

**DRAFT**

**CODE OF PRACTICE**

**FOR THE IDENTIFICATION**

**OF STAFF AND OUTPUTS**

**FOR THE**

**RESEARCH EXCELLENCE FRAMEWORK**

**IN 2021 (REF 2021)**

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## **Code of Practice for the Identification of Staff for the Research Excellence Framework in 2021 (REF 2021)**

### **Preamble**

- REF 2021 refers to the system for assessing the quality of research in UK higher education institutions (HEIs) which will be completed in 2021. The REF is undertaken by the four UK higher education funding bodies: Research England, the Scottish Funding Council (SFC), the Higher Education Funding Council for Wales (HEFCW), and the Department for the Economy, Northern Ireland (DfE). The exercise will be managed by the REF team based at Research England and overseen by the REF Steering Group, consisting of representatives of the four funding bodies.
- The primary purpose of REF 2021 is to produce assessment outcomes for each submission made by institutions. These outcomes deliver the wider threefold purpose of the exercise, as follows:
  - a. The four HE funding bodies intend to use the assessment outcomes to inform the selective allocation of their grant for research to the institutions which they fund, with effect from 2022–23.
  - b. The assessment provides accountability for public investment in research and produces evidence of the benefits of this investment.
  - c. The assessment outcomes provide benchmarking information and establish reputational yardsticks, for use within the HE sector and for public information.

## **Part 1: Introduction**

### **1.1 REF 2021 Strategy**

UWS has adopted an approach to REF 2021 preparations that will aim to achieve an outstanding position in regard to research quality and impact. UWS will implement the Research & Enterprise (R&E) Enabling Plan, aiming to achieve the target of 1100 outputs of 3\*/4\* quality, £11m R&E awards (including 14 KTP projects), 513 PGR students and 30 impact cases by the end of 2020.

- The University is committed to the principle that the identification of staff for REF 2021 should be on the basis of demonstrable research excellence only, in the context of the REF 2021 and the University's REF 2021 strategy.
- This Code of Practice covers the identification processes associated with the REF 2021 exercise.
- This Code of Practice is consistent with the 'HR Excellence in Research Award' from the European Commission awarded to UWS in June 2016 for its work in supporting its research staff in their career development.
- This Code of Practice operates within the context of relevant legislation. (See Appendix 7 for the University's Equality and Diversity Policy).
- The University is committed to the implementation of this Code in all aspects of the REF 2021 preparations in order to ensure equitable and transparent processes are followed.

**1.2** UWS has been awarded the Athena SWAN Institutional Bronze Award in 2016. The Athena SWAN Charter was established in 2005 by the Equality Challenge Unit to encourage and recognise commitment to advancing the careers of women in science, technology, engineering, maths and medicine (STEMM) employment in higher education and research. The University is due to renew the Institutional award in November 2019 and each School is now working towards achieving their respective awards. Through the Athena SWAN action plan, the University is mindful of gender balance, promoting family friendly and work life balance policies and ensuring staff and students are supported during career/study breaks. The University Self-Assessment Team is composed of members from different Schools, Professional Service Departments and Students at different stages in their career.

Over 50 members of UWS staff and Court attended the UWS Athena SWAN Forum on Thursday 26th April 2018 to hear, discuss, and share best practice on advancing gender equality in Higher Education. The Vice-Principal (Academic) and the Associate Vice-Principal (Research & Enterprise) are active members of the Forum.

UWS is fully committed to the UK Concordat to support the Career Development of Researchers which sets out clear standards that research staff can expect from the University. It aims to improve the employment and support for research careers in the UK and provides a framework for career development based around seven core principles.

**These principles are set around six areas:**

Recruitment and Selection (Principle 1)

Recognition and Value (Principle 2)

Support and Career Development (Principles 3 & 4)

Researchers Responsibilities (Principle 5)

Diversity and Equality (Principle 6)

Implementation and Review (Principle 7)

In order to support and embed the Concordat in UWS, we have established a steering group which is led by the Vice Principal (Academic). Other members include staff from HR Services, Research Services, Doctoral College, Deans for Research and Enterprise, Researchers, Postgraduate Researchers and the Careers & Skills Service.

Since REF2014 outcomes were made available UWS has focused its research vision to deliver transformational change through outputs that have a tangible, early and positive impact on society across the globe.

UWS has started preparations on a School-level immediately after receiving REF2014 results. To date, the University REF 2021 preparations include:

- (1) Completion of 1st stage REF2014 analysis and identified major weaknesses (i.e. lack of public engagement evidence in impact statements, PhD completions at 47% and average grant per FTE significantly below average across all UoAs)
- (2) Identification and drafting of 52 potential impact cases
- (3) Improvement of PhD completion rate to 91%
- (4) Launching of £1m VP Fund that has resulted in 9 interdisciplinary projects
- (5) Implementation of PURE platform and included outputs published since 1st January 2014 within 3 months of acceptance
- (6) Allocation of all staff on PURE to one of the 16 provisional UoAs identified through a series of workshops

(7) Completion of 1st Stage mock REF audit in Schools (self-assessment and initial internal peer assessment)

While our work covers an enormous breadth of interests, our activities fall into three key strategic themes:

- Health
- Society
- Sustainability

Across these themes, the majority of our activities fall into multidisciplinary and interdisciplinary collaborations across a number of research areas.

Four staff development sessions have taken place in the form of Masterclasses to allow staff to engage with thinking on how to understand 3\*/4\* quality profile for outputs and how to develop 3\*/4\* impact. This latter provision is aimed at addressing an aspect of the REF2014 where the University considers that it did not perform as well as it could in the assessment of its Impact Case Studies, taking into account the applied nature of the majority of its research activity.

We fully support and are committed to our researchers' ongoing development and of delivering doctoral research opportunities across all disciplines all under the umbrella of applied, transformative and ethical research.

A key feature of UWS doctoral provision is the multidisciplinary doctoral training programme which is aligned to the Vitae Researcher Development Framework.

A cohort based approach to training and development has been developed allowing participants to undertake activities that support their PhD journey and career development.

All research students are expected to engage in the programme during which they gain a range of valuable skills in addition to the in-depth knowledge and understanding of their research topic. Skills development has a critical part to play in employability, it is well recognised that employers both within and out with academia place great importance in, and recognise the value of, developed transferable skills in prospective employees.

### 1.3

- a. **Transparency:** All processes for the identification of staff for inclusion in REF 2021 will be transparent.
- The Code will be easily accessible and will be publicised to all academic staff across the institution, including on the University web pages, the Staff Intranet, and drawn to the attention of those absent from work.

- The Code will be actively disseminated and explained through relevant meetings of committees and groups involved in the identification of staff for REF 2021. This will include the REF Strategy Group and its Sub-Groups which include representation from the five academic schools. A bi-monthly REF 2021 Newsletter is published on staff email system and Staff Intranet, alerting all staff to the most recent developments and the University's stage of readiness. (See Appendix 2 for committee/group details).
  
- b. **Consistency:** All processes for the identification of staff and outputs for inclusion in REF 2021 will be consistent across the institution and implemented uniformly.
  
- The Code of Practice sets out the principles to be applied to all aspects/stages of the process at all levels within the institution where decisions will be made, including how individual staff circumstances, including part-time employment and Early Career Researcher status, will be taken into account.
  
- c. **Accountability:** The responsibilities of those involved in REF 2021 processes will be clearly defined, and individuals and bodies that are involved in identifying staff and outputs for REF 2021 submission will be identified by name or role. These will include the Vice-Principal and PVC Academic, the Associate Vice-Principal Research & Enterprise, Deans of Schools, the REF Strategy Group and its Sub-Groups (including their Chairs and Co-Chairs) and Unit of Assessment (UoA) Leads and Co-Leads.
  
- The Code identifies those that will be involved in the identification process and identifies what training those staff will be required to undertake in order to engage in the process.
  
- The Code describes the operating criteria and terms of reference for individuals, committees, advisory groups and any other bodies concerned with staff identification.
  
- d. **Inclusivity:** The University will promote an inclusive environment.
  
- The process of identification covered by the Code seeks to identify all eligible staff that have produced excellent research for submission to REF 2021. UWS has started its REF 2021 planning on the basis of a 100% minus position. The University has identified all 'eligible' staff on teaching and research and research only contracts and seeks to include in its submissions outputs from all staff that meet the criteria set out in this Code.

### **1.4 Communication Plan**

The University will maintain clear and unambiguous communications with all staff engaged in REF preparations (including those on leave of absence), as follows:

- Initially communications will be sent to all 'eligible' academic staff and every member of staff will be invited to indicate whether they wish to be included for consideration for the REF taking into account the need to satisfy the criteria of significant responsibility for research (Part 2 of this document) and research independence (Part 3).
- Thereafter communications will be directed to this self-nominated group on a central basis up to the point where staff in scope for submission and any special circumstances are established.
- Once staff in scope for submission and special circumstances are established, all communications will be managed through the Unit of Assessment Panels.
- All staff who have nominated themselves for inclusion in REF 2021 will be advised by individual letter of the outcome of the internal assessment process.
- The deadline for submitting codes of practice is noon on 7th June 2019. The Equality and Diversity Advisory Panel (EDAP) will examine the codes and advise the UK funding bodies on their adherence to the guidance, prior to approval and publication. All submitted and approved codes of practice will be published before the submission deadline. The provisional publication date is December 2019.
- This Code may be subject to final amendment following review by the REF Equality and Diversity Panel.
- Communication will be on the basis of the timeline shown below:



**Table 1: REF Communication Plan**

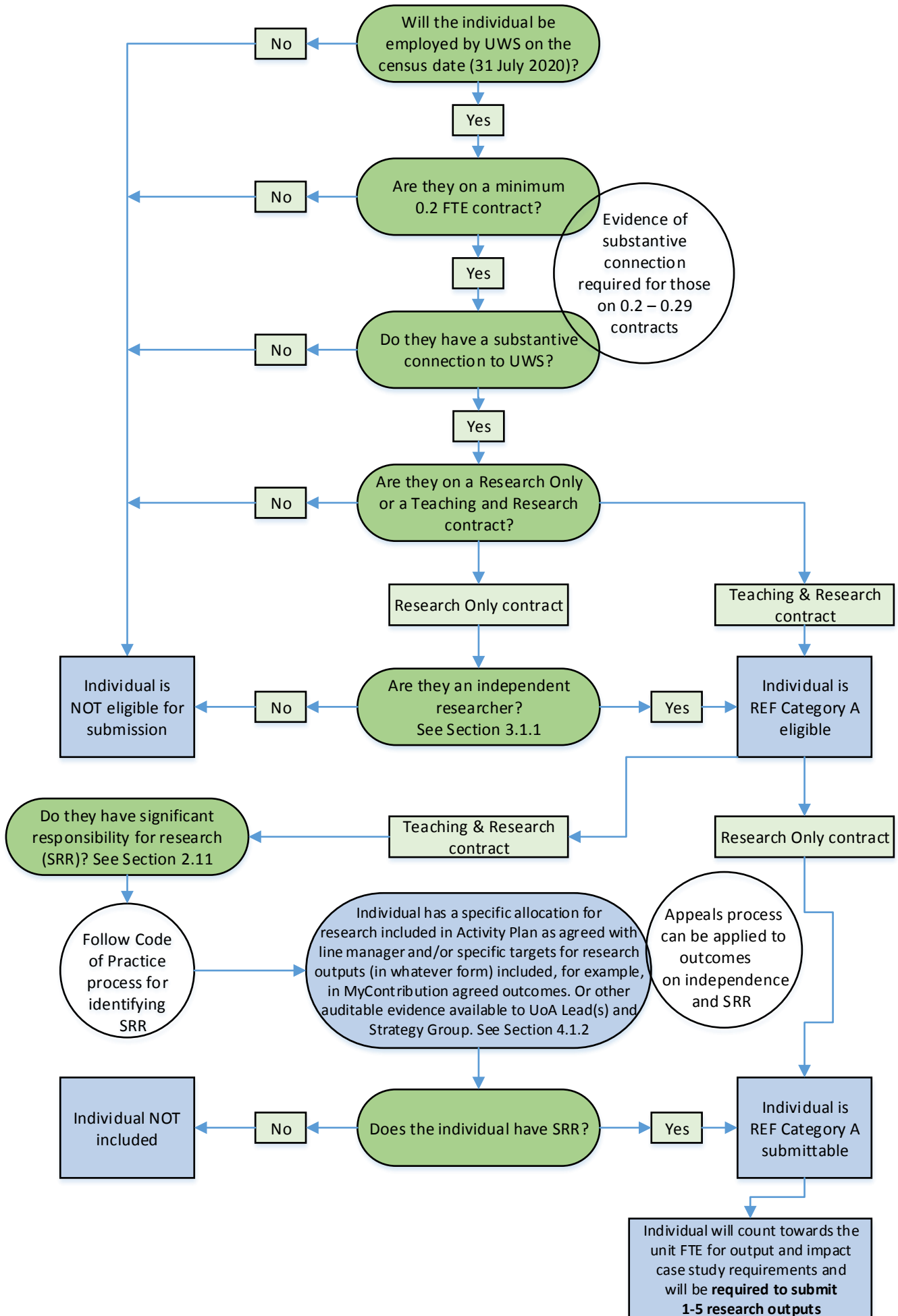
<b>Timeline</b>	<b>UWS Activities</b>
<b>January – March 2019</b>	UoA Meetings
<b>February 2019</b>	Draft Code of Practice to REAC for comment
<b>March 2019</b>	Senate Consultation First call for Individual Circumstances Onwards, Potential selection of External Advisers
<b>April 2019</b>	Collation of Mock Exercise and Equality and Diversity Training
<b>April – June 2019</b>	Mock Exercise
<b>June 2019</b>	CoP & REF Strategy to Senate for Approval Appeal Panel, First Equality Impact Assessment
<b>October – December 2019</b>	Revision of UoAs, refining Impact Statements Consideration of EIA Data
<b>Further call for Individual Circumstances</b> (to get 100% return from staff)	
<b>December 2019</b> – Further Appeal Panel	
<b>January – June 2020</b>	Regular UoA Meetings to review Progress Regular REF 2021 Strategy Group meetings
<b>June – October 2020</b>	Individual Circumstances Panel and Appeal Panel for Late Entrants
<b>October 2020</b>	Final Draft of Submission prepared for Principal Sign-off

**Part 2: Identifying staff with significant responsibility for research**

See Flowchart 1: Criteria for Staff Eligibility for submission to REF 2021

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Flowchart 1: Criteria for Staff Eligibility for submission to REF2021 (DRAFT)



## 2.1 Policies and Procedures

The policies and procedures used in identifying staff with significant responsibility for research are consistent with the UWS REF 2021 Strategic Plan. The University then continued to develop draft criteria for staff to be identified as 'in scope for submission'. The Strategy and draft criteria have been subject to multi-stage consultation before they are finally accepted and can be included in the draft Code for all-staff consultation. A questionnaire has been developed to allow staff to opt in for consideration as 'in scope'.

During March/April 2019, HR Services, in conjunction with the Strategic Planning department, will be required to identify **all staff** (including those on leave of absence) who meet the definition of a primary employment function of 'research only' or 'teaching and research' for the purposes of the 2018/19 HESA return (codes '2' or '3' in the ACEMPFUN field). This data will be passed to the Associate Vice-Principal Research & Enterprise and the Senior Manager Global Research Excellence & Partnerships.

During March/April 2019, all staff will be required to identify **up to three** of the REF 2021 Units of Assessment (UoAs) (see Appendix 1) that they believe are the closest fit in terms of their research activity and experience. **It is anticipated that staff whose work is interdisciplinary in nature will identify more than one UoA.**

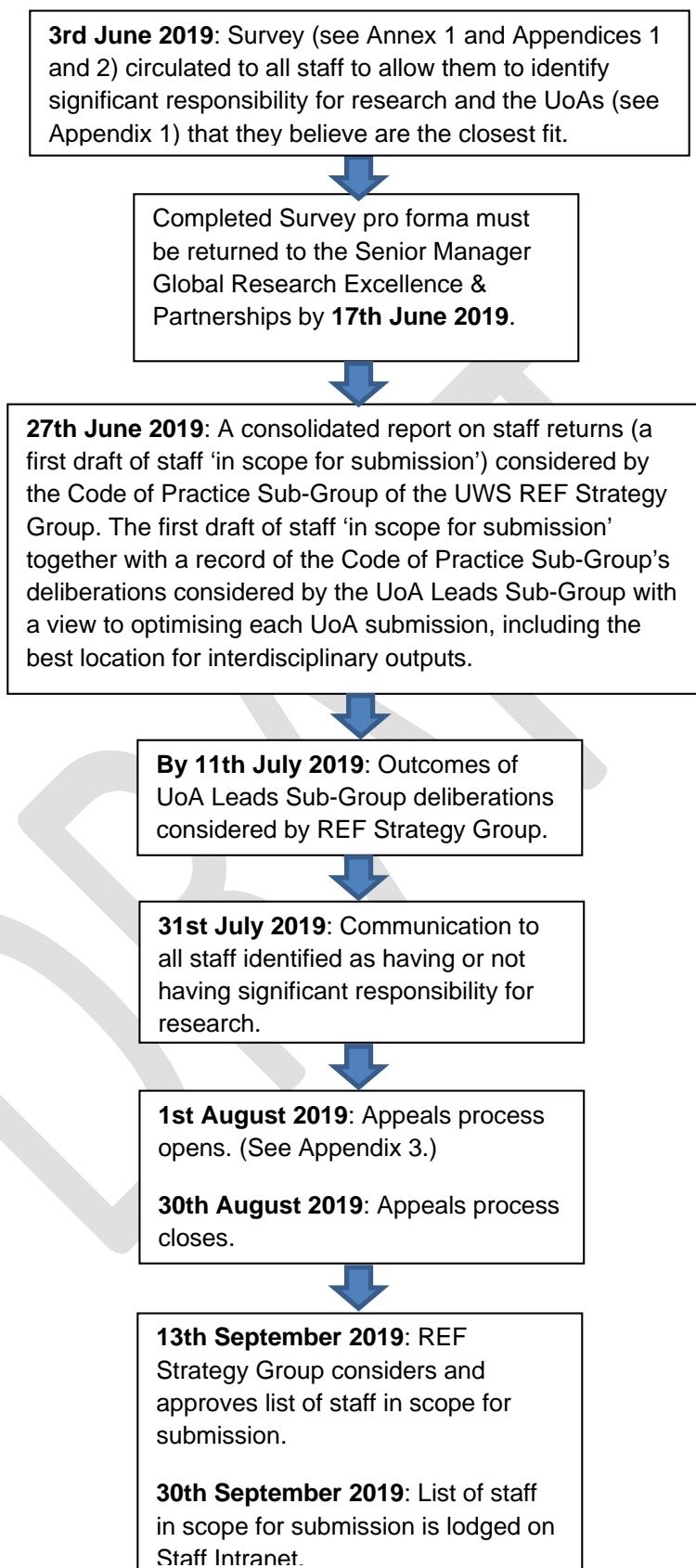
During April/May 2019, the Senior Manager Global Research Excellence & Partnerships will provide the Code of Practice Sub-Group (see Appendix 2) of the UWS REF Strategy Group (also Appendix 2) with a list of 'eligible' staff by Unit of Assessment.

### 2.1.1 Criteria to be used for identifying staff with significant responsibility for research

#### Significant responsibility for research

Staff with significant responsibility for research are those for whom explicit time and resources are made available to engage actively in independent research, and that is an expectation of their job role. At UWS, that includes a specific allocation for research included in the individual's Activity Plan as agreed with the appropriate line manager and/or specific targets for research outputs (in whatever form) included, for example, in MyContribution agreed outcomes. For staff in all Schools an Activity Plan allocation, as communicated in responses to the Staff Survey (Annex 1, Appendix 2), will normally be considered as significant responsibility for research.

**Table 2: Decision-making and communication**



## 2.2 Development of Process(es)

In the period between June and July 2019 the REF Strategy Group will consider the consolidated report on staff returns in the context of the UWS REF 2021 Strategy. During this period the REF Strategy Group will oversee the following:

- The confirmation of UOA Leads and Co-Leads for all initial UOAs based on advice from the REF 2021: UoA Leads Sub-Group (Appendix 2).
- Based on advice from the REF 2021: UoA Leads Sub-Group (Appendix 2), the allocation of staff in scope for submission to initial Units of Assessment (UOAs) taking into account key issues such as:
  - The need to ensure that each submission normally includes a set number of items of research output equal to 2.5 times the combined FTE of Category A submitted staff included in the submission.
  - The need to ensure that all initial UOAs contain sufficient numbers of FTE Category A staff to constitute critical mass.
- Initial assessment with regards to the likelihood that UOAs can produce the required number of impact case studies based on advice from the REF 2021: Impact Sub-Group (Appendix 2)
- The inclusion of the outputs of staff formerly employed as Category A eligible (former staff). Outputs attributable to these staff are eligible for inclusion where the output was first made publicly available while the staff member was employed by the institution as a Category A eligible member of staff based on advice from the REF 2021: UoA Leads Sub-Group (Appendix 2).
- Initial assessment of the ability for UOAs to develop a coherent narrative that links outputs, impact case studies and environment statements based on advice from the REF 2021: Environment Sub-Group (Appendix 2).
- The development of processes to allow the confidential scrutiny of output reduction requests relating to individual staff circumstances to be overseen by the Individual Circumstances Group (Appendix 6).

**2.2.1** Following consultation with staff groups including REAC, Senate and School Boards, the University will seek to optimise the number of staff returned, within the target Units of Assessment listed below:

- **Unit 2** Public Health, Health Services and Primary Care
- **Unit 3** Allied Health Professions, Dentistry, Nursing and Pharmacy
- **Unit 5** Biological Sciences
- **Unit 7** Earth Systems and Environmental Sciences
- **Unit 9** Physics
- **Unit 11** Computer Science and Informatics
- **Unit 12** Engineering
- **Unit 17** Business and Management Studies
- **Unit 20** Social Work and Social Policy
- **Unit 23** Education
- **Unit 24** Sport & Exercise Sciences, Leisure & Tourism
- **Unit 33** Music, Drama, Dance, Performing Arts, Film and Screen Studies
- **Unit 34** Communication, Cultural and Media Studies, Library and Information Management

### **2.2.2 Process Communication Plan**

The Communication Plan set out in Section 1.4 will apply.

### **2.3 Staff Committees and Training**

**2.3.1** The designated staff and committees/panels included in Appendix 2 will be responsible for identifying staff with significant responsibility for research taking into account the criteria set out in Parts 2 and 3 of this Code.

All staff involved in the REF 2021 will receive training in Equality and Diversity. Training will be mandatory, and an outline schedule is attached at Appendix 8. A log of training will be recorded and retained. The titles of staff who will be engaged in the REF 2021 process are attached at Appendix 9 but this may be supplemented over the REF period.

## 2.4 Appeals

Chaired by the Head of the Quality Enhancement Support Team, the Appeal Panel will be responsible for the adjudication of all appeals submitted by staff on grounds of Eligibility, Quality Assessment and Individual Circumstances. The Appeal Panel will have no locus in defining where the quality threshold is set within Units of Assessment returned by UWS. The membership and remit of the Group is listed at Appendix 2.

## 2.5 Equality Impact Assessment

- When the first draft submission is drawn up (Summer 2019) an equality profile, in terms of available data on age, disability, ethnicity, gender reassignment, marriage or civil partnership, pregnancy or maternity, religion or belief, sex and sexual orientation will be drawn up listing those who are eligible for submission and indicating those who are to be submitted and those who are not. This profile will be compiled by HR in line with data protection legislation to ensure that no individual can be identified.
- The profile will be examined for imbalances, taking advice from the University Equality and Diversity Coordinator. If imbalances are found then UWS will consider how to address these in future through its on-going equality and diversity initiatives. An equality impact assessment (EIA) will be carried out on the policy and procedures for identifying staff for REF 2021 outlined in this Code. This will be undertaken under the auspices of the REF 2021 Strategy Group and will include a thorough and systematic analysis to determine whether the staff identification policy for the REF 2021 may have a differential impact on particular protected groups. The EIA will also review the outcome of consideration of requests on grounds of individual staff circumstances.
- An EIA of the 2021 REF Mock Exercise, and of the draft Code itself, will be carried out in the aftermath of the Exercise. The EIA will be reviewed by the REF 2021 Strategy Group at key stages of the identification process, up to and including the final submission process, to ensure that any necessary changes to prevent discrimination or promote equality are taken prior to the submission deadline.
- The EIA will be undertaken by a designated group reporting to the REF 2021 Strategy Group and will be informed by an analysis of data on staff who are eligible for identification in respect of all the protected characteristics for which data are available. The analysis will cover all eligible staff and will, where feasible, involve consultation with eligible staff from protected groups.
- The final version of the REF EIA, including the outcomes of any actions taken to prevent discrimination or advance equality, will be published on the web after the submission has been made.



### **Part 3: Determining research independence**

#### **3.1.1 Criteria**

Using the survey method set out at Section 2 above, staff will be asked to indicate if they can be identified as independent researchers. The criteria are:

- 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
- acting as a co-investigator on an externally funded research project
- leading a research group or a substantial work package
- significant input into the design, conduct and interpretation of the research.
- eligibility to apply for research funding as the lead or co-applicant
- access to research leave or sabbaticals
- membership of research centres or institutes within the HEI
- acting as Director of Studies/Lead Supervisor for doctoral student(s)

#### **3.1.2 Decision-making and communication**

The decision-making and communication procedure set out at Section 2 above will also be used to determine research independence simultaneously with significant responsibility for research.

#### **3.2 Staff, Committees and Training**

The designated staff and committees that will consider data on determining research independence are the same as those at 2.3 above (Appendix 2). Training for these colleagues will take place simultaneously with training on research independence.

#### **3.3 Appeals**

The Appeals process set out at 2.4 above (Appendix 2) will also relate to appeals on decisions relating to research independence.

#### **3.4 Equality Impact Assessment**

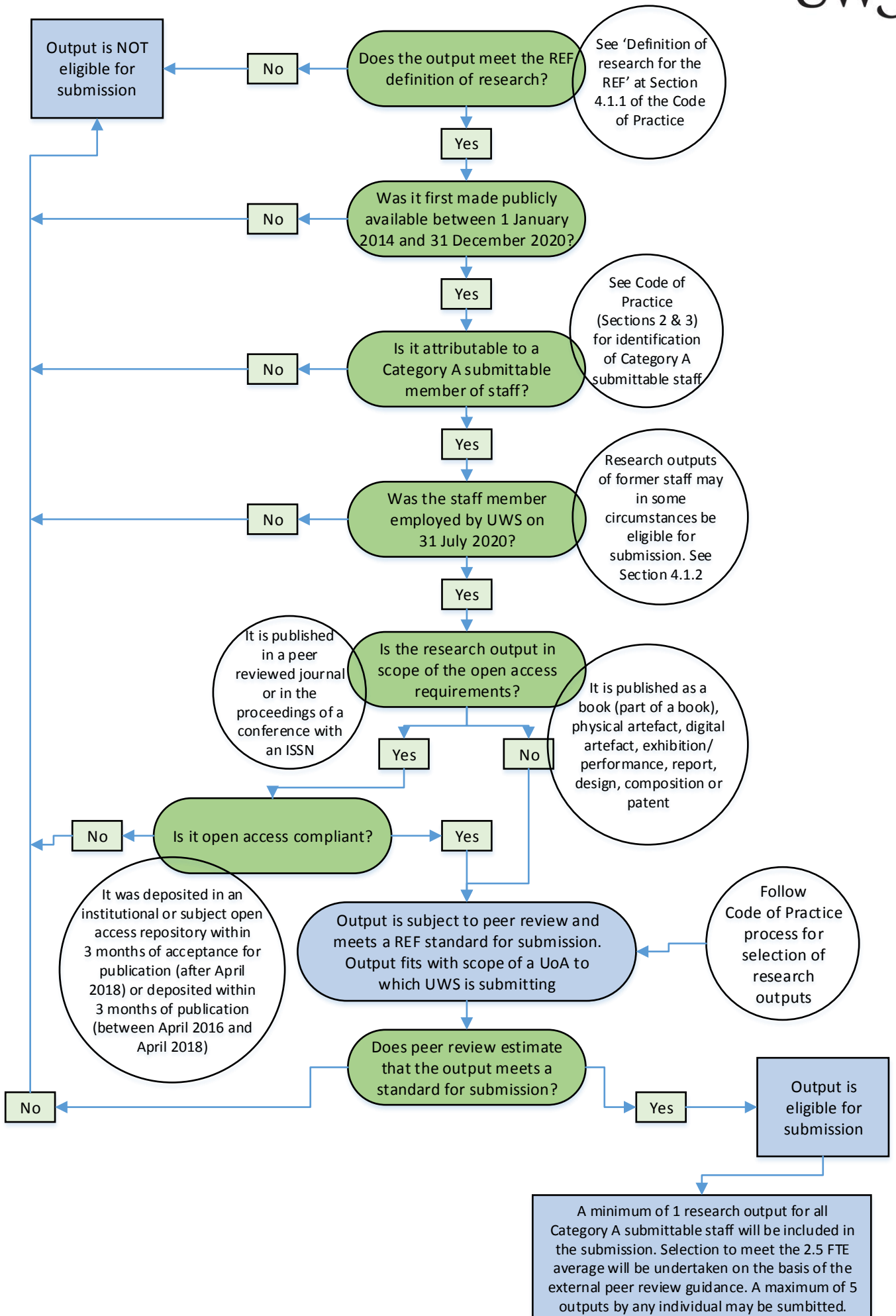
The Equality Impact Assessment process set out at 2.5 above will also apply to the process of determining research independence.

**Part 4: Selection of Outputs**

See Flowchart 2: Criteria for Research Output selection for REF 2021

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Flowchart 2: Criteria for Research Output eligibility for submission to REF2021 (DRAFT)



#### 4.1.1 Staff Survey

As part of the staff survey process at Section 2 above colleagues will be asked to indicate if they have a minimum of one and a maximum of five research outputs first brought into the public domain during the publication period 1st January 2014 to 31st December 2020.\* Appendix 4 provides a list of the outputs that would normally be considered as 'in scope for submission' for REF 2021. However, all outputs must meet the REF definition of research: *'a process of investigation leading to new insights, effectively shared. It includes work of direct relevance to the needs of commerce, industry, culture, society, and to the public and voluntary sectors; scholarship; the invention and generation of ideas, images, performances, artefacts including design, where these lead to new or substantially improved insights; and the use of existing knowledge in experimental development to produce new or substantially improved materials, devices, products and processes, including design and construction.'* In addition all outputs must be compliant with the REF Open Access Policy. See Appendix 5.

\* In all UOAs, an individual may be returned without the required minimum of one output without penalty in the assessment, where the nature of the individual's circumstances has had an exceptional effect on their ability to work productively throughout the period, so that the staff member has not been able to produce the required minimum of one output.

#### 4.1.2 UoA Leads Sub-Group Responsibilities

Subsequent to the staff survey, UoA Leads will be responsible for recommending to the REF Strategy Group (on a rolling basis up to the Census date of 31st July 2020) the outputs that should be considered for submission in their UoA. Exceptionally, and for clearly recorded and auditable reasons, including the use of citation data or other bibliometric measures, and peer review processes, the UoA Leads Sub-Group may recommend the inclusion in submissions of outputs from researchers who meet all the criteria for significant responsibility for research and research independence but who have not returned a completed pro forma by the deadline date. Furthermore, the UoA Leads Sub-Group may recommend to the REF Strategy Group the inclusion of outputs from researchers who do not meet all of the criteria for significant responsibility for research and research independence but who, in the view of the Sub-Group, may make a material difference to the quality of a submission in a UoA. Alternatively and for clearly recorded and auditable reasons, including the use of citation data or other bibliometric measures, and peer review processes, the UoA Leads Sub-Group may recommend the exclusion from a submission of outputs by colleagues who meet the criteria for significant responsibility for research and research independence but where there is no strategic fit with Unit of assessment descriptors and boundaries. Any recommendations made by UoA Leads on the inclusion or exclusion of outputs and staff, beyond or in parallel with the 'opt in' staff survey process, must be supported by recorded and auditable evidence, including documentary written evidence from Deans and other senior staff, that can support the identification of colleagues as having significant responsibility for research and being independent researchers.

The UoA Leads Sub-Group will also have responsibility for recommending how former colleagues could be contacted to determine whether either or both of UWS and their new employers would be returning outputs first brought into the public domain while employed at UWS.

#### **4.1.3 Interdisciplinary Research**

In the period up to the point in Autumn 2019, when UWS must complete the REF survey of its submission intentions and, on a rolling basis, up to the submission deadline of 27th November 2020, the UoA Leads Sub-Group will oversee the identification of interdisciplinary and/or multidisciplinary outputs to be flagged as such in REF2 within the appropriate submission(s). For the purposes of REF, interdisciplinary research is understood to achieve outcomes (including new approaches) that could not be achieved within the framework of a single discipline. Interdisciplinary research features significant interaction between two or more disciplines and/or moves beyond established disciplinary foundations in applying or integrating research approaches from other disciplines.

#### **4.2 Final Submission**

Working with recommendations from the UoA Leads Sub-Group, the REF Strategy Group will have final responsibility for recommending to the Principal and Vice-Chancellor the contents of the UWS REF 2021 submission.

#### **4.3 Staff, Committees and Training**

The designated staff and committees that will consider data on the selection of outputs are the same as those at 2.3 above (Appendix 2). Training for these colleagues will take place simultaneously with training on significant responsibility for research and research independence.

#### **4.4 Staff Circumstances**

In tandem with the survey process set out at Section 2 all eligible staff will be asked to complete and return a voluntary Individual Circumstances Disclosure Form. See Appendices 6 & 7.

- Procedures for taking into account staff whose circumstances have affected their ability to research productively throughout the period in relation to the unit's total output requirement are set out in the Communication Plan at section 1.4 of this Code. See Appendices 6 & 7.

- Procedures for taking into account the effect of circumstances that have had an exceptional effect on the ability of an individual staff member to research productively throughout the period so that they do not have the required minimum of one output are set out in Appendices 6 & 7.
- Appendices 6 & 7 make clear that the procedure for staff to disclose circumstances is conducted in a confidential manner.

#### **4.5 Equality Impact Assessment**

The Equality Impact Assessment process set out at 2.5 above will also apply to the process of the selection of outputs.

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## Appendices

1. Unit of Assessment Structure for REF 2021
2. REF Strategy Group and Sub-Groups
3. Appeal Form
4. Output Categories for REF 2021
5. REF 2021 Open Access Policy
6. Membership and Remit of Individual Circumstances Group
7. Individual Circumstances Group – Process Documents
8. Training Schedule
9. List of Staff to be trained in Equality and Diversity

## **Annex 1:** Criteria for Identifying Staff with Significant Responsibility for Research and survey tool

- Appendix 1: REF 2021 Guidance excerpt on Staff with significant responsibility for research
- Appendix 2: Questions for staff survey

**Appendix 1: Unit of Assessment Structure for REF 2021**

<b>Main panel</b>	<b>Unit of assessment</b>	
<b>A</b>	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	
	6 Agriculture, Veterinary and Food Science	
<b>Main panel</b>	<b>Unit of assessment</b>	
	<b>B</b>	7 Earth Systems and Environmental Sciences
	8 Chemistry	
	9 Physics	
	10 Mathematical Sciences	
	11 Computer Science and Informatics	
12 Engineering		
<b>Main panel</b>	<b>Unit of assessment</b>	
	<b>C</b>	13 Architecture, Built Environment and Planning
	14 Geography and Environmental Studies	
	15 Archaeology	
	16 Economics and Econometrics	
	17 Business and Management Studies	
	18 Law	
	19 Politics and International Studies	
	20 Social Work and Social Policy	
21 Sociology		



- 22** Anthropology and Development Studies
- 23** Education
- 24** Sport and Exercise Sciences, Leisure and Tourism

**Main panel**

**Unit of assessment**

**D**

- 25** Area Studies
- 26** Modern Languages and Linguistics
- 27** English Language and Literature
- 28** History
- 29** Classics
- 30** Philosophy
- 31** Theology and Religious Studies
- 32** Art and Design: History, Practice and Theory
- 33** Music, Drama, Dance, Performing Arts, Film and Screen Studies
- 34** Communication, Cultural and Media Studies, Library and Information Management

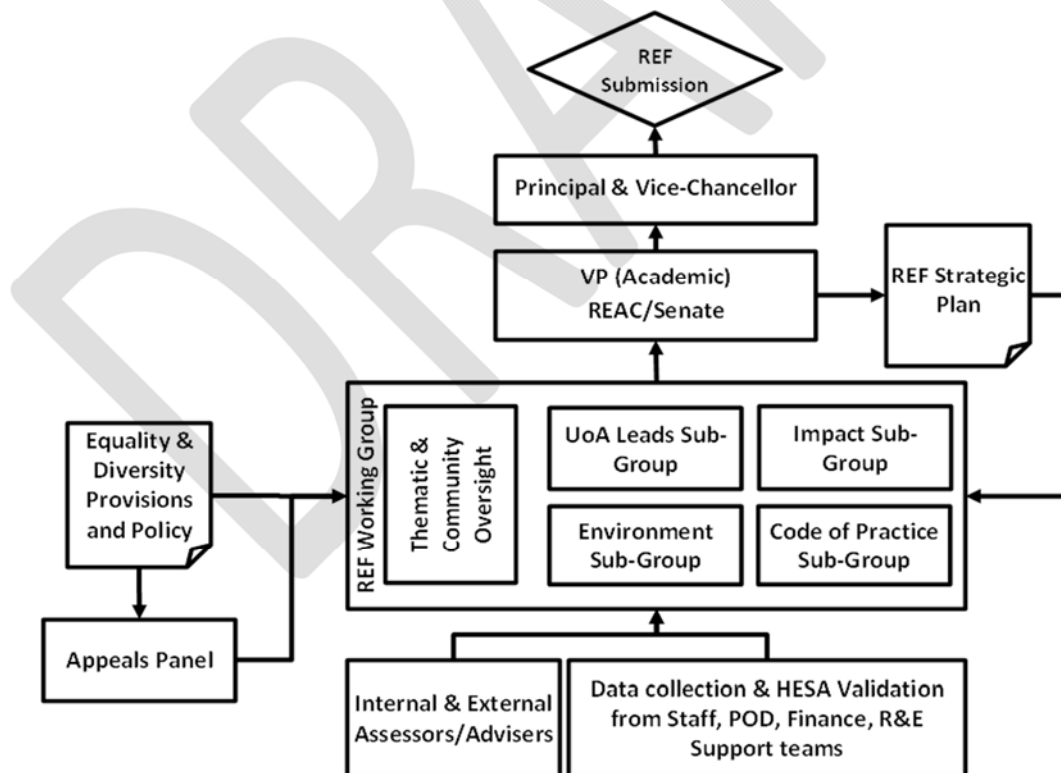
## Appendix 2: REF Strategy Group and Sub-Groups

### REF 2021 Governance

All institutional arrangements are coordinated through the REF 2021 Strategy Group, guided by the UWS REF 2021 Strategic Plan, which has been approved by REAC. The REF 2021 Strategic Plan will be informed by the UK REF Guidelines as and when they become publicly available (draft for consultation available in Autumn 2018).

### REF Strategy Group

The REF 2021 Strategy Group has been established in Summer 2017 and its membership has so far included Vice Principal Academic - VPA (Chair), Associate Vice-Principal Research & Enterprise (AVPR), representatives from Academic Schools, Head of Enterprise (representing Enterprise & Employer Engagement team), Senior Manager Research (representing Research and Impact Development team), Library representative, Equality & Organisational Development Consultant (representing People and Organisational Development (POD) department). From 1st July 2018, REF Strategy Group will also include Senior Manager Global Research Excellence and Partnerships, and representatives from Marketing, ITDS and Trade Unions.



**1. Impact Sub-Group:** Chaired by Professor Heather Tarbert and co-chaired by Johnny Mone, the sub-group is tasked to monitor impact development across all academic Schools including: (1) quarterly calls to gather information on potential impact cases, (2) report on the status of impact cases (red – undeveloped, amber – developed with gaps and green – fully developed and (3) advise teams behind impact cases on how to address identified gaps. The sub-group will include a representative from ITDS who are conducting impact case content analysis exercise using IDOL unstructured data analytics tool. The number of Impact Case Studies per FTE member of submitted staff is:

FTE of Category A submitted staff	Number of case studies
Up to 19.99	2
20 to 34.99	3
35 to 49.99	4
50 to 64.99	5
65 to 79.99	6
80 to 94.99	7
95 to 109.99	8
110 to 159.99	9
160 or more	10, plus one further case study per additional 50 FTE

**2. UoA Leads Sub-Group:** Chaired by Professor Milan Radosavljevic, Associate Vice-Principal Research & Enterprise, the sub-group is tasked to identify potential Units of Assessment (UoA) and UoA Leads and manage UoA readiness in terms of (1) Outputs, (2) Impact and (3) Environment, and therefore includes a member from the Impact Sub-Group and Environment Sub-Group.

**3. Environment Sub-Group:** Chaired by Helen Kennedy, the sub-group is tasked to monitor research environment related statistics, advise Schools on required actions to achieve internationally excellent and supportive research environment. It therefore includes representatives from the Research Services team, Doctoral College, ITDS and HR Services.

**4. Code of Practice Sub-Group:** Chaired by Alistair Pettigrew, Senior Manager Global Research Excellence and Partnerships, the sub-group is tasked to address REF Guidance on Transparency, Equality and Equity, and through consultation develop the institutional REF 2021 Code of Practice. The Sub-Group’s membership includes Trade Union representatives, UoA Leads, the Equality & Organisational Development Consultant, Chair of the University’s Ethics Committee and a representative from the Early Career Researchers Forum.

The UWS REF 2021 Strategic Plan has identified project-based activities for each of the Sub-Groups designed to ensure effective approaches to forming the UWS submission.

## **5. Membership and remit of Appeal Panel**

### **Membership**

Chair – Head of Quality Enhancement Support Team

HR Services Representative for Appeals for issues of Eligibility and Individual Circumstances

Professor, Reader or other senior researcher from the subject discipline (excluding UoA Leader) for issues of Quality Assessment

### **Meetings**

Meetings of the Appeal Panel will be convened immediately following the Appeal Periods outlined in the Timetable

As many meetings of the Panel will be arranged as are necessary to deal with the volume of Appeals

### **Remit**

The Panel will consider the case for appeal as submitted by a member of staff on the Appeal form attached at Appendix 3

The Panel will only consider Appeals on the Grounds of:

- the eligibility decision (on the basis of the number of outputs or the employment status)
- the quality rating of one or more outputs
- the allocation to a particular Unit of Assessment
- the Individual Circumstances decision. Only the Chair and the HR Services Representative will see and decide on appeals relating to Individual Circumstances

No other Grounds for Appeal will be valid. There will be no Appeal or challenge on the grounds of the University’s REF 2021 Strategy.

**Appendix 3: Appeal Form**

<b>Name</b>	
<b>Department</b>	
<b>Unit of Assessment (complete if known)</b>	

Further notification by the REF Strategy Group of my inclusion status in the REF 2021, I would wish to appeal this decision on the following grounds

a. The eligibility decision

b. The quality rating of one of one or more of my submit table outputs

(Please be specific about the outputs in question)

c. The allocation to a specific unit of Assessment

(Please be specific about the allocated unit and your preferred unit)

d. The Individual circumstances decision

Please outline the basis of your appeal, giving as much relevant information to support your appeal as possible.

Signed.....

Date.....

#### Appendix 4: Output Categories for REF 2021

The table below sets out categories of output types under which outputs will be submitted in REF 2021, the collection formats for the different output types, and a broad definition of each category. This includes examples, which are provided for guidance only, and do not represent a definitive list.

Category	Upload to submission system	Physical output (deposit to REF warehouse)	Definition
<b>(Parts of) Books</b>			
<b>A – Authored book</b>	PDF	Actual book	<p>An authored book written entirely by a single author or by joint authors who share responsibility for the whole book.</p> <p>Includes:</p> <ul style="list-style-type: none"> <li>• scholarly books</li> <li>• research monographs textbooks based on significant research (as defined above) by the author(s)</li> <li>• revisions/new editions of the above, providing this includes substantial new research material</li> <li>• novels, plays and screenplays</li> <li>• collections of plays, poems, short stories or other creative writing by the author(s)</li> </ul>
<b>B – Edited book</b>	PDF	Actual book (if the edition is in multiple volumes, submit representative volume in the first instance)	<p>A book or volume in which individual chapters or contributions have been written by different authors.</p> <p>To submit a work in this category the editor must have had sole responsibility, or be identified as having made a substantial contribution to the editing, choices for inclusion and underpinning process of investigation. Includes:</p> <ul style="list-style-type: none"> <li>• edited books or volumes</li> <li>• textbooks or encyclopaedias where significant background research is required</li> <li>• annotated anthologies where research informs the annotations</li> <li>• revisions or new editions of the above providing this includes substantial new research material</li> <li>• literary translations, where these contain significant editorial work in the nature of research</li> </ul>

<p><b>C – Chapter in book</b></p>	<p>PDF upload of chapter and page(s) of the book that bear the title, publisher, editor and publication date</p>	<p>Actual book or hard copy of chapter including a copy of the page(s) of the book that bear the title, publisher, editor, and publication date</p>	<p>This category includes contributions to edited books. This may include scholarly work, such as:</p> <ul style="list-style-type: none"> <li>• chapters in edited books</li> <li>• entries in textbooks incorporating significant research content</li> <li>• entries in scholarly editions</li> <li>• entries in revisions or new editions providing this includes substantial new research material</li> <li>• translations where these contain significant editorial work which constitutes research</li> </ul>
<p><b>R – Scholarly edition</b></p>	<p>If not available in print, PDF upload of short written description of the scholarly edition, including details of how it can be freely accessed (e.g. URL, DOI)</p>	<p>Actual scholarly edition</p>	<p>An edition of another author's original work or body of works informed by critical evaluation of the sources (such as, earlier manuscripts, texts, documents and letters) often with a scholarly introduction and explanatory notes or analysis on the text and/or original author.</p> <p>This may include a translation of the original text(s) where this constitutes part of the research.</p>
<p><b>Journal articles</b></p>			
<p><b>D – Journal article</b></p>	<p>Submit with DOI: REF team to source. If REF team is unable to source then HEI to upload PDF of article/ conference contribution</p>	<p>N/A (if only hard copy is available the HEI should upload a scanned PDF)</p>	<p>A scholarly paper, usually on a specific topic, published in an externally circulated scholarly or professional journal that has an ISSN. This may include:</p> <ul style="list-style-type: none"> <li>• full research articles</li> <li>• critical scholarly texts which appear in article form</li> <li>• review articles, where these meet the definition of research for the REF</li> <li>• evidence synthesis, including systematic reviews, analyses, metaanalyses, metasyntheses, where these meet the definition of research for the REF</li> <li>• rapid communication (short papers, usually published swiftly, in scholarly journals presenting original material)</li> <li>• discussion paper (short articles in scholarly journals that critically address specific results or data provided in a published research paper)</li> <li>• creative articles, including photographic essays</li> </ul>

<b>E – Conference contribution</b>	As above	As above	<p>A conference paper or other contribution published in conference proceedings. The conference proceedings will usually have an ISSN or ISBN and may be published in a number of formats such as:</p> <ul style="list-style-type: none"> <li>• volume of proceedings</li> <li>• special or normal edition of a journal</li> <li>• book or a monograph</li> <li>• website</li> </ul> <p>Submitted outputs may include:</p> <ul style="list-style-type: none"> <li>• full written papers that appear in published conference proceedings</li> <li>• other conference contributions which meet the definition of research</li> </ul>
<b>U – Working paper</b>	PDF upload of working paper or details of how it can be freely accessed (e.g.URL, DOI) and evidence of year of publication		Research papers disseminated to encourage discussion and suggestions for revision. This may be through pre-print dissemination, lodging in an institutional repository or self-publication for distribution.
<b>Physical artefacts</b>			
<b>L – Artefact</b>	PDF upload of photographic/ visual record of output, or details of how it can be freely accessed (e.g. URL, DOI)	Photographic/ visual record of output (paper and/or DVD/CD/USB)	<p>Artefacts, objects or craftworks, exhibited, commissioned or otherwise presented or offered in the public domain, for example, visual arts, craft and cultural creations. This can include (but is not limited to):</p> <ul style="list-style-type: none"> <li>• illustration</li> <li>• sculpture</li> <li>• media installations</li> <li>• ceramics</li> <li>• jewellery</li> <li>• metalwork</li> <li>• buildings</li> <li>• cultural artefacts such as large permanent public sculptures</li> </ul>
<b>P – Devices and products</b>	As above	As above	An element, system or substance developed to perform a particular function, set or combination of functions. Incorporates developing the concept and the design and development of any chemical, mechanical, electronic and software components, and where appropriate the overall system



			<p>architecture.</p> <ul style="list-style-type: none"> <li>• use may be functional, aesthetic or commercial</li> <li>• may be physical including chemical or compound, i.e. medicines</li> <li>• may include digital/virtual products for particular functions, i.e. gaming</li> <li>• analysis, display</li> <li>• may include services, i.e. transportation, energy supply, public</li> <li>• broadcasting, healthcare systems</li> <li>• may be associated with the manufacturing, extraction and refinement of other devices</li> </ul>
<b>Exhibitions and performances</b>			
<b>M – Exhibition</b>	<p>PDF upload of photographic/ visual record of output, or details of how it can be freely accessed (e.g. URL, DOI) <b>and evidence</b> of year of dissemination</p>	<p>Representation of the output (e.g. recording or photographic/ visual record) and evidence of year of dissemination (paper and/or DVD/CD/USB)</p>	<p>A single or series of public events, or short-term, long-term or permanent installations, at which works of interest are displayed. Submissions can be:</p> <ul style="list-style-type: none"> <li>• solo exhibitions</li> <li>• curation of exhibitions</li> <li>• contributions to collaborative group exhibitions</li> </ul> <p>Submissions may include:</p> <ul style="list-style-type: none"> <li>• original artistic works and/or designs</li> <li>• historical, political, social, technical/technological or scientific research and information</li> <li>• works exhibited in a gallery, museum, artist's book or electronic format</li> <li>• works exhibited in non-standard environments</li> <li>• curating an exhibition</li> </ul>
<b>I – Performance</b>	As above	As above	<p>A live or recorded first performance (by, for example, an actor, musician, dancer, conductor, artist) to an external audience. The 'author' can have one (or more) of a variety of major roles (e.g. lead performer, director, writer) in the production, which should meet the REF definition of research. The role should be specified within the additional details required, with details of other participants involved in the research. Includes (but is not limited to):</p> <ul style="list-style-type: none"> <li>• performance of a play, musical, opera, concert, television or radio</li> <li>• production, performance artwork</li> <li>• theatre productions (stage play, mime,</li> </ul>

			<p>circus, puppet show, variety act,</p> <ul style="list-style-type: none"> <li>• comedy show)</li> <li>• concerts and recitals (music or dance)</li> <li>• broadcast performances and other modes of presentation</li> <li>• production of an audio/visual medium (such as CD or DVD recording)</li> <li>• artistic direction of a staged production</li> <li>• input into a theatre production (for example, design, dramaturgy)</li> </ul>
<b>Other documents</b>			
<b>F – Patent/ published patent application</b>	PDF upload of published patent application/ granted patent	Published patent application/ granted patent (paper)	Granted patents, copyrights, trademarks, or registered designs on specific products or processes. Patents can have been granted in the UK or another patent-awarding country. The patent should have been granted for the first time during the assessment period.
<b>J – Composition</b>	Details of how audio recording (if available) can be freely accessed (e.g. URL, DOI), and PDF upload of score and evidence of year of dissemination	Audio recording (if available) and score and evidence of year of dissemination (paper and/or DVD/CD/USB)	<p>An original published/publicly available score, first performance or first recording by a record label of a musical composition.</p> <p>Can include (but is not limited to):</p> <ul style="list-style-type: none"> <li>• compositions created while being played for example, electronic</li> <li>• compositions, jazz improvisation</li> <li>• published/publicly available score</li> <li>• recordings</li> <li>• sound component of a film or video, lyrics, multimedia composition</li> <li>• commissioned works</li> <li>• combinations or developments of the above</li> </ul>
<b>K – Design</b>	PDF upload of photographic/ visual record of design or details of how it can be freely accessed (e.g. URL, DOI) and evidence of year of dissemination	Photographic/ visual record of design and evidence of year of dissemination (paper and/or DVD/CD/USB)	<p>A creative research/problem-solving output in the form of design drawings, books, models, exhibitions, websites, installations or built works. This can include (but is not limited) to:</p> <ul style="list-style-type: none"> <li>• fashion design</li> <li>• textile design</li> <li>• graphic design</li> <li>• interior design</li> <li>• industrial design</li> <li>• architectural design</li> <li>• multimedia design</li> <li>• sound design</li> <li>• exhibition design (i.e. not the content of</li> </ul>

			<p>the exhibition)</p> <ul style="list-style-type: none"> <li>• theatre design</li> <li>• other designs</li> </ul>
<b>N – Research report for external body</b>	PDF upload of report or details of how it can be freely accessed (e.g. URL, DOI) bearing year of publication/ dissemination	Hard copy of report bearing year of publication/ dissemination	Non-confidential reports, commissioned and/or funded by an external organisation, including reports for private companies, government departments and nongovernmental organisations.
<b>O – Confidential report for external body</b>	PDF upload of report and evidence of year of receipt (e.g. letter, email, delivery notice)	Hard copy of report and evidence of year of receipt (e.g. letter, email, delivery notice)	Confidential reports commissioned and/or funded by an external organisation, including reports for private companies, Government departments and nongovernmental organisations. For clarity, confidential material is not in scope of the open access requirements.
<b>Digital artefacts</b>			
<b>G – Software</b>	PDF upload of written description of the software and details of how the software, and if relevant, the source code, can be accessed (e.g. URL, DOI)	N/A	<p>Originally researched, created and published software (computer programs and their associated documentation, consisting of a set of instructions written by a programmer) or database products of commercial quality, which has been made publically available.</p> <p>May include (but is not limited to):</p> <ul style="list-style-type: none"> <li>• operating systems</li> <li>• utilities</li> <li>• application programs</li> <li>• interactive multimedia</li> <li>• video games</li> <li>• logic systems</li> </ul>
<b>H – Website content</b>	PDF upload of content as at date of publication (e.g. a date certified electronic copy of content) or details of how it can be freely accessed (e.g. URL, DOI)	Content as at date of publication e.g. a date certified electronic copy of content (DVD/CD/USB) or date-stamped printout of content (paper)	<p>A collection of material which embodies research and is undertaken on a systematic basis specifically for dissemination through a website and/or as an interactive approach to allow users to engage directly with the process or products of the research.</p> <p>Web content is the textual, visual, or aural content encountered as part of the user experience on websites. It may include – among other things – text, images, sounds, videos, and animations.</p>

			May present factual information, analysis or data, or fictional, imaginative and/or creative work, using pictorial, video, audio, etc.
<b>Q – Digital or visual media</b>	Details of how it can be freely accessed (e.g. URL, DOI) and evidence of year of dissemination	Either a copy of the published DVD, CD or other visual output; or for outputs that were broadcast, a digital or other visual copy of the content and evidence of year of dissemination	<p>Research outputs presented in digitised and/or audio-visual format, such as:</p> <ul style="list-style-type: none"> <li>• films</li> <li>• documentaries</li> <li>• audio-visual presentations</li> <li>• computer games</li> <li>• animation</li> </ul> <p>Encoded in digital format, machine readable and presenting information and forms of communication not limited to verbal and text-based means.</p>
<b>S – Research data sets and databases</b>	PDF upload of written description of the dataset or database and details of where it can be accessed (e.g. URL, DOI) where relevant. Do not submit copies of actual datasets or databases	N/A	<p>Submissions may include:</p> <ul style="list-style-type: none"> <li>• Data sets: May come in a variety of formats, for instance in spreadsheet, but also any collection of data on which analysis can be performed. Most commonly a data set corresponds to the contents of a single database table, or a statistical data matrix, where every column of the table represents a particular variable, and each row corresponds to a given member of the data set.</li> <li>• Databases: Collections of data specifically organised and presented for the ease of viewing, retrieval and analysis. May comprise multiple data sets. Often characterized by data field structuring and searchability tools.</li> </ul>
<b>Other</b>			
<b>V – Translation</b>	PDF upload of output or description of the output, or details of how it can be freely accessed (e.g. URL, DOI)	The actual output (paper or USB)	A translation of a work or body of works by another author or authors, informed by critical evaluation of the sources (such as earlier manuscripts, texts, documents and letters), and by critical analysis of the work's original cultural context for the new readership. Translations may also include a scholarly introduction and explanatory notes or contextual analysis. Translation may enhance existing understanding of the material in question, and may provide evidence of creativity in its own right.

<p><b>T - Other</b></p>	<p>PDF upload of representation of the output or details of how it can be freely accessed (e.g. URL, DOI) and, if not clear from the output, evidence of year of dissemination</p>	<p>Either the actual output or a representation of the output; and, if not clear from the output, evidence of year of dissemination (paper and/or DVD/CD/USB)</p>	<p>Other forms of assessable output meeting the definition of research but not captured within any of the above categories. This may include (but is not limited to):</p> <ul style="list-style-type: none"> <li>• new materials</li> <li>• structures</li> <li>• images</li> <li>• buildings</li> <li>• food products and processes</li> <li>• published geological and/or geomorphological maps</li> <li>• creative bodies of enquiry</li> <li>• design processes / programme of research</li> <li>• multi-platform projects</li> </ul>
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DRAFT

## Appendix 5: REF 2021 Open Access Policy

The guidance on open access set out in this document supersedes the previously published open access policy, circular letter(s) regarding the policy, and the FAQs. This section sets out the policy intent.

The four UK HE funding bodies believe that the outputs of publicly funded research should be freely accessible and widely available. Open access research brings benefits to researchers, students, institutions, governments, public bodies, professionals and practitioners, citizen scientists and many others. Open access has the potential to make research more efficient and impactful. In view of these benefits, and to embed open access as an intrinsic part of the research process, the funding bodies have introduced a policy requirement on open access in REF 2021.

The intent of the REF open access policy is to provide a set of minimum requirements for open access, while encouraging an environment where researchers and HEIs move beyond the minimum requirements. HEIs can demonstrate where they have gone beyond the requirements in the environment template (REF5b) in the research and impact strategy section. The funding bodies encourage institutions to take a proportionate view of the costs and benefits of making other types of outputs (including monographs) available as open access.

The open access policy applies to journal articles and conference contributions (with an International Standard Serial Number (ISSN)) which are accepted for publication from 1st April 2016 and published on or before 31st December 2020. It requires these research outputs to be made open access to be eligible for submission in REF 2021. The outputs should be deposited, discoverable, free to read, download, and search within, by anyone with an internet connection. The funding bodies recommend that institutions fully consider the extent to which authors currently retain or transfer the copyright of works published by their researchers, as part of creating a healthy research environment.

Authors and institutions can meet the policy requirement without necessarily incurring any additional open access publication costs (such as through payment of an article processing charge).

Evidence gathered in 2017 indicates good progress is being made by the sector in implementing the policy, and a range of systems and tools are being developed to assist authors and institutions in making their outputs open. However, the funding bodies recognise that the current structures and software solutions are still at an early stage, and that it will take time to fully establish open access as an intrinsic part of the research process. The funding bodies expect the sector and service providers to continue the momentum to develop new tools to implement the policy, particularly relating to the deposit requirements. In view of this, there are measures and exceptions which have been developed to provide a degree of tolerance of non-compliance.

The funding bodies recognise that information on deposit permissions, licences and embargoes can sometimes be unclear, complex, or hard to find. Until significant progress has been made to address this issue (including developing machine-readable licences and permissions), it is reasonable for the sector to rely on shared services, including those offered by SHERPA (Securing a Hybrid Environment for Research Preservation and Access). Authors and institutions should feel comfortable acting on the information provided by SHERPA in meeting REF 2021 open access requirements, and should not undertake additional work to verify this information.

Institutions are not expected to correspond with previous institutions to evidence that outputs published while a staff member was previously employed elsewhere fulfilled the requirements of the policy. This is the case even if the new employer intends to submit the output to REF 2021. For example, when a researcher moves from the institution where the output was published (X), to another institution (Y), the REF does not expect that institution Y corresponds with institution X to seek and retain evidence of the

output's compliance. Where an institution is unable to ascertain themselves if an output is compliant with the policy, a policy exception can be applied.

The intent of this policy is for the output to be made freely available. The policy encourages outputs which are submitted with a deposit, technical, or other exception to be made open access as soon as possible. However, this is not a requirement of the policy.

The REF 2021 audit process will seek assurance that the information and data submitted regarding compliance are accurate and reliable.

## Appendix 6: Membership and Remit of Individual Circumstances Group

<b>Membership</b>	Chair –  HR Services Nominee  Equality and Diversity Coordinator
<b>Meetings</b>	Meetings of the Individual Circumstances Group will be convened as detailed in the Timetable
<b>Remit</b>	Chaired by..... , the Individual Circumstances Group will consider all requests for individual circumstances to be taken into account and will make judgements on each case: <ul style="list-style-type: none"><li>○ The case has been accepted and a reduction in the number of outputs is approved, and the actual number of outputs reduced is stated</li><li>○ The case has been rejected and no reduction is approved</li><li>○ Insufficient evidence has been provided and so additional information will be requested in order to form an accept/reject decision</li></ul>
<b>Terms of Reference</b>	The Group will consider all requests within the context of the Relevant Legislation  All information provided by staff will be held on a confidential basis, and only accept (with a stated reduction in papers) decisions will be communicated out with the Group.  Where necessary and only with the permission of the employee, confidential information may be provided to the National REF Team, its sub panels or its Equality and Diversity Advisory Panel.
<b>Documents</b>	Documents used to communicate with Staff regarding Individual Circumstances are attached at Appendix 7.



## **Appendix 7: Individual Circumstances Group - Process Documents**

### **Equality and Diversity**

#### **Extract from the University's Equality Scheme 2011 "Respecting Diversity- Promoting Equality**

##### **Equality Vision, Values and Principles**

The University's commitment to equality, diversity and human rights should be seen in the context of its overall Mission, Vision, Values and Dignity and Respect Statement

The University prides itself as being inspirational, innovative, international and inclusive. It is our policy to celebrate and value the diversity of our student and staff populations and we are committed to providing Higher Education and employment opportunities to enable people of all backgrounds to fulfil their full potential. We encourage applications from potential students and potential and existing staff irrespective of age, disability, political belief, race, religion or belief, sex, sexual orientation, social background or any other protected characteristic. We will take steps to remove prejudice where it exists and tackle the underlying causes of inappropriate behaviours. We will not tolerate any form of discrimination on any grounds nor any bullying or harassment of any student, member of staff or visitor to the university.

##### **Basis of Decision**

Submitting units may be returned with fewer than 2.5 outputs per FTE without penalty in the assessment, where one or more of the following circumstances significantly constrained the ability of submitted staff to produce outputs or to work productively throughout the assessment period:

- a. Clearly defined circumstances, which are:
  - i. Qualifying as an Early Career Researcher. See Table 1 below.
  - ii. Part-time working. As part-time working is taken account of within the calculation for the overall number of outputs required for the unit (which is determined by multiplying the unit's FTE by 2.5) reduction requests on the basis of part-time working hours should only be made exceptionally. For example, where the FTE of a staff member late in the assessment period does not reflect their average FTE over the period as a whole.
  - iii. Maternity, paternity or adoption leave. (Note that maternity leave may involve related constraints on an individual's ability to conduct research in addition to the defined period of maternity leave itself. These cases can be returned as 'complex' as described at sub-paragraph b below, so that the full range of circumstances can be taken into account in making a judgement about the appropriate number of outputs that may be reduced without penalty).
  - iv. Secondments or career breaks outside of the higher education sector, and in which the individual did not undertake academic research. See Table 2 below.

- b. Circumstances that are more complex and require a judgement about the appropriate number of outputs that can be reduced without penalty. These circumstances are:
- i. Disability
  - ii. Ill health or injury
  - iii. Mental health conditions
  - iv. Constraints related to pregnancy or maternity, in addition to a clearly defined period of maternity leave. (These may include but are not limited to: medical issues associated with pregnancy or maternity; health and safety restrictions in laboratory or field work during pregnancy or breastfeeding; constraints on the ability to travel to undertake fieldwork due to pregnancy or breast-feeding.)<sup>1</sup>
  - v. Childcare or other caring responsibilities
  - vi. Gender reassignment
  - vii. Other circumstances relating to the protected characteristics listed below:
    - age
    - disability
    - marriage and civil partnership
    - race
    - religion or belief
    - sex
    - sexual orientation

**Table 1: Early career researchers: permitted reduction in outputs**

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

<sup>1</sup> The total output pool may be reduced by 0.5 for each discrete period of:

a. Statutory maternity leave or statutory adoption leave taken substantially during the period 1st January 2014 to 31st July 2020, regardless of the length of the leave.

b. Additional paternity or adoption leave, or shared parental leave lasting for four months or more, taken substantially during the period 1st January 2014 to 31st July 2020.

This approach to reductions for qualifying periods of family-related leave is based on the funding bodies' considered judgement following consultation in the previous REF exercise that the impact of such a period of leave and the arrival of a new child into a family is generally sufficiently disruptive of an individual's research work to justify the specified reduction.

In UOAs 1–6, the number of outputs may be reduced by up to one, without penalty in the assessment, for Category A submitted staff who are junior clinical academics. These are defined as clinically qualified academics who are still completing their clinical training in medicine or dentistry and have not gained a Certificate of Completion of Training (CCT) or its equivalent prior to 31 July 2020. This allowance is made on the basis that the staff concerned are normally significantly constrained in the time they have available to undertake research during the assessment period.

**Table 2: Secondments or career breaks: permitted reduction in outputs**

<b>Total months absent between 1 January 2014 and 31 July 2020 due to a staff member's secondment or career break:</b>	<b>Output pool may be reduced by up to:</b>
0–11.99	0
12–27.99	0.5
28–45.99	1
46 or more	1.5

## **REF 2021**

UWS is committed to ensuring that decisions about selecting staff for the Research Excellence Framework (REF) are made in a fair, transparent and consistent manner. Information on how eligible staff will be selected for submission to the REF is contained in this Code of Practice.

'Category A eligible' staff will be defined as academic staff with a contract of employment of 0.2 full-time equivalent (FTE) or greater, on the payroll of the submitting institution on the census date, whose primary employment function is to undertake either 'research only' or 'teaching and research'.

If you are eligible you must complete the attached form (even if you have no individual circumstances) and return it to Clare Ennis, Head of Organisational Development & Equality, People & Organisational Development, Witherspoon Building, Storie Street, Paisley, PA1 2BE or preferably by email to [Clare.Ennis@uws.ac.uk](mailto:Clare.Ennis@uws.ac.uk) before 1st May 2019.

### **Individual Circumstances**

To ensure that REF processes are fair, we are inviting staff to submit data on a voluntary basis that will identify individual circumstances. The data will be used to identify submitting units that may be returned with fewer than 2.5 outputs per FTE. Summary level data collected may also inform our monitoring of staff identification procedures at the institutional level.

In determining Submitting units that may be returned with fewer than 2.5 outputs per FTE, taking into consideration the points at (a) and (b) above in this Appendix, the University's REF Individual Circumstances Group will take the following circumstances into consideration:

- Early career researcher
- Junior clinical academic staff who have not gained a Certificate of Completion of Training or its equivalent by 31st July 2020
- Part time employment
- Career break or secondment outside of the higher education sector in which the individual did not undertake academic research
- Maternity leave, statutory adoption leave, and additional paternity leave (taken by partners of new mothers or co-adopters)
- Disability (including conditions such as cancer and chronic fatigue)
- Ill health or injury
- Mental health conditions
- Constraints relating to pregnancy, maternity, breastfeeding, adoption, paternity or childcare in addition to periods of maternity, statutory adoption or additional paternity leave taken. This could include for example, pregnancy related illness and health and safety restrictions in laboratory and field work.
- Other caring responsibilities (including caring for an elderly or disabled relative)
- Gender reassignment
- Other exceptional and relevant reasons (not including teaching or administrative work).

If your research output has been affected by any of these circumstances, please detail them on "Individual staff circumstances disclosure form" enclosed with this Appendix and return it as described above.

In determining the number of outputs staff are required to submit, the institution will observe the definitions of individual staff circumstances provided in the published REF 'Panel criteria and working methods' available at [www.ref.ac.uk](http://www.ref.ac.uk) under 'Publications'.

### **Who will see the information that I provide?**

Within the institution, the information that you provide will be seen by the University's REF Individual Circumstances Group, unless you advise on the form that you give permission for your line manager to be involved. Members of the Individual Circumstances Group will observe confidentiality and information will be stored securely in P&OD and in line with Data Protection rules. The membership and remit of this panel is described in an Appendix 6 of this Code of Practice.

If further information is required about any circumstances disclosed, you will be contacted by a representative from the University's REF Individual Circumstances Group

Information provided on the form may be shared externally for the purposes of evidencing any reduction in the number of research outputs:

- For circumstances with a clearly defined reduction in outputs, information will be seen by the relevant REF sub-panel, the REF panel secretariat and the UK funding bodies' REF team. This will be information about early career researcher status, part-time working, career breaks or secondments, and periods of maternity, additional paternity or adoption leave taken.

- For more complex circumstances, information will be seen only by the REF Equality and Diversity Advisory Panel, the REF Main Panel Chairs and the UK funding bodies' REF team. This will be information to explain the impact on your research of circumstances such as disability, ill health, injury, mental health conditions, gender reassignment, caring responsibilities or constraints relating to pregnancy, maternity, breastfeeding, adoption and paternity (in addition to the period of leave taken). This information will not be seen by the REF sub-panel.
- 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.
- The REF Assessment Framework and Guidance on Submissions requires all higher education institutions participating in the REF to ensure appropriate confidentiality in handling individual staff circumstances. Where joint submissions are made it may be necessary to share the information provided with another institution.

### What if my circumstances change?

UWS recognises that staff circumstances may change between now and 31st July 2020. If your circumstances change you should submit an Individual Circumstances Disclosure form.

### How will I know the outcome?

Any application will be considered by the REF Individual Circumstances Group and you will be informed of the outcome using the reply form attached to the individual circumstances disclosure form.

## Individual Circumstances Disclosure Form

<b>Name</b>	
<b>Department</b>	
<b>Unit of Assessment (complete if known)</b>	
<b>I wish to be considered for inclusion in the University's REF submission</b>	<b>Yes</b> <input type="checkbox"/> <b>No</b> <input type="checkbox"/>

### Section one:

If yes, please select one of the following:

- I have no individual circumstances that I wish to be taken into consideration for the purposes of the Research Excellence Framework (REF).
- I have individual circumstances that I wish to make known but I am not seeking a reduction in outputs. (Please complete sections two and three)
- In completing this form I am seeking a reduction in research outputs. (Please complete sections two, three and four)

**Section two:****Please select as appropriate:**

- I would like to be contacted by a member of the University's REF Individual Circumstances Group to discuss my circumstances and requirements and/or the support provided by UWS. My contact details for this purpose are:

<b>Email</b>	
<b>Telephone</b>	
<b>Preferred method of communication</b>	

- I do **not** wish to be contacted

**Section three**

I wish to make the University aware of the following circumstances which have had an impact on my ability to produce the required number of outputs or work productively between 1st January 2014 and 31st December 2020:

**Please provide information required on relevant circumstance/s and continue onto a separate sheet of paper if necessary:**

<b>Circumstance</b>	<b>Information required</b>
Early career researcher (started career as an independent researcher on or after 31st July 2016)	Date on which you became an early career research
<b>Information</b>	
Junior clinical academic staff who have not gained Certificate of Completion of Training or its equivalent by 31st July 2020	Please place a tick in this box if the circumstance applies:
Part time employee	FTE and duration in months
<b>Information</b>	
Career break or secondment outside of the higher education sector	Dates and duration in months
<b>Information</b>	
Maternity leave, statutory adoption leave, or additional paternity leave (taken by partners of new mothers or co-adopters)	For each period of leave state which type of leave was taken and the dates and duration in months

<b>Information</b>	
Disability (including conditions such as cancer and chronic fatigue)	Impact on ability to fulfil contractual hours and other impacts on ability to undertake research. Duration in months
<b>Information</b>	
Mental health condition	Impact on ability to fulfil contractual hours and other impacts on ability to undertake research. Duration in months
<b>Information</b>	
Ill health or injury	Impact on ability to fulfil contractual hours and other impacts on ability to undertake research. Duration in months
<b>Information</b>	
Constraints relating to pregnancy, maternity, breastfeeding, paternity, adoption or childcare <b>in addition to</b> the period of maternity, adoption or additional paternity leave taken.	Impact on ability to fulfil contractual hours and other impacts on ability to undertake research. Duration in months
<b>Information</b>	
Other caring responsibilities (including caring for an elderly or disabled relative)	Impact on ability to fulfil contractual hours and other impacts on ability to undertake research. Duration in months
<b>Information</b>	
Gender reassignment	Impact on ability to fulfil contractual hours and other impacts on ability to undertake research. Duration in months
<b>Information</b>	
Other exceptional and relevant reasons, not	Impact on ability to fulfil contractual hours and other impacts on ability to undertake research. Duration in

including teaching or administrative work	months
<b>Information</b>	

Please select all that apply:

- I confirm that the information provided is a true and accurate description of my circumstances.
- I recognise that the information provided will only be used for REF purposes and will only be seen by the UWS REF panel for considering individual circumstances.
- As part of this process I give permission for the UWS REF Individual Circumstances Group to consult.....

(Insert name of line manager or academic referee) regarding the impact of my circumstances on my research output.

- I realise that it may be necessary to share information with the UK funding bodies' REF team, who may make the information available to REF panel chairs, members and secretaries and/or the Equality and Diversity Advisory Panel. [Delete if not applicable: I recognise that if a joint submission is made, information may be shared with another institution.] Where permission is not provided UWS will be limited in the action it can take.

Signature: ..... Date: .....



## Consideration of Individual Circumstances - Outcome

Following review of your individual circumstances the University's REF Individual Circumstances Group:

- Will forward your name for consideration in the REF submission with [insert number] of research outputs. Rationale for the proposed number of outputs:

*e.g. this decision is based on the tariffs outlined in the panel criteria*

- Requires further information of your circumstances described as follows:

*e.g. someone from the REF panel will contact you regarding the information required*

- Has concluded that you do not meet the criteria outlined within the REF 'Panel criteria and working methods' for submitting fewer than the required number of research outputs. The reason(s) for this decision are:

*e.g. circumstances detailed are not recognised within the assessment framework and guidance on submissions*

If you wish to appeal against the decision of the panel you will need to do so by [insert date] and details of the appeals process can be found in the UWS REF Code of Practice.

**Signature:** ..... **Date:** .....

Chair REF Individual Circumstances Group

## **Appendix 8: Training Schedule**

Training will be arranged for all those involved in REF 2021 decision making; a list is at Appendix 7. The training will provide an overview of UWS Equality and Diversity practice, details of the equality issues around the REF 2021 and will examine case studies relating to reduction in outputs for employees with individual circumstance.

The training has been developed nationally by the Equality Challenge Unit and tailored to meet UWS' specific needs.

Training will be available from April 2019 and is mandatory.

The indicative content is as follows:

1. Introduction, purpose and context
2. UWS and the REF
3. Why equality is important in the REF
4. Issues to be aware of since the RAE 2014
5. Identifying clearly defined and complex staff circumstances and using tariffs
6. Implications for staff responsible for selecting staff for submission to the REF
7. Handling complex staff circumstances

## **Appendix 9: List of Staff to be trained in Equality & Diversity**

Principal

Deputy Principal and Provost

VP (Academic)

AVP (R&E)

HR Services Representative

Equality & Diversity Coordinator

Appeal Professors

Deans

School Research Leads

REF Manager

Senior Manager Research

UoA Leads/Co-Leads

## Annex 1: REF 2021 Criteria for Identifying Staff with significant responsibility for research

According to the latest REF guidance: “Each institution making a submission is required to develop, document and apply a code of practice on determining who is an independent researcher and the selection of outputs in their REF submissions. Those institutions not submitting 100 per cent of Category A eligible staff, will be required to include the criteria and processes, agreed with staff, for identifying staff with significant responsibility for research.”

The first consultation with the REF 2021 Code of Practice Sub-Group has identified a number of challenges in relation to our Activity Plans and the proposal therefore is to adopt an approach that combines data and information from relevant University systems to determine staff with significant responsibility for research.

Table 1 indicates the proposed criteria to be used. Appendix 1 provides an excerpt from REF 2021 Draft Guidance for HEIs and Appendix 2 includes relevant questions for the staff survey, which would need to result in 100% response rate.

**Table 1: Criteria for the identification of staff with significant responsibility for research**

Staff with significant responsibility for research	Auditable evidence	Response
Contract of Employment (Teaching & Research)	iTrent	Yes/No
OR		
Contract of Employment (Independent Research Fellow)	iTrent	Yes/No
AND		
Explicit time made available (>10%+) [see Appendix 2]	Declaring time (Survey)	%
AND		
Explicit time made available (>10%+)	Declaring time (Activity Plan)	%
OR(AND++)		
Explicit time made available (>10%+)	Declaring time (My Contribution)	Objective(s)
AND		
Lead Supervisor - Research Doctorate (≥1)	MyPGR Platform	No
AND		
Principal Investigator (≥1 last 5 years*)	PURE	No
<b>Members of staff publishing outputs but do not meet above criteria</b>		
Opt-in	Declaring intention (Survey)	Yes/No
AND		
Published appropriate outputs (≥1 if UoA average ≥2.5)	PURE	No
OR		
Published appropriate outputs (≥2.5 if UoA average <2.5)	PURE	No
OR		
Published appropriate outputs (5 if UoA average <2)	PURE	No

\* UKRI calls often explicitly require research leaders to demonstrate independence through a track record of winning grants over a period of 3-5 years. Example from MRC-UKRI: “...well-qualified for academic research having spent at least **the last 3 years in active research**, will be expected to be a proven independent researcher (track record/publications) and demonstrate promise as a future research leader”.

+ The percentage recognises that 10% is normally required for staff to manage own PhD research and that UKRI-funded projects often require a combined percentage of PI(s) and Co-I(s) time to be a minimum of 10% (i.e. 10% would be in line with expectation of funding bodies and prevent potential rejection of UWS CoP).

++ OR becomes AND if submission of populated and agreed Activity Plan is a condition to be eligible for REF 2021 submission.

## **Appendix 1: REF 2021 Guidance excerpt on Staff with significant responsibility for research**

140. **Staff with significant responsibility for research are those for whom:**

a. **'Explicit time and resources are made available'**. Indicators of this could include:

- a specific proportion of time allocated for research, as determined in the context of the institution's practices and applied in a consistent way
- research allocation in a workload model or equivalent

b. **'To engage actively in independent research'**. Indicators of this could include (HEIs are also advised to refer to the indicators of independence, paragraph 130, as additional guidance on this aspect):

- eligibility to apply for research funding as the lead or co-applicant
- access to research leave or sabbaticals
- membership of research centres or institutes within the HEI

c. **'And that is an expectation of their job role'**. Indicators of this could include:

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

## Appendix 2: Questions for staff survey

Independent Researcher (check one box)			
Are you an Independent Researcher?	Yes		No
If Yes please use the box on the right to provide evidence to support you claim. See Indicators below.			

### Indicators of research independence include:

- 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
- acting as a co-investigator on an externally funded research project
- leading a research group or a substantial work package
- significant input into the design, conduct and interpretation of the research
- eligibility to apply for research funding as the lead or co-applicant
- access to research leave or sabbaticals
- membership of research centres or institutes
- acting as Director of Studies/Lead Supervisor for doctoral student(s)

**NB: Staff pursuing their own doctoral degree qualifications are not classified as Independent Researchers even where they have been allocated time allowances for this in Activity Plans/MyContribution.**

No.	Do you have significant responsibility for research?	Response
1	I have submitted 2018/19 Activity Plan	Yes/No
2	If (1) is yes, explicit time for research on activity plan [%]	%
3	If (1) is no, I declare explicit time for research to be [%]	%
4	If (1) is no, I declare the following number of research objectives on MyContribution Form	No
5	I am Lead Supervisor for the following number of Doctoral Students	No

Please indicate up to three Units of Assessment that are the best fit with your research activity	

**Rationale for the all-staff survey** (Draft Code of Practice REF 2021 Guidance): *“Inclusivity: The processes described in the code should promote an inclusive environment, enabling institutions to identify all staff who have significant responsibility for research, all staff who are independent researchers, and the excellent research produced by staff across all protected groups.”*

Do you consider that individual circumstances (see Appendix 7) have constrained your ability to produce research in the period from 1st January 2014? (Check one.) This includes being an Early Career Researcher (ECR).	Yes	
	No	