



Research Excellence Framework 2021

Code of Practice

Approved by University of Wolverhampton Academic Board (6 June 2019)

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1. INTRODUCTION

1.1 The Research Excellence Framework (REF) is the system for assessing research in UK Higher Education Institutions (HEIs) and is conducted by the four UK HE funding bodies.

1.2 In line with the University of Wolverhampton's (hereafter the "University") Equality and Diversity Policy, and in compliance with the funding bodies' requirements for REF 2021, we have produced this Code of Practice (hereafter the "Code") on the processes for identifying staff with significant responsibility for research, for determining research independence, for selecting outputs and for taking into account individual staff circumstances.

1.3 The general framework for assessment in REF 2021 and guidance to UK HEIs about making submissions are published in the [Guidance on Submissions](#), (hereafter "the Guidance") with specific requirements of each of the main and sub-panels detailed in the [Panel Criteria and working methods](#).

Purpose

1.4 The purpose of the Code is to ensure that University processes and procedures in relation to REF 2021 support and promote equality and diversity in research careers. The Code supports the University's compliance with the Equality Act and the public sector equality duty, and details arrangements made by the Funding bodies and the University to advance equality of opportunity for people with one or more of the protected characteristics covered by the Act, namely:

- Age;
- Disability;
- Gender reassignment;
- Marriage and civil partnership;
- Pregnancy and maternity;
- Race;
- Religion and belief;
- Sex; *and*
- Sexual orientation.

1.5 All University decision-making bodies shall adhere to the principles of this Code, ensuring equality, transparency, consistency and accountability.

The University of Wolverhampton Equality and Diversity Context

1.6 We are proud to be the University of Opportunity, with priorities driven and influenced by

our location and where equality and diversity are placed at the heart of what we are trying to achieve as both an employer and an educator. We were founded in 1827 as a mechanics' institute to educate the local workforce, and we continue this tradition today and make significant contributions to improving educational and economic outcomes in a highly diverse region that has suffered disproportionately from industrial restructuring. The University's mission is to 'maximise opportunity through generating knowledge, innovation and enterprise' and our aim is to be a 'progressive and influential sector leader, championing diversity and creating economic impact and life chances for all' (University of Wolverhampton Strategic Plan 2016-2021). Consequently, we have set ourselves ambitious equality objectives in relation to the recruitment, progression and satisfaction of staff and students, and have communicated these via our University webpages and staff briefings.

1.7 The University's Joint Equality and Diversity Committee, chaired by the Deputy Chair of the Board of Governors, brings together governors, staff and students to govern the work of the University in the field of equality and diversity. It holds the University accountable for the progress it is making against the Strategic Plan and its associated equality objectives. The Committee is supported by an operational group, which includes membership of the chairs of the Lesbian, Gay, Bisexual, and Transgender (LGBT), Black and Minority Ethnic (BAME), and Disabled Staff networks. The University's commitment to equality and diversity is enshrined in its Policy Statement on Equality and Diversity (**Appendix 1**) and the associated policy statements on Disability Equality, Race Equality, Sexual Orientation Equality, Gender Equality and Gender Identity Equality.

1.8 The Code supports the University's mission and aim in relation to equality and diversity, and is aligned with our Equality and Diversity Policy by developing transparent, consistent and inclusive processes and procedures in relation to identifying staff with significant responsibility for research, research independence, and the approach to selecting outputs that is sensitive to individual staff circumstances and disciplinary traditions. The Code also identifies where responsibilities for decision-making lie in relation to University governance mechanisms, and how individuals and committees are supported in discharging their responsibilities.

Actions taken since REF2014

1.9 Our Equality Impact Assessment (EIA) on REF 2014 compared the characteristics of submitted Category A staff with the University's total academic staff population, and with characteristics of staff submitted to RAE 2008. Our key findings included that:

- We submitted more staff to REF 2014 than RAE 2008, and increased the number of staff with disabilities and staff from ethnic categories other than White British

- The staff submitted in REF 2014 broadly followed the age pattern of the University as whole, with the exception of staff of the 65 and over category, where submitted staff were over-represented compared to the University's age profile
- The percentage of BAME staff and staff with disabilities submitted to REF 2014 was higher than the percentage of BAME staff and staff with disabilities in the University staff population, but the small numbers did not allow meaningful identification of patterns
- Gender remains a significant area for concern as we submitted fewer female staff than male staff to RAE 2008 and REF 2014, and the proportion submitted was out of line with the gender balance across the academic staff as a whole

1.10 We recognise that the gender disparity is not acceptable and have made improving the proportion of female academics who will be submitted to REF 2021 an institutional priority. We have therefore completed and/or put in train the following key actions:

- All Faculties (and their associated Research Centres) and all cross-faculty Research Institutes completed Gender Equality Action Plans (GEAPs) (**Appendix 2**), to mainstream gender equality and address intersectionality
- QR allocations and periodic internal Research Investment Funding (RIF) to faculties and institutes is dependent on completion and progress with GEAPs
- RIF investment and the University's Early Research Award Scheme (ERAS) for early-career researchers is monitored for gender impact
- Equality & Diversity and Unconscious Bias Training are mandatory for all staff and must be refreshed every two years. Compliance is monitored by the University's HR Services
- Composition of committees is reviewed on an annual basis to ensure a gender balance of at least 40/60
- We adopted a shared leadership model for the leadership of the 17 Units of Assessment (UOAs) under preparation, resulting in a 45%(F)/55%(M) leadership balance in our UOAs
- From 2019 onwards, we have embedded Equality and Diversity objectives into the annual performance review of senior staff
- We are using the results from the Principal Investigators and Research Leaders Surveys (2015, 2017 and 2019) to identify how to improve skills, knowledge and habits of research leaders to support inclusive practices

1.11 In addition to the specific actions related to gender, we have continued our holistic approach to equality and diversity focusing on a) career pipeline for staff, b) culture and communication and c) support and accountability across all protected characteristics.

Key Principles

1.12 The following principles of equality and fairness will be applied consistently, and throughout all stages of our submission preparation to REF 2021:

(a) *Transparency, including communication*

- We are committed to being open and transparent about decision making processes for the REF submission
- We shall clarify and document the roles of individuals and committees involved in the processes and decision-making for identifying staff with significant responsibility for research, research independence, and output selection and refer to these throughout the Code
- We shall develop, consult on and document all processes related to identifying staff with significant responsibility for research, research independence and output selection taking into account individual staff circumstances in the Code
- We shall process personally identifiable information in accordance with the transparency requirements of data protection law
- We shall clearly outline our timeline for processes associated with our REF submission
- We will use a range of communication and dissemination mechanisms and channels, embodied in a communication programme, to develop the Code, publicise it following the decision by the Funding bodies, and carry out associated activities. There are two phases of communication:

Communication during Code development

- The draft Code was discussed with UOA Co-ordinators, REF Strategy Panel, Faculty and University Research Committees, Staff networks, and the Union (UCU) prior to approval by Academic Board
- The draft Code was made available and publicised to all academic staff via a wide range of mechanisms, including staff email, staff newsletters and the University's intranet
- Where possible, the draft Code was discussed with staff as a part of UOA meetings
- The University's Research Policy Unit ran two open staff meetings to facilitate discussion and development of the Code (February and May 2019)
- Staff absent from work were contacted as appropriate

Communication following approval of the Code:

- We will publish the Code on the University's website
- The Code is available in accessible pdf format, or in other accessible formats on request from the Research Policy Unit
- We made sure that, as appropriate, those absent from work (on sick leave,

maternity, paternity or adoption leave, on secondment or leave of absence, or absent for any other reasons) are also aware of the Code

- The Code and progress with the associated processes was considered at the University's Joint Equality and Diversity Committee

(b) Consistency

This Code of Practice is applicable to all staff with a significant responsibility for research and will be applied consistently and uniformly across the institution. This means that:

- The same processes will be followed when decisions are made
- The same principles will apply when decisions are made

(c) Accountability

The Code describes the decision making processes for REF 2021:

- The responsibilities and terms of reference for both individuals and bodies involved in the process for identifying staff with significant responsibility for research, identifying research independence, and output selection are laid out below (Paragraphs 1.12-1.13)
- We have stated the training that these individuals and bodies will receive with respect to Equality legislation and inclusive practice (Paragraphs 1.15)
- There is a process by which staff can appeal against decisions (Section 6)

(d) Inclusivity

Our University's Strategic Plan and its associated Research Strategy prioritise an inclusive and vibrant research environment, and this Code is in congruence with our values and strategies. That includes valuing the contribution of all staff that contribute to REF 2021, recognising how individual staff circumstances affect researcher's productivity (and take account of this in output selection), and provide appropriate support for researchers.

Staff, Committees and Training

1.13 The staff involved in all decision-making processes covered by the Code are as follows:

- (a) UOA Co-ordinators are responsible for co-ordinating the academic content of individual Unit submissions, in particular environment, impact and outputs.

(b) Associate Deans of Research and Research Institute Directors are responsible for overall research strategy and processes within their Faculty/ Institute. Their specific role in the context of the Code of Practice is to review the proposals on research independence and substantive connection.

(c) The Dean of Research has delegated authority from the Vice-Chancellor for managing the institutional preparations for and submission to the REF.

(d) The Vice-Chancellor has formal institutional responsibility for the REF submission.

1.14 The Committees involved in all decision-making processes covered by the Code are as follows and Terms of Reference are found at **Appendix 3**.

(a) The University REF Equality and Advisory Panel considers all staff circumstances as outlined in Section 5 below.

(b) The University REF Appeals Panel considers all formal appeals as outlined in Section 6 below.

(c) The REF Strategy Panel, through regular reports to University Research Committee and to Academic Board, provides advice on the University's REF strategy and oversees all aspects of its submission.

(d) University Research Committee (URC) assists where appropriate in the preparation of the submission REF. It considers the draft Code of Practice and makes recommendations to Academic Board on output selection processes (paragraph 4.11)

(e) Academic Board approves the Code of Practice and the final submission.

1.15 All staff involved in decision processes (1.12) and members of decision making bodies a-c (1.13), are required to undertake tailored training on implementing this Code, the implications of the Equality Act 2010, and on how to apply equal opportunities legislation to REF 2021. Training was delivered by Advance HE in May and June 2019. In exceptional circumstances, where members were unable to attend the training, a separate internal briefing was held, using the same materials. URC and Academic Board members will have completed the University's mandatory Equality and Diversity and Unconscious Bias training.

1.16 A report on the completion of training will be monitored and overseen by the University's HR Services in liaison with the Research Policy Unit and reported to URC.

2. IDENTIFYING STAFF WITH A SIGNIFICANT RESPONSIBILITY FOR RESEARCH

2.1 Each Higher Education Institution participating in REF 2021 must return all eligible staff with significant responsibility for research. As outlined in the Guidance, such staff will normally be identified by the core eligibility criteria, as set out for 'Category A eligible staff':

(a) Category A eligible staff: academic staff with a contract of employment of 0.2 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'. Staff should have a substantive connection with the submitting institution. Staff on 'research only' contracts should meet the definition of an independent researcher.

(b) Staff with significant responsibility for research are further defined as 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.

2.2 REF Guidelines refer to two sets of staff – "Category A eligible" and "Category A submitted". Eligible staff are submitted if and only if they have significant responsibility for research.

Process for identifying staff with significant responsibility for research

2.3 At Wolverhampton, the Category A criteria identify both staff who do and who do not have significant responsibility for research. Therefore, and with the agreement of the Union (UCU Joint Consultative Committee meeting 27 March 2019), we shall use the Wolverhampton Academic Framework to form our Category A submitted staff pool.

2.4 The Category A Submitted staff pool will also include staff on Research only contracts who meet the definition of an independent researcher (see Section 3).

2.5 The Wolverhampton Academic Framework was introduced in 2017/18 to enable staff to position themselves within a career pathway that best matches their career aspirations. It applies to all staff whose primary employment function is to undertake teaching and research.

2.6 In line with our key principles, the Wolverhampton Academic Framework:

- recognises that there are different aspects to an academic role, including research, teaching, scholarship, academic management, business engagement etc.
- seeks to enable academic staff to position themselves within a career path with clear progression and promotion routes, to have flexibility and choices
- recognises that colleagues have different skill mixes and subject areas have their own distinct needs
- ensures that academic enhancement is a key part of all academic roles
- provides clarity, consistency and focus within academic role profiles with regard to research and scholarly activities
- role expectations are clearly outlined in job descriptions and reviewed through appraisal

2.7 Following implementation of the Wolverhampton Academic Framework, academic staff on Teaching and Research contracts formally identified themselves with one of two role profiles and job descriptions: 1) Teaching and Research or 2) Teaching, Scholarship and Professional Practice.

2.8 Staff with Teaching and Research job descriptions are expected to undertake research which has impact and brings esteem, form research collaborations, publish in peer reviewed outlets as appropriate to the discipline, undertake research to inform teaching, engage with external communities, and undertake research degree student supervision. QR and University RIF funding are used to provide explicit time and resources to support research activities, as appropriate to the subject area. Staff with Teaching, Scholarship and Professional Practice job descriptions are expected to maintain standing as a scholar and a professional, form collaborations in the development of scholarship and/or professional practice initiatives and projects, disseminate outcomes of scholarship/professional practice in appropriate fora, undertake scholarly activity and/or professional practice to inform teaching, engage with external communities.

2.9 The process for accurately identifying eligible staff – i.e. those who meet the Category A definition and who have a significant responsibility for research - is set out in diagram 1.

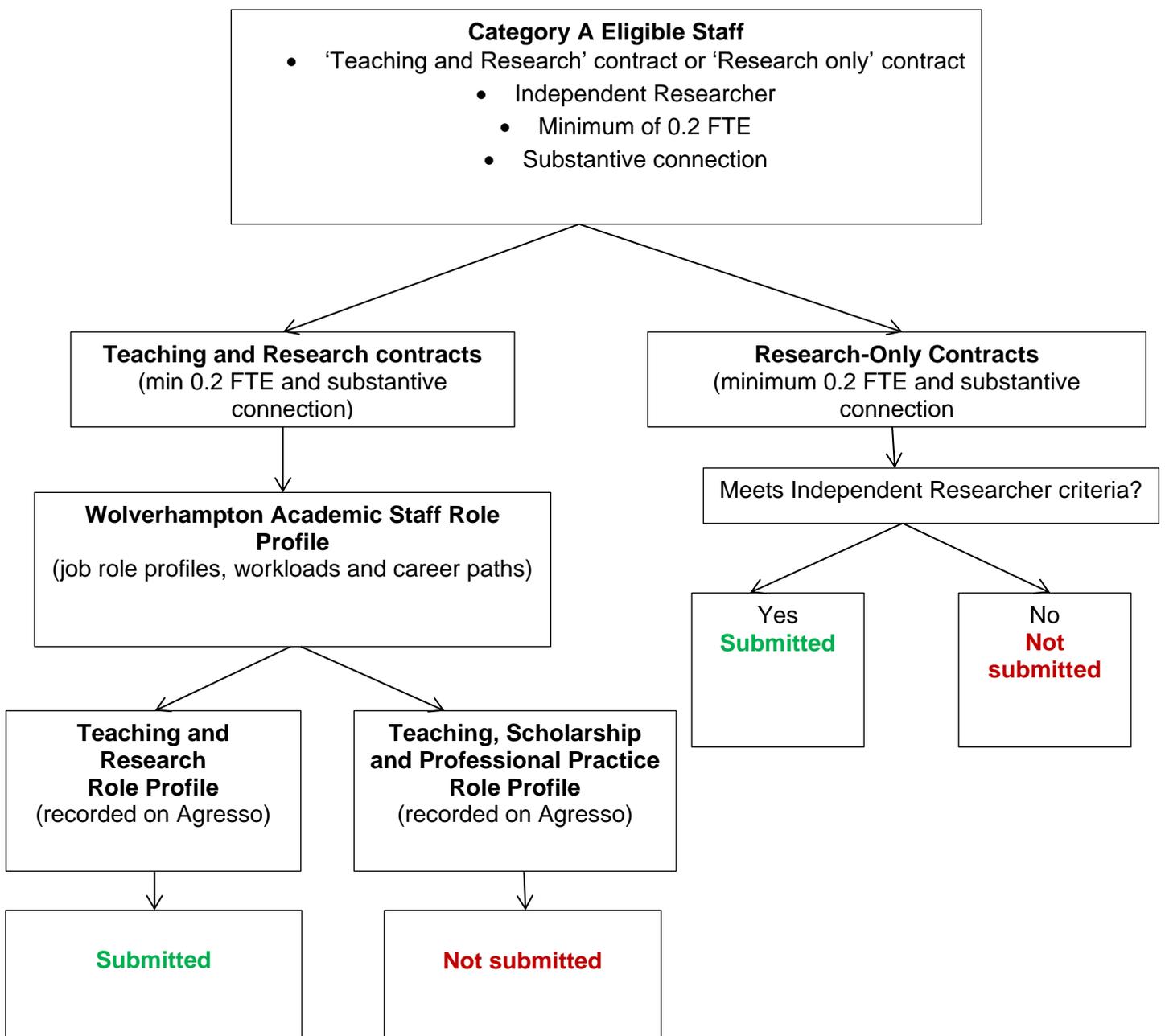
2.10 Staff shall be informed of the process for, and therefore grounds for eligibility for submission to the REF, by the Dean of Research in Spring 2019. There will be further communication, as follows:

- By the end of May 2019: all academic staff with Teaching and Research contracts and with Teaching, Scholarship and Professional Practice job descriptions shall be

informed of their Category A not submitted status and referred to this Code and to the appeals process

- By the end of May 2019: all academic staff with Teaching and Research contracts and with Teaching and Research job descriptions or with Research only contracts shall be informed of their Category A submitted status and referred to this Code, the processes outlined for substantive connection and research independence, and to the appeals process, as appropriate
- Newly appointed academic staff shall be informed of their eligibility and submitted status and the appeals process, as appropriate.
- Staff who change contract or job description shall be informed of their eligibility and submitted status, and the appeals process, as appropriate

Diagram 1



Substantive Connection

2.11 The Guidance states that (a) staff who are employed on minimum fractional contracts (0.20 to 0.29 FTE) should have a substantive research connection with the submitting unit (see paragraph 2.12 below for exclusions); and (b) to demonstrate the connection, a short statement (up to 200 words) should evidence the clear connection of the staff member with the submitting unit.

2.12 The Guidance details a range of indicators that are likely to evidence a substantive connection, including but not limited to:

- evidence of participation in and contribution to the unit's research environment, such as involvement in research centres or clusters, research leadership activities, supervision of research staff, or supervision of postgraduate research (PGR) students
- evidence of wider involvement in the institution, for example through teaching, knowledge exchange, administrative, and/or governance roles and responsibilities
- evidence of research activity focused in the institution (such as through publication affiliation, shared grant applications or grants held with the University)
- period of time with the institution (including prospective time, as indicated through length of contract)

2.13 Staff who do not have a substantive research connection with the submitting unit will not be eligible for inclusion, such as those who hold substantive research posts at another institution (either within or outside the UK) and whose research is not clearly connected with the submitted unit.

2.14 The Funding bodies recognise that there are also particular personal and discipline-related circumstances where the minimum fractional contract will commonly apply for staff members who have a substantive connection with the submitting unit. Therefore, in these instances, a statement evidencing a substantive connection will not be required for staff with contract of employment between 0.20 and 0.29 FTE. These instances are as follows:

- where the staff member has caring responsibilities
- where the staff member has other personal circumstances (e.g. ill health, disability)
- where the staff member has reduced their working hours on the approach to retirement
- where the fractional appointment reflects normal discipline practice (for example, where joint appointments with industry or practice are typical in the submitted unit).

2.15 Institutions are required to identify the applicable circumstances in lieu of providing a statement at the point of submission.

2.16 The process for eligible staff on minimum fractional contracts has been developed to ensure that their substantive connection is fairly and transparently determined, and must be used consistently within each Unit:

- Category A eligible staff (i.e. those staff with both a Teaching and Research contract and job description and those staff on Research only contracts) who are employed on minimum fractional contracts (0.20 to 0.29 FTE) shall be identified by HR
- Each member of staff shall be asked to review their role against the criteria specified in the Guidance and, where appropriate, demonstrate their clear connection with the submitting unit in a short statement (up to 200 words). Staff will be asked to complete a standard pro-forma issued by the Research Policy Unit.
- A specific briefing for staff will be hosted by the Dean of Research and, following this, the member of staff may liaise with their line manager, Unit of Assessment Co-ordinator or Associate Dean (Research) or Research Institute Director, as appropriate
- Completed forms shall be submitted for consideration to a formal staff eligibility meetings of Associate Deans (Research)/Director of Research Institutes and the Dean of Research
- The REF Strategy Panel will review all recommendations to ensure consistency of practice across all submitting units, and confirm decisions to Associate Deans (Research)/Director of Research Institutes concerned
- The member of staff shall be notified of the outcome (i.e. of their Category A eligible status based on substantive connection)
- At the same time as the notification of the outcome, the member of staff shall be informed of the appeals process
- The process shall be undertaken twice, once in 2019 (and by June); and once in summer 2020 (and by July), in recognition that fractional appointments may change over time

3. DETERMINING RESEARCH INDEPENDENCE

3.1 The Guidance states that staff employed on 'research only' contracts must be independent researchers to meet the definition of Category A eligible. An independent researcher is defined as an individual who undertakes self-directed research, rather than carrying out another individual's research programme. All staff on 'research only' contracts who are independent researchers will have significant responsibility for research so should be returned as Category A submitted staff.

Research Assistants

3.2 Research assistants (sometimes also described as postdoctoral research assistants, research associates or assistant researchers) are defined as academic staff whose primary employment function is 'research only', and they are employed to carry out another individual's research programme rather than as independent researchers in their own right.

They are usually funded from research grants or contracts from Research Councils, charities, the European Union (EU) or other overseas sources, industry, or other commercial enterprises, but they may also be funded from the University's own funds.

3.3 Research assistants **are not eligible** to be returned to the REF unless, exceptionally, they meet the definition of an independent researcher on the census date and satisfy the definition of Category A eligible staff. They must not be listed as Category A submitted staff purely on the basis that they are named on one or more research outputs.

3.4 For the purposes of the REF, an independent researcher is defined as an individual who undertakes self-directed research, rather than carrying out another individual's research programme.

3.5 Institutions are required to develop processes for determining research independence in accordance with indicators outlined in the Guidance and in the Panel Criteria. Under the Fixed Term Employees (Prevention of Less Favourable Treatment) Regulations 2002, a fixed term employee has the right not to be treated by his or her employer less favourably than the employer treats a comparable permanent employee. Therefore the determination of research independence should be made irrespective of an individual's contract status.

3.6 The following indicators of research independence are considered appropriate by all of the main panels. It is important to note that each indicator may not individually demonstrate independence, and where appropriate, multiple factors need to be considered:

- 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. An illustrative, but not exhaustive, list of independent fellowships can be found at www.ref.ac.uk, under Guidance
- leading a research group or a substantial or specialised work package

3.7 In addition, Main Panels C and D also consider that the following attributes may generally indicate research independence in their disciplines:

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

3.8 The process for identifying research independence has been developed to ensure that the research independence of 'research-only' staff is fairly and transparently determined, and must be used consistently within each Unit:

- Each member of staff with a Research-only contract shall be asked to review their role against the general main panel and specific (panel C and D) criteria, using a standard pro-forma provided by the Research Policy Unit
- A specific briefing for staff will be hosted by the Dean of Research and, following this, the member of staff may liaise with their line manager, Unit of Assessment Co-ordinator, Associate Dean (Research) or Research Institute Director, as appropriate
- Completed review forms shall be submitted for consideration to the formal staff eligibility meetings of Associate Deans (Research) and the Dean of Research.
- The REF Strategy Panel will review all recommendations to ensure consistency of practice across all submitting units, and confirm decisions to the Associate Deans (Research)/Director of Research Institutes concerned
- The member of staff shall be notified of the outcome (i.e. of their Category A submitted status)
- At the same time as the notification of the outcome, the member of staff shall be informed of the appeals process
- The process shall be undertaken twice, once in 2019 (and by June) and once in summer 2020 (and by July), in recognition that independence may change over time, particularly for staff working towards independence



Small Units of Assessment

3.9 Institutions may exceptionally, and only with prior permission from the REF director, request an exception from submission for very small units.

3.10 Requests can be made for an exception from submission where the combined FTE of staff employed with significant responsibility for research in the unit is lower than five FTE, and where the research focus of these staff:

- Falls within the scope of one UOA and
- Is clearly academically distinct from other submitting units in the institution and
- The environment for supporting research and enabling impact of each proposed submitted unit is clearly separate and distinct from other submitting units in the institution

3.11 The Guidance states that an exception would normally fall under one of the following circumstances:

- The research is in the scope of a UOA in which the institution has not previously submitted, and has not been an area of investment and growth for the institution

- Where a previous REF submission has been made to this UOA, there has since been a change in the staff profile in the research area in the institution

3.12 The University REF Strategy Panel shall consider whether there are any grounds for requesting an exception based on the REF2021 Guidance, and consult with staff affected.

3.13 If an exception is requested by the University and approved by the Funding Bodies, the HR records of the affected staff will be updated to note that the decision was taken on strategic grounds and not on the basis of their individual contribution to research.

4. SELECTION OF OUTPUTS

4.1 The Guidance requires a minimum of one output to be returned for each Category A submitted member of staff, and a maximum of five. On average, 2.5 outputs are to be returned for each FTE, which comprises the “output pool”. Rounding to the nearest whole number will be applied to give a whole number of outputs for submission.

4.2 Outputs of former staff that were first made publicly available while the staff member was employed by the institution as Category A eligible can be submitted to the REF 2021. There is no minimum requirement. The University’s approach to such outputs is set out in paragraph 4.6.

4.3 The University recognises that there may be many reasons why excellent researchers publish at different rates. We will not expect that staff members make a uniform contribution to the output pool or require that staff be submitted with the same number of outputs attributed to them. The output selection process, as described in paragraphs 4.7 onwards, is designed to fairly and transparently select the strongest outputs available, regardless of attribution, within the limits of between one and five outputs per staff member.

4.4 The total available pool of eligible research outputs will comprise REF eligible outputs registered by staff in the University’s research information system, Symplectic Elements.

4.5 The selection of outputs for inclusion in the Unit submission will be guided by the REF 2021 eligibility criteria and rules governing the composition of the output pool. Within these parameters, the primary criterion in the selection of outputs shall be quality.

4.6 The outputs of staff that have been made compulsorily redundant shall not knowingly be reviewed, selected or submitted.

Review of outputs

4.7 The following procedures have been developed to ensure the fair and transparent review of outputs.

- Using Symplectic Elements, each Unit shall invite their Category A submitted staff to identify what they consider to be their strongest outputs for review, providing clear timescales on the process to be followed
- It is expected that each staff member shall nominate at least one output for review, except where an exception has been approved (see Section 5)
- UOA Co-ordinators may also select additional outputs for review from the total pool of eligible outputs to ensure that all potentially strong outputs have been identified and considered. This may include the outputs of former staff, subject to paragraph 4.6.
- Each output will be reviewed by a minimum of two academic staff, who, where possible, have the appropriate subject expertise
- Outputs will be assessed based on the quality of the research content alone and not the contribution of the author
- Where it is appropriate for the discipline, output indicators such as citations may be used to help inform the assessment. Reviewers will adhere to the University of Wolverhampton Research Indicators Policy (**Appendix 4**) to responsibly evaluate outputs
- Outputs will be scored with reference to the published criteria in the Guidance:

The criteria for assessing the quality of outputs are ‘originality, significance and	
Four star	Quality that is world-leading in terms of originality, significance and rigour.
Three star	Quality that is internationally excellent in terms of originality, significance and rigour but which falls short of the highest standards of excellence.
Two star	Quality that is recognised internationally in terms of originality, significance and rigour.
One star	Quality that is recognised nationally in terms of originality, significance and rigour.
Unclassified	Quality that falls below the standard of nationally recognised work. Or work which does not meet the published definition of research for the purposes of this assessment.

- Where appropriate, a more granular scale may be used uniformly across all outputs
- Each output shall be given a single agreed score. Were the scores of the reviewers differ, an agreed score shall be determined through discussion with the UOA Co-ordinator

Output Selection

4.8 Within each Unit, outputs will be selected for each Category A submitted staff member as their minimum of one, except where this requirement has been exempted on the basis of equality related circumstances (see Section 5).

4.9 Additional outputs shall be selected in rank order in order to form the number required for submission. The eligible outputs of former staff will be considered equally with those of current staff, subject to paragraph 4.6. The identity of the staff member shall not be taken into consideration, other than to ensure the minimum and maximum per staff member is met. Where an output may be attributed to more than one co-author within the unit, then it will be allocated to the individual who has the weaker next available output.

4.10 The selection of outputs may be informed by secondary criteria to differentiate between outputs deemed to be of equivalent quality for the purposes of the submission. For example:

- Protected characteristics of staff included in the submission
- Avoidance of the submission of outputs with significant material in common
- Citations, where these are employed by the Sub-panel to which the work is to be submitted (and noting the limitations of such data)
- Relationship of the set of selected outputs to the strategy and achievements described in the Unit's environment statement

Oversight

4.11 After each review period, the REF Strategy Panel shall review the process used by each Unit to review the outputs and to select and allocate them to staff members. Endorsement of the selection will be given where the Panel is satisfied that this Code of Practice has been adhered to and that the process has been rigorous, fair and transparent, and that the outcome is the strongest selection of outputs without bias to any individual. The REF Strategy Panel will report to University Research Committee for final consideration and approval.

Timeline

4.12 An initial review of outputs involving external assessors was undertaken in August 2018, as part of a REF preparation exercise to calibrate feedback and output scoring. Following this, there shall be two output review and selection periods:

Period 1 August 2019-January 2020	Period 2 August-December 2020
August-November 2019: Units peer identify and peer review eligible outputs, make interim selection and allocate them to staff	August-September 2020: Units peer identify and peer review eligible outputs, make final selection and allocate them to staff
December 2019: EIA undertaken on the distribution (i.e. quantity) and the assessment (i.e. quality) of outputs;	October- November 2020: EIA undertaken on the distribution (i.e. quantity) and the assessment (i.e. quality) of outputs; REF Strategy Panel reviews the processes alongside the EIA
January 2020: REF Strategy Panel reviews the processes alongside the EIA ,Units inform staff of output scores	November-December 2020: Units inform staff of final output scores

Feedback to staff

4.13 In line with our equality objectives and our Research Strategy, the University is committed to supporting and developing its researchers to ensure that each and every member of the research community fulfills their potential.

4.14 Feedback is key to delivering these objectives and therefore, after every review period, clear and timely feedback shall be provided to each staff member through the UOA Co-ordinator(s).

4.15 Feedback must:

- In the first instance, be written and be brief and constructive in tone
- Be provided in person where more detailed explanation is requested
- Specify the period of review
- Outline the process of review and scoring criteria in line with the requirements of the REF and this Code
- Outline the output scores that have been given, what the proposed selection decision is, and any further actions the individual needs to take to improve their portfolio either to result in a positive output selection decision or to improve the overall profile of the submitting unit

4.16 The following **should not** be communicated to individual members of staff:

- Who reviewed an individual's outputs (unless readers are happy for this information to be shared)
- What decisions have been made about outputs of other members of eligible staff

5. DISCLOSURE OF CIRCUMSTANCES

5.1 The Guidance on Submissions sets out how institutions should take into account the effect of individual circumstances on the ability of staff to work productively during the assessment period. This is both in relation to a submitting unit's total output requirement and the requirement to submit a minimum of one output for each Category A submitted staff member.

5.2 The following are equality-related circumstances that, in isolation or together, may significantly constrain the ability of submitted staff to produce outputs or to work productively throughout the assessment period. Details of the permitted reductions are set out in Annex L of the Guidance and are reproduced in summary form here and in full form as **Appendix 5** of this Code:

- a. Qualifying as an Early Career Researcher (ECR) (within certain time limits)
- b. Absence from work due to secondments or career breaks outside the HE sector
- c. Qualifying periods of family-related leave
- d. Other circumstances that apply in UOAs 1–6, as defined in the Guidance
- e. Circumstances with an equivalent effect to absence, that require a judgement about the appropriate reduction in outputs, which are:
 - i. Disability
 - ii. Ill health, injury, or mental health conditions
 - iii. Constraints relating to pregnancy, maternity, paternity, adoption or childcare that fall outside of – or justify the reduction of further outputs in addition to – the allowances set out in Annex L
 - iv. Other caring responsibilities (such as caring for an elderly or disabled family member)
 - v. Gender reassignment
 - vi. Other circumstances relating to the protected characteristics listed in the 'Guidance on codes of practice', Table 1, or relating to activities protected by employment legislation

Removing the 'minimum of one' requirement

5.3 All Category A submitted staff must be returned with a minimum of one output attributed to them in the submission, including staff with individual circumstances. However, where an individual's circumstances have had an exceptional effect on their ability to work productively throughout the assessment period (1 January 2014 to 31 July 2020), so that the individual has not been able to produce an eligible output, a request may be made to the funding bodies for the minimum of one requirement to be removed. Where the request is accepted, an individual may be returned with no outputs attributed to them in the submission, and the total outputs required by the unit will be reduced by one.

5.4 Requests may be made for an individual researcher who has not been able to produce an eligible output where any of the following circumstances apply within the period 1 January 2014 to 31 July 2020:

- an overall period of 46 months or more absence from research during the assessment period, due to one or more of the circumstances set out as (a)-(d) above (such as an ECR who has only been employed as an eligible staff member for part of the assessment period)
- circumstances equivalent to 46 months or more absence from research, where circumstances set out in (e) above apply (such as mental health issues, caring responsibility, long-term health conditions) or
- two or more qualifying periods of family-related leave, as defined in Annex L of the Guidance
- Output(s) in the process of being produced have been affected by COVID-19 during the assessment period. This includes effects due to applicable circumstances; and other personal circumstances related to COVID-19; and/or external factors related to COVID-19 (see para.21 of the Guidance on Revisions to REF2021). **AND** The overall impact of the effects of COVID-19, combined with other circumstances affecting the staff member's ability to research productively during the census period, is deemed similar to the impact of the circumstances identified above.

5.5 Where these circumstances do not apply, but the individual's circumstances are deemed to have resulted in a similar impact (including where there are a combination of circumstances that would not individually meet the thresholds set out), a request may still be made and clarified in the institution's request. Where an individual has a combination of circumstances,

all the applicable circumstances will be cited in the request and information provided about the effect of the combined circumstances on the researcher's ability to produce an eligible output in the period.

Process of disclosure and review of equality related circumstances

5.6 The University endorses the Funding bodies view that individual staff are best placed to consider whether circumstances have affected their productivity over the REF period, and that they should not feel any pressure to declare their circumstances where they do not wish to do so.

5.7 The declaration process shall be administered centrally and overseen by the University Equality and Diversity Advisory Panel (EDAP). Faculties and Units **must not** put in place separate policies, data collection processes, or in any other way encourage or pressure staff into declaring circumstances. This will be a key message within our Equality and Diversity training. If a member of staff feels that they have been put under pressure to declare a circumstance, then they should discuss this in confidence with their HR Business Partner in the first instance.

5.8 For those staff who do wish to declare individual circumstances, the same process shall be followed:

- The Dean of Research will write to all Category A submitted staff on four occasions, by July and November 2019, and January and July 2020, to invite them to declare voluntarily any individual circumstances that have constrained their ability to produce outputs or to work productively throughout the assessment period
- All submitted staff shall be informed of the additional COVID-19 related guidance in paragraph 5.4., and invited to voluntarily declare applicable circumstances, by October 2020
- Declarations will be made on a standard form (**Appendix 6**), using information security protocols as outlined in our section 7, to the Head of Research Services
- We shall not take account at any point in the REF submission process of any individual circumstances other than those that staff have consented to declare voluntarily
- As part of the process, staff will be offered the opportunity of face-to-face confidential discussions with HR to assist them in their decision
- Where circumstances are clearly defined, the Head of Research Services will validate these with HR Services. A proposal on the appropriate reduction in outputs (calculated in line with the tariffs set out in the Guidance) shall be reviewed by the EDAP to ensure that criteria are being applied consistently and appropriately

- All circumstances requiring judgement shall be reviewed in full by the EDAP who shall determine whether the circumstances would justify a reduction in outputs and calculate the reduction
- Panel decisions will be reported to the individual making the declaration and shall be final
- Panel decisions will be conveyed to relevant UOA Co-ordinator and Line Manager in order to clarify expectations on the basis of the equality-related circumstances. No further information on the circumstances shall be provided
- Processes for supporting staff with circumstances, including the nature and timing of support offered and any adjustments to expectations shall be made in consultation with the individual affected

5.9 It is recognised that complex circumstances are likely to be sensitive and strict confidentiality will be maintained throughout the process, with information being presented to the EDAP in an anonymised form, ensuring that personally identifiable information is handled in accordance with our privacy notice and the requirements of data protection law.

5.10 REF Strategy Panel will be informed of the outcome of EDAP discussions, but not of the full details of the cases. Sufficient detail will however be recorded to enable the preparation of the required 200 word statement as part of the submission for each such member of staff.

Timeline

5.11 Staff who wish to disclose circumstances shall be invited to do so at five intervals: by July and November 2019, and by January, July and October 2020. This schedule reflects the Funding bodies' deadline for the submission of cases for consideration (6 March 2020), the end of the assessment period (31 July 2020), and the additional COVID-19 related revised guidance.

5.12 There will be at least five meetings of the EDAP Panel to review staff circumstances. In addition to the scheduled meetings, further ad hoc meetings may be convened where circumstances come to light which need to be dealt with urgently.

6. CONCERNS & APPEALS

6.1 The funding bodies expect all institutions that are implementing processes (a) to identify staff with significant responsibility for research and (b) determining research independence to

have in place an appeals mechanism.

6.2 Accordingly, we have put in place appropriate and timely procedures to inform staff who are not considered to have significant responsibility for research, or to be independent researchers, of the reasons behind the decision in accordance with the established criteria, and of the appeals process.

6.3 Our appeals procedures:

(a) Allow members of staff to appeal after they have received this feedback, and for that appeal to be considered before the final submission is made.

(b) Ensure that the individuals who handle appeals are independent of the decisions about identifying staff and receive appropriate training.

Procedures – Informal stage

6.4 The University is committed to developing and maintaining positive and transparent employee relations which enable employees to raise matters relating to their employment, with the understanding that every effort will be made to seek a speedy and effective resolution. It is therefore expected that employees and managers will make every effort to resolve issues at the earliest opportunity and at the most local level possible in order to remedy causes of concern and promote productive working relationships.

6.5 Staff who disagree with a decision arising from the processes (a) to identify staff with significant responsibility for research and/or (b) determining research independence should discuss their concern as soon as possible with their own line manager in the first instance, or with the Associate Dean (Research), to resolve matters informally.

6.6 Line Managers or the Associate Deans (Research) should

- discuss an employee's concerns in confidence with him/her, make discreet investigations, as appropriate, and attempt to address his/her concerns fairly and promptly
- seek to resolve the concerns informally and to notify the individual of the outcome within no longer than ten working days of the concerns being raised

6.7 Where resolution at the informal stage has been unsuccessful, or circumstances make this route inappropriate, the matter should be raised formally.

Procedures - Formal Stage

6.8 Formal appeals must be lodged by the staff member within ten working days of the deadline for the relevant appeals period as outlined in the timeline (see Appendix 9).

6.9 The grounds for appeal are limited to the following:

(a) the individual can evidence that the criteria for determining significant responsibility for research, substantive connection, and/ or research independence have not been appropriately applied. For the avoidance of doubt, individuals may appeal both against and for having significant responsibility for research, being an independent researcher, and/ or having a substantive connection

(b) the University has not adhered to the procedures detailed in this Code of Practice with relation to determining significant responsibility for research, substantive connection or research independence

6.10 The appeal must be made in writing and sent electronically to [HR Services](#). It must state clearly the grounds on which the appeal is made.

6.11 The appeal will be reviewed by the University REF Appeals Panel within one month of the appeals deadline set out in the timeline. All appeals will be considered in advance of the REF submission.

6.12 The appeal will be considered by the REF Appeals Panel of three senior members of staff (the Director of Organisational Development and two members of the University Professoriate), who have not hitherto been involved in the procedures. In the interests of natural justice, neither of the members of staff considering the appeal would normally be the line manager of the appellant.

6.13 The Panel will come to an agreed decision on the significant responsibility of research, substantive connection and/ or substantive connection of the staff member. The decision of the Panel is final and there is no further right of appeal within the process. Staff may raise a grievance under the University's grievance procedure where they consider this is more appropriate.

6.14 The outcome of the appeals process will be communicated to the staff member and the

relevant UOA Co-ordinator, Associate Dean for Research and Dean of Research by HR Services within 10 working days of the Panel meeting.

7. DATA PROTECTION

7.1 The University shall collect, store and process all personal data used in our REF submission in accordance with current data protection legislation – the General Data Protection Regulation (EU) 2016/679 and the Data Protection Act 2018. Information will be processed for the purposes of conducting and evaluating the REF submission.

7.2 Voluntarily disclosed equality-related circumstance information will be used only for the purposes of determining whether the circumstances are eligible and the appropriate reduction if so; and ensuring that Units of Assessment have informed expectations of the staff member's contribution.

7.3 Appropriate and anonymised staff equality and diversity data shall be used in our Equality Impact Assessments and the results overseen by the REF Strategy Panel and the Joint Equality and Diversity Committee, as appropriate.

7.4 Our full Privacy Notice with further information on the collection, processing and retention of personal data used in our REF submission is attached as **Appendix 7**.

8. EQUALITY IMPACT ASSESSMENTS

8.1 Under the Equality Act 2010 and Public Sector Equality Duty, the University has a responsibility to assess the impact of applying proposed new or revised policies or practice. We shall conduct an EIA on our process for identifying staff with significant responsibility for research, determining research independence, and selecting outputs.

8.2 In terms of identifying staff with a significant responsibility for research, benchmark data will show the protected characteristics of the cohort of staff with teaching and research role profiles and job descriptions. This will be compared to the profile of the protected characteristics of staff on teaching, scholarship and professional practice role profiles and job descriptions. If there is clear under/over representation - we will firstly review our process to ensure that the process is not, in itself, discriminatory. If that suggests that there is a more fundamental problem of restricted opportunity or support for research development, then the issue is beyond the remit of the Code of Practice. We will then refer the issue to the Joint

Equality and Diversity Committee for consideration. We shall reflect the outcomes in the Environment Statement.

8.3 In terms of research independence, benchmark data will show the protected characteristics of the cohort of research-only staff. This will be compared to the profile of the protected characteristics of all Category A eligible staff. If there is clear under/over representation - we will firstly review our process to ensure that the process is not, in itself, discriminatory. If that suggests that there is a more fundamental problem of restricted opportunity or support for research development, then the issue is beyond the remit of the Code. We will refer the issue to the Joint Equality and Diversity Committee for consideration and shall reflect the outcomes in the Environment Statement.

8.4 In terms of output selection, benchmark data will show the protected characteristics of the authors of the output pool, once one output has been attributed to each submitted member of staff. Selection decisions may change if it is possible to make the submission more inclusive without a diminution of quality.

8.5 After each EIA, where necessary, processes will be reviewed and amended to address any issues identified. Affected groups will be engaged to ensure that the proposed changes are fit for purpose. This may involve working with Faculty Equality and Diversity Committees.

8.6 EIAs will be undertaken in Spring 2019 (significant responsibility for research), and January 2020 (research independence and output selection). Findings from the Spring 2019 EIA are attached at **Appendix 8**.

8.7 A final EIA will be undertaken in Spring 2021, and will be openly published on the University's website after the REF 2021 submission has been made.

9. TIMELINE

9.1 A timeline associated with this Code of Practice and its processes is found at **Appendix 9**.

Appendix 1

Policy Statement on Equality and Diversity

The University of Wolverhampton (hereafter 'the University') is fully committed to the advancement of equality and the elimination of unlawful and unfair discrimination. It values the benefits that a diverse student and staff population brings to the university. The University will treat all people with respect, and seeks to provide a positive environment free from discrimination, harassment or victimisation.

The University will not discriminate on the grounds of age, disability, gender reassignment, marriage and civil partnership, pregnancy and maternity, race (which includes colour, nationality and ethnic or national origins), religion or belief, sex or sexual orientation. It will not discriminate because of any other irrelevant factor and will build a culture that values equity, openness, fairness and transparency.

The University celebrates and values the diversity of its student population and workforce, and believes that it will benefit from employing people who are Disabled, BAME and LGBT at all levels of responsibility, thus hoping to provide role models for other staff and students from the same background(s). For the same reason, the University believes it would benefit from improving the representation of women and men in areas of our workforce where they are underrepresented.

The University recognises that its students, staff and those who engage with it come from diverse cultures and backgrounds and may hold personal beliefs that differ from the beliefs and values articulated by this policy or other University policies. Whilst respecting individuals' personal beliefs and acknowledging its duties not to discriminate on the grounds of religion or belief, the University expects its students, staff and visitors to uphold the values in its strategic plan and associated policies, practices and procedures at all times when engaging with the University.

The University values the work of the Disabled Staff Network, BAME Staff Network and LGBT Staff Network, and believes their work enhances the University experience for all staff and students. Line-managers must support those staff members who wish to engage with these networks i.e. allowing them to attend meetings or events during worktime. The University will also provide appropriate logistical support for student groups and representatives.

All staff and students are responsible for the promotion and advancement of this policy. The Joint Equality and Diversity Committee shall monitor that the University is fulfilling its corporate

obligations. Individual behaviour, actions or words that transgress the policy will not be tolerated and where appropriate will be dealt with in line with the University's Dignity at Work and Study Policy.

The policy is applicable to all those who interact with the University. This includes, but is not limited to, staff, students, suppliers, and visitors. The policy applies to all processes relating to employment, education and to any dealings with customers and clients. Decision-making in relation to all university activities will be based on objective criteria only and any irrelevant information will not form part of the process.

The policy will be reviewed as necessary to reflect changes in the law, demographics and internal requirements.

Appendix 2

Gender Equality Action Plans

Background

The University is committed to mainstreaming gender equality and specifically address gender imbalances in research.

Faculties (and centres within faculties) and research institutes have been asked to develop Gender Equality Action Plans (GEAPs) to address gender imbalances and mainstream gender equality. Future RIF and QR funding will be dependent on the production of, and progress with, GEAPs. Whilst there is no single model for such GEAPs, this document outlines some of the general principles and provides examples that faculties and research institutes may wish to consider.

Data and statistics by faculty/ RI and research centre

An analysis of the baseline data is a necessary prerequisite for the development of any action plans. This may include, but is not limited to, the following:

Faculty of xxx	Research Centre X	Research Centre Y	Research Centre Z
Share of men and women among lecturers/senior lecturers			
Share of men and women among readers			
Share of men and women among professors			
Share of men and women among PhD students			
Share of women in RAE/REF submissions (2001, 2008, 2014)			
Number of male-only PhD supervisory teams			
Number of female-only PhD supervisory teams			
Number of gender-balanced PhD supervisory teams			
Share of men and women in research bid submissions (as PI/ CIs)			
Share of men and women in research grants (as PI/CIs)			
Share of men and women in QR funding allocation			
Share of men and women on fractional and 0 hour contracts			
Share of men and women among research support staff			

The quantitative data should, wherever possible, be longitudinal in nature and, where available, benchmarked against sector data. They may further be supplemented by qualitative data and subject-based narratives to identify the main challenges for gender equality in the subject area(s).

Gender Equality Action Plans

Typically, GEAPS include the following (Gender-Net, 2015):

- Goals and objectives for different target groups
- Measures and actions for achieving goals and objectives
- Main responsibilities
- Performance indicators
- Monitoring and evaluation mechanisms
- Budget

Reviews of GEAPS by the European Commission have identified the most common and innovative practices among higher education and research institutions, which faculties/ research centres may wish to consider in their action planning:

Leadership for Gender Equality	Decision-making structures and procedures	Recruitment, retention and progression of women researchers	Improving work environment and work-life balance	Facilitating in/outgoing mobility
Top leadership positions responsible for gender equality (Dean, AD)	<u>Strategies</u> Gender Action Plan(s) in place, used and monitored regularly at FRC	<u>Recruitment of doctoral students</u> a) Recruitment of PhD students of under-represented groups b) Promotion events to ug and pg taught students c) Inclusion of gender issues in curriculum (masters and PhD development)	<u>Work-life balance measures</u> a) flexible working schemes b) family-friendly meeting times c) cover work travel related care costs? d) support for dual career couples	<u>Career breaks</u> a) keeping in touch (KIT) days b) minimise workload changes for staff on career breaks c) meetings with senior staff before and after career break
Leadership education on gender equality (all profs?)	<u>Structures</u> a) Gender balance at FRC b) Gender balanced appointment panels c) Faculty/subject equality lead (and representation at FRC)	<u>Recruitment of academic staff</u> a) Gender-balanced shortlisting and appointment panels b) gender equality checks and/or targets for shortlists c) adverts promote gender initiatives and include Athena SWAN Award logo d) targeted advertising to reach under-represented groups	<u>Promotion of work-life balance</u> a) events/social gathering for families of academic staff b) provide information on and encourage paternity leave c) information events (women's day etc.)	<u>Career reintegration</u> a) Relief of teaching duties (mini sabbaticals?) b) Financial support following career break
Integration of gender equality in performance reviews	<u>Monitoring and evaluation</u> a) Gender monitoring embedded in all research reports and budget monitoring b) Regular collection of qualitative and quantitative data	<u>Retention of academic staff</u> a) gender balance in roles b) gender balance in pay and rewards (+ see work-life balance)		
	<u>Awareness raising and training</u> (‘Absolutely everyone’) a) Mandatory training for equality	<u>Advancement of female academic staff</u> a) Mentoring programmes for promotion of early and mid-career staff b) Take account of career		

	<ul style="list-style-type: none"> a) and diversity and unconscious bias b) images used in PR and website c) internal communication channels 	<ul style="list-style-type: none"> a) breaks and pt work in evaluations b) faculty network for promotion of female researchers c) professional development training d) promotion of gender-balanced supervisory and research bidding teams 		
		<u>Motivation and support</u> <ul style="list-style-type: none"> a) Women speakers and chairs at conferences and events b) line managers encourage women to apply for positions 		

Useful sources

Equality Challenge Unit (ECU) Using data and evidence <http://www.ecu.ac.uk/guidance-resources/using-data-and-evidence/collecting-data/>

Gender-Net Analysis Report [http://www.gender-net.eu/IMG/pdf/GENDER-NET_D2-6 -
_Plans and initiatives in selected research institutions aiming to stimulate gender equality and enact structural change .pdf](http://www.gender-net.eu/IMG/pdf/GENDER-NET_D2-6_-_Plans_and_initiatives_in_selected_research_institutions_aiming_to_stimulate_gender_equality_and_enact_structural_change.pdf)

Appendix 3

Terms of Reference

- (a) Academic Board
- (b) University Research Committee
- (c) REF Strategy Panel
- (d) University Equality and Diversity Advisory Panel
- (e) REF Appeals Panel

(a) ACADEMIC BOARD

Under the chairmanship of the Vice-Chancellor and subject to the responsibilities of the Board of Governors and the Vice-Chancellor, the Academic Board has responsibilities for:

- General issues relating to Research, Scholarship, Teaching and courses at the University including criteria for the admission of students, the appointment and removal of internal and external examiners the content of the curriculum, academic standards and the validation and review of courses, policies and procedures for assessment and examination of the academic performance of students, the procedures for the award of qualifications and honorary academic titles and the procedures for the expulsion of students for academic reasons;
- Considering the developments of academic activities of the University and the resources needed to support them in advising the principal and Board of Governors thereon;
- Keeping under review academic plans of the University in light of the objectives set by the Board of Governors and reporting thereon annually to the Board of Governors;
- Advising on such other matters as the Board of Governors may refer to the Academic Board.

Terms of Reference

Subject to the provisions of the Articles, to the overall responsibility of the Board of Governors, to the responsibilities of the Vice-Chancellor, the Academic Board shall be responsible for:

1. General courses at the University, including criteria for the admission of students; the appointment and removal of internal and external examiners; the content of the curriculum; academic standards and the validation and review of courses; policies and procedures for assessment and examination of the academic performance of students; the procedures for the award of qualifications and honorary academic titles; and the procedures for the expulsion of students for academic reasons. (Such responsibilities shall be subject to any requirements of validating and accrediting bodies that may be applicable.)
2. Considering the development of the academic activities of the University and the resources needed to support them and for advising the Vice-Chancellor and the Board of Governors thereon.
3. Keeping under review the academic plans of the University in the light of the objectives set by the Board of Governors and for reporting thereon annually to the Board of Governors.
4. Advising on such other matters as the Board of Governors-or the Vice-Chancellor may refer to the Academic Board. So far as practicable, the Academic Board shall arrange for its tasks to be performed by Faculties, Schools and Departments of the University where those tasks are related to matters not affecting other Faculties, Schools or Departments.

The Academic Board may establish such committees as it considers necessary to enable it to carry out its responsibilities, provided that each establishment is first approved by the Vice-Chancellor and the Board of Governors. The number of members of any such committee and the terms on which they are to hold and vacate office shall be determined by the Academic Board.

Maximum Membership: 30

Quorum: 10

Reports to: Board of Governors

Receives reports from: University Academic Enhancement Committee; University Research Committee; Faculty Boards; Honorary Awards Committee; Equality and Diversity Joint Committee

Academic Board Membership 2018-19

Category of Membership and related Art of Govt	Appointed, Elected or Ex-officio
Article 4(2)a Vice-Chancellor	Ex-officio
Article 4(2)b Up to five other Designated Senior posts	Appointed by V-C
Article 4(2)c Ten to fifteen holders of such posts of Dean, Head of school, head of other academic or related department or other designated senior manager or their equivalent	Appointed by V-C
Article 4(2)d Eligible teaching staff within each Faculty. Two of their own number to represent that faculty.	Elected
Two eligible teaching staff to represent the teaching staff as a whole	Elected
Article 4(2)e One eligible member of the non-teaching staff to represent non-teaching staff as a whole	Elected
Article 4(2)f Students' Union President	Ex-officio
Two students	Appointed by the SU

(b) UNIVERSITY RESEARCH COMMITTEE

Terms of Reference and Membership

1. To formulate and advise on research strategy and policy throughout the University and assist where appropriate in the preparation of the submission for Research Excellence Framework (REF).
2. To stimulate research effort throughout the University and to provide the quality assurance and monitoring processes for ensuring high calibre research performance.
3. To seek and to stimulate research that underpins course development, impacts upon the curriculum, and leads to contractual arrangements with industry, commerce and the professions.
4. Through its own functions and those of its Sub-Committees, to ensure compliance with the Regulations of the University relating to the award of its research degrees.
5. To review and, where necessary, revise the regulations for the award of the University’s research degrees.
6. To have the following powers, relating to the examination and assessment for and conferment of degrees, to act on behalf of the University:
 - i) to oversee the approval of the appointment of internal and external examiners for research degrees
 - ii) to make decisions, based upon consideration of the reports and recommendations of the examiners, with regard to the conferment of a Research Degree
7. To scrutinise, via a purposely appointed Sub-Committee of experienced researchers, applications for the award of Higher Doctorates and to administer procedures for the examination and conferment of such degrees.

Membership
Vice Chancellor (Chair)
Dean of Research (Deputy Chair)
Director of the Doctoral College
Chair of Professoriate
Faculty Associate Deans of Research and Enterprise
Directors of University Research Institutes
Faculty representatives of Research Centres
Two Students Union representatives
Three Student Representatives (on rotation)
Academic Registrar
Head of Student Transnational and Research (STaR) Office
Head of Research Services (Officer)
Doctoral College representative
Research Policy Unit representative
University Librarian
Project Support Office representative
Representative of Athena SWAN Women in Research

Quorum: 50%

Reports to: Academic Board

Receives reports from: Research Awards Sub-Committee; Ethics Sub-Committee; Concordat Sub-Committee; Enterprise Sub-Committee; Faculty Research Committees

(c) REF STRATEGY PANEL

Terms of Reference

The REF Strategy Panel will, through regular reports to University Research Committee and Academic Board, provide advice on the University's REF strategy and oversee all aspects of its submission.

The REF Strategy Panel will:

- a. Advise Academic Board on the University's overall strategy towards the REF
- b. Determine submission strategy and tactics where individuals or groups could be submitted to more than one UOA
- c. Determine and support the University's strategy on impact
- d. Develop a strategy to maximise impact scores
- e. Review support for the REF
- f. Commission external reviews of UOAs
- g. Through the Dean of Research, have responsibility for the University's Code of Practice on submissions
- h. Review and agree each UOA's submission to the REF

Membership

Vice Chancellor (Chair)
Dean of Research (Vice Chair)
FSE nominee
FoA nominee
FEHW nominee
FoSS nominee
Director of the Doctoral College
D-SAS nominee
Head of Research Services (Secretary)
Academic Board nominee
Academic Board nominee
Academic Board nominee
Academic Board nominee
Athena SWAN Co-ordinator

(d) REF Equality & Diversity Advisory Panel (EDAP)

The EDAP has been convened for the following reasons:

1. To receive and ratify self-disclosures of individual circumstances that do not require a judgement (Guidance on submissions, Annex L, sections 1-15)
2. To consider those self-disclosures of individual circumstances requiring a judgment about reductions (Guidance on submissions, para 160e and appendix L, section 16).

This will help to ensure that decisions are consistent, transparent and robust, and taken by those with relevant knowledge, expertise and awareness of equality legislation. It is fully independent of all other decision-making bodies.

Decision-making responsibilities: the EDAP will make the decision on the appropriate reduction in relation to self-disclosures of equality-related circumstances

Membership: EDAP is comprised of staff members identified by the Academic Board as having appropriate experience of promoting and supporting equality, diversity and inclusion: the Dean of Research (REF-related expertise); the Director of HR (HR related expertise, HR data access, equality and diversity expertise); a Head of School (staff management expertise); and Head of Equality & Diversity (equality legislation).

They will be supported by the Head of Research Services who will act as Secretary to the Panel.

Record-keeping procedures: The EDAP will be formally minuted, but to maintain confidentiality, these will not be publicly available. They will be provided to Academic Board for information (while protecting confidentiality). The outcomes will be communicated to the Funding Bodies to apply for reductions in outputs, following the privacy notice outlined in the institutional Code of Practice.

(e) REF 2021 Appeals Panel

Membership

<i>Chair</i>	University Registrar
<i>Panel Members</i>	<i>Two of three nominated members of the University Professoriate</i>

The panel will be supported by HR Services

Terms of Reference

- To review and make decisions on appeals submitted by members of academic staff, according to the criteria identified in the Code of Practice
- To produce a summary report on the appeals received and decisions taken, in line with the Code of Practice data protection arrangements, for consideration by relevant committees

Appendix 4

University of Wolverhampton Research Indicators (Metrics) Policy

The aim of this document is to ensure the responsible use of impact indicators (metrics), when relevant. The University of Wolverhampton will avoid any implication that citation-based indicators or alternatives “measure” the quality of research. It will seek to use the term “Indicator” in preference to “metric” or “measure” as part of this. This reflects that indicators can give indirect information about likely scholarly or other impacts but never directly measure them. The University of Wolverhampton fully endorses the Metric Tide report guidelines for dimensions of metrics that should be considered.

- **Robustness:** basing metrics on the best possible data in terms of accuracy and scope
- **Humility:** recognising that quantitative evaluation should support – but not supplant – qualitative, expert assessment
- **Transparency:** keeping data collection and analytical processes open and transparent, so that those being evaluated can test and verify the results
- **Diversity:** accounting for variation by field, and using a range of indicators to reflect and support a plurality of research and researcher career paths across the system
- **Reflexivity:** recognising and anticipating the systemic and potential effects of indicators, and updating them in response.

The University of Wolverhampton’s mission includes research and teaching as well as scholarship contributing to regional economic, health, social and cultural development. This document applies primarily to those pursuing research. Scholarly impact indicators are not relevant to academics that focus on teaching and regional development. They also have little relevance to those researching topics that legitimately have primary impact and interest within the local community.

The University of Wolverhampton will always permit, but never require, those being evaluated to present indicators in support of any claims for the quality or impact of their work.

Recognising that academic work can have long term or hidden impacts, the absence of high indicator scores of any type will never be used by managers as evidence that work has had little impact. Academics are encouraged to produce the highest quality and most impactful work possible, and all indicators considerations are secondary to this. Indicators should always support a narrative impact claim and never replace it.

Recruitment

The University of Wolverhampton recognises that many academics work in specialist areas that no Wolverhampton employees would have the expertise to fully assess. This is particularly critical during recruitment, when decision makers are likely to have insufficient expertise or time to read and effectively evaluate the works of all applicants. The University will encourage applicants to explain their publishing or creative output strategy (e.g., artworks, performances) as part of their applications and make a claim for the value or impact of their work. Applicants may, if they wish, provide quantitative or other evidence in support of their narrative claim for the value of their work, such as citation counts, the prestige of the publishing journal or scholarly press (books), or published book reviews. They may also wish to present career citation indicators as evidence for the overall value or impact of their work. Whilst the support of indicators may strengthen an applicant’s impact claim, their absence will not be taken as evidence that their work has had no impact.

Promotions

The rules for recruitment also apply to promotions. The University solicits the opinions of external experts as part of its promotions process, some of whom may include indicators as part of their evaluations. These indicators will be ignored unless they are presented as supporting evidence for a specific claim. If used, they will be re-evaluated in the context of the advice in this document, paying particular attention to diversity, age and field difference issues.

Self-evaluation

Research-active academics at the University of Wolverhampton are encouraged but not required, for their own self-evaluation purposes, to annually monitor citation and attention indicators for their work, if relevant in their field. This may help them to detect publishing topics or strategies that find a receptive audience to pursue in the future.

Publication venues

Academics at the University of Wolverhampton are encouraged to publish their work in the most appropriate venues, paying attention to the size and nature of the audience that each venue will attract. This includes journals and book publishers, as well as art galleries and performance venues. Publishing in prestigious venues, such as high reputation journals or publishers, is encouraged to attract rigorous peer review and a large appropriate audience. Nevertheless, valid reasons for choosing alternative outlets are welcomed. Publishing in predatory journals or conferences that lack effective peer review is valueless and is strongly discouraged.

Academics that write journal articles may claim that their work is published in a relevant prestigious journal as part of their evidence about the article's value. The use of Journal Impact Factors (JIFs) is discouraged because they vary over time, are not calculated robustly, and are greatly affected by the field nature of the specialism covered by the journal. Journal rankings within a field, such as JIF subject rankings in Clarivate's Journal Citation Reports, are more relevant but still subject to arbitrary variations by narrow specialism, calculation method and time. Low subject rankings or JIFs will never be used by managers as evidence that an article is low quality.

Interpreting indicators

Managers, appraisers and REF coordinators must consider time, field and career differences when evaluating any indicators presented by academics in support of their claims.

- The usefulness of citation indicators varies between fields and they are largely irrelevant in the arts and humanities. As a rough guide, managers should consult Table A3 of *Supplementary Report II: Correlation analysis of REF2014 scores and metrics* at <http://www.hefce.ac.uk/pubs/rereports/year/2015/metricide/>.
- Average citation rates vary dramatically between fields. Citation counts, JIFs, h-indexes, career total citations should never be compared between different fields.
- Average citation rates vary between document types (e.g., journal articles, reviews, books, chapters) and should therefore not be compared between different document types.
- Average citation rates increase non-linearly over time and so managers should recognise that older articles are likely to be more cited than younger articles. Average citations per year is not a good substitute because of the non-linear accumulation pattern.
- Career-based indicators, such as total publication counts, total citation counts and the h-index are biased against females, due to their greater likelihood of career breaks for childcare or other carer responsibilities. They are also biased against people with temporary or permanent disabilities or illnesses, including all factors that counted as "special circumstances" in REF2014 that curtail their research productivities. Managers will make allowances for these factors when interpreting their value.
- The h-index should not be used because it conflates different types of research contribution.

Appendix 5

Annex L of the Guidance on Submissions: Reductions for staff circumstances

1. Given the reduced output requirement for 2021, the tariffs for the defined reductions differ from those set in REF 2014. This is to ensure that a broadly equivalent reduction is given in the context of the submitted output pool, and to ensure that panels receive a sufficient selection of research outputs from each submitted unit upon which to base judgements about the quality of that unit's outputs.

Early career researchers

2. ECRs are defined in the 'Guidance on submissions' (paragraph 148). Table L1 sets out the permitted reduction in outputs without penalty in the assessment that HEIs may request for ECRs who meet this definition.

Table L1: Early career researchers: Permitted reduction in outputs

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

Absence from work due to secondments or career breaks

3. Table L2 sets out the permitted reduction in outputs without penalty in the assessment that HEIs may request for absence from work due to secondments or career breaks outside of the HE sector, and in which the individual did not undertake academic research.

Table L2: Secondments or career breaks: Permitted reduction in outputs

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

4. The allowances in Table L2 are based on the length of the individual's absence or time away from working in HE. They are defined in terms of total months absent from work.

5. 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.

Qualifying periods of family-related leave

6. 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 1 January 2014 to 31 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 1 January 2014 to 31 July 2020¹.

7. 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.

8. While the above reduction of outputs due to additional paternity or adoption leave is subject to a minimum period of four months, shorter periods of such leave could be taken into account as follows:

(a) By applying a reduction in outputs where there are additional circumstances, for example where the period of leave had an impact in combination with other factors such as ongoing childcare responsibilities.

(b) By combining the number of months for shorter periods of such leave in combination with other circumstances, according to Table L2.

9. Any period of maternity, adoption, paternity or shared parental leave that qualifies for the reduction of an output under the provisions in paragraph 6 above may in individual cases be associated with prolonged constraints on work that justify more than the defined reduction set out. In such cases, the circumstances should be explained in the request.

Combining circumstances

10. Where individuals have had a combination of circumstances that have a defined reduction in outputs, these may be accumulated up to a maximum reduction of 1.5 outputs. For each circumstance, the relevant reduction should be applied and added together to calculate the total maximum reduction.

11. Where Table L1 is combined with Table L2, the period of time since 1 January 2014 up until the individual met the definition of an ECR should be calculated in months, and Table L2 should be applied.

12. When combining circumstances, only one circumstance should be taken into account for any period of time during which they took place simultaneously.

13. Where an individual has a combination of circumstances with a defined reduction in outputs and additional circumstances that require a judgement, the institution should explain this in the reduction request so that a single judgement can be made about the

¹ 'Additional paternity or adoption leave' refers to leave of up to 26 weeks which is taken to care for a child where the person's spouse, partner or civil partner was entitled to statutory maternity leave or statutory adoption leave, and has since returned to work. The term 'additional paternity leave' is often used to describe this type of leave although it may be taken by parents of either gender. For the purposes of the REF, we refer to this leave as 'additional paternity or adoption leave'. Shared parental leave' refers to leave of up to 50 weeks which can be shared by parents having a baby or adopting a child. This can be taken in blocks, or all in one go.

appropriate reduction in outputs, taking into account all the circumstances. The circumstances with a defined reduction in outputs to be requested should be calculated according to the guidance above (paragraphs 2 to 10).

Other circumstances that apply in UOAs 1–6

14. 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.

15. 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. Where the individual meets the criteria in paragraph 14, and has had significant additional circumstances – for any of the other reasons set out in the ‘Guidance on submissions’ in paragraph 160 – the institution can make a case for further reductions in the unit reduction request.

Circumstances requiring a judgement about reductions

16. Where staff have had other circumstances during the period (see paragraph 160e. in this ‘Guidance on submissions’ document) – including in combination with any circumstances with a defined reduction in outputs – the institution will need to make a judgement about the effect of the circumstances in terms of the equivalent period of time absent, apply the reductions as set out in Table L2 by analogy, and provide a brief rationale for this judgement.

Appendix 6

Declaration of Individual Staff Circumstances

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

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

Applicable circumstances

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

- Caring responsibilities
- Gender reassignment
- COVID-19-related circumstances (REF6a only)²

If your ability to research productively during the assessment period has been constrained due to one or more of the following circumstances, you are requested to complete the attached form. Further information can be found paragraph 160 of the Guidance on Submissions (REF 2019/01) and paragraphs 20-22 of the Guidance on Revisions to REF2021. Completion and return of the form is voluntary, and individuals who do not choose to return it will not be put under any pressure to declare information if they do not wish to do so. This form is the only means by which the University will be gathering this information; we will not be consulting HR records, contract start dates, etc. You should therefore complete and return the form if any of the above circumstances apply and you are willing to provide the associated information.

Ensuring Confidentiality

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

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

Changes in circumstances

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

² As well as effects due to applicable circumstances (such as ill health, caring responsibilities), this includes other personal circumstances related to COVID-19 (such as furloughed staff, health-related or clinical staff diverted to frontline services, staff resource diverted to other priority areas within the HEI in response to COVID-19) and/or external factors related to COVID-19 (for example, restricted access to research facilities).

To submit this form you should complete the form and submit to the Head of Research Services at C.Dijkstra@wlv.ac.uk using Egress

Name: Click here to insert text.

Department: Click here to insert text.

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

- Yes
No

Please complete this form if you have one or more applicable equality-related circumstance (see above) which you are willing to declare. Please provide requested information in relevant box(es).

Circumstance	Time period affected
<p>Early Career Researcher (started career as an independent researcher on or after 1 August 2016).</p> <p><i>Date you became an early career researcher.</i></p>	<p>Click here to enter a date.</p>
<p>Junior clinical academic who has not gained Certificate of completion of Training by 31 July 2020.</p>	<p>Tick here <input type="checkbox"/></p>
<p>Career break or secondment outside of the HE sector.</p> <p><i>Dates and durations in months.</i></p>	<p>Click here to enter dates and durations.</p>
<p>Family-related leave;</p> <ul style="list-style-type: none"> • statutory maternity leave • statutory adoption leave • Additional paternity or adoption leave or shared parental leave lasting for four months or more. <p><i>For each period of leave, state the nature of the leave taken and the dates and durations in months.</i></p>	<p>Click here to enter dates and durations.</p>
<p>Disability (including chronic conditions)</p> <p><i>To include: Nature / name of condition, periods of absence from work, and periods at work when unable to research productively. Total duration in months.</i></p>	<p>Click here to enter text.</p>
<p>Mental health condition</p> <p><i>To include: Nature / name of condition, periods of absence from work, and periods at work when unable to research productively. Total duration in months.</i></p>	<p>Click here to enter text.</p>
<p>Ill health or injury</p> <p><i>To include: Nature / name of condition, periods of absence from work, and periods at work when</i></p>	<p>Click here to enter text.</p>

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

Please confirm, by ticking the box provided, that:

- The above information provided is a true and accurate description of my circumstances as of the date below
- I realise that the above information will be used for REF purposes only and will be seen by the Head of Research Services and, in anonymised form, by the Equality and Diversity Advisory Panel.
- I realise it may be necessary to share the information with the UKRI REF team, the REF Equality and Diversity Advisory Panel, and main panel chairs.

I agree

Name: Print name here

Signed: Sign or initial here

Date: Insert date here

I give my permission for an HR partner to contact me to discuss my circumstances, and my requirements in relation this these.

I give my permission for the details of this form to be passed on to the relevant contact within my department/faculty/centre. (Please note, if you do not give permission your department may be unable to adjust expectations and put in place appropriate support for you).

I would like to be contacted by:

Email Insert email address

Phone Insert contact telephone number

Appendix 7

REF 2021 Privacy Notice

The “REF 2021 Privacy Notice” is relevant to the following groups of individuals:

1. Current University of Wolverhampton employees (employed during the REF assessment period) who are considered to be REF-eligible (Category A eligible), this includes individuals with a primary employment function of “Teaching & Research” and staff with a primary employment function of “Research only” (see Table 1).
2. Former University of Wolverhampton employees (employed during the REF assessment period) who were REF-eligible at the time of ceasing employment and who have research outputs that were generated while they were employed at the University during the REF assessment period (see Table 2).
3. Individuals who are not employed by the University but who have provided testimonials concerning the development of impact case studies in relation to the University’s preparations for the REF 2021 exercise (see Table 3).

The REF 2021 Privacy Notice explains what personal information the University holds about you in relation to the REF 2021 exercise, detailing why we hold this information, what we do with it, how long we keep it for and if we share it with third parties (see Table 4).

“Personal information” means any piece of information which can identify you, that is, the information would make it clear to others that the information is about you. It can be a single piece of information, for example, your name. Or it can be separate pieces of information, for example, your School, gender and grade, which, when combined, would help others identify you.

We collect and use your personal information for the purpose of the REF 2021 exercise, principally to ensure that the University meets the validation requirements for the submission for REF 2021. For example, REF 2021 requires the University provide key information about current staff being submitted by the University to the exercise.

We also use individual information to help us understand the make-up of our research active staff population. We use it to undertake equality impact assessments to help inform our decision making processes in relation to current and future research assessments.

The tables below describe the information the purpose of the information we hold. They also explain the basis we can legally rely on to request and retain information about you. In the main, legal basis will be described as “the University’s legitimate interest”. This means we need the information to ensure that the University can participate fully in the REF 2021 process, the purpose of which is to:

- provide accountability for public investment in research and produce evidence of the benefits of this investment;
- provide benchmarking information and establish reputational yardsticks, for use within the higher education sector and for public information;
- and, importantly, inform the selective allocation of funding for research

We get information from you, University documents, or from third parties including research users.

We will keep your personal data for no longer than necessary. The [document retention schedule](#) and the [University’s general staff Privacy Notice](#) are detailed on the University’s policy webpages. The Research Policy Unit (RPU), the team within the University making

the submission to REF 2021, obtains the required personal data of staff from HR Services. While the retention periods for these data are determined by how long the individual is in the employment of the University, RPU will dispose of all personal data for current and former staff, as well as for individuals who have provided testimonials, no later than the end of December 2022. Note that for former staff this may be longer than the standard 6 year retention period for personal data.

We share categories of your personal data with REF 2021 to meet the validation requirements of the submission. Other third parties we share your data with are listed in Table 4 below. In these circumstances, we will only share your data if we are required to do so by law, you ask us to do so, or we are contractually obliged to do so.

Additional information:

- General information about the University's approach to data protection and to your rights can be found here: <https://www.wlv.ac.uk/media/departments/office-of-the-vice-chancellor/Data-Protection-Policy-2018.pdf>
- Further information about REF 2021 is available online: www.ref.ac.uk, including their privacy notice
- Data will be stored in line with the University of Wolverhampton's Information Security Policy which is available online: https://www.wlv.ac.uk/media/departments/office-of-the-vice-chancellor/images/Information_Security_Policy_v2.pdf
- Further information about GDPR is available here: <https://eugdpr.org/>

Definitions:

REF	Research Excellence Framework, the system for assessing the quality of research in UK higher education institutions
REF Assessment Period	1 August 2013 to 31 July 2020
Category A Eligible/Submitted Staff	Staff defined as academic staff with a contract of employment of 0.2 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 & Research". Staff should have a substantive connection with the submitting unit. Staff with a primary employment function of "Research only" should meet the REF 2021 definition of an independent researcher.
ECR	Early Career Researcher. In REF terms this means members of staff who meet the definition of Category A Eligible on the census date, and who started their careers as independent researchers on or after 1 August 2016.

Research Policy Unit, May 2019

Table 1: Personal data of current Category A Eligible/Submitted staff

<i>The information the University holds</i>	<i>What the University needs it for</i>	<i>Why the University processes it (i.e. the legal basis, and specific condition (where relevant))</i>
HESA staff identifier and/or staff number.	To assist with the University's REF 2021 preparations. Data required by REF 2021 for all Category A Submitted staff on form REF1a. Data will be submitted to REF as part of the University's submission, March 2021.	The University's legitimate interest.
Name (initials and surname).	To assist with the University's REF 2021 preparations. Data required for all Category A submitted staff on form REF1a form (REF 2021 "Information on Category A Submitted staff in post on the census date (31 July 2020)"). Data will be submitted to REF as part of the University's submission, March 2021.	The University's legitimate interest.
Open researcher and contributor ID (ORCID) (where held).	To assist with the University's REF 2021 preparations. Data required by REF 2021 for all Category A Submitted staff on form REF1a. Data will be submitted to REF as part of the University's submission, March 2021.	The University's legitimate interest.
Job title/position	To assist with the University's REF 2021 preparations. Data required to assist in the determination and proof of Category A Eligible staff for inclusion in the REF 2021 exercise. Data will only be	The University's legitimate interest.

	<p>shared with REF if required to do so on auditing</p>	
Grade	<p>To assist with the University's REF 2021 preparations. Data required to assist in the determination and proof of Category A Eligible staff for inclusion in the REF 2021 exercise. Data will only be shared with REF if required to do so on auditing.</p>	The University's legitimate interest.
Contracted hours/FTE.	<p>To assist with the University's REF 2021 preparations. Data required by REF 2021 for all Category A submitted staff on form REF1a. Data will be submitted to REF as part of the University's submission, March 2021.</p>	The University's legitimate interest.
Information about contract type and any secondments/periods of unpaid leave, including dates.	<p>To assist with the University's REF 2021 preparations. Data required by REF 2021 for all Category A submitted staff on form REF1a. Data will be submitted to REF as part of the University's submission, March 2021.</p>	The University's legitimate interest.
Whether any personal data should be omitted from the published data for specific reasons, such as commercial sensitivity or security.	<p>To assist with the University's REF 2021 preparations. Data required by REF 2021 for all Category A submitted staff on form REF1a. Data will be submitted to REF as part of the University's submission, March 2021.</p>	The University's legitimate interest.

<p>If ECR (started career as an independent researcher on/after 1 August 2016), date of commencement of ECR status.</p>	<p>To identify occurrence of special circumstances to facilitate associated reduction of outputs to a submitting unit of assessment. Data will only be shared with REF if required to do so on auditing.</p>	<p>The University's legitimate interest.</p>
<p>Information about maternity leave, adoption/surrogacy leave, paternity leave, shared parental leave, time off for dependants within the assessment period, including dates.</p>	<p>To identify occurrence of special circumstances to facilitate associated reduction of outputs to a submitting unit of assessment. Data will only be shared with REF if required to do so on auditing.</p>	<p>The University's legitimate interest.</p>
<p>Details of sick leave within the assessment period*.</p>	<p>To identify occurrence of special circumstances to facilitate associated reduction of outputs to a submitting unit of assessment. Data will only be shared with REF if required to do so on auditing.</p>	<p>The University's legitimate interest. Special category: substantial public interest; and archive, statistical and research purposes (monitoring equal opportunities).</p>
<p>Information about any medical or health conditions you have or have had within the assessment period*.</p>	<p>To identify occurrence of special circumstances to facilitate associated reduction of outputs to a submitting unit of assessment. Data will only be shared with REF if required to do so on auditing.</p>	<p>The University's legitimate interest. Special category: substantial public interest; and archive, statistical and research purposes (monitoring equal opportunities).</p>
<p>Your disability status*.</p>	<p>To facilitate equality impact assessments (EIA) to be undertaken at key points during the REF 2021 exercise, including, but not limited to Mock REF and related exercises and preparation of codes of practice. Following data processing for the EIA, data will be anonymised (where possible) prior to being shared (EIAs will be made publicly available in 2021). To protect the identity of individuals, data classifications of less than 5 will not be published.</p>	<p>The University's legitimate interest. Special category: substantial public interest; and archive, statistical and research purposes (monitoring equal opportunities).</p>

<p>Information about protected characteristics including: age, sex/gender, gender reassignment*, marriage and civil partnership#, pregnancy* and maternity#, race*, ethnic origin*, religion or religious beliefs*, and sexual orientation*.</p>	<p>To facilitate equality impact assessments to be undertaken at key points during the REF 2021 exercise, including, but not limited to Mock REF and related exercises and preparation of codes of practice. Following data processing for the EIA, data will be anonymised (where possible) prior to being shared (EIAs will be made publicly available in 2021). To protect the identity of individuals, data classifications of less than 5 will not be published.</p> <p>To identify occurrence of special circumstances to facilitate associated reduction of outputs to a submitting unit of assessment. Where used to identify special circumstances, data will only be shared with REF if required to do so on auditing.</p>	<p>The University's legitimate interest. Special category: substantial public interest; and archive, statistical and research purposes (monitoring equal opportunities).</p>
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* Denotes data that is classed as a “special category” of personal information.

Denotes data that might disclose a “special category”.

The University must have both a legal basis and a specific condition to process “special category” personal information. Special Category is defined as personal data which is more sensitive and so needs more protection. In order to lawfully process special category data both a legal basis (under GDPR Article 6) and a separate condition (under GDPR Article 9) must be identified.

Table 2: Personal data of Former Staff

<i>The information the University holds</i>	<i>What the University needs it for</i>	<i>Why the University processes it (i.e. the legal basis)</i>
HESA staff identifier and/or staff number.	Data required by REF 2021 to be submitted on the REF1b form. Data will be submitted to REF as part of the University's submission, March 2021.	The University's legitimate interest.
Name (initials and surname).	Data required by REF 2021 to be submitted on the REF1b form (REF 2021 "Information about former staff to whom submitted outputs are attributed"). Data will be submitted to REF as part of the University's submission, March 2021.	The University's legitimate interest.
Open researcher and contributor ID (ORCID) (where held).	Data required by REF 2021 to be submitted on the REF1b form. Data will be submitted to REF as part of the University's submission, March 2021.	The University's legitimate interest.
Contracted hours (FTE of REF-eligible contract(s)).	Data required by REF 2021 to be submitted on the REF1b form. Data will be submitted to REF as part of the University's submission, March 2021.	The University's legitimate interest.
Job title/position when at the University.	Data required to assist in the determination and proof of eligibility for inclusion in the REF 2021 exercise. Data will only be shared with REF if required to do so on auditing.	The University's legitimate interest.
Grade when at the University.	Data required to assist in the determination and proof of eligibility for inclusion in the REF 2021 exercise. Data will only be shared with REF if required to do so on auditing.	The University's legitimate interest.

Employment dates (on REF-eligible contract) at the University and as a researcher.	Data required by REF 2021 to be submitted on the REF1b form. Data will be submitted to REF as part of the University's submission, March 2021.	The University's legitimate interest.
Early career researcher status.	Data required by REF 2021 to be submitted on the REF1b form. Data will be submitted to REF as part of the University's submission, March 2021.	The University's legitimate interest.
Details of any periods of secondment or unpaid leave during which any outputs were first made publicly available.	Data required by REF 2021 to be submitted on the REF1b form. Data will be submitted to REF as part of the University's submission, March 2021.	The University's legitimate interest.
Whether any personal data should be omitted from the published data for specific reasons, such as commercial sensitivity or security.	Data required by REF 2021 to be submitted on the REF1b form. Data will be submitted to REF as part of the University's submission, March 2021.	The University's legitimate interest.

Table 3: Personal data of Witnesses/Testimonial Providers

<i>The information the University holds</i>	<i>What the University needs it for</i>	<i>Why the University processes it (i.e. the legal basis)</i>
Organisation	Data required by REF 2021 to be submitted on the REF3 form: “Case studies describing specific examples of impacts achieved during the assessment period (1 August 2013 to 31 December 2020), underpinned by excellent research in the period 1 January 2000 to 31 December 2020”. Data will be submitted to REF as part of the University’s submission, March 2021.	The University’s legitimate interest.
Position (where appropriate)	Data required by REF 2021 to be submitted on the REF3 form. Data will be submitted to REF as part of the University’s submission, March 2021.	The University’s legitimate interest.
Name	Data required to be available to REF 2021 for audit purposes (corroboration of key claims made by the University in the REF3 form). Data will only be shared with REF if required to do so on auditing.	The University’s legitimate interest.
Contact details	Data required to be available to REF 2021 for audit purposes (corroboration of key claims made by the University in the REF3 form). Data will only be shared with REF if required to do so on auditing.	The University’s legitimate interest.

Table 4: Third parties the University may share your data with

- Higher Education Statistics Agency HESA; see the collection notice at <http://www.hesa.ac.uk/collection-notices>).
- Research Councils, and other prospective and actual funders of research.
- Government bodies that run Research Excellence Framework (REF 2021), including the UK higher education funding bodies such as the Scottish Funding Council.
- Individuals who exercise their legal right to access recorded information held by the University under information legislation, particularly the Freedom of Information (Scotland) Act 2002 and data protection law (General Data Protection Regulation (GDPR) and Data Protection Act 2018). The University will normally only disclose work-related or professional information about its members of staff and will inform or consult any members of staff concerned where disclosure would not reasonably be expected.

Transferring your personal data out of the EEA

We do not transfer any personal data out of the EEA

Your rights

You have the following rights, which you can exercise free of charge:

Access	The right to be provided with a copy of your personal data
Rectification	The right to require us to correct any mistakes in your personal data
To be forgotten	The right to require us to delete your personal data—in certain situations
Restriction of processing	The right to require us to restrict processing of your personal data—in certain circumstances, eg if you contest the accuracy of the data

Data portability	The right to receive the personal data you provided to us, in a structured, commonly used and machine-readable format and/or transmit that data to a third party—in certain situations
To object	The right to object: —at any time to your personal data being processed for direct marketing (including profiling); —in certain other situations to our continued processing of your personal data, eg processing carried out for the purpose of our legitimate interests.
Not to be subject to automated individual decision-making	The right not to be subject to a decision based solely on automated processing (including profiling) that produces legal effects concerning you or similarly significantly affects you

For further information on each of those rights, including the circumstances in which they apply, please contact us or see the [Guidance from the UK Information Commissioner's Office \(ICO\) on individuals' rights under the General Data Protection Regulation](#).

If you would like to exercise any of those rights, please:

- email, call or write to us — see below: '**How to contact us**'; and
- let us have enough information to identify you e.g. your full name, address and client or matter reference number;
- let us have proof of your identity and address (a copy of your driving licence or passport and a recent utility or credit card bill); and
- let us know what right you want to exercise and the information to which your request relates.

Keeping your personal data secure

We have appropriate security measures to prevent personal data from being accidentally lost or used or accessed unlawfully. We limit access to your personal data to those who have a genuine business need to access it. Those processing your information will do so only in an authorised manner and are subject to a duty of confidentiality.

We also have procedures in place to deal with any suspected data security breach. We will notify you and any applicable regulator of a suspected data security breach where we are legally required to do so.

If you want detailed information from Get Safe Online on how to protect your information and your computers and devices against fraud, identity theft, viruses and many other online problems, please visit www.getsafeonline.org. Get Safe Online is supported by HM Government and leading businesses.

How to complain

We hope that we can resolve any query or concern you may raise about our use of your information. If you have any query or concern please contact the Data Protection Officer who can be contacted at Dataprotection@wlv.ac.uk.

The [General Data Protection Regulation](#) also gives you right to lodge a complaint with a supervisory authority, in particular in the European Union (or European Economic Area) state where you work, normally live or where any alleged infringement of data protection laws occurred. The supervisory authority in the UK is the Information Commissioner who may be contacted at <https://ico.org.uk/concerns> or telephone: [0303 123 1113].

Changes to this privacy policy

This privacy policy was published on 9 May 2019 and last updated on 9 May 2019.

We may change this privacy policy from time to time, when we do we will inform you via our website or the next time we write to you following the change.

How to contact us

Please contact us by post, email or telephone if you have any questions about this privacy policy or the information we hold about you. Our contact details are shown below:

Data Protection Officer
Legal Services
Wulfruna Street
Wolverhampton
WV1 1LY
Email: dataprotection@wlv.ac.uk
Telephone: 01902 321000

Appendix 8

Equality Impact Assessment

1. Contact Details

Impact Assessor's Full Name: Silke Machold
Job Title: Dean of Research
Faculty / Service Area: Research Policy Unit
Email: S.Machold@wlv.ac.uk
Submission Date: 22.5.19

2. About the policy/ service/ change

REF2021 Institutional Code of Practice

All institutions making a submission to the Research Excellence Framework (REF2021) are required to develop, document and apply an institutional Code of Practice (CoP) on 1) the fair and transparent identification of staff with significant responsibility for research (where less than 100% of Category A eligible staff are submitted); 2) determining who is an independent researcher (mandatory for staff on research-only contracts) and 3) the selection of outputs. We will also conduct an Equality Impact Assessment (EIA) on our process for identifying staff with significant responsibility for research (SRR), determining research independence, and selecting outputs (section 8 of the CoP).

Since February 2019, we have consulted with staff on our institutional Code of Practice (see section 1.12). This is a preliminary EIA on our process for identifying staff with SRR. There will be a follow-up iteration of the EIA on identification of staff with SRR once the CoP has been approved by Academic Board, and checks for contractual eligibility completed. Further EIAs will be completed on research independence and output selection in line with the schedule identified in the CoP.

Applicable to: Staff - YES / Students - NO/ Visitors – NO/ General Public - NO

3. Data and Evidence

a. Have you identified relevant evidence (qualitative and quantitative) to establish whether this policy/ service could potentially affect some equality groups more than others? Please attach any evidence to this Equality Impact Assessment.

We have used both quantitative and qualitative evidence. Quantitatively, we have compared the characteristics of staff who have been identified as having SRR with those that do not, and checked whether these differences were statistically significant. We have used staff data held by HR services (in aggregated counts) to conduct the analysis (see attached).

Qualitatively, we have used feedback from staff through a range of mechanisms, including an online consultation (questionnaire with comments sections), meetings with staff networks, briefing sessions

for staff on CoP and professoriate meeting. The qualitative evidence has helped explain and contextualise the findings from the quantitative analysis.

b. Have you analysed equality data for each of the groups identified below?

We have analysed equality data for all but the following groups:

1) Caring responsibility –Following our CoP, we will be asking staff to voluntarily declare individual circumstances including caring responsibility to take account of this in output selection. An EIA will at this point be conducted, as described above.

2) Gender identity – due to the small number of staff (6 in the Category A eligible pool), we have not been able to conduct a statistical analysis, and no issues were raised at the staff network meeting with the LGBT network.

The analysis related to socio-economic groups is not required for this process as it affects staff only.

c. Have you identified / researched anecdotal or alternative evidence?

Yes, via discussions with external reviewers in our mock REF.

d. Have you attached the evidence to this impact assessment?

Yes.

e. Based on your research / evidence, which equality groups might this policy or service affect more or less than others (if any)?

- Age x
- Caring Responsibility *Not available*
- Disability (including mental health) x
- Gender Reassignment /Transgender
- Sex x
- Marriage and Civil Partnership
- Part Time Workers x
- Pregnancy and maternity
- Race/ Ethnicity x
- Religion and belief (including no belief)
- Sexual Orientation

- Socio Economic Groups (students only)

4. Describe the Potential Impact

Age: Compared to REF2014, we will be submitting more younger staff to REF2021. That is statistically significant for staff aged <45 but especially evident for staff <34. This is partly a reflection of initiatives such as ERAS to support and develop Early Career Researchers. Staff aged over 65 are also more likely to be submitted (compared to staff aged 45-64) but the proportion has somewhat declined compared to REF2014.

Disability: Although disabled staff are as likely as those without a disability to have significant responsibility for research; we will increase the number (and proportion) of disabled staff submitted to REF2021, compared to REF2014.

Sex: Although men are more likely to have significant responsibility for research compared to women, we will increase the number and proportion of women submitted to REF2021 (27% of submitted staff in REF2014 and 40% of submitted staff projected for REF2021).

Part-time workers and fixed term contract staff: The data here have to be interpreted cautiously as we have not completed all eligibility checks for these staff groups. Initial results indicated that fixed-term staff are more likely to be submitted compared to permanent staff, but that part-time staff are less likely to be submitted than full-time staff.

Race/ Ethnicity: Although there are no statistical differences between staff who identify as White and BAME staff, we will increase the number (and proportion) of BAME staff to REF2021 (25% of submitted staff compared to 21% in REF2014)

5. Progressing the Equality Duty

- Is there an opportunity to use this policy/ service to advance the core aims of the Public Sector Equality Duty at our University? Yes
- Eliminate unlawful discrimination, harassment, and victimisation. Yes
- Advance quality of opportunity between different protected groups. Yes
- Foster good relations between different protected groups. Yes

6. EIA Outcome and Action Planning

Please describe the outcome of your EIA.

The evidence from the EIA suggests that our proposed process for identifying staff with significant responsibility for research in relation to REF2021 submission advances equality. However, we are aware that there remains scope for further improving EDI objectives.

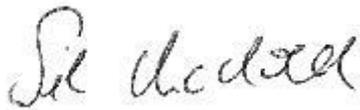
What actions you will take as a result of undertaking this impact assessment, please include timescales and who is responsible.

- *Action 1 Complete Actions identified in REF2021 CoP including additional EIAs*
 - *Timescale 1 see REF2021 CoP Appendix 10*
 - *Responsibility 1 see REF2021 CoP Appendix 10*
- *Action 2 Progress and complete Athena Swan Action Plan*
 - *Timescale 2 as identified in Athena SWAN Action Plan*
 - *Responsibility 2 Dean of Research*
- *Action 3 Progress work on Race Equality Charter self-assessment and continue to participate on the Stonewall Equality Index*
 - *Timescale 3 ongoing*
 - *Responsibility 3 Head of EDU*
- *Action 4 Continue to improve data collection on protected characteristics*
 - *Timescale 4 ongoing*
 - *Responsibility 4 Director of HR*

7. EIA Review Date

Please stipulate a review date for your EIA: *December 2019*

Assessor Signature:




Senior Manager Signature:
(Senior Manager, Director of Service or Dean)

REF2021 Code of Practice Equality Impact Assessment May 2019

Background

Following the publication of the Funding Bodies' Guidance on REF2021 and the associated Guidance on Codes of Practice in January 2019, the University of Wolverhampton has developed and consulted on its Code of Practice for REF2021. This is the first iteration of the Equality Impact Assessment of the Code, focusing on identification of staff with significant responsibility for research, in order to assess the impact of our proposed process.

Data on protected characteristics are taken from the University's HR system (Agresso), using April 2019 data and full person equivalent (headcount). We compare the protected characteristics of the identified pool (staff with significant responsibility for research and staff on research-only contracts³) with those staff that do not have significant responsibility for research. Where available, we make comparisons to our REF2014 submission. We have analysed data for all protected characteristics except for gender identity. Our data show that there are six (6) staff in the Category A eligible pool who declared as either trans or non-binary,

³ At the time of writing, the Code Of Practice is awaiting approval via the University governance structure and we have not completed the processes for verifying substantive connection (9 staff on contracts requiring verification), research independence for staff on research-only contracts (40 staff), and significant responsibility for research for senior staff on eligible contracts. These staff are currently included under 'Category A Identified Staff' in the analysis. Further EIAs will be conducted in accordance with section 8 of the Code of Practice.

and these small numbers did not allow for meaningful analysis. This is also in line with the best practice guidance from Stonewall regarding demographic analysis of trans people. Finally, we have analysed data for part-time and fixed-term contract staff, in line with regulations to prevent less favourable treatment for fixed-term employees and part-time workers.

Gender

	REF2021			REF2014	
	All Category A Eligible Staff	Category A Identified Staff (SRR and Research-only)	Category A Staff without SRR	All Category A Eligible Staff	Category A Submitted Staff
Female	450	161	289	386	52
Male	422	240	182	431	138
Totals	872	401	471	817	190

- Compared to REF2014, the number and proportion of female academic staff to be submitted to REF2021 has increased (from 27% of submitted staff to 40% of submitted staff)
- Across the whole institution, men are statistically more likely to have significant responsibility for research than women ($\chi(2)=39.013$, $p < .001$).
- Further analysis by faculty shows that these statistically significant differences in men and women having significant responsibility for research are only evident in the Faculty of Education, Health and Wellbeing and the Faculty of Social Sciences ($p < .05$), with no differences found in the other units ($p > .5$).

Faculty ⁴	All Category A Eligible Staff		Category A Identified Staff		Category A Staff without SRR	
	Female	Male	Female	Male	Female	Male
FEHW	243	112	50	40	193	72
FOA	49	66	26	38	23	28
FSE	66	145	43	94	23	51
FOSS	81	83	32	53	49	30
Other	11	16	10	15	1	1

Age

	REF2021			REF2014	
	All Category A Eligible Staff	Category A Identified Staff (SRR and Research-only)	Category A Staff without SRR	All Category A Eligible Staff	Category A Submitted Staff
24 and under	2	0	2	0	0
25 to 34	89	51	38	50	10
35 to 44	210	111	99	188	48
45-54	301	131	170	325	71
55-64	239	92	147	234	49
65 and over	31	16	15	20	12
Totals	872	401	471	817	190

- In REF2014, we submitted a relatively higher proportion of 'older' staff (>65) compared to staff in younger age groups.
- In REF2021, the distribution is more uneven with younger staff (<45) and older staff (>65) marginally more likely to be identified as having significant responsibility for research ($\chi(2)=15.104$, $p < .01$). This is partly explained by the legacy trend for older staff, whereas our initiatives to support early career researchers are showing evidence of success.

⁴ FEHW – Faculty of Education, Health and Well-being; FOA – Faculty of Arts; FSE – Faculty of Science and Engineering; FOSS – Faculty of Social Sciences; Other – eligible staff employed in departments outside faculty structure

Disability

	REF2021			REF2014	
	All Category A Eligible Staff	Category A Identified Staff (SRR and Research-only)	Category A Staff without SRR	All Category A Eligible Staff	Category A Submitted Staff
Declared disability	44	22	22	26	5
No known disability	753	336	417	n/a	n/a
No disability declared	75	43	32	n/a	n/a
Totals	872	401	471		

- Compared to REF2014, we will increase both the number and proportion of staff with disabilities submitted to REF2021.
- There is, however, no statistical difference between staff who have a disability and those that do not in relation to their identification as having significant responsibility for research ($p=0.486$).

Ethnicity

Ethnicity 1: White British and other ethnic groups

	REF2021			REF2014	
	All Category A Eligible Staff	Category A Identified Staff (SRR and Research-only)	Category A Staff without SRR	All Category A Eligible Staff	Category A Submitted Staff
White British	596	234	362	637	121
Other Ethnic Group	265	161	104	180	69
Not known/prefer not to say	11	6	5	n/a	n/a
Totals	872	401	471	817	190

Ethnicity 2: Breakdown of ethnic groups

	REF2021			REF2014	
	All Category A Eligible Staff	Category A Identified Staff (SRR and Research-only)	Category A Staff without SRR	All Category A Eligible Staff	Category A Submitted Staff
Arab	5	4	1	0	0
Asian or Asian British ⁵	58	32	26	35	8
Black or Black British ⁶	53	21	32	44	12
Chinese	11	8	3	13	8
Mixed ⁷	10	5	5	4	0
Other Ethnic and Mixed Background ⁸	38	24	14	27	12

⁵ Bangladeshi, Indian and Pakistani

⁶ African and Caribbean

⁷ Mixed White and Asian, Mixed White and Black African, Mixed White and Black Caribbean

⁸ Other Asian, Other Black, Other Ethnic, Other Mixed Background

White British	596	234	362	637	121
Other White Background ⁹	90	67	23	57	29
Not known/ prefer not to say	11	6	5	n/a	n/a
Totals	872	401	471	817	190

- The trend from REF2014 in respect of a proportionately higher submission of ethnic groups other than White British continues to be observed in REF2021 (White British staff are statistically less likely to be submitted than other ethnic groups ($\chi(2)=34.128$, $p < .001$).
- When comparing staff who identify as White (White British, White Irish and White Other) with other ethnic groups, there is no statistical difference at the 5% level ($p>0.05$).
- Further breakdown of ethnic groups suggests that among BAME groups, a smaller percentage of Black or Black British staff are submitted compared to Arab, Asian, Chinese and mixed ethnic backgrounds, however, the small number of values for each category do not permit a more detailed statistical analysis.

Religion/ Belief

	REF2021		
	All Category A Eligible Staff	Category A Identified Staff (SRR and Research-only)	Category A Staff without SRR
Buddhist	5	2	3
Christian	267	101	166
Hindu	12	7	5
Jewish	3	1	2
Muslim	37	22	15
Sikh	8	4	4
Spiritual	7	3	4
Other	13	7	6
No Religion	148	81	67
No data supplied	372	173	199
Totals	872	401	471

- We did not analyse religion/belief in our REF2014 equality impact assessment due to the small number of responses.
- 43% of eligible staff for REF2021 have not supplied data on religion/belief. When comparing staff with a declared religion/belief with those who declare as 'no religion', and those who have not responded, and significant responsibility for research, the statistical difference is very small ($\chi(2)=7.125$, $p < .05$).

Sexual Orientation

	REF2021		
	All Category A Eligible Staff	Category A Identified Staff (SRR and Research-only)	Category A Staff without SRR
LGB	39	22	17
Heterosexual	502	225	277
Unknown	331	154	177
Totals	872	401	471

⁹ White Irish and Other White

- We did not analyse sexual orientation in our REF2014 equality impact assessment due to small number of responses.
- 38% of eligible staff for REF2021 have not supplied data on sexual orientation. Although a greater proportion of LBG staff have significant responsibility for research compared to heterosexual staff, the differences are not statistically significant ($p=.364$)

Maternity and pregnancy

	REF2021		
	All Category A Eligible Staff	Category A Identified Staff (SRR and Research-only)	Category A Staff without SRR
No Leave taken	825	374	451
Maternity or adoption leave	31	17	12
Paternity leave	16	10	6
Totals	872	401	471

- Similar to religion/belief and sexual orientation, we did not include data on maternity leave in our REF2014 EIA due to the small number of cases observed.
- In REF2021¹⁰, we continue to have only a small number of cases of staff on maternity leave, but staff who have taken maternity leave are proportionally higher represented amongst those with significant responsibility for research compared to staff who have taken paternity leave or no leave. The differences are not statistically significant.

Marital Status

	REF2021		
	All Category A Eligible Staff	Category A Identified Staff (SRR and Research-only)	Category A Staff without SRR
Married/ Civil partnership	347	151	196
Cohabiting	26	10	16
Divorced and/or separated	11	3	9
Single	44	25	19
Unknown	444	212	231
Totals	872	401	471

- 51% of all eligible staff have not provided data on their marital status (blank field and/or 'prefer not to answer'). A relatively smaller proportion of staff who are married, co-habiting or divorced are identified as have significant responsibility for research compared with staff who are single. These differences are not statistically significant ($p=0.109$).

Part-time and fixed term contracts

	REF2021		
	All Category A Eligible Staff	Category A Identified Staff (SRR and Research-only)	Category A Staff without SRR
Permanent full-time	710	325	385
Permanent part-time	85	21	64
Fixed term full-time	49	36	13

¹⁰ Includes all staff who have taken maternity, adoption and paternity leave since 1 January 2014.

Fixed term part-time	28	19	9
Totals	872	401	471

- We do not have comparative data for part-time and fixed-term contracts staff from REF2014.
- Part-time workers only marginally are less likely to be identified as having significant responsibility for research compared to full-time workers ($\chi(2) = 5.9, p < .05$). Fixed-term staff are more likely to be identified to have significant responsibility for research ($\chi(2) = 22.0, p < .001$). However, these results must be interpreted very cautiously as we have not yet completed processes for identifying substantive connection (affecting part-time staff) and research independence.

Appendix 9

Timeline of Processes

	Action	For	By/ How	Deadline
Identification of staff	Notification to staff of their proposed process for determining eligibility in the REF submission	All academic staff	Dean of Research; email	March 2019
	Confirmation to staff of their eligibility in the REF submission and of the appeals process	All academic staff	Dean of Research; email	May 2019
	Notification to staff on the review of substantive connection	All eligible staff on 0.2-0.29 FTC	Dean of Research; email and specific briefing	Beginning of May 2019
	Notification to staff on the review of research independence	All staff on Research-only contracts	Dean of Research; email and specific briefing	Beginning of May 2019
	Individual staff review against criteria		All eligible staff on 0.2-0.29 FTC OR Research-only staff	End of May 2019
	Review of submissions		Dean of Research/ Associate Deans (Research)	June 2019
	Review of outcomes		REF Strategy Panel	July 2019
	Notification to staff of outcome (and of appeals process for Research only staff)		Head of Research Services	July 2019

Staff circumstances	Invitation to voluntarily declare equality-related circumstances	All Eligible staff	Dean of Research; email	July 2019; November 2019; January 2020, July 2020; October 2020
	Review of cases and determination of reduction; outcome transmitted to staff		Equality & Diversity Advisory Panel	September 2019, December 2019, February 2020 and September 2020
	Submission of staff circumstances & reduction request to Funding Bodies	All confirmed cases	Head of Research Services; REF submission system	6 March 2020 and 31 March 2021

Outputs	Period 1 August 2019-January 2020	Period 2 August-December 2020
	August-November 2019: Units peer identify and peer review eligible outputs, make interim selection and allocate them to staff	August-September 2020: Units peer identify and peer review eligible outputs, make final selection and allocate them to staff
	December 2019: EIA undertaken on the distribution (i.e. quantity) and the assessment (i.e. quality) of outputs; REF Strategy Panel reviews the processes alongside the EIA	October-November 2020: EIA undertaken on the distribution (i.e. quantity) and the assessment (i.e. quality) of outputs; REF Strategy Panel reviews the processes alongside the EIA
	January 2020: Units inform staff of output scores	November-December 2020: Units inform staff of final output scores

Appeals	May 2019	Notification to staff of eligibility
	July 2019	REF Strategy Panel confirms initial staff establishment
	July 2019	Notification to staff (substantive connection and research independence)
	13 September 2019	Deadline for appeals
	October 2019	REF Appeals Panel consideration & notification to staff member within 10 working days of decision
	May 2020	Notification to new staff and staff with changed role profiles/ research independence/ substantive connection
	July 2020	REF Strategy Panel confirms staff establishment
	July 2020	Notification to staff
	September 2020	Deadline for appeals
October 2020	REF Appeals Panel consideration & notification to staff member within 10 working days of decision	