Lead Coordinator - Faculty of Medicine and Health Sciences | Medicine (Physiology) |
| REF UOA Lead Coordinator - Faculty of Medicine and Health Sciences | Health Sciences |
| REF UOA Lead Coordinator - Faculty of Medicine and Health Sciences | Medicine (Psychiatry) |
| REF UOA Lead Coordinator - Faculty of Medicine and Health Sciences | Life Sciences |
| REF UOA Lead Coordinator - Faculty of Science | Biosciences |
| REF UOA Lead Coordinator - Faculty of Science | Chemistry |
| REF UOA Lead Coordinator - Faculty of Science | Computer Science |
| REF UOA Lead Coordinator - Faculty of Science | Physics |

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| REF UOA Lead Coordinator - Faculty of Science | Psychology |
| REF UOA Lead Coordinator - Faculty of Social Sciences | Education |
| REF UOA Lead Coordinator - Faculty of Social Sciences | Law |
| REF UOA Lead Coordinator - Faculty of Social Sciences | Economics |
| REF UOA Lead Coordinator - Faculty of Social Sciences | NUBS |
| REF and Research Policy Manager | Research and Innovation |
| REF Outputs and Environment Officer (Secretary) | Research and Innovation |
| REF Systems Coordinator | Research and Innovation |

REF Impact Operations and Advisory Group

Terms of reference – as at September 2018

1. The REF Impact Operations and Advisory Group's role is to provide advice to the REF UOA Impact Coordinators on operational management of the quality of impact submission.
2. In particular, the REF Impact Operations and Advisory Group will be responsible for:
 - Advising on the development of impact case studies;
 - Advising on external and internal resources and ensuring these are aligned to deliver maximum benefit for REF;
 - Advising on what needs to be in place to convert impact into really strong REF impact case studies, taking into account the specific REF guidance.
3. The REF Impact Operations and Advisory Group will meet three times a year.
4. The REF Impact Operations and Advisory Group will report to the REF Steering Group.
5. All members of this group will be required to undertake equality and diversity training.

Membership

| | |
|---|-----------------------------|
| Academic Lead for Impact (Chair) | Biosciences |
| Associate Pro-Vice-Chancellor for Research Strategy Performance, Policy and REF | Executive Office |
| REF and Research Policy Manager | Research and Innovation |
| REF Impact Manager (Secretary) | Research & Innovation |
| Corporate Marketing Manager | External Relations |
| UOA Impact Coordinator - Faculty of Arts | Humanities |
| UoA Impact Coordinator – Faculty of Arts | English |
| UOA Impact Coordinator - Faculty of Engineering | Engineering |
| UOA Impact Coordinator - Faculty of Engineering | Engineering |
| UOA Impact Coordinator - Faculty of Medicine and Health Sciences | Life Sciences |
| UOA Impact Coordinator - Faculty of Medicine and Health Sciences | Medicine (Primary Care) |
| UOA Impact Coordinator - Faculty of Science | Biosciences |
| UOA Impact Coordinator - Faculty of Science | Pharmacy |
| UOA Impact Coordinator - Faculty of Social Sciences | NUBS |
| UOA Impact Coordinator - Faculty of Social Sciences | Sociology and Social Policy |
| Former UOA Impact Coordinator - Faculty of Social Sciences | Education |

REF Environment Operations Group

Terms of Reference – as at September 2018

1. The REF Environment Operations Group's role is to provide expert business advice to the REF UOA Environment Coordinators on operational management of the quality of environment submission.
2. In particular, the REF Environment Operations Group will be responsible for:
 - Making decisions on the information to be included in the Environment statements;
 - Identifying interventions and sharing best practice that can lead to improvements in the quality of environment submissions;
 - The data submission requirements of environment.
3. The REF Environment Operations Group will meet three times a year.
4. The REF Environment Operations Group will report to the REF Steering Group.
5. All members of this group will be required to undertake equality and diversity training.

Membership

| | |
|---|---------------------------------|
| Associate Pro-Vice-Chancellor for Research Strategy Performance, Policy and REF (Chair) | Executive Office |
| REF and Research Policy Manager | Research and Innovation |
| Environment Coordinator – UOA 1 | Medicine |
| Environment Coordinator – UOA 2 | Medicine |
| Environment Coordinator – UOA 2 | Medicine |
| Environment Coordinator – UOA 2 | Medicine |
| Environment Coordinator – UOA 3 | Health Sciences |
| Environment Coordinator – UOA 3 | Pharmacy |
| Environment Coordinator – UOA 4 | Psychology |
| Environment Coordinator – UOA 4 | Medicine |
| Environment Coordinator – UOA 5 | Medicine |
| Environment Coordinator – UOA 5 | Life Sciences |
| Environment Coordinator – UOA 6 | Veterinary Medicine and Science |
| Environment Coordinator – UOA 6 | Biosciences |
| Environment Coordinator – UOA 8 | Chemistry |
| Environment Coordinator – UOA 9 | Physics & Astronomy |
| Environment Coordinator – UOA 10 | Mathematical Sciences |

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| Environment Coordinator – UOA 11 | Computer Science |
| Environment Coordinator – UOA 12 & 13 | Engineering |
| Environment Coordinator – UOA 14 | Geography |
| Environment Coordinator – UOA 16 | Economics |
| Environment Coordinator – UOA 17 | NUBS |
| Environment Coordinator – UOA 18 | Law |
| Environment Coordinator – UOA 19 | Politics and International Relations |
| Environment Coordinator – UOA 20 | Sociology and Social Policy |
| Environment Coordinator – UOA 23 | Education |
| Environment Coordinator – UOA 24 | Life Sciences |
| Lead Coordinator – UOA 26 | Humanities |
| Lead Coordinator – UOA 28 | Humanities |
| Lead Coordinator – UOA 29 | Humanities |
| Lead Coordinator – UOA 31 | Humanities |
| Lead Coordinator – UOA 33 | Humanities |
| Lead Coordinator – 34 | Humanities |
| Head of Statutory Student Reporting & Analytics | Strategy, Planning and Performance |
| Head of Research and Knowledge Exchange - Faculty of Arts | Research and Innovation |
| Associate Director, Research and Learning Services | LRLR |
| Head of HR Business Partnering | HR |
| REF Outputs and Environment Officer (Secretary) | Research and Innovation |

REF Systems and Process Group

Terms of reference – as at September 2018

1. The role of the REF Systems and Process Group is to receive expert advice on the REF requirements and, under the auspices of the REF Steering Group, then to coordinate the changes to the underlying systems and processes necessary for REF submissions.
2. In particular, the REF Systems and Process Group will be responsible for:
 - Bringing together individuals with specialist knowledge to establish the requirements for REF;
 - Identifying and making recommendations to the REF Steering Group about the work necessary to ensure that systems and processes are in place to deliver against the REF requirements within the required timescale;
 - Making recommendations about the activities that support the annual internal REF Review Cycle, as well as the final REF Submission and any transitional arrangements;
 - Signing-off the changes introduced to improve REF capabilities, including new or revised processes or functionality developed in relevant systems and tools;
 - Leading on the advocacy, and training of relevant stakeholders.
3. The REF Systems and Process Group will meet three times a year.
4. The REF Systems and Process Group will report to the REF Steering Group.
5. All members of this group will be required to undertake equality and diversity training.

Membership

| | |
|--|-------------------------|
| REF and Research Policy Manager (Chair) | Research and Innovation |
| Director of Global IT Partnering and Service Design | Digital Research |
| Business Analyst | IT Change Delivery |
| Domain Architect (Research) | Architecture |
| Program Manager RIS | Research and Innovation |
| REF Outputs and Environment Officer | Research and Innovation |
| Associate Director, Content and Discovery | Libraries |
| HR Management Information & Systems Manager | HR |
| REF Impact Manager | Research and Innovation |
| REF UOA Lead Coordinator - Faculty of Arts | Humanities |
| REF UOA Lead Coordinator - Faculty of Medicine and Health Sciences | Life Sciences |
| REF UOA Lead Coordinator - Faculty of Science | Biosciences |
| REF UOA Lead Coordinator - Faculty of Social Sciences | Geography |
| REF UOA Coordinator – Faculty of Engineering | Engineering |
| REF UOA Coordinator - NUBS | NUBS |
| REF Systems Coordinator (Secretary) | Research and Innovation |

REF Staffing and Personal Circumstances Operations Group

Terms of reference – as at September 2018

1. The REF Staffing and Personal Circumstances Operations Group's role will be to ensure that the decisions made about the REF eligible staff pool and on the cases of personal circumstances are in line with all other aspects of REF preparation and management, and to act as an internal Equality and Diversity Advisory Panel that guides and informs Nottingham's REF preparation.
2. In particular, the REF Staffing and Personal Circumstances Operations Group will be responsible for:
 - Advising on application of staff eligibility criteria;
 - Ensuring that the processes for managing the Personal Circumstances element of REF submissions are in line with REF requirements;
 - Equality and diversity requirements and for acting as an Equality and Diversity Advisory Panel to guide and inform REF preparation;
 - Establishing effective and efficient workflows for efficient management of staff return.
3. The REF Staffing and Personal Circumstances Operations Group will meet three times a year.
4. The REF Staffing and Personal Circumstances Operations Group can invite other members of staff when needed.
5. The REF Staffing and Personal Circumstances Operations Group will report to the REF Steering Group.
6. All members of this group will have undertaken equality and diversity training.

Membership

| | |
|-------------------------------------|------------------------------|
| Director of Human Resources (Chair) | Human Resources |
| REF and Research Policy Manager | Research and Innovation |
| HR Business Partner | Arts |
| HR Business Partner | Engineering |
| HR Business Partner | Medicine and Health Sciences |
| HR Business Partner | Social Sciences |
| HR Business Partner | Science |
| Head of HR Business Partnering | Human Resources |
| REF Outputs and Environment Officer | Research and Innovation |
| REF Systems Coordinator (Secretary) | Research and Innovation |

REF UOA Coordinators Operations Group**Terms of reference – as at September 2018**

1. The REF UOA Coordinators Operations Group's role is to coordinate and facilitate all operational aspects of REF 2021 submissions.
2. The REF UOA Coordinators Operations Group will be responsible for:
 - Delivering the requirements of the University's REF2021 Roadmap;
 - Ensuring smooth communication flow between the REF Manager and REF UOA Lead Coordinators and between REF UOA Lead Coordinators;
 - Identifying areas of interventions and support in all operational aspects of REF delivery;
 - Sharing best practice that can help making the existing processes better.
3. The REF UOA Coordinators Operations Group will meet three times a year.
4. The UOA Coordinators Operations Group will report to the REF Steering Group.
5. All members of this group will have undertaken equality and diversity training.

Membership

| | |
|--|---------------------------------|
| REF and Research Policy Manager(Chair) | Research and Innovation |
| Head of HR Business Partnering | HR |
| Associate Director – Content and Discovery | Libraries |
| REF UOA Lead Coordinator - 1. Clinical Medicine | Medicine |
| REF UOA Lead Coordinator - 2. Public Health, Health Services and Primary Care | Medicine |
| REF UOA Lead Coordinator - 3. Allied Health Professions, Dentistry, Nursing and Pharmacy | Health Sciences |
| REF UOA Lead Coordinator – 3. Allied Health Professions, Dentistry, Nursing and Pharmacy | Medicine |
| REF UOA Lead Coordinator - 3. Allied Health Professions, Dentistry, Nursing and Pharmacy | Pharmacy |
| REF UOA Lead Coordinator - 4. Psychology, Psychiatry and Neuroscience | Psychology |
| REF UOA Lead Coordinator - 4. Psychology, Psychiatry and Neuroscience | Medicine |
| REF UOA Lead Coordinator - 5. Biological Sciences | Life Sciences |
| REF UOA Lead Coordinator - 6. Agriculture, Veterinary and Food Science | Biosciences |
| REF UOA Lead Coordinator - 6. Agriculture, Veterinary and Food Science | Veterinary Medicine and Science |
| REF UOA Lead Coordinator - 8. Chemistry | Chemistry |
| REF UOA Lead Coordinator - 9. Physics | Physics and Astronomy |

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| REF UOA Lead Coordinator - 10. Mathematics and Statistics | Mathematical Sciences |
| REF UOA Lead Coordinator - 11. Computer Science and Informatics | Computer Science |
| REF UOA Lead Coordinator - 12. General Engineering | Engineering |
| REF UOA Lead Coordinator - 13. Architecture, Built Environment and Planning | Engineering |
| REF UOA Lead Coordinator - 14. Geography and Environmental Studies | Geography |
| REF UOA Lead Coordinator - 16. Economics and Econometrics | Economics |
| REF UOA Lead Coordinator - 17. Business and Management Studies | NUBS |
| REF UOA Lead Coordinator - 18. Law | Law |
| REF UOA Lead Coordinator - 19. Politics and International Relations | Politics and International Relations |
| REF UOA Lead Coordinator - 20. Social Work and Social Policy | Sociology and Social Policy |
| REF UOA Lead Coordinator - 23. Education | Education |
| REF UOA Lead Coordinator – 24. Sport and Exercise Sciences, Leisure and Tourism | Life Sciences |
| REF UOA Lead Coordinator – 24. Sport and Exercise Sciences, Leisure and Tourism | Medicine |
| REF UOA Lead Coordinator - 25. Area Studies | American and Canadian Studies (CLAS) |
| REF UOA Lead Coordinator - 26. Modern Languages | Modern Languages and Cultures (CLAS) |
| REF UOA Lead Coordinator - 27. English Language and Literature | English |
| REF UOA Lead Coordinator - 28. History | History (Humanities) |
| REF UOA Lead Coordinator – 29. Classics and Archaeology | Classics and Archaeology (Humanities) |
| REF UOA Lead Coordinator - 30. Philosophy | Philosophy (Humanities) |
| REF UOA Lead Coordinator - 31. Theology and Religious Studies | Theology and Religious Studies (Humanities) |
| REF UOA Lead Coordinator - 31. Theology and Religious Studies | Theology and Religious Studies (Humanities) |
| REF UOA Lead Coordinator - 33. Music, Drama, Dance, Performing Arts, Film and Screen Studies | Music (Humanities) |
| REF UOA Lead Coordinator - 31. Theology and Religious Studies | Theology and Religious Studies (Humanities) |
| REF UOA Lead Coordinator - 33. Music, Drama, Dance, Performing Arts, Film and Screen Studies | Music (Humanities) |
| REF UOA Lead Coordinator - 34. Communication, Cultural and Media Studies, Library and Information Management | Culture, Film and Media (CLAS) |

REF Equality, Diversity and Inclusion Training Plan

The following are key points in the process flow for REF output reviews where it has been identified that there is opportunity for unconscious bias to affect decision making.

| | What | Potential for Bias? | Who |
|----|--|---------------------|--|
| 1 | Decision on staff eligibility internally (eligibility criteria published January 2019) | Potential | FPVC/ REF Coordinator/HoS/ APVC |
| 2 | Support to develop research activities which are presented in outputs and case studies | Yes | FPVC/APVC/HoS |
| 3a | Peer output reviews | Yes | 2 reviewers per paper Circa 100 people |
| 3b | Impact case study selection and reviews | Yes | 2 reviewers per case study and REF Coordinators/HoS/APVC/ FPVC |
| 4 | Individual performance conversation | Yes | HoS |
| 5 | Optimisation modelling | Potential | REF Team |

Three levels of training which vary in depth depending on the role of the individuals to whom the training will be delivered has been identified as follows:

| Unconscious Bias Training | | | Personal/Individual Circumstances Training (for staff) |
|--|---|--|--|
| Level 1 | Level 2 | Level 3 | Level 4 |
| Unconscious bias e-learning | Unconscious bias classroom based | EDI Awareness and Unconscious bias masterclass – Managing unconscious bias for positive inclusive outcomes | Individual/Personal Circumstances training. Offered through classroom, webinar, online Articulate and one-to-one if required |
| Target Audience | Target Audience | Target Audience | Target Audience |
| Local Reviewers (Outputs, Environment and Impact Case Studies) | Heads of School / Head of Dept/Research Group (Engineering) REF Coordinators (Outputs Coordinator, Impact Coordinator, Environment Coordinator) | FPVCs APVCs Research REF Core Delivery Team REF Steering Group and associated Committees Plus any members of: Research Strategy Programme Governance Board and Research Strategy Programme Board not covered in the list above | Staff who would like to consider making a disclosure for individual/personal circumstances within the REF process |

Overarching Outcomes

- To raise awareness of unconscious bias in the decision making process.
- To reduce the opportunity for unconscious bias through awareness and understanding of the 'prime' points for where subjective decision making informs the REF process.
- At Level 3 to equip lead decision makers with the tools and knowledge to assess their locally managed processes to mitigate opportunity for unconscious bias to negatively affect outcomes for protected characteristic groups.

The Levels of Training and Expected Learning Outcomes – Detail

The learning outcomes and delivery approach for each level of training has been developed and is detailed below.

The plans for delivery of these training programmes are as follows:

Level 1 - Unconscious bias e-learning

Learning Outcomes

By the end of this course, participants will be able to:

- Understand what unconscious bias is;
- Understand how unconscious bias can impact the peer review process;
- Integrate methods for mitigating the influence of unconscious bias.

Delivery

Unconscious bias e-learning is an established programme. This programme covers what bias is; how it impacts on people in the workplace; and what you can do to minimise negative consequences.

Supplementary materials relating more specifically to the REF context will be developed for inclusion.

Level 1 staff will be invited to complete this programme, with course completion recorded.

Level 2 - Unconscious bias classroom-based

Learning Outcomes

Participants have the opportunity to:

- Understand what unconscious bias is and how it can impact the peer review process;
- Examine typical biases created by peer review via case studies;
- Discuss 'prime' points where subjective decision-making informs REF – specific groups (protected characteristics), personal circumstances, types of research and research output, mode and terms of employment...etc;
- Integrate methods for mitigating the influence of unconscious bias in the review process.

Delivery

Unconscious bias course materials already exist. REF related unconscious bias materials will be developed for inclusion to ensure the course is context specific. This can be prioritised to meet required time-scale. Sessions can be offered at a local level and tailored for local needs where required.

Level 3 - EDI Awareness and Unconscious bias Masterclass – Managing for Positive Outcomes

Learning Outcomes

Participants have the opportunity to:

- Understand what unconscious bias is and how it can impact the peer review process;
- Examine typical biases created by peer review via case studies;
- Discuss 'prime' points where subjective decision-making informs REF;
- Integrate methods for mitigating the influence of unconscious bias in the review process;
- Understand the legal framework for protected characteristics and individual circumstances which constrain ability to research;
- Consider employment legislation and individual circumstances – mode and terms of employment;
- Review environmental templates and institutional statement – to undertake an assessment of compliance;
- Understand the difficulties of disclosure and encouraging individuals to supply verifying information;
- Create a checklist for locally managed processes and indicators of unconscious bias/appropriate mitigations.

Delivery

Unconscious bias materials already exist. REF related unconscious bias materials will be created; including REF related case studies to enable context relevant consideration of protected

characteristics/employment legislation. These can be prioritised to meet necessary time-scales. Sessions can be offered at a local level and tailored as required.

Level 4 – Personal / Individual Circumstances Training (for staff)

Outline: Staff will require support and encouragement to disclose individual and personal circumstances. Training will be delivered on the open programme, at a School or Faculty level if required and sometimes one-to-one to support those with complex or difficult circumstances.

Learning Outcomes

Participants will have the opportunity to:

- Examine reasons for disclosing individual/personal circumstances and REF impact;
- Understand the reasons the University needs staff to disclose and the process for disclosing;
- Explore individual circumstances REF tariff and how potential impact is mitigated by the REF process.

Delivery

The Personal Circumstances training will be a classroom based activity as far as possible but to enable widest possible access will have an interactive on-line version via Articulate and in some circumstances may be offered as one-to-one training.

Training Plan - Timescales for Delivery

Training will commence in early April 2019 with Level 1 training rolled out first and offered to all identified members of staff who are required to complete the training by 1 June 2019. Levels 2, 3 and 4 training will be released from April 2019. The following timetable shows the range and scope of the delivery which can be provided to meet University and staff needs. There will be an opportunity to review and intensify the schedule of delivery towards the end of the period (up to 30 June 2019) to ensure that all staff at the different levels are trained.

| Training & Development Timetable | | |
|---|-----------------------|---|
| Level of Training | Available from | Additional Information |
| Level 1 | March 2018 | March 2019: Invitation to target group to complete. Completions will be recorded and monitored. April – June 2019: Monthly reminders to individuals yet to complete. |
| Level 2 & 3 | April 2019 | April to June 2019: Training will be initially offered to each REF committee with open programmes on CSC to ensure all individuals have opportunity to attend the training. The combination of 2&3 will ensure that everyone in the target groups can be trained in unconscious bias, EDI considerations & prime points where subjective decision-making informs REF. |
| Level 4 | April 2019 | April – June 2019: 2 x workshops per month supplemented by webinar delivery and an on-line interactive articulate resource. Opportunity to support individuals and small groups through webinar. |

Ongoing provision will be in place to support any changes in staff / new staff, to ensure everyone who has responsibilities in this area has access to the training at the level they need.

Communication of Individual Staff Circumstances Declaration

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

- To enable staff who have not been able to produce a REF-eligible output (see Part 4, Section 4 of the University’s Code of Practice) during the assessment period to be entered into REF where they have;
 - circumstances that have resulted in an overall period of 46 months or more absence from research during the assessment period, due to equality-related circumstances (see below);
 - circumstances *equivalent* to 46 months or more absence from research due to equality-related circumstances;
 - two or more qualifying periods of family-related leave.
- To recognise the effect that equality-related circumstances can have on an individual’s ability to research productively, and to adjust expectations in terms of expected workload / production of research outputs.
- To establish whether there are any Units of Assessment where the proportion of declared circumstances is sufficiently high to warrant a request to the higher education funding bodies for a reduced required number of outputs to be submitted.

Applicable circumstances (see Part 4, Section 3 of the University’s Code of Practice):

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

If your ability to research productively during the assessment period has been constrained due to one or more of the circumstances above, you are requested to complete the Declaration of Individual Staff Circumstances Form, see below. Further information can be found paragraph 160 of the Guidance on Submissions (REF 2019/01) and the Part 4, Section 5 to 10 of the University’s Code of Practice. Completion and return of the form is voluntary, and individuals who do not choose to return it will not be put under any pressure to declare information if they do not wish to do so. This form is the only means by which the University will be gathering this information. You should therefore complete and return the form if any of the above circumstances apply and you are willing to provide the associated information.

Confidentiality

a) Within University of Nottingham

If you apply to request either form of reduction of outputs (removal of 'minimum of one' requirement or reduction of outputs due to staff circumstances), we will need to review your application. Your application will be administered by a small team within the HR department. The Personal Circumstances Group will review your application. It is also possible that further information will be needed, for example from your Head of School/Department, Faculty APVC for Research and Knowledge Exchange, Faculty HR Business Partner or Occupational Health.

Submitted data will be kept confidential to the Personal Circumstances Group, other members of the HR team and any other consulted party. The HR team have suitable processes to ensure that your data is protected in line with the Data Protection Act and GDPR. The HR team will destroy the submitted data about individuals' circumstances on completion of REF 2021.

b) Outside University of Nottingham

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

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

Changes in circumstances

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

Additional Support

More information is available in the University's Code of Practice. There will be access to attend a workshop to understand more details and provide support. Support is also available from your HR Business Partner, UOA Coordinator, Faculty APVC for Research and Knowledge Exchange and Head of School/Department. In addition, you are able to access the University Counselling service and the Employee Assistance Programme on the Employee Hub.

Next Steps

We would encourage any member of staff to submit an application where there are circumstances that would warrant a reduction. To submit you need to complete the attached Declaration of Individual Staff Circumstances Form.

Declaration of Individual Staff Circumstances Form

To submit this form you should email: Lorna Lord, Head of HR Business Partnering, lorna.lord@nottingham.ac.uk. If you require a hard copy please contact: Lorna Lord, Head of HR Business Partnering, lorna.lord@nottingham.ac.uk

Name: [Click here to insert text.](#)

Faculty: [Click here to insert text.](#)

School: [Click here to insert text.](#)

User ID: [Click here to insert text.](#)

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

Yes

No

See the definition of a REF eligible output in Part 4 of the Code of Practice.

Please complete this form if you have one or more applicable equality-related circumstance (see above) which you are willing to declare, see Part 4, Section 3 and 4 of the University's Code of Practice. Please provide requested information in relevant box(es).

| Circumstance | Time period affected |
|--|---|
| <p>Early Career Researcher (started career as an independent researcher on or after 1 August 2016).</p> <p><i>Date you became an early career researcher.</i></p> | <p>Click here to enter a date.</p> |
| <p>Junior clinical academic who has not gained Certificate of completion of Training by 31 July 2020.</p> | <p>Tick here <input type="checkbox"/></p> |
| <p>Career break or secondment outside of the HE sector.</p> <p><i>Dates and durations in months.</i></p> | <p>Click here to enter dates and durations.</p> |
| <p>Family-related leave;</p> <ul style="list-style-type: none"> • statutory maternity leave. • statutory adoption leave. • Additional paternity or adoption leave or shared parental leave lasting for four months or more. <p><i>For each period of leave, state the nature of the leave taken and the dates and durations in months.</i></p> | <p>Click here to enter dates and durations.</p> |

| | |
|---|----------------------------------|
| <p>Disability (including chronic conditions)</p> <p><i>To include: Nature / name of condition, periods of absence from work, and periods at work when unable to research productively. Total duration in months.</i></p> | <p>Click here to enter text.</p> |
| <p>Mental health condition</p> <p><i>To include: Nature / name of condition, periods of absence from work, and periods at work when unable to research productively. Total duration in months.</i></p> | <p>Click here to enter text.</p> |
| <p>Ill health or injury</p> <p><i>To include: Nature / name of condition, periods of absence from work, and periods at work when unable to research productively. Total duration in months.</i></p> | <p>Click here to enter text.</p> |
| <p>Constraints relating to family leave that fall outside of standard allowance</p> <p><i>To include: Type of leave taken and brief description of additional constraints, periods of absence from work, and periods at work when unable to research productively. Total duration in months.</i></p> | <p>Click here to enter text.</p> |
| <p>Caring responsibilities</p> <p><i>To include: Nature of responsibility, periods of absence from work, and periods at work when unable to research productively. Total duration in months.</i></p> | <p>Click here to enter text.</p> |
| <p>Gender reassignment</p> <p><i>To include: periods of absence from work, and periods at work when unable to research productively. Total duration in months.</i></p> | <p>Click here to enter text.</p> |
| <p>Any other exceptional reasons e.g. bereavement.</p> <p><i>To include: brief explanation of reason, periods of absence from work, and periods at work when unable to research productively. Total duration in months.</i></p> | <p>Click here to enter text.</p> |

Please confirm, by ticking the box provided, that:

- The above information provided is a true and accurate description of my circumstances as of the date below.
- I recognise that the information provided will be used for REF purposes only and will be treated in accordance with the Confidentiality section of the Communication of Individual Staff Circumstances Declaration.

I agree

Name: Print name here

Signed: Sign or initial here

Date: Insert date here

I would like to be contacted by:

Email Insert email address

Phone Insert contact telephone number

Personal information

Who will see it, where will it be stored?

The University recognises that the information contained in applications will constitute personal and, in many cases, sensitive personal data. By completing the Personal Circumstances Application Form, the employee consents to the use of that information by the University in assessing the appropriate number of outputs and to its storage for a period of time as is reasonable. The PCG, on behalf of the University, recognises that it has a duty to keep such information secure, to allow access to it only on a “need to know” basis and require explicit consent for sensitive personal data to be released to another party. Unless otherwise indicated by the employee, information that has been disclosed through the above application process will ONLY be used to assess output numbers in confidence for the purposes of the REF submission by the PCG. Employees will be made aware of this through the application form. Members of PCG and the Staff Circumstances Appeals Panel will be made aware of, and required to maintain, appropriate confidentiality.

Applications to the Personal Circumstances Group will not be filed with the employee’s main personnel file but held separately and securely within HR until the completion of the REF 2021, after which time the applications will be destroyed.

Research England requires that a summary of the grounds for any reduction is included in the return for any UOA where a reduction has been granted. As well as the reduction in the number of outputs to be returned, the summary will be recorded within RIS on a restricted basis – these summaries will not be available to the REF Coordinators. Employees will be required to give explicit consent before any information relating to personal circumstances is entered onto RIS. REF Co-ordinators will only be able to see that the number of required outputs has been reduced and the reduced requirement.

Applications for consideration of Personal Circumstances will not be shared with anyone outside the Personal Circumstances Group, other than as part of an appeal against the decision of the Personal Circumstances Group. However, some information that should be taken into account by the Group may only be available from within the Faculty, School or Department. For this reason applicants will be asked to supply a contact name in the Faculty, School or Department to confirm what, if any, supportive arrangements or reasonable adjustments have been put in place to mitigate the impact of any personal circumstances upon an employee’s ability to produce the required number of outputs. This contact should be in a position to comment from a management perspective in addition to being simply a colleague. The aim is to take into account all verifiable, relevant information to meet Research England’s audit requirements and to ensure consistency and fairness of approach.

The decision summaries returned to Research England will be made available to the Equality and Diversity Advisory Panel (EDAP) and this Code of Practice will be updated when this is available.

All REF panel members, chairs and secretaries are bound by confidentiality requirements, and acceptance of the confidentiality requirements is a condition of their appointment to the role. No information relating to identifiable individuals’ circumstances will be published by the funding bodies REF Team. All data collected, stored and processed by the UK funding bodies REF Team will be handled in accordance with the Data Protection Act 1998 and GDPR.

UOAs to be returned

| Faculty | REF Main Panel | UoA | REF Units of Assessment |
|-------------------------------------|----------------|-----|---|
| Medicine and Health Sciences | A | 1 | Clinical Medicine |
| | | 2 | Public Health, Health Services and Primary Care |
| | | 3 | Allied Health Professions, Dentistry, Nursing and Pharmacy |
| | | 4 | Psychology, Psychiatry and Neuroscience |
| | | 5 | Biological Sciences |
| | | 24 | Sport and Exercise Sciences, Leisure and Tourism |
| Science | A | 6 | Agriculture, Veterinary and Food Science |
| | B | 8 | Chemistry |
| | | 9 | Physics |
| | | 10 | Mathematics and Statistics |
| | | 11 | Computer Science and Informatics |
| Engineering | B | 12 | General Engineering (Aeronautical, Mechanical, Chemical and Manufacturing) |
| Social Sciences | C | 14 | Geography and Environmental Studies |
| | | 16 | Economics and Econometrics |
| | | 17 | Business and Management Studies |
| | | 18 | Law |
| | | 19 | Politics and International Studies |
| | | 20 | Social Work and Social Policy |
| | | 22 | Anthropology and Development Studies |
| | | 23 | Education |
| Arts | D | 25 | Area Studies |
| | | 26 | Modern Languages |
| | | 27 | English Language and Literature |
| | | 28 | History |
| | | 29 | Classics |
| | | 30 | Philosophy |
| | | 31 | Theology and Religious Studies |
| | | 33 | Music, Drama, Dance, Performing Arts, Film and Screen Studies |
| | | 34 | Communication, Cultural and Media Studies, Library and Information Management |

EIA on Terms of Reference for REF Committees – as at December 2018

Equality Impact Assessment

| | |
|---|---------------------------------------|
| Policy or practice being assessed | Terms of Reference for REF Committees |
| Faculty/Area/Department responsible for policy or practice | HR/REF |
| Name of process owner carrying out the assessment | Lorna Lord |
| Is this is a new policy or practice? | No |
| Date of this assessment/review | December 2018 |
| Date EIA will next be reviewed | December 2019 |

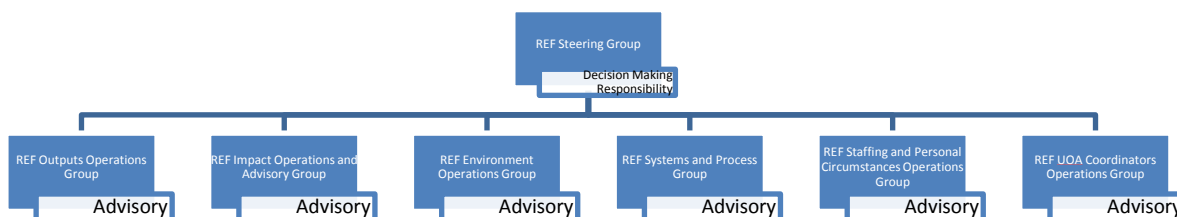
About the policy or practice

| | |
|---|--|
| What is the purpose of this policy or practice? | To have a suitable meeting structure and governance to deliver REF 2021. The meetings are: <ol style="list-style-type: none"> 1. REF Steering Group 2. REF Outputs Operations Group 3. REF Impact Operations and Advisory Group 4. REF Environment Operations Group 5. REF Systems and Process Group 6. REF Staffing and Personal Circumstances Operations Group 7. REF UOA Coordinators Operations Group |
| How will the policy or practice achieve this? | The Terms of Reference (ToR) outline the purpose and attendees at the meetings involved, see Appendices 5a-g of the Code of Practice. |
| Who will benefit from this, and how? | The University will have appropriate governance to enact a successful REF 2021 return. This will ensure that the University has appropriate funding going forwarded and is represented accurately and appropriately in league tables. |
| Are there any aligned activities or objectives associated with this policy or practice? | This is linked to Global 2020, the People Strategy and the Research Strategy. |

Evidence used in decision-making

| | |
|---|--|
| <p>Statistical context: Did you use internal data sources or resources?</p> <p>Did you use external data sources referring to the higher education sector or national figures/trends? If so, please give details.</p> | <p>Internal data sources were used. The HR MI Team provided EDI data for all the committees.</p> |
| <p>Historical context: Did you use any previous consultations, EIAs and/or outcomes of similar projects? If so, please give details.</p> | <p>Previous ToRs were used to develop the existing ToRs.</p> |
| <p>Legal context: Did you use equality law, legal precedent and/or case studies? If so, please give details.</p> | <p>No</p> |
| <p>Consultation: Did you use qualitative data and evidence based on lived experience? If so, who did you consult with and how?</p> | <p>Previous ToR have enabled effective meetings and delivery of REF 2014 and other governance with the University.</p> |

Figure 1: Committee Structure to support the delivery of REF with level of responsibility



Data Analysis

| Protected characteristic | Commentary | Action: |
|--------------------------|--|---------|
| Age | This data is not gathered for this purpose and was not analysed. | |
| Disability | <p>Only 3 Committee members out of 125 declared a disability.</p> <p>Environment Operations Group and Systems and Process Group have representation over the University average at 5.4% and 6.3% respectively.</p> <p>The average for all the Committees is 2.5% compared to a University average of 4.5%; however this is representative of the academic community at 2.8%.</p> <p>There is therefore significant under-representation at 4 of the Committees with no members declaring a disability.</p> | |

| | | |
|----------------------------|--|---|
| Ethnicity | <p>The committees are predominantly white, at 86.2% white, this is slightly higher than the University average at 82.3% and the academic population at 80.9%.</p> <p>The REF Impact Operations and Advisory Group in particular has a very low level of BME representation 6.7% and REF Steering Group has only 9.5%.</p> <p>BME Females are slightly over-represented (11.4%) compared to the University average (7.2%) but not substantially so. The majority of BME females are in administrative roles rather than academic roles.</p> <p>BME Males are under-represented compared to all pools, with only 2.4% (3 individuals) of Committee members belonging to that group, (University average is 7.8%).</p> <p>3 Committees do not have a single BME male on them: Steering Group, Staffing and Personal Circumstances and Impact Operations Group.</p> | <p>BME are not well represented at senior levels in the University and therefore the committees for REF have been impacted by this. When employees are approached / attracted to join committees BME representation needs to be considered at this point.</p> |
| Gender identity: Sex | <p>Females are slightly under represented on the Committees overall, comprising 48.8% of the membership, compared to the University population of 53.4%. However, this is largely due to the over representation of men on the Outputs Operations Group 68.2%, without this group the average representation would be 52.5%.</p> <p>The REF Staffing and Personal Circumstances Operations Group is entirely Female, this could be cause for concern when the job family that can apply for personal circumstances are 62.1% male.</p> <p>The REF Steering Group is the decision making body. This has slightly more females than the University average and more than the academic community. (Steering Group 57.1%, University Average 48.8% and R&T and R 62.1%). However, of the females on the Committee a notable number are from the APM job family and therefore this should not make an adverse effect.</p> | <p>REF Staffing and Personal Circumstances Operations Group is being reviewed to consider their role and make-up.</p> |
| Gender identity: Trans | <p>This data is not gathered for this purpose and was not analysed.</p> | |
| Sexual orientation | <p>This data is not gathered for this purpose and was not analysed.</p> | |
| Religion and belief | <p>This data is not gathered for this purpose and was not analysed.</p> | |
| Pregnancy and maternity | <p>This data is not gathered for this purpose and was not analysed.</p> | |
| Marriage/civil partnership | <p>This data is not gathered for this purpose and was not analysed.</p> | |

Action Plan

| | |
|--|---|
| <p>Are there significant differences between groups that could amount to discrimination?</p> | <p>There are differences in presentation in the Committees outlined above. The assessment does not believe that this is discrimination but there could be detriment.</p> |
| <p>Are there additional opportunities to promote equality that have been identified?</p> | <p>The University has developed a Committee structure that is suitable for the REF 2021 submission. In future, there will be extra consideration when people are asked to join Committees to account for EDI implications.</p> <p>As required by REF 2021 the University has developed a Code of Practice. The Code of Practice sets out the systems and processes that the University intends to follow to make the REF 2021 submission.</p> <p>There has been a consultation process for the Code of Practice across the academic community. All staff regardless of protected characteristics have been able to input into this and help shape the way that the University will submit.</p> <p>The University has and will conducted an EIA on the Code of Practice at suitable stages of its development. An important part of the Code of Practice is how staff can apply to have the number of outputs that they are required to submit reduced due to the impact a protected characteristics has had on their ability to produce research. This will help ensure that staff are treated fairly.</p> <p>The University is confident in the way that it has written and consulted on the Code of Practice that the views of all are sought and valued.</p> |

Evaluation and monitoring

| Decision taken on the policy or practice | Stop the policy or practice | Continue the policy or practice with some changes/amendments, date set for review | Continue the policy without changes, date set for review |
|--|---|---|--|
| How will the policy be stored, reviewed and monitored? | This EIA will be reviewed again when the Committees reconvene readying for the 2019-20 Academic Year. | | |
| Signed (process owner) | | | |

Appendix 10b

Equality Impact Assessment

| | |
|---|---|
| Policy or practice being assessed | REF 2021 Code of Practice: Research Independence |
| Faculty/Area/Department responsible for policy or practice | HR/REF |
| Name of process owner carrying out the assessment | Lorna Lord |
| Is this is a new policy or practice? | No |
| Date of this assessment/review | December 2018 |
| Date EIA will next be reviewed | May 2019 |
| Has the Equality Analysis Resources Hub been accessed in order to complete this EIA? | No |

About the policy or practice

| | |
|---|--|
| What is the purpose of this policy or practice? | <p>The Code of Practice has been developed as part of REF 2021 submission.</p> <p>The Code of Practice sets out the systems and processes that the University intends to follow to make the REF 2021 submission.</p> |
| How will the policy or practice achieve this? | <p>The Code of Practice outlines the key processes that the University will use for REF 2021 specifically:</p> <ul style="list-style-type: none"> • Identifying staff with significant responsibility for research. • Determining research independence and eligible staff. • Selection of outputs. • Implementing the staff circumstances. <p>This EIA has been conducted on the way the University will determine research independence.</p> |
| Who will benefit from this, and how? | <p>The University will have systems and processes to make an effective REF 2021 return. This will ensure that there is a transparent and consistent process for identifying independent researchers who are submitted.</p> |
| Are there any aligned activities or objectives associated with this policy or practice? | <p>This is linked to Global 2020, the People Strategy and the Research Strategy.</p> |

Evidence used in decision-making

| | |
|--|---|
| Statistical context: Did you use internal data sources or resources? | <p>The Code of Practice has been developed following the 'Draft Guidance on Submissions REF 2018/01 July 2018'.</p> |
|--|---|

| | |
|--|--|
| Did you use external data sources referring to the higher education sector or national figures/trends? If so, please give details. | Further guidance is due to be published in 2019; there could therefore be some changes to the direction of the Code of Practice. |
| Historical context: Did you use any previous consultations, EIAs and/or outcomes of similar projects? If so, please give details. | The starting point for this document was the REF 2014 Code of Practice. |
| Legal context: Did you use equality law, legal precedent and/or case studies? If so, please give details. | No |
| Consultation: Did you use qualitative data and evidence based on lived experience? If so, who did you consult with and how? | The University is consulting with the whole academic community, including academic leaders, staff network leaders and UCU. |

EDI Implications

| |
|--|
| <p>The Code of Practice has been written and highlights the legislative context that the University works with.</p> <p><i>The University recognises its obligations as an employer under the following key equal opportunities legislation:</i></p> <ul style="list-style-type: none"> • <i>The Equality Act 2010 (Gender Pay Gap Information) Regulations 2017</i> • <i>The Equality Act 2010.</i> • <i>Part-time Workers (prevention of less favourable treatment) Regulations 2000 (amended 2002).</i> • <i>Fixed-term Employees (prevention of less favourable treatment) Regulations 2002.</i> <p>The purpose of the Code of Practice is to help reduce potential inequalities.</p> |
|--|

Data Analysis

| Protected characteristic | Commentary |
|----------------------------|--|
| Age | <p>There are higher number of Level 4 R&T - R who are younger: 3.35% of 25 and under and 61.22% (584) of 26 to 35. Compared to Levels 5 – 7 R&T – R 0% of 25 and under and 28% (75) of 26 to 35.</p> <p>If the University submission is solely on contract type it will have a higher ratio of older staff returned as academics move up through levels in their career.</p> |
| Disability | <p>There are 2.92% of the Level 4 community that declare a disability compared 1.88% of the Level 5 to 7 community.</p> <p>Declaration of a disability across the University declines at each grade increase and therefore this is consistent with the University pattern.</p> |
| Ethnicity | <p>33% of the Level 4 community are BME compared to 22% of the Level 5 to 7 Community.</p> |
| Gender identity: Sex | <p>43% of the Level 4 community are female compared to 46% of the Level 5 to 7 community.</p> |
| Gender identity: Trans | <p>This data has not been analysed.</p> |
| Sexual orientation | <p>This data has not been analysed.</p> |
| Religion and belief | <p>This data has not been analysed.</p> |
| Pregnancy and maternity | <p>This data has not been analysed.</p> |
| Marriage/civil partnership | <p>This data has not been analysed.</p> |

Action Plan

| | |
|--|---|
| <p>Are there significant differences between groups that could amount to discrimination?</p> | <p>Draft 1 of the Code of Practice intends to submit 100% of eligible employees on an R&T – R Level 5 and above. This does not allow any flexibility and the decision would be made solely on contractual status. This was a specific question in the Draft 1 Code of Practice consultation exercise. The result of this was that there should be more flexibility and criteria tested to assess if research only staff have research independence rather than just their contract type. This EIA highlights the data for applying the contractual definition. This data needs to be run again and reviewed when the potential indicators of research independence are applied and assess if this has made an impact on the protected characteristics of those that will be returned.</p> |
| <p>Are there additional opportunities to promote equality that have been identified?</p> | <p>Currently there are protected characteristics that are disadvantaged, although not discriminated against. This needs to be reviewed again when the changes are made.</p> |

Evaluation and monitoring

| | | | |
|---|---|--|---|
| <p>Decision taken on the policy or practice</p> | <p>Stop the policy or practice</p> | <p>Continue the policy or practice with some changes/amendments, date set for review</p> | <p>Continue the policy without changes, date set for review</p> |
| <p>How will the policy be stored, reviewed and monitored?</p> | <p>The policy will be analysed and reviewed again once potential indicators of research independence have been applied.</p> | | |
| <p>Signed (process owner)</p> | | | |



EIA on Selection of Outputs – as at March 2019

Equality Impact Assessment

| | |
|---|--|
| Policy or practice being assessed | REF 2021 Code of Practice: Process for Selection of Outputs |
| Faculty/Area/Department responsible for policy or practice | Research and Innovation/REF |
| Name of process owner carrying out the assessment | Soma Mukherjee |
| Is this is a new policy or practice? | No |
| Date of this assessment/review | March 2019 |
| Date EIA will next be reviewed | June 2019 |
| Has the Equality Analysis Resources Hub been accessed in order to complete this EIA? | No |

About the policy or practice

| | |
|---|---|
| What is the purpose of this policy or practice? | <p>The Code of Practice has been developed as part of REF 2021 submission.</p> <p>The Code of Practice sets out the systems and processes that the University intends to follow to make the REF 2021 submission.</p> |
| How will the policy or practice achieve this? | <p>The Code of Practice outlines the key processes that the University will use for REF 2021 specifically:</p> <ul style="list-style-type: none"> • Identifying staff with significant responsibility for research • Determining research independence and eligible staff • Selection of outputs • Implementing the staff circumstances <p>This EIA has been conducted on the way the University will select outputs.</p> |
| Who will benefit from this, and how? | <p>The University will have system to make an effective REF 2021 return. This will ensure that there is an open and transparent process for selection of outputs.</p> |
| Are there any aligned activities or objectives associated with this policy or practice? | <p>This is linked to the University's Global 2020, the People Strategy and the Research Strategy.</p> |

Evidence used in decision-making

| | |
|---|--|
| <p>Statistical context: Did you use internal data sources or resources?</p> <p>Did you use external data sources referring to the higher education sector or national figures/trends? If so, please give details.</p> | <p>The Code of Practice and the process for selecting outputs has been developed following Decisions on staff and outputs (2017/04) and Initial decisions on the Research Excellence Framework 2021 (REF 2017/01) and the final Guidance on Submissions and Panel Criteria</p> |
| <p>Historical context: Did you use any previous consultations, EIAs and/or outcomes of similar projects? If so, please give details.</p> | <p>The starting point for this document was the REF 2014 Code of Practice.</p> |
| <p>Legal context: Did you use equality law, legal precedent and/or case studies? If so, please give details.</p> | <p>No</p> |
| <p>Consultation: Did you use qualitative data and evidence based on lived experience? If so, who did you consult with and how?</p> | <p>The University is consulting with the whole academic community, including academic leaders, staff network leaders and UCU.</p> |

EDI Implications

| |
|---|
| <p>The Code of Practice has been written and highlights the legislative context that the University works with.</p> <p><i>The University recognises its obligations as an employer under the following key equal opportunities legislation:</i></p> <ul style="list-style-type: none">• <i>The Equality Act 2010 (Gender Pay Gap Information) Regulations 2017</i>• <i>The Equality Act 2010.</i>• <i>Part-time Workers (prevention of less favourable treatment) Regulations 2000 (amended 2002).</i>• <i>Fixed-term Employees (prevention of less favourable treatment) Regulations 2002.</i> <p>The purpose of the Code of Practice is to help reduce potential inequalities.</p> |
|---|

Action Plan

The structure, criteria and requirements of REF2021 is changed significantly from REF2014. Research England's publications, [Decisions on staff and outputs \(2017/04\)](#) and [Initial decisions on the Research Excellence Framework 2021 \(REF 2017/01\)](#), during autumn 2017, and then the final [Guidance on Submissions](#) and [Panel Criteria](#) in January 2019, provided the University with the initial framework for planning for REF 2021 and informed the development of the process for outputs selection.

The requirements and criteria for REF 2021 is very different from that of REF 2014. As a consequence, our internal process of output selection has changed from what it was in REF 2014. In REF 2021, each eligible staff member has the option to return between a minimum of 1 and maximum of 5 outputs with an average of 2.5 outputs per FTE, compared to a minimum of 4 outputs per staff member in REF 2014. In REF 2021, we will be returning all eligible staff members and more outputs compared to REF 2014. As the University is returning 100% REF eligible staff members, the output selection process in REF 2021 is fairer compared to REF 2014.

The University has developed a process for selection of outputs to ensure the fair and transparent selection of outputs for REF 2021 Submissions. The process of outputs selection is conducted centrally through internal REF Readiness Review processes but is delivered at School/UA level by respective REF Coordinators. The aim of the process is to make an optimum submission to REF 2021. This process allows each eligible member of staff within a School/Department/UA, on receiving a request from their REF Coordinator, to identify and select outputs from their pool of eligible outputs. The requirement of output eligibility, in terms of meeting the open access criteria for journal articles and conference proceedings was not there for REF 2014. According to disciplinary differences between the faculties and Schools, the authors may or may not be asked to self-assess their own outputs while selecting their outputs. Neither the requirement for outputs eligibility nor the option of self-assessment of outputs were part of the internal process in REF 2014.

In the REF Readiness Review 2017 exercise, the EDI consideration on outputs selection was included in the EDI analyses which were discussed at the REF Readiness Review 2017 Faculty Review Panel meetings chaired by the Pro Vice Chancellor-Research and Knowledge Exchange. The EDI analyses looked at three of the protected characteristics (Gender, BME and Disability) and the data from these analyses is provided in the table below. This process did not form part of the output selection process in REF 2014.

Data from EDI analyses done against 3 of the protected characteristics for REF Readiness Review 2017 exercise is provided below. This data will be reviewed again after the 2018 REF Readiness Review to assess any changes.

| Protected characteristic | Commentary |
|--------------------------|---|
| Age | This data has not been analysed. |
| Disability | In the 2017 REF Readiness Review, 2% of outputs were returned by 2% of the eligible staff who have declared a disability. 89.2% of outputs were returned by 87.6% of staff who were in 'No' Disability category. 2.7% outputs from 2.6% of staff who had 'Preferred not to say'; and 6.1% of outputs from 7.7% staff were in the category 'Not matching as current'. |

| | |
|----------------------------|--|
| Ethnicity | In the 2017 REF Readiness Review, 13.4% of outputs were returned by 12% BME staff and 77.9% of outputs were returned by 77.7% of White academics. 2.6% outputs from 2.5% of staff were in the category 'Unknown'; and 6.1% of outputs from 7.7% staff were in the category 'Not matching as current'. |
| Gender identity: Sex | In the 2017 REF Readiness Review, 27.2% outputs were returned by 29.2% women vs 66.6% by 63% men 6.1% of outputs from 7.7% staff were in the category 'Not matching as current'. |
| Gender identity: Trans | This data has not been analysed. |
| Sexual orientation | This data has not been analysed. |
| Religion and belief | This data has not been analysed. |
| Pregnancy and maternity | This data has not been analysed. |
| Marriage/civil partnership | This data has not been analysed. |

| | |
|--|---|
| Are there significant differences between groups that could amount to discrimination? If so, action must be taken to rectify this – see section 5 and 6 of accompanying guidance | The REF Readiness Review 2017 data will be compared with the 2018 REF Readiness Review data and the final submission in 2020 to understand the significance of the differences. |
| Are there additional opportunities to promote equality that have been identified? If so, action should be taken to incorporate these – see section 4 of accompanying guidance | |

Evaluation and monitoring

| Decision taken on the policy or practice | Stop the policy or practice | Continue the policy or practice with some changes/amendments, date set for review | Continue the policy without changes, date set for review |
|--|---|---|--|
| How will the policy be stored, reviewed and monitored? | This EIA will be reviewed again following the completion of the REF Readiness Review 2018 process | | |
| Signed (process owner) | | | |