

## Research Excellence Framework (REF) Code of Practice

As part of the University's submission to REF2021 we have established a Brunel University London REF2021 Code of Practice.

This code was approved by Senate on 1<sup>st</sup> May 2019 and by Research England on 8<sup>th</sup> November 2019. The code covers:

a. Information on policies and strategies that promote and support equality and diversity and a baseline equality impact assessment.	Part 1 (A, B, C, E) Part 2C Part 3D Part 4 (B, D, E) Appendix 1,2,3,5
b. Transparency, Consistency, Accountability, and Inclusivity.	Part 1 (C, D) Part 2 Appendix 4
c. Policy and procedures for determining whether staff meet the definition of an independent researcher.	Part 3 Part 2 (B, C, D) Appendix 4
d. The policy and procedures for the fair and transparent selection of outputs.	Part 4 Appendix 5
e. Approaches to supporting staff with circumstances.	Part 4 (A, C, D) Appendix 4

### **Identifying staff with significant responsibility for research**

The Code of Practice does not include policies on **identifying staff with significant responsibility for research** as the University will submit 100% of Category A staff.

Category A staff will be defined as academic staff with a contract of employment of 0.2 FTE or greater, on the payroll of the University on the census date (31 July 2020), whose primary employment function is to undertake either 'Research Only' or 'Teaching & Research'\*.

Staff on 'Research Only' contracts will need additional assessment to ensure the REF2021 definition of an independent researcher is met before they are confirmed as Category A. This assessment will follow the process outlined in Part 3 of the code.

*\*definition from REF Guidance on submissions, paragraph 117*

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## Part 1: Introduction

### A. How the code relates to broader institutional policies/strategies that promote and support E&D.

- i. The University launched an Equality and Diversity Strategy in 2015 which re-affirms our commitment to equality and diversity and sets out core principles and priorities for the period 2015-2020. The University holds:
  - Athena SWAN Bronze awarded 2017
  - European Commission HR Excellence in Research
  - University Disability Standards Award (2015)
  - “Positive about Disabled” people commitments as an employer. Awarded the Two Ticks Symbol in 2015.
- ii. New policy for staff on over 4 years fixed-term contracts to become permanent automatically.
- iii. Assessment of eligible staff outputs for REF purposes will not be used nor disseminated for any other internal or external purpose except for the selection of the best outputs for submission pool. Therefore, all output assessments from internal and external reviewers and from calibration activities have to be understood as a ‘ranking’ process to ensure optimisation of the output submission pool and not as an absolute assessment of quality.
- iv. The University was an early signatory of the San Francisco Declaration on Research Assessment (DORA) and supports the work of the ‘UK Forum for Responsible Research Metrics’. Within this context, the University recognises that metrics in the assessment of research can lead to inherent bias and disadvantage the contribution of staff with protected characteristics. This is especially acute in gender bias. Therefore, all quality assessments will be conducted through peer review and metrics will only be used as additional contextual information in line with the specific REF2021 Panel’s criteria and working methods.

### B. Update of actions taken since REF 2014.

- i. The outcome from the REF2014 Equality Impact Assessment revealed that gender was the highest impacted characteristic (Appendix 1: REF2014 Submission Equality Impact Assessment). This was mainly due to a few large Units of Assessment with a high proportion of females and where, disappointingly, the submission rate was lower than the institutional average. Namely: ‘Allied Health Professions, Dentistry, Nursing and Pharmacy’, ‘Social Work and Social Policy’ and ‘Education’. All other groups (race, disability, and age) and type of contracts (fixed-term and/or part-time) were well represented both at an institutional level and in the individual Units of Assessment.
- ii. In 2015, the University developed and endorsed an Equality and Diversity Strategy, which outlines our Equality and Diversity objectives.
- iii. In 2017, the University successfully renewed the Athena SWAN Bronze award and was successful in a number of Bronze awards at departmental level.

## Part 1: Introduction

- iv. Departmental Athena SWAN Bronze awards
  - Mathematical Sciences
  - Computer Science
  - Department of Life Sciences
    - Sport, Health and Exercise Sciences
    - Biomedical Sciences
    - Psychology
    - Environmental Sciences
    - Life Sciences
  - Department of Clinical Sciences
    - Occupational Therapy and Community Nursing
    - Physiotherapy and Physician Associate
    - Social Work
    - Health Sciences

### C. How the institution is addressing the principles of Transparency, Consistency, Accountability, and Inclusivity in demonstrating fairness.

The Code of Practice is built on the following principles:

**Transparency:** the institution has provided a dedicated intranet site where the REF2021 documentation is uploaded alongside the Code of Practice. The processes for the assessment of independent researchers, application of discounts and output selection are covered in the Code of Practice as are the Governance structures and membership.

**Consistency:** REF2021 submission processes are led by the Vice Provost (Research) and supported by the REF2021 Central Team. Identification of research independence, requirements to apply discounts, appeals and assessment of staff circumstance are managed through a common structure centrally operated. Unit of Assessment submissions and selection of outputs are guided by the areas where the research expertise lies. However, they are all chaired by the Vice Provost (Research) and the appropriate Vice Dean (Research) to ensure multiple levels of consistency. Secretariat and provision of supporting information and data is provided by the REF2021 Central Team to ensure consistency and use of best practice.

**Accountability:** Senate will be ultimately responsible for the University's REF2021 submission. Terms of Reference, reporting lines, membership and frequency of meetings for all REF2021 boards and panels will be formally approved by Senate. Frequent monitoring of the submission progress, including Equality Impact Assessments, will be scrutinised by the University's Academic Strategy Committee (a committee of Executive Board) as well as the Research & Knowledge Transfer Committee (a committee of Senate) that will formally make recommendations to Senate.

**Inclusivity:** The University will follow a 100% submission strategy. All eligible staff will be considered which will include staff on Teaching & Research contracts as well as staff on Research Only contracts which have been assessed as conducting independent research. Outputs and individual circumstances from staff on fixed-term contracts will be considered throughout their period of employment independently from their contractual end date.

## Part 1: Introduction

### **D. How the code has been communicated to staff across the institution.**

Input to the development of the Code of Practice was sought at a number of committees and boards as well as informal workshops offered to the wider community.

#### Formal Boards and Committees

7th March: Research & Knowledge Transfer Committee  
*Committee of Senate*

20th March: Academic Strategy Committee  
*Committee of Executive Board*

2nd April: REF2021 Submission Board

10th April: Equal Opportunities and HR Committee  
*Committee of Executive Board*

24th April: Staff Consultative Committee  
*Committee of Executive Board*

1st May: Senate for final approval

#### Staff communication and feedback

27th March Vice Chancellor address to all staff, staff were advised that the code was in development and were encouraged to engage with the process.

8th April Draft code made available for consultation on a Brunel REF2021 intranet site. Input was sought through email to the Brunel REF2021 Central Team or attendance at one of 2 staff workshops.

9th April onwards Internal communications to raise awareness of the consultation on the code. These included promotion in the news event section of the staff intranet and a letter with a direct link to the intranet site sent to staff on leave of absence.

24th April VC's Lunch (senior staff group) - code presentation and opportunity to comment.

25th April Staff workshop - code presentation and opportunity to comment.

29th April Staff workshop - code presentation and opportunity to comment.

## Part 1: Introduction

### **E. Equality impact assessment**

#### **See Appendix 2: Baseline protected characteristics for staff on Teaching & Research contracts**

Under the Equality Act 2010, a number of Equality Impact Assessment will take place. These will also include impact assessments under the Part-time Workers Regulations 2000 and the Fixed-term Employees Regulations 2002.

A baseline EIA by current Unit of Assessment based on the 1<sup>st</sup> March 2019 list of eligible staff on Teaching & Research contracts has been performed on the following characteristics:

- Age
- Disability
- Race
- Sex
- Part-time workers
- Fixed-term employees

The analysis shows a diverse academic community with a more favourable male gender split mainly due to large departments in engineering, computer science and economics. Ethnicity shows a two thirds white academic population and normally distributed age groups around the 40-49 years old range.

The majority of staff on Teaching & Research Contracts are permanent and full-time.

#### **See Appendix 3: Baseline protected characteristics for staff on Research Only contracts**

Analysis of the proportion of staff with protected characteristics for staff on Research Only contracts is performed overall since research independence has not yet been established. Once research independence is established, eligible staff will be included in the UoA level EIA.

Current analysis shows a prevalence of males on Research Only contracts which is in line with the large majority of externally funded research in engineering. Ethnicity and Disability show a much wider spread which is very welcomed. However, fixed-term contract are prevalent and this will be addressed by the new policy that will see any staff on a continuous fixed-term contract spanning over 4 years to be automatically moved to a permanent contract.

## Part 2: REF2021 Submission Governance

### Details in Appendix 4: Governance Structures details

#### A. Principles

The Governance of submission to REF2021 will ensure that the University:

- Adheres to the Code of Practice
- The submission is compliant with REF2021 guidance
- Collects and maintains evidence for post submission REF2021 audits
- Clearly communicates and establishes processes for staff appeals
- Clearly communicates and establishes processes for dealing with staff individual circumstances
- Draws on existing expertise and ensures, where there are gaps, it provides internal and external training
- Ensures that the submission exploits the university's research strengths and that it is optimised to deliver quality profiles and funding
- Is transparent and equitable in the submission process while maintaining overall responsibility and final decision-making powers
- Ensures that the appropriate university committees and Senate have oversight of progress and ownership of the processes while devolving the operational delivery to the appropriate REF2021 submission structures.

To deliver the aims and goals of the submission governance, the University will build on current REF2021 submission activities and formalise some of its aspects. The effectiveness and efficiency of the submission process will be delivered through a number of REF2021 specific structures. These will be established outside the existing research governance structures to ensure autonomy, exploitation of expertise from across the institution and the necessary flexibility to quickly adapt to emerging needs and agility in the decision-making process.

#### B. Structure

The University Senate will be responsible for final approval of the University REF2021 submission.

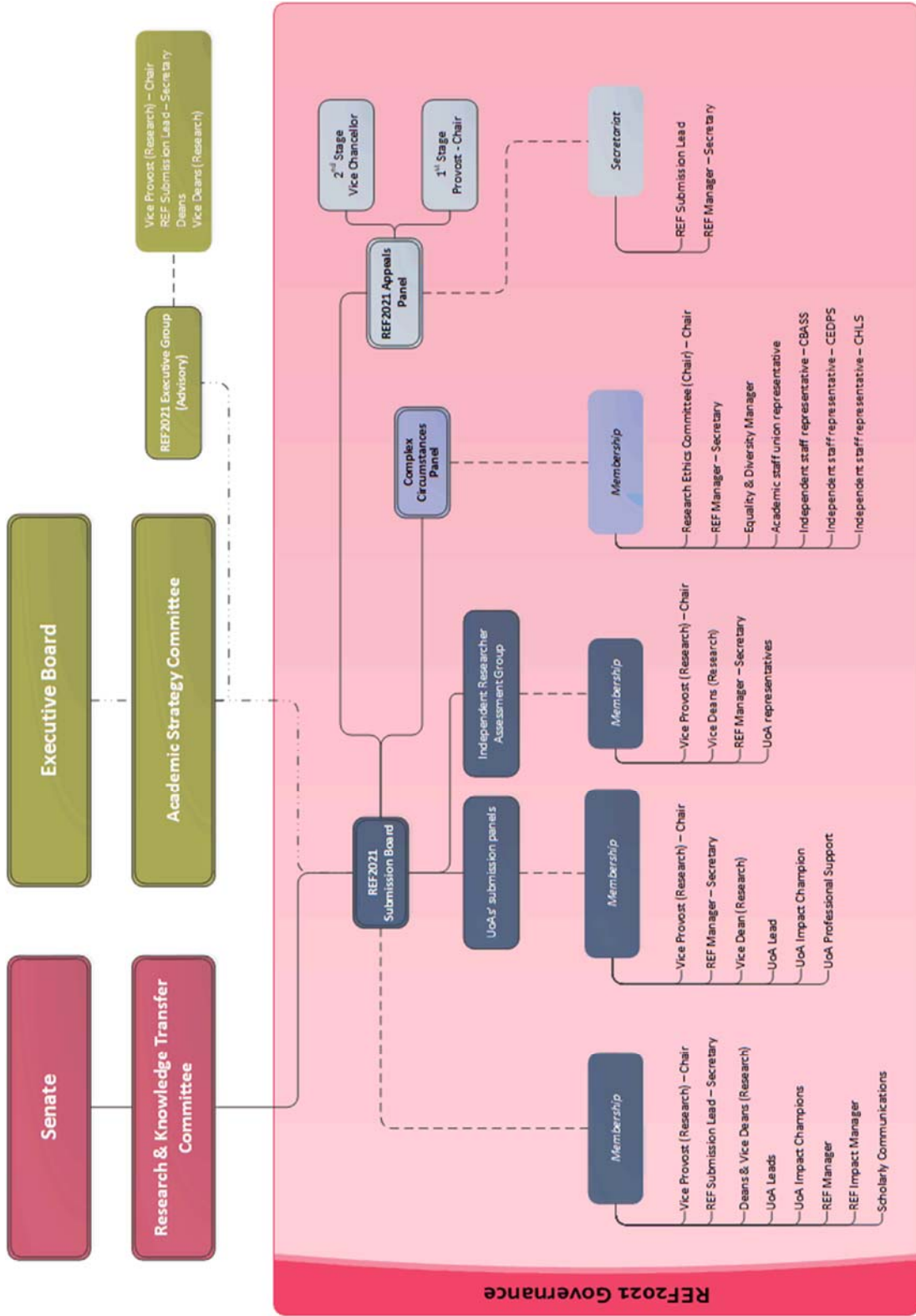
Academic Strategy Committee, reporting into the University Executive Board, will monitor the operational arrangements and progress.

The configuration of the governance structure will see the formal establishment of:

- a. REF2021 Submission Board
- b. UoA submission panels
- c. Independent Researcher Assessment Group
- d. Complex Circumstances Panel
- e. Appeals Panel

There will also be a number of informal groups such as: REF2021 Executive Group (advisory to Academic Strategy Committee), REF2021 professional support group and impact support group. Others might be formed if a specific need arises.

**Part 2: REF2021 Submission Governance**





## Part 2: REF2021 Submission Governance

### C. Training

All staff involved in the submission including: Vice Provost (Research), Vice Deans (Research), UoA Leads, UoA Impact Champions, output reviewers, members of the Independent Researcher Assessment Group, members of the Complex Circumstances Panel and Appeals Panel, as well as all support staff will be receiving Equality & Diversity training.

Training will be provided by the Equality and Diversity unit and is tailored for REF2021 following EDAP's and ECU's best practice.

Two training sessions have been completed to date (20<sup>th</sup> May and 3<sup>rd</sup> June) with c.40 attendees. Further sessions will be offered until training is complete.

### D. Appeals

All appeals will be managed directly through the REF2021 Central Team which will also provide secretariat support to the REF2021 Appeals Panel. As per REF2021 Guidance, appeals will only be granted for the assessment of independent researcher status and staff circumstances.

Appeals will be managed in a two-stage process:

1. A panel chaired by the Provost (REF Manager – Secretary)  
In the first instance, all appeals will be investigated by a panel chaired by the Provost which will include discipline experts (excluding UoA Leads and Impact Champions). In some circumstances, it might be necessary to seek advice from external assessors.
2. Escalation to the Vice Chancellor and President (REF Manager – Secretary)  
Recourses will be directed and investigated by the Vice Chancellor.  
The Vice Chancellor's decision will be final.

Initial appeals for independent researcher status and staff circumstances will be held in January 2020. Deadline for submission of appeals to this session will be in December 2019.

Further appeals will be held as required for new cases and for colleagues whose circumstances significantly change after assessment and before the census date.

Dates for appeals will be given on decision letters and published on the internal REF website.

The final appeals deadline for new cases and colleagues with changed circumstances appeals will be 30<sup>th</sup> June 2020. Appeals will be held in July 2020.

## Part 3: Determining research independence

### A. Policies and procedures.

Criteria used to determine staff who meet the definition of independent research will follow Research England's "REF2021 Panel criteria and working methods (2019/02)".

All staff on Research Only contracts, including those on fixed-term contracts ending before the census date, will be identified centrally through their HR records.

The process to determine research independence will be discharged by the 'Independent Researcher Assessment Group' reporting into the REF2021 Submission Board. Criteria will be as follows:

- 1) Contractual expectations of delivering independent research (identify and exclude Research Assistants that do not meet this expectation contractually)
- 2) Where applicable, staff with clear indicators of independence will automatically be included as Category A staff. The indicators will be:
  - a) Leading or acting as principal investigator or equivalent on an externally funded research project (Panel A, B, C & D)
  - b) Being named as a co-investigator on an externally funded research grant/award (Panel C & D only)
  - c) Holding an independently won, competitively awarded fellowship where research independence is a requirement
- 3) Assessment of "leading a research group or a substantial or specialised work package" (Panels A, B, C & D) or "having significant input into the design, conduct and interpretation of the research" (Panel C & D only). For this type of assessment, appropriate research leads will be invited to join the assessment group.

UoA Panels will be communicated inclusion of staff and approval will be discharged through the REF2021 Submission Board with recommendations to Senate. Individual researchers will be communicated by email and in writing. HR will also be notified to ensure that individual's records are amended for the HESA Staff return.

### B. Staff, committees and training (please see):

Part 2.b.: REF2021 Submission Governance – Structures

Part 2.c.: REF2021 Submission Governance – Training

Appendix 4: Governance Structures details

### C. Appeals (please see):

Part 2.d.: REF2021 Submission Governance – Appeals

### D. Equality impact assessment

EIA will be presented at all Independent Researcher Assessment Group and revised after decisions are made. Any issues will be reported to the Equal Opportunities and HR Committee to ensure actions can be embedded in university's policies.

## Part 4: Selection of outputs

### A. Policies and procedures

#### Selection of outputs for submission

Output selection will be iterative and will aim to submit a pool that will deliver the best achievable profile while representing the disciplinary strengths, distinct methodologies and nature of the research conducted in the unit as well as the diverse characteristics of eligible staff.

The quality assessment element will be conducted through peer review of originality, significance and rigour. Metrics will only be used as additional contextual information in line with the specific REF2021 Panel's criteria and working methods.

Once the quality of the outputs is assessed, factors to determine inclusion will be: Open Access compliance, fit with the breadth of methodologically and topical research strengths displayed in the period, staff employment at the census date and E&D considerations.

The pool of outputs to be included in the submission will be reviewed periodically to take into account new publications in the period (see section B, below, for further information).

#### Submission of outputs from staff who have left the University

The University will include outputs from former members of staff who have left in the submission period in accordance with Research England guidance.

The University commits not to include outputs from staff that have left through compulsory redundancy. The University will be respectful of the views of former staff who left the institution after a process of restructuring, regarding submission of their outputs.

#### Information on submitted outputs

After the submission, but prior to publication of REF2021 submissions, current staff members will be informed which of their outputs have been included in the final pool.

This decision is based on the following considerations:

- As per REF2021 guidance on Code of Practice development, output selection is not an appealable matter by individual staff.
- On publication of REF2021 submissions, Research England has guaranteed that names of staff submitted will not be provided in any form. Therefore, non-inclusion of outputs will not prejudice staff's future career prospects.

#### Publication of personal data contained in research outputs

Research England guidance notes that any personal data contained in research outputs themselves will not be removed before publication. The University will submit publicly available research outputs without additional amendment.

#### Access to reviewers' assessments

Individual staff will not have access to internal and external (where applicable) reviewers' assessments.

## Part 4: Selection of outputs

This decision is based on the following considerations:

- The University is committed not to use any assessment processes related to REF2021 submission for any other purpose including for performance management and/or career development.
- Disclosure of outputs' assessments to individual staff might deter internal and external reviewers from providing an honest and unbiased assessment of the outputs they are considering.

### **B. Process for output selection**

Process as follows:

1<sup>st</sup> phase: Initial pool solely based on peer-review quality assessment

- Staff are asked to nominate up to 6 outputs in the period. Outputs from leavers are selected by the UoA Lead
- Outputs are initially reviewed by research leads with appropriate expertise and scored on a 0 to 4\* scale
- UoA Panel establish pool based on the quality of the outputs compliant with required number of outputs criteria

2<sup>nd</sup> phase: Identification of optimisation parameters

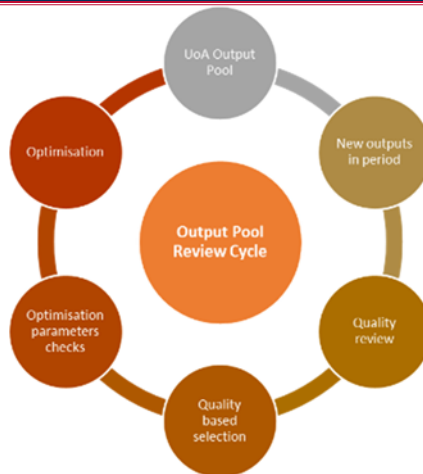
- Review of the unit's body of work and identification of the breadth and strength in terms of: methodological approaches, objectives and nature of the research
- Open Access compliance
- EIA of output pool to establish representation of staff with protected characteristics
- Identification of outputs from staff not in current employment at the institution

3<sup>rd</sup> phase: Output pool optimisation

- Selection of outputs for submission based on quality but optimised based on: research breath and strengths fit, OA compliance, EIA outcomes and inclusion of outputs from leavers

The review of the outputs will be performed on a 3 to 6-month cycle depending on the volume of published outputs. All new outputs will be assessed with no need for new nominations from individual staff. Inclusion and substitution of outputs will necessarily be subject to some of the optimisation parameters such as: OA checks, EIA of the outputs and proportion of outputs from leavers.

## Part 4: Selection of outputs



### C. Staff, committees and training (please see):

Part 2.b.: REF2021 Submission Governance – Structures

Part 2.c.: REF2021 Submission Governance – Training

Appendix 4: Governance Structures details

### D. Staff circumstances

#### Identification of staff circumstances

Identification of staff circumstances and related discounts will be approached through voluntary disclosure in two separate processes:

- 1) Early Career Researchers and Maternity/Parental leave
- 2) All staff will be also be asked to submit any further circumstances, such as complex circumstances, that have affected their ability to research productively through the period

Identification of staff circumstances and related discounts as well as processing of complex circumstances will be managed by the REF2021 Central Team. Standard circumstances and discounts will be communicated to the UoA Panels while complex circumstances will be assessed by the 'Complex Circumstances Panel'.

Complex circumstances will be submitted and held through a secure site with restricted access. All paperwork will be anonymised and presented to the Panel for assessment. Discounts will only be assigned after the length of the affected period is determined. All staff that have submitted complex circumstances will be communicated the Panel's decisions and will have the right to appeal. UoA Panels will only be communicated the total approved discounts but not the associated staff member.

The Complex Circumstances Panel will also assess exceptional circumstances that might have resulted in individual staff not producing the required minimum 1 output.

All staff declaring circumstances will be offered the opportunity for an HR partner to contact them to discuss their circumstances and requirements outside of the REF process. They will also be offered the opportunity for the information to be passed on to the relevant contacts in their department. Where this permission is given, the department will work with the individual and

## Part 4: Selection of outputs

Human Resources to put appropriate support into place in line with existing University policies and procedures.

The overall effect on each UoA of staff circumstances and associated discounts will be considered in relation to the unit's total output requirements. Claiming of discounts will be assessed in respect of the cumulative number of discounts in a UoA as a proportion of the required pool.

### Expectations for staff with circumstances

The University is supportive of staff who have had their ability to research productively affected by equality-related circumstances and will make available safe and supportive structures for them to declare information to the REF process.

There will be no change to the output nominations process for staff with circumstances. All staff are asked to nominate up to 6 research outputs through BRAD in the period and nominated outputs will be assessed and included in the output pool for selection to build the overall submission. Details of nominated staff outputs for REF purposes or reductions due to circumstances will not be used nor disseminated for any other internal or external purpose except for the selection of the best outputs for submission pool and subsequent REF submission activity.

In cases which result in an approved request to remove the minimum of one output requirement, the UoA Lead and relevant contacts in the submission preparation will be made aware of this but given no further details about the specific nature of the circumstances.

Outside of this group, only cases where permission has been given to pass information on to the relevant contact in the department/faculty/centre will be identified at the individual level as having had individual circumstances and the level of discount.

Where such information is given, the UoA Lead and relevant contacts will be referred to relevant HR policy and advised to make any reasonable adjustments which reflect the disruption to the ability to produce research outputs at the same rate as staff not affected by circumstances.

### Including individual circumstances in selection of outputs

A desktop analysis of known standard individual circumstance (Maternity/Parental leave and ECR) has been performed to assess the likely impact of these circumstances to individual UoAs. However, we are mindful that final assessment of the impact of discounts on UoAs will need to be confirmed after staff's voluntary disclosures.

The desktop analysis has revealed that current standard circumstances at an institutional level represent 3.5% of the overall required output pool. Within this, two UoAs have close to 15% possible discounts and one has over 8%. Therefore, we believe that in these three UoAs individual staff circumstance have had a disproportionate effect on the ability to produce the required outputs.

## Part 4: Selection of outputs

The recommendation is to claim discounts in those UoAs where they represent more than twice the University average and to claim sufficient discounts to bring down their impact to the average (considering rounding).

The exact University discount average will vary through the period when more information emerges on voluntary disclosures, consideration of complex circumstances and new circumstances. However, since the University will need to submit approximately 1500 outputs, shifts of 1% will occur when approximately 15 new discounts are disclosed. Given the desktop analysis that captures the maximum levels of discounts for standard individual circumstances we do not envisage substantial changes in the University average.

### **E. Equality impact assessment**

#### **See Appendix 5: Baseline protected characteristics of output selection**

Based on the current preliminary output pools, there are some concerns in a number of UoAs. Some of these have small submission where small changes might have disproportionate effects.

As part of the policy and criteria set out in the Code of Practice all efforts will be made to ensure fair representation. E&D issues will be part of the information presented at each iteration of the output pool selection process.

# APPENDICES



## Appendix 1: REF2014 Submission Equality Impact Assessment

The University submitted 87% of eligible staff in REF2014. Below is the final Equality Impact Assessment of REF2014 non-submitted staff.

For confidentiality reasons, only percentages of staff characteristics are displayed.

Shaded cells indicate a negative variance larger than 5% tolerance (small errors are due to rounding).

Gender	% Female	% Male
Not submitted	41%	59%
All	35%	65%

Ethnicity	% White	% Asian	% Black	% Mixed	% Other
Not submitted	85%	6%	5%	4%	1%
All	77%	15%	2%	2%	3%

Disability	% No declared disability	% Declared disability	% Withheld
Not submitted	98%	2%	0%
All	98%	2%	1%

Age groups	% under 30	% 30-39	% 40-49	% 50-59	% 60-69	% Over 70
Not submitted	0%	13%	34%	34%	19%	0%
All	1%	20%	39%	28%	12%	0%

Fixed term vs. permanent	% Fixed-term	% Permanent
Not submitted	6%	94%
All	7%	93%

Part-time vs. Full-time	% Part-time	% Full-time
Not submitted	87%	13%
All	92%	8%

## Appendix 2: Baseline protected characteristics for staff on Teaching & Research contracts

For confidentiality reasons, only percentages of staff characteristics are displayed (1<sup>st</sup> March 2019 snapshot).

### Gender

UOA	% Female	% Male
<b>03 Allied Health</b>	57%	43%
<b>04 Psychology</b>	34%	66%
<b>07 Environment</b>	42%	58%
<b>10 Mathematical Sciences</b>	32%	68%
<b>11 Computer Science</b>	29%	71%
<b>12 Engineering</b>	18%	82%
<b>16 Economics</b>	24%	76%
<b>17 Business</b>	44%	56%
<b>18 Law</b>	61%	39%
<b>19 Politics</b>	26%	74%
<b>21 Sociology</b>	60%	40%
<b>22 Anthropology</b>	40%	60%
<b>23 Education</b>	67%	33%
<b>24 Sport</b>	46%	54%
<b>27 English</b>	38%	62%
<b>33 Music, Drama</b>	35%	65%
<b>Total</b>	<b>37%</b>	<b>63%</b>

### Ethnicity

UOA	% White	% Asian	% Black	% Mixed	% Other	% not known
<b>03 Allied Health</b>	84%	7%	4%	1%	4%	0%
<b>04 Psychology</b>	76%	10%	7%	0%	7%	0%
<b>07 Environment</b>	83%	17%	0%	0%	0%	0%
<b>10 Mathematical Sciences</b>	84%	8%	0%	0%	4%	4%
<b>11 Computer Science</b>	68%	0%	0%	6%	18%	9%
<b>12 Engineering</b>	49%	12%	1%	1%	30%	6%
<b>16 Economics</b>	50%	16%	5%	0%	21%	8%
<b>17 Business</b>	54%	22%	4%	1%	16%	1%
<b>18 Law</b>	67%	6%	9%	3%	6%	9%
<b>19 Politics</b>	89%	4%	0%	4%	4%	0%
<b>21 Sociology</b>	73%	13%	0%	0%	7%	7%
<b>22 Anthropology</b>	70%	0%	0%	0%	20%	10%
<b>23 Education</b>	80%	20%	0%	0%	0%	0%
<b>24 Sport</b>	88%	4%	0%	4%	4%	0%
<b>27 English</b>	76%	5%	5%	10%	0%	5%
<b>33 Music, Drama</b>	81%	3%	0%	6%	6%	3%
<b>Total</b>	<b>67%</b>	<b>10%</b>	<b>3%</b>	<b>2%</b>	<b>14%</b>	<b>4%</b>

## Appendix 2: Baseline protected characteristics for staff on Teaching & Research contracts

### Disability

UOA	% No declared disability	% Declared disability	% Withheld
<b>03 Allied Health</b>	96%	3%	1%
<b>04 Psychology</b>	93%	3%	3%
<b>07 Environment</b>	100%	0%	0%
<b>10 Mathematical Sciences</b>	96%	0%	4%
<b>11 Computer Science</b>	91%	0%	9%
<b>12 Engineering</b>	91%	0%	9%
<b>16 Economics</b>	82%	0%	18%
<b>17 Business</b>	91%	0%	9%
<b>18 Law</b>	73%	3%	24%
<b>19 Politics</b>	93%	4%	4%
<b>21 Sociology</b>	93%	7%	0%
<b>22 Anthropology</b>	100%	0%	0%
<b>23 Education</b>	100%	0%	0%
<b>24 Sport</b>	77%	8%	15%
<b>27 English</b>	90%	10%	0%
<b>33 Music, Drama</b>	94%	0%	6%
<b>Total</b>	<b>91%</b>	<b>2%</b>	<b>8%</b>

### Age groups

UOA	% under 30	% 30-39	% 40-49	% 50-59	% 60-69	% Over 70
<b>03 Allied Health</b>	1%	14%	33%	38%	12%	1%
<b>04 Psychology</b>	0%	28%	34%	34%	3%	0%
<b>07 Environment</b>	0%	17%	25%	33%	25%	0%
<b>10 Mathematical Sciences</b>	4%	4%	32%	36%	20%	4%
<b>11 Computer Science</b>	0%	15%	38%	32%	15%	0%
<b>12 Engineering</b>	1%	17%	34%	33%	11%	4%
<b>16 Economics</b>	3%	34%	34%	18%	11%	0%
<b>17 Business</b>	1%	16%	47%	15%	18%	3%
<b>18 Law</b>	0%	36%	36%	15%	12%	0%
<b>19 Politics</b>	0%	22%	33%	33%	11%	0%
<b>21 Sociology</b>	0%	13%	47%	40%	0%	0%
<b>22 Anthropology</b>	0%	40%	10%	30%	20%	0%
<b>23 Education</b>	0%	0%	60%	27%	7%	7%
<b>24 Sport</b>	23%	19%	19%	27%	12%	0%
<b>27 English</b>	0%	10%	43%	29%	19%	0%
<b>33 Music, Drama</b>	0%	29%	19%	26%	26%	0%
<b>Total</b>	<b>2%</b>	<b>19%</b>	<b>35%</b>	<b>29%</b>	<b>13%</b>	<b>2%</b>

## Appendix 2: Baseline protected characteristics for staff on Teaching & Research contracts

### Fixed term vs. permanent

UOA	% Fixed-term	% Permanent
<b>03 Allied Health</b>	3%	97%
<b>04 Psychology</b>	0%	100%
<b>07 Environment</b>	0%	100%
<b>10 Mathematical Sciences</b>	8%	92%
<b>11 Computer Science</b>	3%	97%
<b>12 Engineering</b>	9%	91%
<b>16 Economics</b>	8%	87%
<b>17 Business</b>	1%	99%
<b>18 Law</b>	0%	100%
<b>19 Politics</b>	7%	93%
<b>21 Sociology</b>	7%	93%
<b>22 Anthropology</b>	10%	90%
<b>23 Education</b>	0%	100%
<b>24 Sport</b>	8%	92%
<b>27 English</b>	0%	100%
<b>33 Music, Drama</b>	6%	94%
<b>Total</b>	<b>5%</b>	<b>95%</b>

### Part-time vs. Full-time

UOA	% Part-time	% Full-time
<b>03 Allied Health</b>	16%	84%
<b>04 Psychology</b>	0%	100%
<b>07 Environment</b>	17%	83%
<b>10 Mathematical Sciences</b>	8%	92%
<b>11 Computer Science</b>	9%	91%
<b>12 Engineering</b>	10%	90%
<b>16 Economics</b>	3%	97%
<b>17 Business</b>	9%	91%
<b>18 Law</b>	3%	97%
<b>19 Politics</b>	0%	100%
<b>21 Sociology</b>	0%	100%
<b>22 Anthropology</b>	0%	100%
<b>23 Education</b>	0%	100%
<b>24 Sport</b>	8%	92%
<b>27 English</b>	0%	100%
<b>33 Music, Drama</b>	13%	87%
<b>Total</b>	<b>8%</b>	<b>92%</b>

### Appendix 3: Baseline protected characteristics for staff on Research Only contracts

For confidentiality reasons, only percentages of staff characteristics are displayed (1<sup>st</sup> March 2019 snapshot)

#### Gender

% Female	% Male
28%	72%

#### Ethnicity

% White	% Asian	% Black	% Mixed	% Other	% not known
43%	22%	2%	3%	27%	3%

#### Disability

% No declared disability	% Declared disability	% Withheld
72%	5%	24%

#### Age groups

% under 30	% 30-39	% 40-49	% 50-59	% 60-69	% Over 70
13%	55%	20%	7%	2%	3%

#### Fixed term vs. permanent

% Fixed-term	% Permanent
94%	6%

#### Part-time vs. Full-time

% Part-time	% Full-time
10%	90%

## Appendix 4: Governance Structures details

### 1. REF2021 Submission Board

The REF2021 Submission Board will be responsible for:

- Coordinating submissions across the institution
- Development of the Code of Practice
- Ensuring that all staff dealing with assessment of the submissions have received E&D training including unconscious bias directly relating to the nature of research and dissemination outlets
- The submission is compliant with REF2021 guidance
- Evidence for post submission REF2021 audits is robust and accessible
- Identification of staff circumstances and discounts
- Regular monitoring of progress and reporting to Academic Strategy Committee
- Engagement of external assessors for all or some of the UoAs
- Provide direction and sharing of best practice
- Provide any specific training, workshops and seminars accessible to all UoAs to improve the submissions especially regarding the Impact Case Studies
- Respond to any specific emerging needs as appropriate and within the remit of the Group
- Submission of the Code of Practice, survey of intention to submit and other exception requests to Research England REF2021 Team
- Reports on operational matters and progress to Academic Strategy Committee

#### 1. a. Be accountable to Senate for ensuring that

- Approved REF2021 Strategy is implemented and monitored
- Assurance that the Code of Practice is adhered to
- Equality and Diversity issues are considered, and equality impact assessments are regularly monitored
- All submissions exploit the University's research strengths and that they are optimised to deliver quality profiles and funding

#### 1. b. Membership

- Vice Provost (Research) – Chair
- REF Submission Lead – Secretary
- Deans and Vice Deans (Research)
- Research Institutes Directors
- UoA Leads and Impact Champions
- REF2021 Central Team
- Representation from Scholarly Communications to inform on Open Access requirements and compliance.

#### 1. c. Frequency

The REF2021 Submission Board will meet approximately every three months from November 2018 through to November 2019. It is envisaged that from January 2020 the Group will meet every month up to submission in November 2020.

## Appendix 4: Governance Structures details

### 1. d. **Standard reporting**

It is expected that at each meeting the REF2021 Board will receive and assess for each UoA:

- Updates on required output pools adjusted for ECR, maternity & parental leave, and any other standard staff and complex circumstances that have an impact on the number of outputs to be submitted
- The most recent output profile for each UoA
- Open Access compliance status
- Equality Impact Assessments for assessment of independent researchers and of the number of outputs submitted for staff with protected characteristics
- Progress and assessment of volume and strength of Impact Case Studies
- Progress and assessment of Environment Statements

The REF2021 Central Team will report on progress with the Institutional Environment Statement, training and other compliance issues, and assurance on adherence to the REF2021 Strategy and Code of Practice.

The Submission Board will also receive anonymised and confidential updates from the Complex Circumstances Panel and the REF2021 Appeals Board.

### 2. **Independent Researcher Assessment group**

The Independent Researcher Assessment group will be responsible for:

Assessing the status of independent researcher for staff on Research Only contracts

Monitoring the Equality Impact Assessments and ensuring that issues are raised at the appropriate university committee

Communicating to staff the outcomes of the assessment and appeals processes

Communicating outcomes of assessment to the UoA Panels

#### 2. a. **Be accountable to REF2021 Submission Board for ensuring that**

Submitting the outcomes of the assessments of independent researchers to the REF2021 Submission Board for recommendation to Senate

Ensuring all interested staff are communicate to in a timely and appropriate manner

Equality and Diversity monitoring

#### 2. b. **Membership**

Vice Provost (Research) – Chair

Deputy Director Human Resources

Director of the Graduate School

Vice Dean (Research)

REF Manager – Secretary

#### 2. c. **Frequency**

Initial meeting September 2019. Colleagues will be advised of the outcome and reasons for decision after the meeting and invited to appeal The Initial appeals will be held in January 2020.

## Appendix 4: Governance Structures details

Further meetings every 3 months or as required if new appointments are made in the period.

### 2. d. Standard reporting

It is expected that the Independent Researcher Assessment Group will receive Equality Impact Assessment at each meeting.

### 2. e. Appeals

Colleagues will be advised of the recommendation of the Independent Researcher Assessment Group and will be able to appeal. Appeals will follow the REF2021 processes as described in the Code of Practice (Part 2, Section D, p. 9).

## 3. UoA Submission Panels

Each UoA submission panel will be responsible for:

- Coordinating submission for the UoA
- The submission is compliant with REF2021 guidance for the specific UoA
- Reporting of evidence for post submission REF2021 audits to the Central Team
- Implement recommendations from REF2021 Central Team on required discounts and staff deemed independent researchers
- Implement recommendations from UoA Independent Researcher Assessment Group on staff to be considered as independent researchers
- Outputs selection and eligibility
- Impact Case Studies development
- Development of the Environment Statement

### 3. a. Be accountable to the REF2021 Submission Board for ensuring that

- Approved REF2021 Strategy is implemented and monitored
- Assurance that the Code of Practice is followed and implemented
- Equality and Diversity issues are considered, and equality impact assessments are regularly monitored
- The submission exploits the university's research strengths and that it is optimised to deliver quality profiles and funding

### 3. b. Membership

- Vice Provost (Research) – Chair
- REF Manager – Secretary
- Vice Dean (Research)
- UoA Lead and Impact Champion
- UoA Professional Support

### 3. c. Frequency

The UoA Submission Panels will meet every three months from October 2018 through to October 2019. From December 2019 the panels will meet every month up to submission in November 2020.



## Appendix 4: Governance Structures details

### 3. d. Standard reporting

It is expected that at each meeting the UoA Submission Panel will receive and assess:

- Updates on required output pools adjusted for ECR, maternity & parental leave, and any other standard staff and complex circumstances that have an impact on the number of outputs to be submitted
- Outputs lists including compliance with minimum and maximum requirements
- Open Access compliance status
- Equality Impact Assessment of number of outputs submitted for staff with protected characteristics
- Progress and assessment of volume and strength of Impact Case Studies
- Progress and assessment of Environment Statements

The REF2021 Central Team will share progress on the Institutional Environment Statement and any discounts that might have been assessed by the Complex Circumstances Panel as well as outcomes from the REF2021 Appeals Board.

### 4. Complex Circumstance Panel

Complex Circumstances Panel will be independent from all other reporting structures and will be solely responsible for determining the affect and level of discounts for staff that have declared complex circumstances.

Applications from staff for complex circumstances will be administered by the REF2021 Central Team through a secure site and all papers presented to the panel will be anonymised.

Decisions from the panel will be summarised and communicated to the REF2021 Submission Board in a way where individuals will not be identified. UoA Submission Panels will receive levels of discounts to be applied in aggregate form with no reference to the individual staff.

Equality Impact Assessment and lessons learnt will be reported to the Equal Opportunities and HR Committee at appropriate times

Appeals to the panel decisions will follow the REF2021 appeals processes as described in the Code of Practice.

#### 4. a. Membership

- University Research Ethics Committee Chair – Chair
- REF Manager – Secretary
- Equality and Diversity Manager
- One representative from each College to aid in the understanding of specific research needs in different disciplines. However, these will be independent and not in senior positions (e.g. HoD, Divisional Leads, Vice/Associate Deans) to further strengthen the highly sensitive and confidential nature of the matters discussed.

**Appendix 4: Governance Structures details****4. b. Frequency**

The Complex Circumstances Panel will be convened when required and at the most appropriate times.

## Appendix 5: Baseline protected characteristics of output selection

The tables below show the variance of the current preliminary output pools compared with staff characteristics. Caution must be applied since some categories have very small numbers.

Shaded cells indicate a negative variance larger than 5% tolerance (small errors are due to rounding).

### Gender

UOA	% Female	% Male
<b>03 Allied Health</b>	-6%	5%
<b>04 Psychology</b>	8%	-8%
<b>07 Environment</b>	-6%	6%
<b>10 Mathematical Sciences</b>	-11%	6%
<b>11 Computer Science</b>	-10%	10%
<b>12 Engineering</b>	-4%	3%
<b>16 Economics</b>	-1%	1%
<b>17 Business</b>	-4%	4%
<b>18 Law</b>	-2%	2%
<b>19 Politics</b>	-6%	6%
<b>21 Sociology</b>	3%	-3%
<b>22 Anthropology</b>	-8%	8%
<b>23 Education</b>	-7%	7%
<b>24 Sport</b>	-6%	6%
<b>27 English</b>	0%	0%
<b>33 Music, Drama</b>	-0%	0%
<b>Total</b>	-4%	3%

### Ethnicity

UOA	% White	% Asian	% Black	% Mixed	% Other	% not known
<b>03 Allied Health</b>	-1%	1%	-0%	-1%	-1%	0%
<b>04 Psychology</b>	6%	-0%	-4%	0%	-2%	0%
<b>07 Environment</b>	-1%	1%	0%	0%	0%	0%
<b>10 Mathematical Sciences</b>	-10%	2%	0%	0%	6%	-2%
<b>11 Computer Science</b>	3%	0%	0%	-3%	7%	-6%
<b>12 Engineering</b>	4%	4%	-1%	1%	-3%	-5%
<b>16 Economics</b>	12%	-1%	-5%	0%	-12%	2%
<b>17 Business</b>	-8%	8%	2%	-1%	-5%	1%
<b>18 Law</b>	4%	1%	2%	-1%	-2%	-4%
<b>19 Politics</b>	5%	0%	0%	-2%	-4%	0%
<b>21 Sociology</b>	-2%	1%	0%	0%	2%	-1%
<b>22 Anthropology</b>	4%	0%	0%	0%	1%	-5%
<b>23 Education</b>	14%	-17%	0%	0%	0%	0%
<b>24 Sport</b>	-2%	-0%	0%	-2%	5%	0%
<b>27 English</b>	5%	-2%	-2%	2%	0%	-2%
<b>33 Music, Drama</b>	-4%	3%	0%	1%	4%	-3%
<b>Total</b>	1%	2%	-1%	-0%	-1%	-2%

## Appendix 5: Baseline protected characteristics of output selection

### Disability

UOA	% No declared disability	% Declared disability	% Withheld
<b>03 Allied Health</b>	0%	1%	-1%
<b>04 Psychology</b>	1%	-2%	1%
<b>07 Environment</b>	0%	0%	0%
<b>10 Mathematical Sciences</b>	-3%	0%	-2%
<b>11 Computer Science</b>	6%	0%	-6%
<b>12 Engineering</b>	5%	0%	-6%
<b>16 Economics</b>	8%	0%	-8%
<b>17 Business</b>	1%	0%	-1%
<b>18 Law</b>	13%	-1%	-12%
<b>19 Politics</b>	3%	-2%	-2%
<b>21 Sociology</b>	-2%	2%	0%
<b>22 Anthropology</b>	0%	0%	0%
<b>23 Education</b>	0%	0%	0%
<b>24 Sport</b>	13%	-3%	-10%
<b>27 English</b>	-5%	5%	0%
<b>33 Music, Drama</b>	6%	0%	-6%
<b>Total</b>	<b>4%</b>	<b>-0%</b>	<b>-4%</b>

### Age groups

UOA	% under 30	% 30-39	% 40-49	% 50-59	% 60-69	% Over 70
<b>03 Allied Health</b>	-1%	3%	-3%	0%	2%	-1%
<b>04 Psychology</b>	0%	3%	5%	-7%	-2%	0%
<b>07 Environment</b>	0%	-17%	4%	2%	10%	0%
<b>10 Mathematical Sciences</b>	-2%	-2%	-1%	-0%	1%	-2%
<b>11 Computer Science</b>	0%	-2%	1%	3%	-2%	0%
<b>12 Engineering</b>	0%	-5%	-2%	6%	2%	-2%
<b>16 Economics</b>	-3%	-15%	-10%	17%	11%	0%
<b>17 Business</b>	-1%	-2%	4%	3%	-5%	-1%
<b>18 Law</b>	0%	-18%	7%	1%	10%	0%
<b>19 Politics</b>	0%	-5%	-4%	12%	-3%	0%
<b>21 Sociology</b>	0%	-2%	8%	-6%	0%	0%
<b>22 Anthropology</b>	0%	2%	-5%	2%	1%	0%
<b>23 Education</b>	0%	0%	9%	-10%	-4%	5%
<b>24 Sport</b>	-11%	-0%	7%	2%	2%	0%
<b>27 English</b>	0%	0%	5%	-7%	2%	0%
<b>33 Music, Drama</b>	0%	5%	1%	-4%	-2%	0%
<b>Total</b>	<b>-1%</b>	<b>-3%</b>	<b>0%</b>	<b>3%</b>	<b>1%</b>	<b>-1%</b>

**Appendix 5: Baseline protected characteristics of output selection**
**Fixed term vs. permanent**

UOA	% Fixed-term	% Permanent
03 Allied Health	1%	-2%
04 Psychology	0%	0%
07 Environment	6%	-6%
10 Mathematical Sciences	-6%	1%
11 Computer Science	4%	-4%
12 Engineering	-5%	4%
16 Economics	-2%	-3%
17 Business	5%	-5%
18 Law	0%	0%
19 Politics	-5%	5%
21 Sociology	2%	-2%
22 Anthropology	-5%	5%
23 Education	0%	0%
24 Sport	-6%	6%
27 English	0%	0%
33 Music, Drama	1%	-1%
<b>Total</b>	<b>-1%</b>	<b>0%</b>

**Part-time vs. Full-time**

UOA	% Part-time	% Full-time
03 Allied Health	-2%	1%
04 Psychology	0%	0%
07 Environment	-11%	11%
10 Mathematical Sciences	-6%	1%
11 Computer Science	-1%	1%
12 Engineering	-6%	5%
16 Economics	3%	-3%
17 Business	1%	-1%
18 Law	-1%	1%
19 Politics	0%	0%
21 Sociology	0%	0%
22 Anthropology	16%	-16%
23 Education	0%	0%
24 Sport	-8%	8%
27 English	2%	-2%
33 Music, Drama	-11%	11%
<b>Total</b>	<b>-3%</b>	<b>2%</b>