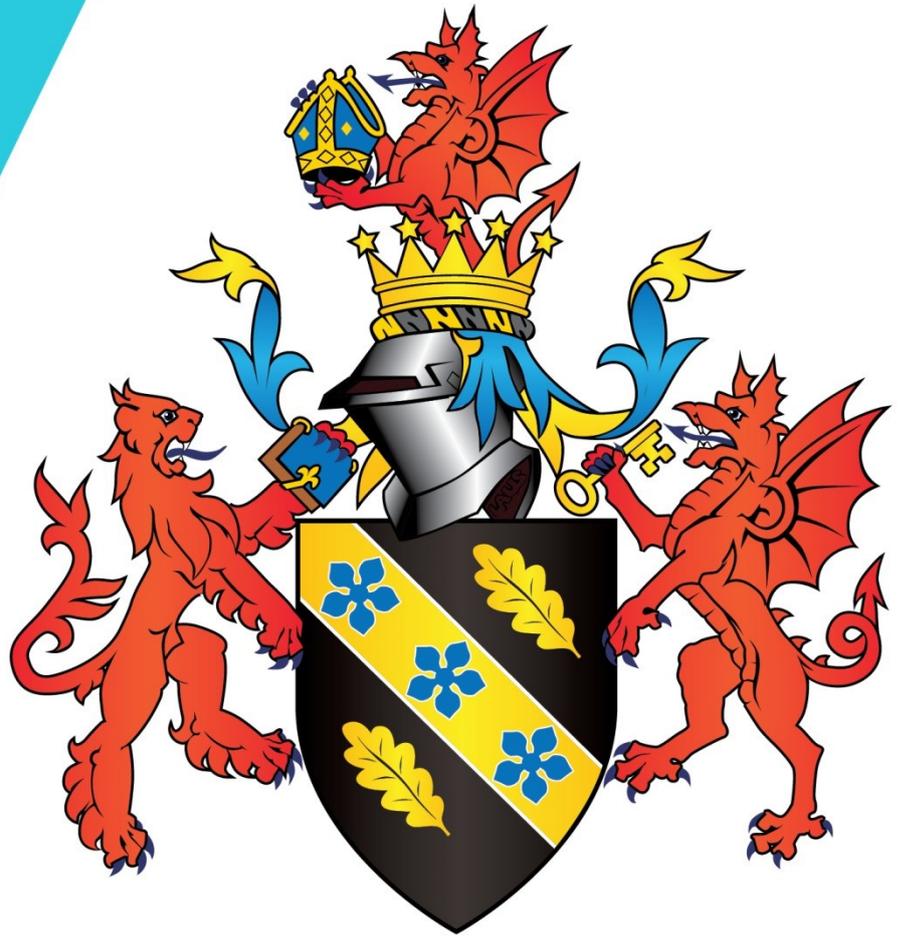




Prifysgol Cymru
Y Drindod Dewi Sant
University of Wales
Trinity Saint David



REF 2021 Code of Practice

CONTENTS

Forward	3
Part 1: Introduction	
1.1. Our Vision for Equality and Diversity	4
1.2. Our E&D aims	5
1.3. REF2021 specific objectives and obligations	5
1.4. The Legislative Context	7
1.5. Scope of the Code of Practice	7
1.6. Communicating & Publishing the Code	10
1.7. Reviewing the Code: Equality Impact Assessment	11
Part 2: Identifying staff with significant responsibility for research	
2.1. Policies and procedures.	15
2.2. Significant responsibility for research: staff employed on teaching and research contracts.	16
2.3. Workflow for determining staff with a significant responsibility for research	19
2.4. Process: how criteria are being applied, and grounds for decisions taken.	21
2.5. Gateway threshold for allocation of time and resources	22
2.6. Other Criteria of research independence and grounds for application	23
2.7. Further eligibility criteria	24
2.8. Transitional approach to the non-portability of outputs and former members of staff	25
2.9. Particular personal and discipline-related circumstances.	26
2.10. Communicating decisions to staff	26
2.11. Development of process	26
2.12. Staff Consultation	27
2.13. Communicating the agreed process to staff.	33
2.14. Staff, committees and training	33
2.15. Research Committee	35
2.16. REF Management Group	36
2.17. REF Equality and Diversity Group	38
2.18. Research Institutes	39
2.19. The Senate	40
2.20. Faculty Board	41
2.21. Strategic Equalities Steering Group	42
2.22. Staff Development: Equality & Diversity	42
2.23. Feedback and appeals	44
2.24. Eligible grounds for appeal for 'teaching and research' staff	46
2.25. Communicating the appeals process.	46
2.26. Equality impact assessment	47
Part 3: Determining research independence.	
3.1. Policies and procedures	48
3.2. Research Independence for research only staff	48

3.3.	Criteria of research independence and grounds for application	50
3.4.	Further eligibility criteria	51
3.5.	Transitional approach to the non-portability of outputs and former members of staff	52
3.6.	Particular personal and discipline-related circumstances.	52
3.7.	Workflow for identifying staff who are independent researchers	53
3.8.	Communicating decisions to staff	54
3.9.	Staff, committees and training	54
3.10.	Appeals	55
3.11.	Equality impact assessment	55

Part 4: Selection of outputs

4.1.	Scope of submissions.	56
4.2.	Outputs required	57
4.3.	Process for selecting outputs	57
4.4.	Rationale and criteria for selecting outputs	59
4.5.	Staff, committees and training	62
4.6.	Disclosure of circumstances	63
4.7.	Processes for disclosing circumstances.	63
4.8.	Summary of applicable circumstances	65
4.9.	Early career researchers	65
4.10.	Absence from work due to secondments or career breaks	66
4.11.	Qualifying periods of family-related leave	66
4.12.	Part-time working.	67
4.13.	Circumstances requiring a judgement about reductions	67
4.14.	Removing the 'minimum of one' requirement	67
4.15.	Fixed-term and part-time staff	68
4.16.	Equality impact assessment	68

Part 5: Privacy Notice 69

Part 6: Appendices

1.	The Equality Act 2010: Quick Facts	75
2.	Summary of Legislation	77
3.	UWTSD Equality Objectives for 2016-20	82
4.	Individual Staff Circumstances Disclosure Form (Draft)	86
5.	Research Fellowships requiring independent research	91
6.	University Committee Structure and organisation chart	94
7.	Equality Screening	96

Foreword by the Vice Chancellor

The University of Wales Trinity Saint David is firmly committed to eliminating all forms of discrimination and promoting equality in all aspects of its activities as an employer, a provider of higher education and in its interaction with the wider community. The institution recognises its responsibilities under the Equality Act 2010 as outlined as the general duty to promote equality along with the associated specific duties which are outlined in this code.

The University regards the REF2021 Code of Practice as part of its continuing effort to ensure that the research activities of all its researchers, regardless of individual circumstances, is valued and properly considered for submission in REF2021

The University of Wales Trinity Saint David will actively promote this REF2021 Code of Practice and will implement the associated working methods detailed within. To assist with this task, the Governing Body and the Senior Management Team will provide leadership in relation to the implementation of this Code as part of its larger responsibilities as set out in the University's Strategic Equality Plan (2016-20).

I commend this REF2021 Code of Practice to you as part of the University of Wales Trinity Saint David's overall commitment to equal opportunities.

Professor Medwin Hughes
DL DPhil DPS FRSA
Vice Chancellor

May 2019

Part 1: Introduction

1.1. Our Vision for Equality and Diversity

As a Higher Education Institution, the University of Wales Trinity Saint David recognises that it has a central role to play in bringing about a fair and just society. The University is committed to equality of opportunity and will promote equality in all aspects of its activities as an employer, a provider of Higher Education and in its interaction with the wider community, in order to provide a working and learning environment which is free from discrimination. It is the policy of the University to ensure that no member of the University community should receive more or less favourable treatment on any grounds which are not relevant to good educational and employment practice.

The University's Strategic Equality Plan (SEP) endeavours to implement full equality of opportunity, and take appropriate measures to ensure that no student, member of staff or visitor is subject to unfair discrimination. Direct and indirect discrimination resulting in unequal opportunities is not acceptable, including discrimination by perception or by association with a protected characteristic. The Strategic Equality Plan helps us to deliver these commitments by:

- Ensuring that we understand the needs of our learners and staff;
- Ensuring that our staff and learners feel respected and valued, and that none of them are disadvantaged by the way our organisations function;
- Providing our staff and learners with a voice on equality and diversity matters, increasing their satisfaction levels and giving them confidence that we will listen and respond to their views, experiences and needs and accommodate these wherever possible;
- Ensuring that we have the range and diversity of staff to deliver our desired breadth of educational pathways, to deliver high quality research and scholarships, to help us build diverse, global and regional networks and to properly support our student body, helping our learners to achieve the best possible educational outcomes;
- Helping us to build a positive, accessible and productive work and study environment for all;
- Establishing an E&D governance structure, that promotes engagement and debate in E&D issues, that facilitates the sharing of good practice and collaboration between all partners and that drives forward the implementation of the E&D action plan, ensuring that all E&D related strategic targets are met;
- Ensuring that we comply with equality legislation and fulfil the requirements of the Public Sector Equality Duty;
- Complementing and supporting our work in other areas, such as promotion of the Welsh Language and Widening Access and Participation.

Our vision is of a cohesive UWTSD Group in which the HE and FE partners work in collaboration to provide supportive and inclusive environments in which learners and staff can flourish, free from prejudice and discrimination. With the full support of our governors and senior leaders, we are committed to achieving a culture of openness and respect in which barriers to employment and learning are identified and removed. We want our people to feel safe and valued, and to achieve their full potential for the benefit of the individual, the organisation and our wider communities. We wish to promote equality of opportunity, fair working practices and good interpersonal relationships throughout our staff and student bodies.

1.2. Our E&D aims

To eliminate unlawful discrimination, harassment and victimisation, which involves:

- Helping people to understand what these terms mean and which behaviours and attitudes are inappropriate;
- Ensuring everyone is treated equally
- Eliminating direct or indirect discrimination from our work and study environment.

To promote and advance equality of opportunity, which involves:

- Minimising the impact of disadvantage;
- Identifying, understanding and meeting the needs of our staff and learners / students;
- Encouraging people to take up opportunities, especially people from under-represented groups.

To promote and foster good relations between people, which involves:

- Promoting tolerance and understanding;
- Tackling prejudice;
- Explaining the benefits of diversity.

To ensure that we meet all the requirements of the Equalities Act (2010) and the Public Sector Equality Duty (Wales, 2011), which involves:

- Setting out our equality objectives and our plan clearly in this document and ensuring it is accessible to those who wish to read it;
- Ensuring that our equality and diversity work has strong governance and leadership;
- Investigating and, if appropriate, tackling any incidents of unequal pay;
- Continuing to consult staff, learners and other stakeholders about relevant experiences, and invite their ideas on strengthening equality and diversity in the Group;
- Training and informing our staff and learners / students on the importance of equality and diversity, and on their rights and responsibilities;
- Ensuring that our policies and practices are impact assessed and monitored; ensuring that staff have the necessary skills to conduct these assessments and use them to help eliminate discrimination.

The University's equality objectives are detailed in Appendix 3.

1.3. REF2021 specific objectives and obligations

In addition to the University's overarching commitment to equality as covered by the Strategic Equality Plan, it is required by the UK Funding Councils to develop, document and apply a REF2021 Code of Practice in order to define the procedures, functional responsibilities and criteria for selecting staff and outputs to include in its submission to the Research Excellence Framework (REF2021). The Code of Practice must define UWTS's procedures, functional responsibilities and criteria for:

- a) The fair and transparent identification of staff with significant responsibility for research;
- b) Determining who is an independent researcher;
- c) The selection of outputs.

Both as an employer and public body, the University has a legal responsibility to ensure that its REF2021 procedures do not discriminate unlawfully against, or otherwise have the effect of harassing or victimising individuals because of age, disability, gender identity, marriage and civil partnership, race, religion or belief, sex or sexual orientation or because they are pregnant or have recently given birth. In this context, the code of practice will aid the University in promoting equality and diversity, complying with legislation and avoiding discrimination when preparing submissions to REF2021. On making its submissions, the Vice-Chancellor is required to confirm adherence to this code. The University will not be eligible to make submissions to REF2021 without such an approved code. The code will be reviewed and ratified by REF Equality and Diversity Advisory Panel (EDAP). The Code must be submitted for approval by June 7th 2019. The code will be published with the rest of the submission on completion of the assessment process.

What does this mean for me?

Section 4.7 provides the detail on what personal circumstances can be taken into account in the University's preparation for REF 2021.

What is meant by 'personal circumstances'?

Personal circumstances may include being an early career researcher; having an absence from work due to secondments or career breaks; periods of family-related leave; disability, ill health, injury, or mental health conditions; gender reassignment; and constraints relating to pregnancy, maternity, paternity, adoption or childcare and other caring responsibilities.

When shall I disclose my circumstances? The University will alert all staff of the process for disclosing circumstances during the process for determining those with a significant responsibility for research. You may however disclose circumstances at any time using the confidential email and disclosure form.

Do I have to disclose my circumstances? The University's view is that the individual staff member is best placed to consider whether equality-related circumstances have affected their productivity over the REF assessment period and that they should not feel under pressure to declare their circumstances where they do not wish to do so. The University will not take account any individual circumstances other than those that staff have consented to declare voluntarily.

What if my circumstances change? If your circumstances change you can download a copy of the Declaration of Individual Staff Circumstances form (Appendix 4) on the University's Human Resource Intranet page. The form should be submitted without delay to the Chair of the Equality and Diversity Group.

What are the University's expectations for my outputs? The University has no predetermined expectations regarding the number of outputs required from any individual Category A submitted member of staff, other than that the minimum requirement to return one output is met. This requirement can be waived however for staff who have personal circumstances which have effected their productivity and who have not been able to produce an output during the assessment period.

1.4. The Legislative Context

The Equality Act 2010 harmonises discrimination law and brings together the equality strands into a single, simplified piece of legislation. The Act replaces all existing equality legislation with regards to race, disability and gender, with a single duty to promote equality for all the protected characteristics. Section 4.8 provides a full list of the protected characteristics while Appendices 1 and 2 provide a comprehensive overview of the legislation. In summary however the Equality Act 2010 harmonised and consolidated previous anti-discrimination legislation. The Act covers the protected characteristics of:

- age
- disability
- gender reassignment
- marriage and civil partnership
- pregnancy and maternity
- race
- religion and belief
- sex
- sexual orientation.

1.5. Scope of the Code of Practice

This Code of Practice builds upon that adopted for REF2014, taking account of key differences concerning the overall assessment framework. Of these the most significant are that:

- **Category A eligible staff.** The University is required to submit all eligible staff with 'significant responsibility for research', organised into submitting unit(s) for return into the relevant UoA(s). The census date for staff will be 31 July 2020. The University is free to determine the most appropriate UoA for the return of staff insofar as it relates to the areas of research set out in the UoA descriptors. It should be noted however that 'all eligible staff with significant responsibility for research' is taken to mean staff on a teaching and research or research contract of 0.2 FTE or greater, as designated by HESA codes 2 and 3 in the ACEMPFUN field. This applies *across all of the University's faculties / organisational units*. Those meeting these criteria are defined as 'Category A eligible staff'.

The key difference in this regard is that the University is obliged to submit all of its research staff, rather than selectively submit for those areas that which align with its strategic priorities for research. The explanations for Category A submitted staff and provisions for very small unit outlined below provide some level of exemption.

- **Category A submitted staff.** The assessment framework recognises that not all members staff on a teaching and research contract will have a 'significant responsibility for research' as their responsibilities may be weighted towards other academic duties, such as teaching, scholarly activity, administration, commercial activity and knowledge transfer. In such cases therefore the 'Category A eligible' staff definition does not accurately identify staff on teaching and research contracts (returned under HESA codes 2 or 3) in the submitting unit who actually have a significant responsibility for research. Accordingly, the University is required to document in this code of practice, the processes to be followed for identifying who among those meeting the definition of

'Category A eligible' staff have significant responsibility, and are therefore in scope for submission. The onus is on the University to provide evidence that 'Category A eligible' staff on 'teaching and research' contracts *who are not submitted do not have significant responsibility for research.*

The University's criteria for identifying staff must be developed collaboratively with the academic staff body and evidence of institution-wide consultation on the criteria should be available in the code of practice. They must allow for appropriate staff engagement, contain clearly defined responsibilities, and take due regard of the Public Sector Equality Duty. Evidence of agreement by staff representative groups should be provided. The criteria for Category A submitted staff must be objective, non-discriminatory and transparent. The processes should be context dependent, drawing on standard ways of working at the institution, and it should be possible to test these criteria fairly and evenly against the responsibilities of all academic staff. The University must be able to verify through audit that eligible staff who are not submitted do not have significant responsibility for research, with the evidence for this related to the University's documented process.

- **Exception from submission for very small units.** Exceptionally, the University may, and only with prior permission from the REF director, request an exception from submission for very small units. 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 5 FTE, and where the research focus of these staff falls within the scope of one UOA; 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.
- **Decoupling staff from outputs.** Each submitting unit will return a set number of outputs determined by the FTE of Category A submitted staff, with a minimum of one output attributed to each staff member returned, and no more than five attributed to any staff member. The total number of outputs must equal 2.5 times the summed full-time equivalent (FTE) of the unit's submitted staff before any adjustments are applied with respect to the framework's equity and diversity provisions.

The code has been created to achieve a targeted approach to equality and diversity for REF2021 planning at the University. In accordance with its commitment to equality and diversity, the University of Wales Trinity Saint David will apply the code in order to ensure that positive steps are taken to identify and combat all forms of discrimination so that no potential or existing member of staff is discriminated against either directly or indirectly, or due to perception or association during the preparations for and submission to REF2021.

The Code of Practice is set within the framework of the University's Strategic Equality Plan (SEP), but also contains detailed standards of conduct, procedures and principles that will be followed regarding all actions undertaken in preparation for and submission to REF2021. These ways of working are based on the principles of transparency, consistency, accountability and inclusivity. These principles are highlighted throughout the code and summarised in Table 1.1.

<p>Transparency. The University is ensuring that all processes for identifying staff with significant responsibility for research, determining research independence, and selecting outputs for inclusion in REF2021 submissions are transparent in the following ways:</p>	
<p>Accessibility</p>	<p>The Codes of Practice is available in an easily accessible format and publicised to all academic staff across the institution, including on the MyDay. Once approved the University will publish the code of practice on its external website. It has been drawn to the attention of those absent from work.</p>
<p>Dissemination</p>	<p>There is an ongoing programme of communication activity to disseminate the code of practice and explain the processes related to:</p> <ul style="list-style-type: none"> • identifying staff with significant responsibility for research • determining research independence and • selecting outputs for submission. <p>This includes university wide staff briefings and consultation. Please see Section 2.11.</p>
<p>Consistency. The principles governing the processes covered by codes of practice are consistent across the institution</p>	
<p>A university wide process</p>	<p>There is no variation in the Code of Practice across the University and the same principles and process will apply to all staff in all units. This is regardless of the volume or quality of research undertaken or the number of staff undertaking research. The process has due regard for different types of activity undertaken by staff in all units and consistently recognises this in a common framework.</p>
<p>Accountability. Responsibilities are clearly defined, and individuals and bodies that are involved in the following roles are specified.</p>	
<p>Staff</p>	<p>The university has clearly identified the staff who will be involved in identifying staff with significant responsibility for research, determining research independence and selecting outputs for REF submissions. These staff are identified by role in Sections 2.14 – 2.21.</p>
<p>Training</p>	<p>The University has ensured that all staff involved in REF2021 planning are trained to high standard and are able to reliably and consistently apply the processes and principles in this code of practice. Section 2.22 details this training.</p>
<p>Terms of Reference</p>	<p>The operating criteria and terms of reference for all committees and bodies concerned with REF2021 planning are reviewed annually and are readily available to all individuals and groups concerned. Terms of reference and other operating criteria are detailed in Sections 2.14 – 2.21.</p>
<p>Inclusivity. The processes described in the code will promote an inclusive environment.</p>	

Promoting Equality and Diversity	<p>This code documents the way in which all staff who have significant responsibility for research, all staff who are independent researchers, and the excellent research produced by staff across all protected groups will be considered for submission to REF2021.</p> <p>The equality and diversity provisions are detailed in Section 1.7, while the measures that have been taken to prevent discrimination and advance equality (i.e. have a positive impact on equality during the submission process) are detailed in sections 2.26, 3.11 and 4.16</p>
Appeals	<p>The University is committed to conduct its preparations for REF2021 in transparent, consistent, accountable and inclusive manner, and has put in place a robust feedback and appeals process which is specific to the REF2021 planning. Any alleged breach of this code will be investigated by the University and if appropriate could lead to disciplinary action.</p>

Table 1.1. Principles underpinning the Code

1.6. Communicating & Publishing the Code

The University will promote its commitment to the code to both existing and potential members of the organisation and document the steps that the University will take to meet equality challenges in respect of REF2021. The University will, in respect of this will:

- a) publish the code on the University's MyDay pages under the Research, Innovation and Enterprise Services section. For staff who do not have regular IT access, and for those newly joining the institution, hard copies will be made available within their academic unit or may be obtained from the Human Resources Department and Research, Innovation and Enterprise Services;
- b) ensure that the code is available in a variety of alternative and accessible formats;
- c) ensure the code is displayed bilingually and distributed throughout the University;
- d) ensure the code will be handed to new members of academic staff and all others whose duties will involve preparations for REF2021 during their induction process;
- e) publish the results of an equality policy impact assessment made on the University's submission to REF2021 on the UK funding councils' REF2021 website.

Special attention will be given to communicating the Code of Practice to all academic staff who are absent from work. The University's Human Resources Department will upon adoption of the code identify all academic staff who are absent due to ill health and convalescence, those undergoing surgical procedures (such as gender-reassignment), maternity or paternity leave, disability, secondment, disciplinary suspension, or any other reason such that is resulting in ongoing absence from work. In such circumstances a hard copy version of the Code will be sent to each member of staff. An open invitation to discuss the Code and the implications for them with a member of the Equality and Diversity Sub-group will also be made at this time. Such a consultation, if requested, will be held at a time and place convenient to the member of staff and within four weeks of the request.

How do I keep up-to-date with the Code?

The REF is a complicated exercise and unfortunately this Code reflects some of that complexity. We are however committed to making sure all staff clearly understand how it affects them. If you are unsure of anything we will be pleased to help. To do this:

You can view a recording of the briefings held in April 2019 on the University's REF MyDay page along with a summary PowerPoint presentation.

We will also be holding additional briefing sessions specifically focusing on equality and diversity issues in November 2019. This will be before staff are invited to disclose any personal circumstances that they wish to be taken into account.

As the Code is a living document which will undergo several Equality Impact Assessments we will also notify you of any changes following these by email (from REF2021@uwtsd.ac.uk) and summarise them on the REF MyDay.

If you have any questions you can also contact the University's REF Manager (Dr Matt Briggs) on REF2021@uwtsd.ac.uk.

1.7. Reviewing the Code: Equality Impact Assessment

The University recognises its responsibilities and obligation to undertake an equality impact assessment exercise on the REF2021 Code of Practice. This obligation is to ensure that it does not discriminate or impact adversely against individuals or groups who share protected characteristics.

The purpose of the equality impact assessment (EIA) process is to ensure that every policy, procedure, practice, plan and strategy of the University is systematically reviewed and evaluated to ensure that they are not discriminatory and that they make a positive contribution to equality. These assessments will be used to review equality aims, and will influence and guide planning and decision making in all aspects of the University's arrangements. The EIAs will help the University to identify:

- Where discrimination may inadvertently occur within our REF processes
- Where a particular policy or practice has a positive impact on the advancement of equality
- Where there is an opportunity to take a step that will have a positive impact.
- Where potential discrimination is identified the University will need to reassure itself that the policy or practice operates within the constraints of the law OR take actions to change the policy or practice.
- If a particular policy or practice is found to have a positive impact on equality, the University will seek to apply it to other areas of our REF work. If an opportunity to advance equality is identified due consideration will be given to implementing it.
- If the policy cannot be changed, the University will still consider actions to support staff during the remainder of the census period

The University recognises that, where possible, it is good practice for EIAs to be conducted at the outset of policy and procedure development. An initial Equality Screening has therefore been undertaken as provided at Annex 7.

The Equalities Challenge Unit and AdvanceHE for example suggest that mock REF exercises can be used to inform the institution's EIA and the EIA itself should inform the code of practice. The Research Committee, REF Management Group, and Strategic Equalities Steering Group, in consultation with the University's Director of Human Resources, have determined however that this would not be appropriate in the present instance. This is the case for the University is undergoing a significant restructuring exercise running concurrently but entirely separately with the development of the Code of Practice (Feb 2019 – June 2019). Undertaking the required mock REF exercise, such that would feed into the Code, may therefore unintentionally be used to inform the restructuring process, *or be perceived to be so*, in a context where both voluntary and compulsory redundancies will be made. Asking staff to declare personal circumstances in this context, based on an unapproved code, would clearly be inappropriate. A series of EIAs will however be conducted during the University's REF process, and the approved code updated as required, as detailed in Table 1.2 and 1.3 below. Should significant changes be required to the approved code, the revised code will be submitted for re-approval by EDAP.

Process

The EIAs will be carried out by a designated member of Human Resources staff and the REF Manager. The EIA will be reported to the Chair of the Strategic Equalities Steering Group and the REF Management Group. The University will submit the final version of its EIA after the submission deadline, and also as a matter of good practice, published it on the University website. Details of EIA's undertaken during the REF process, as indicated in Table 1.2, and also any corrective measures, will be included in updates of the approved code in Sections 2.26, 3.11 and 4.16. Staff will be notified of these updates as noted in Section 1.6. The final EIA will include:

- the final analysis of data comparing the characteristics of staff with significant responsibility for research, with the characteristics of all eligible staff;
- the final analysis of data comparing the characteristics of those determined to be independent researchers, with an appropriate comparator pool;
- an examination of the distribution of outputs across staff in the units of assessment
- any actions taken to prevent discrimination or advance equality during the submission process and their outcomes,
- information about any policies or practices that had a positive impact on equality during the submission process.

The University recognises that it is best practice to use information gained from engaging, consulting or involving staff from protected groups to inform an EIA, and that this is a requirement of the Welsh specific duties of the Equality Act 2010. As such, where changes are made to the Code of Practice, the University will engage with affected groups to ensure that the changes are fit for purpose and seek feedback on their experiences of the processes set out in the Code. These equality assessments will be as detailed in Table 1.2, with the process and data to be used in Table 1.3.

EIA will be conducted:	Expected date:	Process referenced in CoP at:
When identifying staff with a significant responsibility for research.	December 2019	Figure 2.1. Step 5. Section 4.7
When determining research independence.	December 2019	Figure 3. Step 3. Section 4.7
When considering appeals against identification of staff who do not have significant responsibility for research or who are not independent researchers.	January 2020	Figure 2.1 Step 8 Section 3.9
		Figure 3.1 Step 5 Section 3.9
When selecting outputs for submission.	October 2020 2020	Figure 4.1 Step 10
When preparing the final submission.	March 2021	Figure 4.1 Step 15

Table 1.2. Schedule of EIAs

Following AdvanceHE guidance, the University will undertake the following steps:	The EIAs will be informed by an analysis of data in respect of all the protected characteristics for which data are available, including:
Step 1. Consider relevant evidence relating to people who share a protected characteristic	Data on: The characteristics of staff considered to meet the criteria for having significant responsibility for research in the context of all staff who are eligible for submission, and all academic staff.
Step 2. Assess the impact of applying a decision of a new practice	
Step 3. Act on the results of the assessment	Data on: The characteristics of staff who meet the definition of an independent researcher, in the context of an appropriate comparator pool for junior academic staff (as appropriate to the institution's context).
Step 4. Publish the results of the assessment	
Step 5. Monitor and review the decision/ application of the policy or procedure	Data on: The distribution of selected outputs across staff, by protected characteristic, in the context of the characteristics of the submitted staff pool.

Table 1.3. Process and data for EIAs

REF 2014 Equality and Diversity Update

The EIAs undertaken for REF 2014 did not raise any issues for further action, and the promotion of equality and diversity for research related matters has subsequently been provided for in the revised Strategic Equality Plan which was adopted by the University during 2016.

Part 2: Identifying staff with significant responsibility for research

2.1. Policies and procedures.

The University of Wales Trinity Saint David (UWTSD) is part of the UWTSD Group (the Group), a multi-institutional collaborative venture owned and governed by the University, with Coleg Sir Gâr (CSG) and Coleg Ceredigion (CC) as constituent colleges. The Group, established in 2013/14, is the result of a number of mergers, of the University of Wales Lampeter (UWL) and Trinity University College Carmarthen (TUCC) in 2010, with Swansea Metropolitan University (SMU) in 2012, with CSG in 2013 and CC 2014. CSG and CC integrated in 2017. The University continues its process of integration with the University of Wales.

The University has campuses in Carmarthen, Lampeter, London, and Swansea, each with their own distinct identities. It also has a learning centre in Birmingham, locations in Cardiff and a number of outreach community centres throughout South Wales, which help to deliver our strategic focus on widening participation. HE provision is offered on several further locations within South and West Wales through its constituent and partner colleges. There is no single 'main' campus and most Faculties work across at least two locations.

Following this set of mergers and a number of pilots held in the Faculties, the University has started work to harmonise activity profiles for introduction in the 2019/20 academic year. The responsibility for and balance between undertaking teaching, scholarly activity, research, knowledge transfer and administrative duties is therefore variable across the University. As the REF Guidance on Submissions recognises, while the majority of academic staff are employed on teaching and research contracts and returned under HESA code 2, this does not consistently or reliably reflect staff activity profiles and the actual responsibility and expectation for undertaking research. This is the case as the balance with teaching duties, scholarly activity, knowledge transfer and other forms of commercial work and administrative duties varies considerably both within and between the University's faculties and academic units. As such the assessment framework's designation of 'Category A eligible' staff does not accurately identify staff in the University's academic units with significant responsibility for research, and the University does not expect 100% of staff on research and teaching contracts to be submitted to REF2021.

Definition of Category A eligible staff. Category A eligible staff are 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 and research'. Staff should have a substantive research connection with the submitting unit. Staff on 'research only' contracts should meet the definition of an independent researcher. Individuals whose primary employment function is to undertake either 'research only' or 'teaching and research' are staff returned to the Higher Education Statistics Agency Staff Collection with an academic employment function of either 'Academic contract that is research only' or 'Academic contract that is both teaching and research' (identified as codes '2' or '3' in the ACEMPFUN field).

Definition of Category A submitted staff. Category A submitted staff are defined as Category A eligible staff who have been identified as having significant responsibility for research on the census date (31st July 2020).

Significant responsibility for research. Staff with significant responsibility for research are those for whom:

- explicit time and resources are made available, *to*
- engage actively in independent research, *and*
- that is an expectation of their job role.

In accordance with the framework therefore the University is required to identify Category A submitted staff. Category A submitted staff are defined as Category A eligible staff who have been identified as having significant responsibility for research on the census date (31st July 2020). This will include all staff on research-only contracts who are 'Category A eligible'. The onus will be on University to:

- a) Provide evidence that 'Category A eligible' staff on 'teaching and research' contracts who are not submitted do not have significant responsibility for research.
- b) Provide evidence that Category A submitted staff on teaching and research contracts meet the criteria of significant responsibility.
- c) Provide evidence that 'Category A eligible' staff on 'research' contracts who are not submitted are not independent researchers.
- d) Provide evidence that Category A submitted staff 'research' contracts are independent researchers.

2.2. Significant responsibility for research: staff employed on teaching and research contracts.

Staff with significant responsibility for research are those for whom *explicit time and resources are made available to engage actively in independent research, and that is an expectation of their job role*. The definition of research for the REF is provided below. The criteria in Table 2.1 will be used to identify staff on teaching and research contracts with significant responsibility for research in a consistent, objective, non-discriminatory and transparent way, as indicted by the tests and thresholds detailed therein. These, in all instances will be based upon the expectations of staff as a function of employment, and not upon the quality or volume of what has been delivered as a result of that employment function. It should also be noted, in accordance with the assessment framework's rules, that a member of staff is not deemed to have undertaken independent research purely on the basis that they are named on one or more research outputs. The process for identifying Category A eligible and Category A submitted staff on research only contracts are detailed in Part 3.

These indicators are not intended to define a minimum threshold, and staff may be identified as having significant responsibility for research without fulfilling all of the below, with the exception of the allocation of explicit time and resources which is a gateway threshold. The funding bodies will not consider the University's process appropriate if the University's process identified staff as without significant responsibility for research where the staff fulfil the majority of the indicators outlined. As such once the gateway threshold for the allocation of explicit research time and resources has been met, a staff member will be judged to have a significant responsibility for research if any one further indicator in the 'expectation of the

job role' and 'independent research criteria' are met. The gateway threshold, as agreed through the consultation process, is 10% of annual contracted hours. The methodology for calculating this threshold and for determine the further criteria are shown in Tables 2.1 and 2.2.

Example 1		1.0 FTE	
Significant Responsibility research threshold	10.00%		
	Total Productive Hours		Research Allocation
Academic Hours (productive)	1584		158
Weeks (productive)	42.5		4.3
Average Weekly Research Hours	3.7		
Example 2		0.5 FTE	
Significant Responsibility research threshold	10.00%		
	Total Productive Hours		Research Allocation
Academic Hours (productive)	792		79
Weeks (productive)	21.25		2.15
Average Weekly Research Hours	1.9		

Table 2.1. Methodology for determining 10% of annual productive hours

Criteria	Indicator	Test	Gateway Threshold
Explicit time and resources are made available for research	A specific proportion of time allocated for research, as determined in the context of the institution's practices and applied in a consistent way through research allocation in a workload model or equivalent.	Research allocation in 2019/20 Activity Profile. Please refer to Table 2.2.	10% of annual contracted hours.
Criteria	Indicator	Test	Threshold
An expectation of the job role	Current research responsibilities as indicated in expectations of research by role.	Indicated in job descriptions and / or appraisals and career or research development plans	Explicit mention of research as a duty in job description and / or person specification. Explicit research targets set in agreed career development plan. Explicit evaluation of research duties and

			performance in staff appraisal.
To engage actively in independent research	Eligibility to apply for research funding as the lead or co-applicant	Have a PhD or other relevant professional experience that would make them eligible for to be a lead or co-investigator in a RCUK grant in the subject specific research council.	<p>Actively engaged in postdoctoral research and be of postdoctoral standing.</p> <p>A track record of outstanding research and in delivering impact. Shows a strong awareness of the international context of the research and starting to show evidence of recognition in the community on an international scale</p> <p>Have a level of skills, knowledge and experience appropriate to lead or co-lead a funded research project.</p>
	Holding an independently won, competitively awarded fellowship where research independence is a requirement.	Review of terms and condition of eligibility and the award. See Appendix 5 for guidance.	Research independence expected.
	Leading a research group or a substantial work package within a clearly defined programme of research	Review of research objectives and expected outputs	Clear and audited responsibility for research leadership responsibilities. These must be measured against expected KPIs or deliverables.
	Significant input into the design, conduct and interpretation of the research.	Review of research programme or project	Auditable evidence significant input into the design, conduct and interpretation of the research, through for example sole or co-authored research outputs and joint grant applications .

Table 2.2. Criteria for staff with significant responsibility for research

Definition of research for the REF. For the purposes of REF2021, research is defined as a process of investigation leading to new insights, effectively shared.

- It **includes** work of direct relevance to the needs of commerce, industry, culture, society, and to the public and voluntary sectors; scholarship; the invention and generation of ideas, images, performances, artefacts including design, where these lead to new or substantially improved insights; and the use of existing knowledge in experimental development to produce new or substantially improved materials, devices, products and processes, including design and construction. Scholarship for the REF is defined as the creation, development and maintenance of the intellectual infrastructure of subjects and disciplines, in forms such as dictionaries, scholarly editions, catalogues and contributions to major research databases.
- It **includes** research that is published, disseminated or made publicly available in the form of assessable research outputs, and confidential reports.
- It **excludes** routine testing and routine analysis of materials, components and processes such as for the maintenance of national standards, as distinct from the development of new analytical techniques.
- It also **excludes** the development of teaching materials that do not embody original research.

2.3. Process: Workflow for determining staff with a significant responsibility for research

The process depicted in Figure 2.1 will be used to identify Category A submitted staff on 'teaching and research contracts' in a consistent, objective, non-discriminatory and transparent way, in accordance with the criteria set out in Table 2.1 above. Further details on the process are outlined in Sections 2.4 - 2.6 below. This workflow will be applied consistently without variation across all units in the University.

Exceptionally, the University may, and only with prior permission from the REF director, request an exception from submission for very small units. 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 5 FTE, providing that:

- the research focus of these staff falls within the scope of one UOA,
- is clearly academically distinct from other submitting units in the University,
- the environment for supporting research and enabling impact of each proposed submitted unit is clearly separate and distinct from other submitting units in the University.

In cases where a submission exception is sought, the REF Management Group, at the instruction of the Research Committee, will set out the case for an exception from submission for the unit, which would normally fall under one of the following circumstances: i) the research is in scope of a UOA in which the University has not previously submitted, and has not been an area of investment and growth for the University; ii) where a previous REF submission has been made, there has since been a change in the staff profile in the research area in the University. The REF director will decide on all such requests in consultation with chairs of the relevant main and sub-panels. The REF Team will invite institutions to make any requests for submission exceptions in early 2019 and responses will be required by December 2019. Requests for submission exceptions are not binding. The

University may decide to return the unit where they have been given approval for an exception.

Step	Task	Date	Responsible Officer(s)
1	Activity Profile Methodology Adopted <ul style="list-style-type: none"> Adoption of Activity Profile methodology across all Faculties in the University. Section 2.4 Profiles will be current for Sept 2019 to Aug 2020, Use to populate REF1a/b: 	Methodology adopted June 2019. Date for completion of Activity Profile: Sept 2019.	Director of Human Resources Dean of Faculty
2	Determine staff for whom explicit time and resources are made available for research above minimum threshold. <ul style="list-style-type: none"> Table 2.1 Report to REF Manager 	Nov 2019	HR REF Liaison officer.
3	Initial mapping of staff to UoA <ul style="list-style-type: none"> This is required to meet the final request for exemption deadline of 6th Dec 2019 Request Exemption for very small Units	Nov 2019	REF Manager
4	Test further Criteria for 'expectation of job role' and 'research independence' <ul style="list-style-type: none"> Table 2.1 REF Manager to collate audit evidence and grounds for decision 	Dec 2019	REF Manager Dean of Faculty / Associate Dean for research
5	Test additional eligibility criteria. <ul style="list-style-type: none"> FTE threshold Substantive connection 	Dec 2019	REF Manager HR REF liaison officer
6	Consider any E&D exceptions that might apply in meeting additional eligibility criteria. <ul style="list-style-type: none"> Section 4.7 	Dec 2019	REF Manager HR REF Liaison officer
7	Inform staff <ul style="list-style-type: none"> Identified as Category A Submitted Do not meet significant responsibility for research threshold 	Jan 2020	REF Manager
8	Appeals <ul style="list-style-type: none"> Section 3.10 	Jan 2020	Director of Human Resources
9	Finalisation of Category A Submitted Staff	Feb 2020	REF Manager

10	Ongoing process of steps 1-9 for newly appointed staff		Nov 2019 – Nov 2020	REF Manager
11	Begin process for selection of outputs <ul style="list-style-type: none"> • Processed defined in Part 4 		Jan 2020	REF Manager

Figure 2.1. Workflow to identify Category A submitted ‘teaching and research’ staff

2.4. Process: how criteria are being applied, and grounds for decisions taken.

The University, in recognition of the principles of transparency, consistency, accountability and inclusivity is committed to developing a standardised Academic Staff Activity Profile methodology. This is required due to the ongoing series of mergers and standardisation of working practices noted above. The methodology was piloted in 2015/16 following agreement by the recognised trade unions, and has subsequently been used by faculties, albeit in locally adapted formats. Revising and standardising the Academic Staff Activity Profile will facilitate recording of the allocation of time and resources to undertake academic and applied research separately from that of advanced scholarship, the scholarship of teaching and knowledge exploitation / commercialisation activity.

The University also adopted a new Research Strategy (approved by Senate) in Nov 2018. The strategy underpins the University’s commitment to consolidation and further develop of existing areas of academic excellence, as well as nurturing new research disciplines in targeted areas. These objectives will help build critical mass and expand the University’s delivery of and basic and applied research, research-led teaching and scholarship, knowledge exploitation and commercialisation. As each of these areas or academic activity will necessarily encompass different levels of responsibility for and engagement with research, the strategy defines the expectations of its staff for research, scholarship and any subsequent commercialisation in five ways, as follows:

- **Academic research:** (also known as ‘pure’, ‘basic’ or ‘fundamental’ research) investigation which is exploratory in nature and aimed at improving knowledge or understanding without a practical end application in mind.
- **Applied research:** systematic inquiry involving the practical application of science, technology and business knowledge undertaken in order to gain knowledge – leading to new opportunities to develop income generating activities.
- **Advanced scholarship:** encompassing *scholarship of integration* (work that seeks to interpret, draw together, and bring insight to bear on existing knowledge) and *scholarship of application* (work that both applies and contributes to knowledge) – leading to the development of exploitable intellectual property.
- **Scholarship of teaching:** work that transmits knowledge and also transforms and extends it and involves critical reflection on teaching practice made public for review – leading to the development of, for example, new curricula and new programmes.
- **Knowledge exploitation / commercialisation:** the creation of economically viable activity arising from the intellectual property of university staff or students which has been created through scholarship and / or research – leading to new streams of income generation.

The activity profiling methodology employs these definitions to identify the explicit time and resources that are to be made available for each type activity. It therefore identifies where a

specific proportion of time is allocated for research, as determined in the context of the institution's practices and applied in a consistent way. Within this methodology, academic research and applied research are considered as meeting the minimum requirements for research activity as defined in the assessment framework, while advanced scholarship, the scholarship of teaching and knowledge exploitation / commercialisation do not meet the REF2021 definition of a process of investigation leading to new insights, effectively shared.

2.5. Gateway threshold for allocation of time and resources

Table 2.3 details the gateway thresholds (Step 1 in the workflow above, Figure 2.1) for determining those who have a significant responsibility for research based on the allocation of time and resources. For Academic Research, and Applied Research an allocation of below 10% total annual contracted hours is not considered to be a significant responsibility. To pass the gateway therefore a total of 10% annual contracted hours allocated to the summed totals of Academic Research and Applied Research must be met (please see Table 2.1). For the reasons noted, total annual hours allocated to advanced scholarship, the scholarship of teaching and knowledge exploitation / commercialisation are not included when in calculating whether the threshold has been met.

Activity	Threshold for Category A Submitted	Notes
Academic research	10% of annual contracted hours	Staff above the threshold will have time and resources allocated to research in their annual Activity Profile. Staff below the threshold will be supported in their aspirations for research with clear targets. Staff may be supported to move up the 'research ladder' and advance to 'significant responsibility' in accordance with their annual activity profile.
Applied research	10% of annual contracted hours	Staff above the threshold will have time and resources allocated to research in their annual Activity Profile. Staff below the threshold will be supported in their aspirations for research with clear targets. Staff may be supported to move up the 'research ladder' and advance to 'significant responsibility' in accordance with their annual activity profile.
Advanced scholarship	Not included in threshold	No expectation of original research, although outputs based on existing knowledge and its application may be produced. Staff in this category may therefore have outputs, but typically of 1* quality with little or no basis in original research. Staff may be supported to move up the 'research ladder' and advance to 'significant responsibility' in accordance with their annual activity profile.

Scholarship of teaching	Not included in threshold	No expectation of original research. Staff in this category will not usually have any research outputs, although there may be publications / presentations of other types.
Knowledge exploitation / commercialisation:	Not included in threshold	No expectation of original research, although other types of output or impact may result from the processes of knowledge exploitation and or commercialisation. Staff in this category may therefore have outputs of other types based on existing knowledge rather than new research.

Table 2.3. Academic activities and threshold

2.6. Other Criteria of research independence and grounds for application

As detailed in the workflow (Figure 2.1) and Table 2.1 once the gateway threshold has been met, at least one of the following indicators must be met the criteria for significant responsibility for research to be met. The grounds on which decisions in this regard will be made are detailed in what follows.

- a) **An expectation of the job role.** This expectation should be documented and must include current research responsibilities as indicated in expectations of research by role. This expectation could be evidenced in job descriptions, staff appraisals or agreed career or research development plans. There should be explicit mention of the review of research performance in staff appraisal documentation and / or research targets in agreed career development plans.
- b) **The Eligibility to apply for research funding as the lead or co-applicant.** The criteria in this regard should be tested against those required by the relevant UK research council. For example:
 - **AHRC:** Academic standing: To be eligible, you must be actively engaged in postdoctoral research and be of postdoctoral standing. This means that you either have a doctorate or can demonstrate in the application that you have equivalent research experience and/or training. You must have a level of skills, knowledge and experience appropriate to the nature of the proposed project.
 - **EPSRC:** Applicants are expected to hold a PhD or have equivalent research experience. For research excellence for example the following apply:
 - **Post-doctoral:** Delivery of outstanding research and an indication of where the research contributes to delivering impact. Awareness of the international context of the research.
 - **Early career:** Has a track record of outstanding research and in delivering impact. Shows a strong awareness of the international context of the research and starting to show evidence of recognition in the community on an international scale.
 - **Established career:** Has a track record of outstanding research and in delivering impact. Evidence of international standing and influence in the context of the research and shows evidence of recognition in the community on an international scale.

- c) **Holding an independently won, competitively awarded fellowship where research independence is a requirement.** The UK Funding Councils / REF Team have produced a comprehensive list of indicative fellowships. See Appendix 5 for guidance.
- d) **Leading a research group or a substantial work package within a clearly defined programme of research.** Evidence in this respect will require a review of a clear programme of research with stated objectives and expected outputs. These must provide clear and audited responsibility for research leadership responsibilities which are measured against expected or achieved key performance indicators or deliverables. Research outputs, joint grant applications, collaboration agreements, awards or other displays of leadership would be appropriate indicators
- e) **Significant input into the design, conduct and interpretation of the research.** Auditable evidence will require significant input into the design, conduct and interpretation of the research which is capable of independent verification. Research outputs and working papers, research data generated, ethics review, conference presentations, grant applications, collaboration agreements and work plans may be suitable, although other indicators may apply.

2.7. Further eligibility criteria

The assessment framework requires further eligibility checks regarding thresholds for the contractual FTE of staff and that they have a substantive connection with the submitting unit. The REF manager, with the assistance of the HR REF liaison officer, will therefore undertake the following eligibility checks, once Stage 3 of the workflow identifying those with a significant responsibility for research has been concluded. These checks will be undertaken during December 2019 for planning purposes and finally during December 2020 to test employment against the framework's requirements. Auditable evidence will be held by the REF Manager in each case.

- a) **Minimum FTE threshold.** Category A eligible staff are defined as academic staff with a contract of employment of 0.2 FTE or greater, on the payroll of the University on the census date (31 July 2020). Contacts of employment will be consulted in this regard.
- b) **Staff on hourly or daily based contracts.** Staff whose salary is calculated on an hourly or daily basis are eligible only if they have a contract of employment of at least 0.2 FTE per year, over the length of their contract. This will be calculated on the mean FTE of these staff using the number of hours or days worked in the HESA reporting years that fall wholly within the REF assessment period (2014–15 to 2019–20), based on 1548 hours, which is the standard annual hours of a full-time employee at the University on an academic contract. Contacts of employment and time recording systems and / or payroll reports will be consulted in this regard.
- c) **Multiple employment functions.** Staff who hold more than one contract for different functions within the University are eligible if one of those contracts satisfies the definition of Category A eligible staff and the thresholds for significant responsibility for research. Such staff will be returned with an FTE that is no greater than that of the qualifying contract. The individual will be returned with the FTE of the contract that makes them eligible for submission to the REF, not the FTE specifically related to

their research duties within that contract. Contacts of employment will be consulted in this regard.

d) Substantive connection. For staff employed on minimum fractional contracts (0.20 to 0.29 FTE) on the census date, the University will provide a short statement of up to 200 words evidencing the clear connection of the staff member with the submitting unit. A range of indicators 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 HEI)
- period of time with the institution (including prospective time, as indicated through length of contract).

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.

2.8. Transitional approach to the non-portability of outputs and former members of staff

REF2021 has adopted a transitional approach to the non-portability of outputs whereby outputs may be submitted by both the institution employing the staff member on the census date and the originating institution where the staff member was previously employed as Category A eligible when the output was demonstrably generated. In future exercises policy indications suggest that outputs will only be eligible for submission at the originating university.

The transitional approach recognises the investment that the University has made in supporting the research and also supports staff in their future careers. It should be noted that there is no disadvantage to former members of staff in this regard as their outputs are in principle eligible for return by a subsequent employing university (subject to other eligibility criteria being met). This will not apply to outputs made publically available in the final months of the publication period (August – December 2020). Outputs in this case will only be eligible for submission to the institution that employs the staff member as a Category A member of staff on the census date.

Checks that former member of staff and their outputs meet the REF eligibility criteria will be made in accordance with the workflow in Figure 2.1, while output section will be in accordance with the workflow in Figure 4.1. Upon finalisation of the submission, the REF manager will inform former members of staff of their inclusion in the submission.

2.9 Particular personal and discipline-related circumstances.

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).

The University will identify the applicable circumstances in lieu of providing a statement at the point of submission. No additional information will be submitted. However, the University will need to be able to verify the circumstances in the event of audit. The procedure outlined in 4.7 (E&D provisions) below, will be followed in regard of identifying particular personal related circumstances.

2.10 Communicating decisions to staff

The REF Manager in liaison with the HR Liaison officer will write to all staff individually informing them of the outcome of the process and the basis upon which they have been identified as having / not having a significant responsibility for research, in accordance with the criteria and tests for 'allocation of resources', 'expectation of job role', 'research independence', substantive connection and contractual status. The communication will inform staff of the appeals process. Staff will be informed in the January 2020.

2.11 Development of process

Development of REF2021 the Code of Practice has been led by the REF Manager in liaison with the Director of Human Resources at the instruction of the University's Research Committee and REF Management Group. The processes to be followed have been consulted on and agreed with staff representative groups as detailed in Table 2.4. In each a process of consultation and feedback from representatives of the academic community and the Senior Management Team has been undertaken, minutes of which are available for consultation.

Research Committee	12th Dec 2018
Director of Human Resources	22nd Jan 2019
REF Management Group	23rd Jan 2019
Strategic Equalities Steering Group	23rd Jan 2019
REF Management Group	27th Feb 2019
Staff consultation briefing: Swansea	22nd March 2019
Staff consultation briefing: Lampeter / CAWCS	26th March 2019
Staff consultation briefing: Carmarthen	26th March 2019
University wide consultation	April 1st – 12th 2019
Senate	8th May 2019

University & College Union (UCU)	21st May 2019
Undeb Cenedlaethol Athrawon Cymru (UCAC)	21st May 2019
Research Committee	22nd May 2019

Table 2.4. Bodies and representatives consulted

2.12 Staff Consultation

The code has been through a period of University wide briefing during March and consultation April 2019. Consultation briefings were held on the University's Lampeter, Carmarthen and Swansea campuses prior to a formal consultation period in which staff could submit written responses on an anonymous basis. This consultation ran April 1st - 12th 2019. The consultation documents, briefing notes and a recording of one briefing session were made available to staff on the University's intranet under the REF 2021 information page. For staff who do not have regular IT access, and for those newly joining the institution, hard copies were made available within their academic unit and could also be obtained from the Human Resources Department and Research, Innovation and Enterprise Services. The consultation was available in a variety of alternative and accessible formats and through the medium of Welsh. The University's Human Resources Department alerted all academic staff who are absent due to ill health and convalescence, those undergoing surgical procedures (such as gender-reassignment), maternity or paternity leave, disability, secondment, disciplinary suspension, or any other reason such that is resulting in ongoing absence from work of the consultation. In such circumstances a hard copy of the consultation briefing was sent to each member of staff. An open invitation to discuss the proposed Code and the implications for them with a member of the Equality and Diversity Group was also made at this time. Such a consultation, when requested, was held at a time and place convenient to the member of staff and within four weeks of the request.

Consultation results, outcomes and decisions

REF Briefings were held on the Swansea, Carmarthen and Lampeter campuses, with 73 attendees in total. An additional 36 staff have viewed the recorded session

Swansea	22 March 2019	26 attendees.
Carmarthen	26 March 2019	26 attendee
Lampeter	26 March 2019	21 attendees.
Recorded presentation	28 March 2019	36 views
Formal Consultation	April 1st - 12th 2019	6 responses

While just six written responses were received, the briefing sessions were reasonably well attended by research active staff from each Faculty. The University however is undergoing a significant restructuring exercise running concurrently but entirely separately with the development of the Code of Practice (Feb 2019 – June 2019) and more substantial engagement may have been expected in other circumstances. The formal consultation responses and any necessary actions or amendments that have been incorporated into the Code are summarised as follows:

Part 1: Introduction. We are seeking views on the following:

1a) How the code relates to broader institutional policies/strategies that promote and support E&D.

Comments related to the language used which was seen to be somewhat ‘abstract’ and ‘sterile’ insofar as the code summarised the relevant institution policy and legislation. In response, it was suggested that an early statement could be included pointing the reader towards more REF specific examples about how staff with protected characteristics would be helped.

Response:

A ‘grey box’ explaining in simple terms what the relevant policy means for staff in the context of REF has been added to Section 1.3. This directs staff to the more detailed explanation and user-friendly overview in Part 4.

1b) How the institution is addressing the principles of Transparency, Consistency, Accountability, and Inclusivity in demonstrating fairness.

Comments were wholly positive and supportive of the University’s approach pointing out that the Code has strong linkages into the four criteria and that both the Code and the further information on the REF pages clearly and robustly set the out criteria. These were also judged to have been clearly communicated in the briefing sessions. The use of a central intranet point (MyDay) was praised as it is seen to support the transparency of REF process across UWTSD.

Response:

No amendment required

1c) How the code is being communicated to staff across the institution.

Comments were positive reporting that the briefing sessions were open, collegiate and responsive to audience questions. The provision of good online University specific REF resources was also praised which was seen as “probably the clearest link to REF issues that we have ever had”. It was requested that staff be informed when new information is uploaded on MyDay, and that we should also clearly signpost staff to bilingual communication.

Comments were also received regarding the unavoidable timing of the briefing and consultation during the University’s restructuring process, and that while the approach taken was satisfactory, it was unlikely to achieve strong participation given its operation during a period of staff concern over potential redundancies and during teaching duties. The streaming of the presentations was noted as an item of good practice which at least helped to ameliorate the situation. It was also suggested that that further sessions would benefit staff after the restructuring process has been completed.

Response:

An explanatory ‘grey box’ has been added noting that further sessions will be held as detailed already in Table 2.9 and that we will alert staff of new content on the REF MayDay page.

1d) Any other views and comments.

Comments noted that the University's REF Manager (based in Research, Innovation and Enterprise Services) has done all that it can to set out the strategy in terms of briefings and web information, but that the question is whether this is being engaged with at a more local level and whether there should be compulsory briefings and information for team leaders who, ultimately, will have a bearing on REF-returnable staff.

Response:

No amendments required – the COP clearly sets out the staff, bodies and processes for the selection of staff and outputs, in addition to the training which will be received by those involved. The CoP also details the manner in which all decisions will be recorded.

Part 2: Identifying staff with significant responsibility for research. Part 2 of the Code relates to staff on teaching and research contracts. We are seeking views on the following:

2a) Criteria used for identifying staff with significant responsibility for research, including how the criteria are being applied, and grounds for decisions taken.

Comments record that the chosen criteria are appropriate in that they are objective, consistent and measurable. They offer a reasonable chance of giving a fair and objective representation of REF-pertinent research at UWTSD and these are very clear in the online documentation and the briefings.

Concerns were however raised regarding the setting of the gateway threshold for significant responsibility for research at 10% FTE, noting that this is low in comparison to research intensive universities and that "everyone who works at a HEI should be involved in research, hence should have research as part of the job role expectation". It was recognised however that UWTSD is a teaching led University and that 10% is reflective of current workload allocation models. Concerns were made that this does not capture any research input that that staff may undertake beyond their contracted hours. Points were also made on this regard that the University must ensure that activity profiles (as recorded in workload allocation models) clearly and consistently allocate and document research duties as defined in the Code to ensure a "level playing field"

Response:

No amendment required. While a consistent Activity Profiling Methodology will be introduced for the 2019-20 academic year, 10% FTE reflects the lower end of the current allocation of time for research and has been set low as to be inclusive as possible. Setting the threshold higher, as may be the case in more research intensive universities, would remove research active staff from meeting the criteria of having a 'significant responsibility for research'.

2b) How decisions are being made and communicated to staff, including timescale.

It is felt that while the timescale of selection is quite late the CoP overall outlines the process well and that what staff and research leaders have to do now is being communicated well at this point. Concerns were made in this regard however regarding the application of the code and that work is needed which supports staff to 'attend' training. It was also recognised that the Code sets out clear and transparent processes to identify staff who have a significant

responsibility for research, and that there is merit in the fact that the process is separate from the actual allocation of time and resources to conduct research as this is a matter for the relevant Dean of Faculty with has the benefit of bringing the decision closer to the research community.

Response:

No amendment required. Staff training points and functional responsibilities are clearly indicated throughout the Code

2c) Staff, committees and training.

It was generally felt that the approach taken is appropriate, although some concerns were raised regarding research staff input into the decision making process and that it would be better to maintain some flexibility in this regard and not name individuals in each decision making body (as the Code currently does). The point was also made that the list of members of the Research Committee and REF Management Group also need to be adjusted to the new University structure with three institutes instead of five faculties.

Response:

The academic structure of the University is being decided through the current restructuring process which will not be resolved until after the Code of Practice must be submitted to the UK Funding Councils for approval. Once this is resolved the Code will be fully updated to reflect any amendment bodies and processes. Staff members involved in the REF decision making process have been named in the Code to aid transparency, consistency, accountability and inclusivity. Any changes that should be required following the restructuring, or through the remainder of the submission period, will be updated in the code and communicated to staff.

2d) Appeals process, including how cases are submitted, eligible grounds for appeal, those involved in hearing any appeals (demonstrating their independence from earlier decision processes), timescales and how decisions are being communicated to staff.

It was felt that the approach taken appears appropriate and workable within the university's structures and hierarchy.

Response:

No amendment required

2e) Any other views and comments

There was some concern regarding reference to the reorganisation of research at the University through the current restructuring process and it was queried whether it was appropriate to point to specific structures and current strategies in light of this.

Response:

The academic structure of the University is being decided through the current restructuring process which will not be resolved until after the Code of Practice must be submitted to the UK Funding Councils for approval. Once this is resolved the Code will be fully updated to reflect any amendment bodies and processes.

<p>Part 3: Determining research independence. Part 3 of the Code relates to staff on research only contracts. We are seeking views on the following:</p>
<p>3a) Criteria used for determining staff who meet the definition of an independent researcher, including how the criteria are being applied, and grounds for decisions taken.</p> <p>It was felt that the criteria are clear and objectively measurable.</p>
<p>Response: No amendment required.</p>
<p>3b) Staff, committees and training.</p> <p>It was felt that the approach taken is proportional and appropriate and that all information is clear. Points were raised regarding decision making as in question 2c.</p>
<p>Response: No amendment required</p>
<p>3c) Appeals process, including how cases are submitted, eligible grounds for appeal, those involved in hearing any appeals (demonstrating their independence from earlier decision processes), timescales and how decisions are being communicated to staff.</p> <p>It was felt that the appeals process fulfils the required functions and that all information on the matter is clear. It was pointed out that line managers also need training to identify, support and encourage staff to be active researchers this will reduce the likelihood of an appeals.</p>
<p>Response: No amendment required. Staff training points and functional responsibilities are clearly indicated throughout the Code</p>
<p>3d) Any other views and comments.</p> <p>None received</p>
<p>Response: No amendment required</p>

<p>Part 4: Selection of outputs. Part 4 of the Code details the University's approach for the selection of outputs and procedures for staff to declare circumstances. We are seeking views on the following:</p>
<p>4a) Details of procedures that have been developed to ensure the fair and transparent selection of outputs, including the University's approach to submitting outputs by former staff.</p> <p>All information was judged to be clear although concerns were raised over the timing of assignment of staff to UoAs and what output types are eligible for return.</p>

Response:

A 'Grey Box' has been added with a clearer signpost to REF Guidance On Submissions and Panel Criteria and Working Methods documents. Details of output types will also be detailed on the MyDay REF page

4b) Staff circumstances. Procedures for taking into account staff whose circumstances have affected their ability to research productively throughout the period in relation to the unit's total output requirement.

The approach taken is was judged to be appropriate and all information is clear. Some comments conflated protected characteristics with the allocation of time and resources to conduct research while others made comments regarding proposals for the reductions of outputs which are outside the scope of REF policy.

Response:

No amendment required

4c) Staff circumstances. Procedures for taking into account the effect of circumstances that have had an exceptional effect on the ability of an individual staff member to research productively throughout the period so that they do not have the required minimum of one output.

The approach taken is seen as sufficiently broad to cover the majority of foreseeable instances.

Response:

No amendment required

4d) Staff circumstances. For both of the above cases, procedures for: 1) staff to declare voluntarily circumstances in a confidential manner and 2) units to adjust expectations about staff contribution to the output pool, as appropriate.

The methods suggested appear suitable and all information is clear

Response:

No amendment required

4e) Appeals process, including how cases are submitted, eligible grounds for appeal, those involved in hearing any appeals (demonstrating their independence from earlier decision processes), timescales and how decisions are being communicated to staff.

The process is appropriate to the requirement and all information is clear

Response:

No amendment required

4f) Staff, committees and training.

All information is clear

Response:

No amendment required

4g) Any other views and comments

None

Response:

No amendment required

Staff Representative Groups

Strategic Equalities Steering Group

The Strategic Equalities Steering Group gave detailed feedback on the Code of Practice during its development in Jan 2019. Required amendments were related to clarity over the presentation of various technical details and these were incorporated throughout. The Steering Group will continue to review the code and its implementation through the Equality Impact Assessments at the points indicated in Table 1.2. Feedback from staff to the Steering Group will be sought when undertaking the Assessments.

Trade Unions

University & College Union (UCU) and Undeb Cenedlaethol Athrawon Cymru (UCAC) have approved the Code of Practice.

Ongoing opportunities for consultation.

On-going consultation is provided for through the annual equality and diversity questionnaire and the provisions of the Strategic Equality Plan, which can be returned anonymously. This provides staff with the opportunity to feedback on the University's REF2021 working methods. Opportunities for training and discussion will be available in the University's annual Staff Development programme.

2.13 Communicating the agreed process to staff.

The process for communicating the final agreed processes are detailed in Part 1 (Section 1.6). Additionally, the REF Manager and HR REF Liaison officer will hold briefing sessions on the University's Lampeter, Carmarthen and Swansea campuses during November 2019 in order to ensure that the final adopted code and its processes are fully understood by all staff. Specific training will be delivered to those involved in REF planning and decision makers, as detailed in 2.13.

2.14 Staff, committees and training

Functional responsibilities

The University takes seriously its commitment to accountability, transparency, consistency and inclusivity in its planning for REF2021. It has, accordingly, established the following functional responsibilities in order to ensure that all procedures for, a) appointing designated staff, and b) establishing decision making committees with involvement in identifying staff with significant responsibility for research, determining research independence and selecting outputs are clearly documented with appropriate terms of reference. The University has ensured that all staff with such functional responsibilities will received REF2021 specific training on the Code of Practice and the relevant underpinning equality and diversity legislation.

The principal bodies involved in REF2021 planning are the Research Committee (decision making), the REF Management Group (decision making) and the Research Institutes (advisory). The Research Committee in turn reports to Senate. Details and procedures for which are documented in below, while Appendix 6 details the University Governance Arrangements. However, institution-wide functional responsibility for this process is as follows:

- The REF2021 Code of Practice is set within the terms of the University's Strategic Equalities Plan (SEP).
- From a governance perspective, the University Council has the ultimate responsibility for ensuring compliance with equality legislation. Under delegated arrangements from the Vice Chancellor, the Director of Student Services and the Director of Human Resources have responsibility for ensuring compliance with the SEP, together with the Deans of Faculties, Head of Academic Units and Heads of Professional Services.
- The Chair of the REF Management Group is responsible for ensuring that all staff involved in REF2021 planning are compliant with the REF2021 Code of Practice the Chair also has responsibility for ensuring that procedures are carried out in compliance with the SEP.

Modes of operation

Sections 2.15 – 2.21 provide details of the membership and terms of reference of Senate, the University's senior academic committee, and the Standing Committees with designated REF2021 responsibilities. For ease of reference, a summary of the University's key management committees is also provided in Appendix 6. Senate and each of its Standing Committees may co-opt additional members as and when necessary. Unless otherwise stated, committees are quorate when at least one third, or the nearest higher whole number, of the total actual membership is present. The period of office for elected staff representatives is normally three years. Where a Standing Committee includes student representation, a member of staff from the Students' Union is permitted to attend as an observer. Senate normally meets four times each academic session and its Standing Committees normally each meet between three and five times each academic session. Where necessary, Standing Committees may establish their own sub-committees or working groups to deal with operational issues that require action on a more frequent basis.

Record-keeping procedures

The University's Academic Office is responsible for serving and producing all documentation for Senate, its standing committees and their sub-committees, and Faculty Boards. The Research Institutes are serviced by Faculty Administrators and minutes are provided to the REF Management Group. In the case of the Senate, Research Committee, REF Management Group and Faculty Boards, all documentation is produced in the approved house style, which govern the correct procedures for record keeping and the required use of templates for agendas, coversheets for agenda papers, minutes and action points. The style to be adopted in the documentation produced for other committees or working groups is determined by the secretary in consultation with the chair, which is the case for the research institutes. In pursuance to the principles of transparency, consistency, accountability and inclusivity these procedures produce clear and consistent records of discussion and action points, including the consideration of reports from other committees or from designated staff reporting to them.

Decision making process.

The decision making process between the University's standing committees and boards, as governing the development and implementation of this Code of Practice is as shown in Figure 2.2.

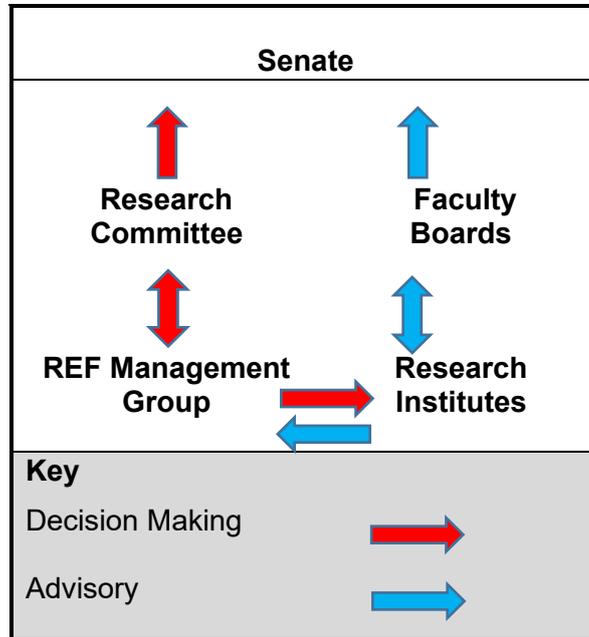


Fig. 2.2. Decision making process.

2.15 Research Committee

The Research Committee is responsible for providing advice and guidance to Senate on research issues. It is charged with facilitating, encouraging and supporting quality research across the University in all its forms.

Terms of Reference

- To lead the development of the Research Strategy for approval by Senate, to monitor progress against the relevant objectives, and to drive and monitor implementation through Faculty research strategies and activity and other sub-strategies;
- To encourage, support and monitor research and scholarly activity and their associated outputs that make a significant contribution to the University's academic and financial standing;
- To provide strategic oversight and direction of the University's knowledge transfer and research impact activities;
- To provide strategic oversight and direction in the development of the University's research environment and infrastructure at staff and postgraduate research level;
- To identify priority areas and provide strategic direction on the development of applications for external funding, and monitor performance targets for the associated external funding;
- To monitor the research and scholarship undertaken by the University's staff;
- To monitor the work of the Research Degrees Committee, particularly in relation to the research environment, research facilities, and research skills training provided to research degree students;

- h) To oversee all work relating to the Research Excellence Framework;
- i) To provide strategic direction on the development of major interdisciplinary research and projects and funding applications;
- j) To oversee postgraduate research student training and staff development related to research;
- k) To monitor the work of the Research Ethics Committee;
- l) To approve all proposals for the appointment of Honorary research, post-doctoral and visiting research positions, to monitor the contribution such appointments make to the University's research performance, and approve their renewal or termination;
- m) To report annually to Senate on its effectiveness, to respond to its requests and to advise on any matter that it considers relevant to issues of research and scholarly activity.

Membership.

Membership, and officers for the 2018-19 Academic Year are detailed in Table 2.5. Membership may be extended to include other relevant staff as and when required. Committee membership will be reviewed in the Equality and Diversity Impact Assessment (see Section 1.7) and detailed in section 2.26. Steps taken to ensure that members are well informed about their own and the University's legal obligations regarding equality, including any relevant training are detailed in Section 2.22.

Deputy Vice-Chancellor (Chair)	Prof. Dylan Jones
Deputy Vice-Chancellor (Research)	Prof. Robert Brown
Chair of the Research Degrees Committee	Dr Christine Jones
Dean or Assistant Dean from each Faculty	FACE: Prof Rhian Jenkins / Prof. Michael Fernando FAD: Prof Ian Walsh / Prof Catrin Webster FBM: Dr Andy Williams / Annette Fillery-Travis (alt) Yr Athrofa: Dr Jane Waters / Dr Ceri Phelps (alt) FHPA: Dr Louise Steel / Dr Jeremy Smith (alt) London Campus: TBC
Research Development Officer	Dr Matthew Briggs
Director of the Centre of Advanced Welsh and Celtic Studies (CAWCS)	Professor Dafydd Johnston
Executive Head of Library and Learning Resources	Alison Harding
A University staff member of Y Coleg Cymraeg Cenedlaethol	Hanna Hopwood Griffiths
One representative from the constituent colleges	Mr Naldo Diana
External representative	Prof. Robert Duck
Co-opted Member	Prof. Jill Venus, Chair of the Research Ethics Committee

Table 2.5. Research Committee. Membership

2.16 REF Management Group

The REF Management Group is a working group of the Research Committee; its members being drawn from and appointed by that committee. The REF Management Group reports to the Research Committee on strategic and operational planning and has overall responsibility for the creation and implementation of planning and delivery for the

University's submission to REF2021. It has decision making powers in respect of this responsibility as detailed in the Terms of Reference. Its membership is drawn from each of the University's faculties as represented on the Research Committee, the Deputy Vice Chancellor and the REF Manager.

Terms of Reference

- a) To ensure that planning is conducted to comply with the Equality Act (2010) and REF2021 Code of practice;
- b) To determine staff for whom explicit time and resources are made available for research in accordance with the procedure detailed in Part 2 of the University's REF2021 Code of Practice.
- c) To determine, for each member of staff for whom explicit time and resources are made available for research, if this above the minimum threshold for significant responsibility for research to be further considered, in accordance with the procedure detailed in Part 2 of the University's REF2021 Code of practice.
- d) To test each member of staff who meet the threshold for significant responsibility for research based on the allocation of explicit time and resources against the criteria for 'expectation of job role' and 'research independence', in accordance with the procedure detailed in Part 2 of the University's REF2021 Code of Practice.
- e) To receive instruction from the Director of Human Resources based on the outcome of the appeals process, in accordance with the procedure detailed in Part 4 of the University's REF2021 Code of practice.
- f) To receive instruction from the Chair of the Strategic Equalities Steering Group in accordance with the procedure detailed in Part 4 of the University's REF2021 Code of Practice.
- g) To identify and agree the finalisation of Category A Submitted Staff in accordance with the procedure detailed in Part 2 of the University's REF2021 Code of Practice.
- h) To audit the FTE in each submitting unit and agree requests for exemption for submission to REF2021 for very small units (below 5 FTE)
- i) To agree the selection of research outputs in accordance with the procedure detailed in Part 4 of the University's REF2021 Code of Practice.
- j) To identify, develop and monitor areas of research impact; review draft REF impact templates, review the completeness and consistency of audit evidence, and approve final impact templates for submission.
- k) To identify, develop and monitor the quality of the research environment; review draft REF environment templates, review the completeness and consistency of audit evidence, and approve final environment templates for submission.
- l) To review and approve final data on research income.
- m) To review and approve final data on PGR students.
- n) To receive reports from the REF Institutional Contact (REF Manager) on the development of the assessment framework, including responding to consultations and reports on working methods;
- o) To approve the appointment and receive reports from external assessors;
- p) To run mock exercises for REF2021 submission
- q) To ensure that the technical infrastructure is in place for reporting to the REF data collection exercises.

Designated staff with responsibilities for REF2021 processes and decision making are detailed below, according to their wider roles and duties within the University, their specific expertise and membership of cognate committees. The membership and composition of the REF Management Group has been agreed by the Research Committee. Changes to the

composition, such that may be required from time to time, will be agreed by the Research Committee.

Members of the REF Management Group

Membership of the REF Management Group has been reviewed in the Equality and Diversity Impact Assessment detailed in section 2.26, while steps taken to ensure that members are well informed about their own and the University's legal obligations regarding equality, including any relevant training are detailed in Table 2.9.

REF Management Group	Appointed Officer
Chair. Deputy Vice Chancellor	Prof. Dylan E. Jones
REF Manager	Dr. Matt Briggs
Representative from each Faculty	
• Faculty of Humanities and Performing Arts	Prof. Bettina Schmidt
• Yr Athrofa: Institute of Education	Dr. Jane Waters
• Faculty of Business and Management	Prof. Jill Venus
• Faculty of Art and Design	Prof. Ian Walsh / Prof. Catrin Webster
• Faculty of Faculty of Architecture, Computing and Engineering	Prof. Rhian Jenkins
Director of the Centre of Advanced Welsh and Celtic Studies (CAWCS)	Prof. Dafydd Johnston

Table 2.6. REF Management Group Membership

2.17 REF Equality and Diversity Group

A REF Equality and Diversity Group comprising the REF Manager, the Chair of the REF Management Group, the Chair of the Strategic Equalities Steering Group and a designated human resources officer has the responsibility of undertaking analysis of data collected through the Declaration of Individual Staff Circumstances form (Appendix 4) in accordance with the working methods outlined in Section 4.6 – 4.7. Membership of the REF Equality and Diversity Group will be reviewed in the Equality and Diversity Impact Assessment (see Section 1.7) and detailed in Section 2.26. Steps taken to ensure that members are well informed about their own and the University's legal obligations regarding equality, including any relevant training are detailed in Section 2.22.

REF Equality and Diversity Group membership	Appointed Officer
Chair of the Strategic Equalities Steering Group	Vacant
REF Manager	Dr. Matt Briggs
Human Resources Officer	Jane Hewitt

Table 2.7. REF Equality and Diversity Group membership

2.18 Research Institutes

In accordance with the University's research strategy, the Research Committee has committed to adopting a research institute structure as detailed in Table 2.8. (Please note, the structure is subject to review in light of the current restructuring). The proposed research institutes are intended to ensure that research in the University is organised on a thematic basis in research institutes rather than at academic unit or faculty level. The purpose of the research institute format is to encourage joint, interdisciplinary and multidisciplinary working and develop critical mass. The research institutes will be responsive to the strategic priorities set out in the institution's research strategy and will be the formal structures recommended for research to be planned and conducted at the highest level of aggregation. Within each research institute are research centres, research groups and individual researchers.

1	Individual researcher	These are staff that are pursuing research in a field which does not match closely with the work of any established group.	 Increasing volume and quality of research 
2	Research group	Research groups represent the combined activity of a closely cognate group of researchers. It is envisaged that most groups would deliver both research and commercialisation outcomes.	
3	Research centre	Research centres would be the means through which research and commercialisation activities would be cohered. They would act as a cluster, bringing together groups and individual researchers.	
4	Research institute	In a small number of cases, research centres might be of a size (in terms of critical mass, income levels etc.) where they could become independent of (though still linked to) a faculty and form the basis for a REF 2021 submission. Research institutes may have research centres and groups within them, and will provide support and strategic guidance in regard of their activities.	

Table 2.8. The research ladder.

Each research institute will be represented on the REF Management Group. The research institutes will have responsibility for the implementation of the actions agreed by the REF Management Group at institute level and below. By such an arrangement research active staff are represented on the REF Management Group through the research institute leader and have the opportunity to inform the decision making process through this interface. Research institutes are headed by designated senior members of staff in each instance, as nominated at Faculty level and agreed by the Research Committee. The REF Manager will attend meetings of the Research Institutes by invitation or instruction of the Chair of the REF Management Group in an advisory role for planning, technical, equality and strategic matters.

2.19 Senate

Subject to the provisions of the Charter and Statutes, Senate is responsible for advising the Vice-Chancellor, as the Chief Executive of the University, on all academic matters pertaining to the work and mission of the University. The Senate is chaired by the Vice Chancellor, or the Vice-Chancellor's nominated deputy, normally meets at least 3 (three) times each academic year and reports to the University Council. Senate is the primary academic decision-making body within the University. As such, it is responsible for ensuring the good standing of the University and for maintaining and enhancing the standard of provision made at the University and in collaboration with partner institutions, both in the UK or overseas. It is responsible for advising the Vice-Chancellor on all academic matters pertaining to the work and mission of the University.

Terms of Reference

- a) To advise the Vice-Chancellor on all issues relating to the strategic development of the University, including recommending for final approval by the University Council the draft strategic plan and receiving and approving related strategies;
- b) To ensure that appropriate academic standards are maintained and to enhance the quality of the student experience for taught and research activities and provision in the University's own name or in partnership with validating and accrediting bodies;
- c) To be responsible for ensuring that the University has and implements appropriate regulations, policies and procedures relating to taught and research provision for: - the admission of students; - the appointment and removal of internal and external examiners; - the assessment and examination of academic performance; - developing, monitoring and reviewing the academic curriculum; - assuring academic standards; - the award of academic qualifications and honorary titles; - the suspension or expulsion of students for academic reasons.
- d) To consider and approve the University's academic portfolio and the resources needed to support its delivery;
- e) To advise on all such other matters as the Council or the Vice-Chancellor may refer to Senate.

Membership

- Vice Chancellor or nominee (Chair)
- Pro Vice-Chancellors
- Associate Pro Vice-Chancellor
- Deans of Faculty
- Dean of Quality and Standards
- Dean of Learning, Teaching and Enhancement
- Director of INSPIRE
- Executive Head of Corporate Services
- One representative from each Faculty
- Three Students' Union Representatives, each from different campus locations
- FE Provosts
- Two Support Unit representatives
- Observer: representative of the Council

2.20 Faculty Board

Faculty Boards are responsible for developing and implementing the Faculty's strategic direction and for ensuring that the Faculty engages appropriately with the University's regulatory and quality assurance framework.

Terms of Reference

- a) To lead the development of the Faculty Strategic Plan for approval by the Senior Directorate and monitor its implementation;
- b) To agree and recommend proposals for new and modified programmes for approval by the Senior Management Team;
- c) To oversee the first stage of the validation process for new programmes of study in accordance with the process and schedules approved by the Academic Quality and Standards Committee and the requirements in Chapter 4 of this document;
- d) To approve proposals for changes to existing programmes within the limitations of its remit in accordance with the requirements in Chapter 4 of this document;
- e) To establish appropriate mechanisms for developing and monitoring the effective implementation of Faculty arrangements for: student recruitment and admission; assessment, support and pastoral care of students; quality and standards; the enhancement of learning and teaching; research activities and staff development in accordance with the requirements set out in other chapters of this document and elsewhere;
- f) To consider and make recommendations regarding proposals for new or amended collaborative partnerships in accordance with the requirements in Chapter 9 of this document;
- g) and to monitor the operation of all partnerships that fall within the scope of the Faculty's responsibilities;
- h) To oversee the annual programme review process within the Faculty and to approve an annual report on the operation of the Faculty and the Programmes of Study for which it is responsible;
- i) To consider as a standing item a report on attendance monitoring for all programmes within the Faculty;
- j) To consider and oversee risk management in the delivery and implementation of the Faculty Strategic Plan, and to advise and report on any risk it considers may have a significant impact on Faculty objectives to Corporate Policy Committee;
- k) To advise and report to Senate and its standing committees on any matters it considers relevant to the operation of the Faculty and to respond to their requests;
- l) To report annually to Senate on its effectiveness, to respond to its requests and to advise on any matter that it considers relevant to the operation of the Faculty.

Membership

- Dean of Faculty or nominee (Chair)
- Assistant Deans of Faculty
- Faculty representatives (maximum of eight), to include a University staff member of Y Coleg Cymraeg Cenedlaethol
- One Students' Union representative
- One Student Faculty representative appointed via the Students' Union
- Head of Academic Services, Library and Learning Resources, or nominee

2.21 Strategic Equalities Steering Group

Terms of reference

- a) To lead the development of the Strategic Equality Plan for approval by Senate and to monitor its implementation.
- b) To ensure that University meets its statutory obligations in relation to equality and diversity
- c) To provide strategic oversight and direction in relation to the University's equality and diversity activities and identify areas for priority
- d) To monitor sector-wide developments with regards to equality and diversity and to implement as appropriate sector best practice.
- e) To monitor the work of the REF Equality and Diversity Group and the Equality and Diversity Network.
- f) To oversee the University's liaison with relevant external organisations.
- g) To advise and report to the Senior Management Team on any matters that it considers relevant to equality and diversity and to respond to its requests.

Membership:

- Chair (vacant)
- Director of HR
- Director of Student Services
- APVC (Student Experience)
- APVC (Corporate and Quality)
- Representative from the Constituent Colleges
-

2.22 Staff Development: Equality & Diversity

The University recognises that staff development and training enhances the knowledge, understanding and skills of staff so that they can more readily discharge their responsibilities to develop and sustain a culture of equality in the working and learning environment. The University delivers equality training to ensure continued awareness. Equality and diversity training for all staff is a regular feature in the University's annual Staff Development Programme.

In addition to the general provisions of equalities legislation, all members of the REF Management Group, the Research Committee and those involved in REF2021 on the Strategic Equalities Steering Group will receive bespoke REF2021 targeted Equality and Diversity training utilising the case study approach methods recommended by the ECU, as detailed in Table 2.28. Representation for these purposes on the Senior Management Team is provided for by the Chair of the REF Management Group and the Chair of the Strategic Equalities Steering Group

The University has also held briefing sessions during the development of this Code of Practice which were open to all staff on the policies, codes and practices adopted by the University with regard to its responsibilities under the terms of the Equality Act 2010, with particular reference to those which are particular to REF2021. A further briefing session will be held prior to the process for staff to disclose circumstances in November 2019.

The REF Manager attended AdvanceHE equality and diversity training in April 2019, the Research England workshop in Feb 2019 and also that run by the ECU during the REF2014 exercise (March 2012). He will also attend any further training should it be scheduled by the REF team for REF2021.

Training Event	Scheduled Data	Criteria for training (level of understanding of the issues they will be required to attain).	Required Attendance
REF2021 Equality and Diversity Provisions (Management)	June 2019	<ul style="list-style-type: none"> • An understanding of the background, E&D legislation and UWTSD's wider E&D provisions • Introduction to the REF2021 specific E&D provisions • Understanding of the UWTSD REF2021 Code of Practice • Ability to correctly and consistently identify circumstances that have significantly constrained the ability of submitted staff to produce outputs or to work productively throughout the assessment period • Ability to correctly and consistently apply reductions on required outputs based on the code of practice • Understanding of the processes for disclosing circumstances. • Understanding confidentiality and the requirements of GDPR • Understanding the appeals process 	REF Management Group, the Research Committee and those involved in REF2021 on the Strategic Equalities Steering Group.
REF 2021 Equality Impact Assessment	June 2019	Understanding the: <ul style="list-style-type: none"> • Legislation and the context for delivery of EIA • The scope and benefits of EIA 	REF Management Group, the Research Committee and those involved in REF2021 on the Strategic

		<ul style="list-style-type: none"> • REF2021 roles and responsibilities for delivering and acting upon the EIA • Understanding the EIA process • Considering the evidence • Assessing Impact • Taking action 	Equalities Steering Group
REF2021 Equality and Diversity Provisions (Staff)	<p>March 2019 (prior to consultation)</p> <p>Nov 2019 (prior to process for staff to disclose circumstances)</p> <p>Alternative arrangements will be offered for those who are unable to attend, due to part-time working hours, carer responsibilities, illness, or any other protected characteristic.</p>	<ul style="list-style-type: none"> • An understanding of the background, E&D legislation and UWTSD's wider E&D provision • Understanding of the UWTSD REF2021 Code of Practice's E&D provisions • Understanding the processes for disclosing circumstances with the confidence to make a disclosure • Understanding that disclosures and be made confidentiality • Understanding the appeals process 	All UWTSD teaching, teaching and research and research only staff. Professional services support staff with involvement in REF2021 (e.g. Human Resources)

Table 2.9. Training

2.23 Feedback and appeals

The University is committed to conduct its preparations for REF2021 in transparent, consistent, accountable and inclusive manner, and has put in place a robust feedback and appeals process which is specific to the REF2021 planning.

Feedback: Category A submitted.

Feedback will be given to Category A submitted staff at various points throughout the planning process. As directed by the Chair of the REF Management Group, the REF Manager in liaison with the HR REF Liaison Officer will write to each member of staff who

has been identified as Category A submitted informing them of decisions made on the University's submission intentions. Such communications shall be made as soon as possible given the timescales indicated in Section 2.3 above. At each point feedback will provide information, as far as it is known on each occasion detailing:

- outputs selected for submission (REF2)
- any reduction of outputs granted through consideration of protected characteristics

The REF Working Management Group shall also draw up, through consultation with staff and the Head of the respective research institute, individual action plans as may be required. The action plans will specify targets pertaining to each of the REF submission categories noted above. Action plans will be reviewed on a systematic basis by the REF Management Group and staff will be required to submit updates. Feedback will be given on progress by the REF Manager. In such cases where contractual amendments have been made through negotiation, with reference to eligibility for submission (REF1a/b), the Director of Human Resources shall write to staff concerned upon the occasion that such decisions are made.

Feedback: Category A non-eligible.

Feedback will be given to staff who do not meet the assessment framework's eligibility requirements for having a significant responsibility for research as soon as possible and within the timescales indicated in Section 2.3 above. As directed by the Chair of the REF Management Group, the REF Manager in liaison with the HR REF Liaison Officer will write to each member of staff informing them of the basis of the decision. This communication shall also outline the appeals process.

Appeals

The University has established two separate mechanisms for individual members of staff who wish to dispute their treatment within the REF2021 planning process on the grounds of the relevant equality and diversity legislation and the incorrect application of the REF2021 Code of Practice. Appeals will be concluded before the final submission date. All staff involved in the appeals process will be independent from earlier decision processes.

- a) Informal appeal.** Staff can obtain an appeal form from the Human Resources intranet pages. This will be submitted to the Chair of the Strategic Equalities Steering Group. An informal review will be undertaken in the first instance by the Chair of the Equality and Diversity Committee. This will incorporate consideration of the staff member's Declaration of Individual Staff Circumstances form (Appendix 4) and / or any documentation relating to the process to determine whether the criteria for having a significant responsibility for research (including allocation of resources, expectation of job role, and research independence) has been met. The Chair will report the outcome of the informal review to the Chair of the REF Management Group who will decide whether or not to uphold the decision and taken any relevant actions, if necessary, to prevent further breaches of the Equality Act.
- b) Formal appeal.** Staff who are still dissatisfied after the informal review will have the right to take the matter forward through the formal 'right of appeal' process. This appeal process is specific to REF2021 equality and diversity matters and the correct application of the REF2021 Code of Practice and is separate from other appeal processes, e.g. those incorporated in the University's Grievance or Disciplinary procedures or Absence Management procedures and is covered by

Dispute Resolution legislation. Staff who wish to formally appeal against the University's submission intentions, on the grounds covered by equality and diversity legislation, or the incorrect application of the REF2021 Code of Practice should submit this request in writing to the Director of Human Resources. The letter of request should indicate the exact grounds for the appeal. The Director of Human Resources will acknowledge the request for an appeal within ten working days and will attempt to schedule the appeal meetings as soon as reasonably practicable. The appeal will be heard by University Governors and an independent Human Resources representative trained in equity legislation. The University reserves the right to include trained members from other Higher Education Institutions.

2.24 Eligible grounds for appeal for 'teaching and research' staff

Grounds for both informal and formal appeal for staff on 'teaching and research' contracts include:

- a) Breach of the Equality Act 2010. The Equality Act 2010 makes sure that people with nine listed protected characteristics are protected from discrimination. These protected characteristics are: age, disability, gender reassignment (transgender), marriage and civil partnership, pregnancy and maternity, race/ethnicity, religion or belief, sex/gender, and sexual orientation. Definitions of the protected characteristics are provided in Appendix 4.
- b) An incorrect decision regarding the verification of thresholds for having a significant responsibility for research, which are contrary to the REF2021 code of practice. Specifically:
- c) Incorrect determination of the allocation of time and resources for research for the member of staff appealing.
- d) Incorrect determination of the expectation of research as a function of the employment role for the member of staff appealing.
- e) Incorrect determination of research independence for the member of staff appealing.
- f) Incorrect determination of contractual status.
- g) Incorrect determination of 'substantive connection' to the University.

2.25 Communicating the appeals process.

The University will ensure that all staff are made aware of the appeals process. To this end it will:

- a) Publish the appeals process on the University's intranet under the Human Resources section. For staff who do not have regular IT access, and for those newly joining the institution, hard copies will be made available within their academic unit or may be obtained from the Human Resources Department and Research, Innovation and Enterprise Service.
- b) Ensure that the appeals process is available in a variety of alternative and accessible formats.
- c) Ensure the appeals process is displayed bilingually and distributed throughout the University.
- d) Ensure the appeals process is handed to new members of academic staff, and all others whose duties will involve preparations for REF 2021 during the induction process.

Special attention will be given to communicating the appeals process to all academic staff who are absent from work. The University's Human Resources Department will upon adoption of the code identify all academic staff who are absent due to ill health and convalescence, those undergoing surgical procedures (such as gender-reassignment), maternity or paternity leave, disability, secondment, disciplinary suspension, or any other reason such that is resulting in ongoing absence from work. In such circumstances a hard copy version of the appeals process will be sent to each member of staff.

2.26 Equality impact assessment

To be completed in May 2019

- Equality and Diversity Impact Assessment of REF Management Group and Equality and Diversity Group Membership

To be completed in December 2019

- How an equality impact assessment has been used to inform the identification of staff and make final decisions?
- Include data on the characteristics of staff considered to meet the criteria for having significant responsibility for research in the context of all staff who are eligible for submission, and all academic staff.

To be completed January 2020

- When considering appeals against identification of staff who do not have significant responsibility for research

Please refer to Section 1.7 and Table 1.2 and 1.3 for process.

Part 3: Determining research independence.

3.1. Policies and procedures

The REF assessment framework sets different eligibility rules for apply for staff on ‘research only’ contracts and those on ‘teaching and research’ contracts regarding institutional submissions which do not return 100% of staff, which is the case for UWTSD. The majority of the University’s academic staff are employed on teaching and research contracts, and will follow the process outlined in Part 2. For staff on research only contracts however, the gateway threshold for ‘significant responsibility for research’ does not apply as such staff do not prima facie have teaching and non-research related administrative duties. As such, the allocation of ‘time and resources’ for research and research as an ‘expectation of job role’ criteria are contractually met. Accordingly, only the criteria for research independence, the FTE of the contract, employment of census date and substantive connection need to be tested. In summary:

Research only staff: The assessment framework requires that staff on ‘research only’ contracts must be independent researchers to meet the definition of Category A eligible. All staff on ‘research only’ contracts who are independent researchers should be returned as Category A submitted staff.

3.2. Research Independence for research only staff

For the purposes of REF2021, an independent researcher is defined as an individual who undertakes self-directed research, rather than carrying out another individual’s research programme. The indicators of independence and their tests are listed in Table 3.1 below. It should be noted that each indicator may not individually demonstrate independence and where appropriate multiple factors may need to be considered:

Criteria	Indicator	Test	Threshold
To engage actively in independent research	Leading or acting as principal investigator or equivalent on an externally funded research project	Where the research project is externally funded the researcher must be listed as the PI.	Clear and audited responsibility for research leadership in the submitted documentation.
	Acting as a co-investigator on an externally funded research project.	This might normally indicate independence in cases where large research programmes have discrete and substantial work packages led by co-investigators, which would be equivalent to a	Clear and audited responsibility for research leadership responsibilities. These must be measured against expected KPIs or deliverables.

		principal investigator role on a smaller grant.	
	Leading a research group or a substantial work package within a clearly defined programme of research	<p>Review of research objectives and expected outputs.</p> <p>Where the research is funded through the University a clear programme of research must be demonstrated, through for example research group constitution or activity, ethics approval processes, internal agreements (for example approved sabbatical applications or funding allocation), collaboration agreements and publications.</p>	Clear and audited responsibility for research leadership responsibilities. These must be measured against expected KPIs or deliverables.
	Holding an independently won, competitively awarded fellowship where research independence is a requirement.	Review of terms and condition of eligibility and the award. See Appendix 5 for guidance on acceptable awards.	Research independence expected.
	Significant input into the design, conduct and interpretation of the research.	Review of research programme or project	Auditable evidence significant input into the design, conduct and interpretation of the research, through for example co-authored research outputs and joint grant applications, awards won and other relevant indicators of esteem.

Table 3.1. Research Independence

3.3. Criteria of research independence and grounds for application

The grounds on which decisions in regard to research independence will be made are detailed in what follows.

- a) **Research Assistants.** Research assistants (sometimes also described as research associates or assistant researchers), 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 cannot not be listed as Category A submitted staff purely on the basis that they are named on one or more research outputs.

Research assistants 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 (except in exceptional where they meet the criteria in Table 3.1. and the definition of Category A eligible staff. See paragraph 129 of Draft Guidance on Submissions). They are usually funded from research grants or contracts from Research Councils, charities, the European Union or other overseas sources, industry, or other commercial enterprises, but they may also be funded from the institution's own funds.

- b) **Leading or acting as principal investigator or equivalent on an externally research project.** Where the research project is externally funded the researcher must be listed as the PI.

- c) **Acting as a co-investigator on an externally funded research project.** This might normally indicate independence in cases where large research programmes have discrete and substantial work packages led by co-investigators, which would be equivalent to a principal investigator role on a smaller grant. Evidence will require a clear and audited responsibility for research leadership. These should be measured against expected KPIs or deliverables.

- d) **Leading a research group or a substantial work package within a clearly defined programme of research.** Evidence in this respect will require a review of a clear programme of research with stated objectives and expected outputs. These must provide clear and audited responsibility for research leadership responsibilities which are measured against expected or achieved key performance indicators or deliverables. Research outputs, joint grant applications, collaboration agreements, awards or other displays of leadership would be appropriate indicators. Where the research is funded through the University a clear programme of research must be demonstrated, through for example research group constitution or activity, ethics approval processes, internal agreements (for example approved sabbatical applications or funding allocation), collaboration agreements and publications.

- e) **Holding an independently won, competitively awarded fellowship where research independence is a requirement.** The UK Funding Councils / REF Team have produced a comprehensive list of indicative fellowships. See Appendix 5 for guidance.

- f) **Significant input into the design, conduct and interpretation of the research.** Auditable evidence will require significant input into the design, conduct and interpretation of the research which is capable of independent verification. Research outputs and working papers, research data generated, ethics review, conference

presentations, grant applications, collaboration agreements and work plans may be suitable, although other indicators may apply.

3.4. Further eligibility criteria

The assessment framework requires further eligibility checks regarding thresholds for the contractual FTE of staff and that they have a substantive connection with the submitting unit. The REF manager, with the assistance of the HR REF liaison officer, will therefore undertake the following eligibility checks, once Stage 3 of the workflow identifying those with a significant responsibility for research has been concluded. These checks will be undertaken during the period December 2019 for planning purposes and finally during August 2020 to test employment against the framework's requirements. Auditable evidence will be held by the REF manager in each case.

- a) **Minimum FTE threshold.** Category A eligible staff are defined as academic staff with a contract of employment of 0.2 FTE or greater, on the payroll of the University on the census date (31 July 2020). Contacts of employment will be consulted in this regard.
- b) **Staff on hourly or daily based contracts.** Staff whose salary is calculated on an hourly or daily basis are eligible only if they have a contract of employment of at least 0.2 FTE per year, over the length of their contract. This will be calculated on the mean FTE of these staff using the number of hours or days worked in the HESA reporting years that fall wholly within the REF assessment period (2014–15 to 2019–20), based on 1584 hours, which is the standard annual hours of a full-time employee at the University on an academic contract. Contacts of employment and time recording systems and / or payroll reports will be consulted in this regard.
- c) **Multiple employment functions.** Staff who hold more than one contract for different functions within the University are eligible if one of those contracts satisfies the definition of Category A eligible staff and the thresholds for significant responsibility for research. Such staff will be returned with an FTE that is no greater than that of the qualifying contract. The individual will be returned with the FTE of the contract that makes them eligible for submission to the REF, not the FTE specifically related to their research duties within that contract. Contacts of employment will be consulted in this regard.
- d) **Substantive connection.** For staff employed on minimum fractional contracts (0.20 to 0.29 FTE) on the census date, the University will provide a short statement (up to 200 words) evidencing the clear connection of the staff member with the submitting unit. A range of indicators is 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 HEI)
- Period of time with the institution (including prospective time, as indicate through length of contract).

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.

3.5. Transitional approach to the non-portability of outputs and former members of staff

REF2021 has adopted a transitional approach to the non-portability of outputs whereby outputs may be submitted by both the institution employing the staff member on the census date and the originating institution where the staff member was previously employed as Category A eligible when the output was demonstrably generated. In future exercises policy indications suggest that outputs will only be eligible for submission at the originating university.

The transitional approach recognises the investment that the University has made in supporting the research and also supports staff in their future careers. It should be noted that there is no disadvantage to former members of staff in this regard as their outputs are in principle eligible for return by a subsequent employing university (subject to other eligibility criteria being met). This will not apply to outputs made publically available in the final months of the publication period (August – December 2020). Outputs in this case will only be eligible for submission to the institution that employs the staff member as a Category A member of staff on the census date.

Checks that former member of staff and their outputs meet the REF eligibility criteria will be made in accordance with the workflow in Figure 3.1, while output selection will be in accordance with the workflow in Figure 4.1. Upon finalisation of the submission, the REF manager will inform former members of staff of their inclusion in the submission.

3.6 Particular personal and discipline-related circumstances.

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).

The University will identify the applicable circumstances in lieu of providing a statement at the point of submission. No additional information will be submitted. However, the University will need to be able to verify the circumstances in the event of audit. The procedure outlined in 4.6 – 4.7 below, will be followed in regard of identifying particular personal related circumstances.

3.7 Workflow for identifying staff who are independent researchers

The process detailed in Figure 3.1 will be used to identify Category A submitted staff on research only contracts in a consistent, objective, non-discriminatory and transparent way, in accordance with the criteria set out in Table 3.1 and Section 3.3 above. This workflow will be applied consistently without variation across all units in the University.

Exceptionally, the University may, and only with prior permission from the REF director, request an exception from submission for very small units. 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 5 FTE, providing that:

- the research focus of these staff falls within the scope of one UOA,
- is clearly academically distinct from other submitting units in the University,
- the environment for supporting research and enabling impact of each proposed submitted unit is clearly separate and distinct from other submitting units in the University.

In cases where a submission exception is sought, the REF Management Group, at the instruction of the Research Committee, will set out the case for an exception from submission for the unit, which would normally fall under one of the following circumstances: i) the research is in scope of a UOA in which the University has not previously submitted, and has not been an area of investment and growth for the University; ii) where a previous REF submission has been made, there has since been a change in the staff profile in the research area in the University. The REF director will decide on all such requests in consultation with chairs of the relevant main and sub-panels. The REF Team will invite institutions to make any requests for submission exceptions in early 2019 and responses will be required by December 2019. Requests for submission exceptions are not binding. The University may decide to return the unit where they have been given approval for an exception.

Step	Task	Date	Responsible Officer
1	Identify staff on Research Only contacts	Oct 2018	REF Manager HR REF liaison officer
2	Initial mapping of staff to UoA <ul style="list-style-type: none"> • This is required to meet the final request for exemption deadline of 6th Dec 2019 Request Exemption for very small Units	Nov 2019	REF Manager
3	Test Criteria for 'research independence'	Nov 2019	REF Manager Dean of Faculty / Associate Dean for Research

	<ul style="list-style-type: none"> Table 3.1 			REF Manager to collate audit evidence and grounds for decision
4	Test additional eligibility criteria. <ul style="list-style-type: none"> FTE threshold Substantive connection 	    	Dec 2019	REF Manager HR REF liaison officer
5	Consider any E&D exceptions that might apply in meeting additional eligibility criteria. <ul style="list-style-type: none"> Section 4.7 		Dec 2019	REF Manager HR REF Liaison officer
6	Inform staff <ul style="list-style-type: none"> Identified as Category A Submitted Do not meet research independence threshold 		Jan 2020	REF Manager
7	7. Appeals <ul style="list-style-type: none"> Section 3.10 		Jan 2020	Director of Human Resources
8	Finalisation of Category A Submitted Staff		Feb 2020	REF Manager
9	Ongoing process of steps 1-8 for newly appointed staff		Nov 2019 – Nov 2020	REF Manager
10	Begin process for selection of outputs <ul style="list-style-type: none"> Processed defined in Part 4 		Jan 2020	REF Manager

Figure 3.1. Workflow to identify Category A submitted ‘research only’ staff

3.8. Communicating decisions to staff

The REF Manager in liaison with the HR Liaison officer will write to all staff individually informing them of the outcome of the process and the basis upon which they have been identified as having / not having a significant responsibility for research, in accordance with the criteria and tests for ‘research independence’, substantive connection and contractual status. The communication will inform staff of the appeals process. Staff will be informed in January 2020.

3.9. Staff, committees and training

The University’s procedures for identifying designated staff and committees for determining research independence is as detailed in Sections 2.15 – 2.22 above. This provides information on role descriptions for individuals and terms of reference for the Research Committees and REF Management Group, their modes of operation, and record-keeping

procedures, as well as information about where these roles / committees / panels fit into the wider institutional management structure, such as the University's Research Institutes and Senate. Details of training provided to individuals and committees involved in identifying staff, the timescale for delivery, and content are provided in Section 2.21.

3.10 Appeals

The feedback and appeals process for staff on research only contracts are as detailed in Section 2.23. This provides information on how the appeals process has been communicated to staff details of the process, including how cases are submitted, details of those involved in hearing any appeals (demonstrating their independence from earlier decision processes), timescales and how decisions are being communicated to staff.

Eligible grounds for appeal for 'research only' staff

Grounds for both informal and formal appeal for 'research only' staff include:

- a) Breach of the Equality Act 2010. The Equality Act 2010 makes sure that people with nine listed protected characteristics are protected from discrimination. These protected characteristics are: age, disability, gender reassignment (transgender), marriage and civil partnership, pregnancy and maternity, race/ethnicity, religion or belief, sex/gender, and sexual orientation. Definitions of the protected characteristics are provided in Appendix XX.
- b) Incorrect determination of contractual status
- c) Incorrect determination of research independence for the member of staff appealing
- d) Incorrect determination of 'substantive connection' to the University

3.11. Equality impact assessment

To be completed in December 2019

- How an equality impact assessment has been used to inform the identification of staff and make final decisions?
- Include data on the characteristics of staff considered to meet the criteria for having significant responsibility for research in the context of all staff who are eligible for submission, and all academic staff.

To be completed January 2020

When considering appeals against identification of staff who are not have independent researchers

Please refer to Section 1.7 and Table 1.2 and 1.3 for process.

Part 4: Selection of outputs

4.1. Scope of submissions.

The University will submit all eligible staff it employs with significant responsibility for research, organised into submitting unit(s) for return into the relevant UOA(s) with the exception of very small units which may be exempt, as detailed below. A submission comprises a complete set of data about staff, outputs, impact and the environment returned by the University in any of the assessment framework's 34 UOAs. A submission provides evidence to the sub-panel about the activity and achievements of a 'submitted unit'. A submitted unit means the group or groups of staff identified by the HEI as working primarily within the remit of a UOA and included in a submission, and by extension:

- The research produced by the unit during the REF publication period (1 January 2014 to 31 December 2020).
- Research related to that UOA and undertaken within the institution (between 1 January 2000 and 31 December 2020), which underpins submitted impact case studies.
- The structures and environment that support research and its application or impact (during the assessment period).

In addition to printed academic work, research outputs may include, but are not limited to: new materials, devices, images, artefacts, products and buildings; confidential or technical reports; intellectual property, whether in patents or other forms; performances, exhibits or events; work published in non-print media. An underpinning principle of the REF is that all forms of research output will be assessed on a fair and equal basis. Sub-panels will not regard any particular form of output as of greater or lesser quality than another per se. Reviews, textbooks or edited works (including editions of texts and translations) may be included if they embody research as defined in Annex C of Guidance on Submissions. Editorships of journals and other activities associated with the dissemination of research findings should not be listed as an output.

What's an eligible output in REF terms?

A comprehensive glossary of output types is available in Annex K of Guidance on Submissions, available at <https://www.ref.ac.uk/>.

You can also REF look at Panel Criteria and Working Methods documents.

Details of output types are also detailed on the MyDay REF page

If you are in doubt, please contact Dr Matt briggs (REF Manager) on REF2021@uwtsd.ac.uk who will be pleased to advise.

4.2. Outputs required

Submissions must include a set number of items of research output, equal to 2.5 times the combined FTE of Category A submitted staff included in the submission. Rounding to the nearest whole number will be applied to give a whole number of outputs for submission. This number will be adjusted, as appropriate, to take account of successful requests for staff circumstances (see Section 4.6). Each output must be:

- The product of research, briefly defined as a process of investigation leading to new insights, effectively shared.
- First brought into the public domain during the publication period 1 January 2014 to 31 December 2020 or, if a confidential report, lodged with the body to whom it is confidential during this same period.
- Attributable to a current or former member of staff, who made a substantial research contribution to the output, which must be either:
 - Produced or authored solely, or co-produced or co-authored, by a Category A submitted staff member, regardless of where the member of staff was employed at the time they produced that output
 - Produced or authored solely, or co-produced or co-authored, by a former staff member who was employed according to the Category A eligible definition when the output was first made publicly available.
- Available in an open-access form, where the output is within scope of the REF open access policy.

The submitted pool of outputs should include a minimum of one output for each Category A submitted staff member, which has been produced or authored solely, or co-produced or co-authored, by that staff member (unless individual circumstances apply as detailed in Section 4.14). Further outputs are required up to the total for the submitting unit, taking into account any applicable reductions for staff circumstances. A maximum of five outputs may be attributed to an individual staff member (both Category A submitted staff, as well as any former staff whose outputs are eligible for submission). The attribution of the maximum number of outputs to a staff member will not preclude the submission of further outputs on which that staff member is a co-author, where these are attributed to other eligible staff in the unit.

The methodology for determining the number of outputs required for submission is intended to decouple of staff and outputs in REF 2021. This will provide increased flexibility to the University in building the portfolio of outputs for submission. It will also ensure that we can take into account the effect that personal circumstances can have upon an individual researcher's productivity and help us to support staff with circumstances (and avoid introducing negative incentives, for example around recruitment).

The University recognises that there are many reasons why an excellent researcher may have fewer or more outputs attributable to them in an assessment period. It is therefore not expected that all staff members would be returned with the same number of outputs in the submission, and that this will vary between the minimum of one and the maximum of five.

4.3. Process for selecting outputs

The workflow for selecting outputs is outlined in Figure 4.1. This will commence upon completion of the processes for identifying Category A submitted staff, as identified in Figure

2.1 and Figure 3.1. Notes on the rationale and criteria in each step in the workflow are set out in 4.4 below.

Step	Task	Date	Responsible Officer(s)
1	Finalisation of Category A Submitted Staff <ul style="list-style-type: none"> Figs. 2.1 & 3.1 	Jan 2020	REF Manager HR REF Liaison
2	Collection of bibliographic data for research outputs <ul style="list-style-type: none"> All Category A Submitted Staff and former Category A staff 	Jan 2020	REF Management Group
3	Initial review of research output <ul style="list-style-type: none"> Determine if output reaches REF definition of research, falls within the assessment period and is open access compliant (if within scope). Review determination and include in pool or reject. 	Feb 2020	REF Management Group
4	Initial review of research output to assign staff to appropriate Units of Assessment <ul style="list-style-type: none"> Generate output pool 	Feb 2020	REF Management Group
5	Disclosure of circumstances <ul style="list-style-type: none"> Undertake exercise as detailed in Section 4.6 Calculate reductions across Unit and apply reductions. 	Feb 2020	REF Equality and Diversity Group
6	Review of outputs <ul style="list-style-type: none"> Internal Review and grade outputs according to REF criteria External Review and grade outputs according to REF criteria Review output grading with staff 	July 2020	REF Management Group
7	Final assignment of staff to Unit of Assessment	Sept 2020	REF Management Group
8	Provisional Selection of outputs for submission	Oct 2020	REF Management Group
9	Equality Impact Assessment <ul style="list-style-type: none"> Conduct EIA Undertake and corrective and mitigating measures 	Oct 2020	REF Equality and Diversity Group
10	Update of bibliographic data for research outputs <ul style="list-style-type: none"> All Category A Submitted Staff and Category A former staff 	Nov 2020	REF Management Group
11	Repeat steps 3, 6 and 9 as required.	Feb 2020 – Feb 2021.	REF Management Group

12	Confirm Category A Submitted eligibility on census date	Dec 2020	
13	Agree final outputs for submission	March 2021	REF Management Group
14	Conduct EIA	March 2021	REF E&D Group
15	Inform staff	March 2021	REF Manager

Figure 4.1. Workflow for selecting outputs for submission

4.4. Rationale and criteria for selecting outputs

Further detail and the rationale for each step is provided in what follows.

Step 1. Finalisation of Category A Submitted Staff

- a) Refer to Figure 2.1 for teaching and research staff
- b) Refer to Figure 3.1 for research only staff

Step 2. Collection of bibliographic data for research outputs.

- a) All Category A submitted staff will be required to submit a complete and up-to-date record of their research outputs to the REF Management Group. The University is launching an online database to record such information. This information will require bibliographic details of research outputs in the public domain since 1st Jan 2014, in addition to those expected to enter the public domain by 31st Jan 2020.
- b) Further updates will be requested at periodic data points. See Step 12.
- c) The REF Manager will collate information for Category A submitted staff who are no longer employed in the University.

Step 3. Initial review of research output.

- a) The REF Management Group will undertake an initial review of research outputs to determine if each output reaches REF definition of research. The review will determine:
 - i. If the output falls within the assessment period (publically available between 01/01/14 and 31/12/2020)
 - ii. If the output meets the assessment framework's definition of research
 - iii. If the output is open access compliant (if 'within scope'). If is not compliant it can be considered for submission under the 5% exemption rule.
 - iv. If the output is attributable to a former member of staff, they must have left the university's employment between 01/01/14 and 31/07/2020. The output must have been generated while they were a Category A member of staff.
- b) Review determination and include in pool or reject.
- c) Inform staff member of the basis of decision and invite a response confirming the decision or seeking further review.
- d) Conduct further review.

Step 4. Initial review of research output to assign staff to appropriate Units of Assessment

- a) **Assign staff to UoA.** Responsibility for mapping staff and their outputs into submitted units lies with the University and will be undertaken by the REF Management Group during the period February 2020 – September 2020. A submitted unit may, but need not, comprise only staff who work within a single department or other organisational unit in the University. A submitted unit may alternatively comprise staff who work in multiple organisational units in the University. The research of a submitted unit must relate primarily to the areas of research set out in the descriptor of the UOA in which it is

submitted. The UOA descriptors are set out in 'Panel criteria and Working Methods', available at <https://www.ref.ac.uk/>.

The criteria for assigning staff and outputs to UoAs will therefore be based upon the composition of the Units of Assessment, and the manner in which they cut across and align with the areas of research pursued in the University and their organisation into thematically organised research units (e.g. at research institute, research centre of research group level). In order to ensure, consistent with the principles of REF2021, that all eligible research staff are returned across the University, the University will endeavour to place all of its research within appropriate Units of Assessment insofar as those outputs and the staff responsible for undertaking the research meet the criteria set independently of the University by the assessment framework. The University acknowledges that the sub-panels' have adopted broad criteria for submissions and expects that instances where staff with a significant responsibility for research cannot be returned on this basis will be very few in number, and only where the FTE of the submitting unit is under five.

- b) **Generate output pool.** REF Management group draws up output pool and confirms that the required threshold for outputs are met (2.5 X FTE Category A Submitted staff). A minimum of 1 output must be attributable to each member of staff, with a maximum of 5 attributable to any member of staff. This may include staff who have left the University's employment. If the output is attributable to a former member of staff, they must have left the university's employment between 01/01/14 and 31/07/2020. The output must have been generated while they were a Category A member of staff.

Step 5. Disclosure of circumstances exercise

- a) As a key measure to support equality and diversity in research careers, in all UOAs a submitting unit may optionally request a reduction without penalty in the total number of outputs required for submission. The reductions applied will be in accordance with the guidance detailed in Section 4.6 - 4.7, which details the processes for confidential disclosure.
- b) Calculate reductions across Unit and apply reductions to the output pool. The REF Management group will review the size of the overall output pool from which the submission will be made and in cases where the required outputs are more than 65% of the total output pool request a reduction. The University anticipates that there will be a potential disparity in the available output pool for very small units, but this could also be the case where there are high proportions of staff with circumstances across all units.

Step 6. Review of outputs

- a) **Internal Review and grade outputs according to REF criteria.** Consistent with the principle of transparency, decisions on the selection of outputs will be made with due consideration of policy statements on quality thresholds which will attract QR funding. The University therefore seeks to promote research which is at a minimum of a quality that is recognised internationally in terms of its originality, significance and rigour, and will not therefore expect to submit work to REF2021 which it considers to be of 1* quality expect for in circumstances where such outputs are required to meet the minimum of one output for Category A submitted staff or the total number of outputs required for each submission (i.e. FTE x 2.5, less any reductions under equality provisions). The classifications for gauging research excellence adopted by REF2021 are detailed in Appendix 2 of Guidance on Submissions, with further specific sub-panel criteria found in Panel Criteria and Working Methods. These documents are available on the REF website at <https://www.ref.ac.uk/> or through the Research, Innovation and Enterprise Services. In each case assessments will be made through a process of peer review

overseen by the REF Management Group. A measure of externality has been introduced through the services of external assessors, as described in Paragraph b).

- b) **External Review and grade outputs according to REF criteria.** The University, as is common practice in the sector, will employ the services of external assessors to offer advice upon outputs eligible for REF2021 submission. Assessors will be appointed on the basis of subject specific fields, rather than in relation to particular Units of Assessment. This approach will be adopted in order to reflect the diverse disciplines encompassed by each the research institutes, or in the case where research falls outside these structures, research groups, research centres or and individual researchers. Review will be sought, with the full knowledge of all Category A submitted staff for all subject areas through scrutiny of the texts themselves, or through consideration of abstract and bibliographic information in such instances that final or draft manuscripts are not available. All eligible outputs will be reviewed regardless of any provisional submission intentions or of the number of outputs available. This inclusive procedure will be followed to protect against unintended prejudice towards those who may be eligible for a reduction in outputs through the protected characteristics outlined in Section 4.7.

External assessors will be recruited to the pool by the relevant research institute leads who in each case sit on the REF Management Group. The role of assessors will be clearly and consistently communicated to each upon appointment and will in each case limited to being asked to comment on the quality of research outputs only. In no case will assessors been able to make decisions or recommendations on which outputs are to be submitted in REF2021, and any such information should it be proffered will be disregarded. Assessors will be paid at a day rate equivalent to that offered to external examiners required for quality assurance purposes, or through pre-existing collaboration arrangements in the case of Yr Athrofa. Arrangements and the administration of the external review will be undertaken by the research institutes with oversight from the REF Manager to ensure consistency and adherence to this Code of Practice.

- c) **Review output grading with staff.** A review meeting should be held with each Category A submitted member of staff in order to review the grading of outputs attributable to them. The meeting will include the REF Manager and the Head of Research Institute. Minutes of the meeting will be recorded by an administrative officer from the Faculty Office.

Step 7. Final assignment of staff to Unit of Assessment

- a) In accordance with the rationale detailed in step 4a, the final assignment of staff to the appropriate Unit of Assessment will be agreed.

Step 8. Provisional Selection of outputs for submission

- a) The REF Management Group will undertake a provisional exercise to select outputs for submission in each Unit of Assessment which shall be informed by the processes, checks, insight and understanding gained through steps 1-8.
- b) The fundamental criteria for selection shall be the considered evaluation of the output's 'originality', 'significance' and 'rigour' as defined in in the generic assessment criteria and level definitions, Appendix 2 of Guidance on Submissions, and the specific sub-panel criteria found in Panel Criteria and Working Methods.

Step 9. Equality Impact Assessment

- a) The Equality and Diversity Group will conduct an Equality Impact Assessment on the decisions arrived at through Steps 1-9 in accordance with the process and guidance detailed in Section 1.7.
- b) The REF Management Group will undertake and corrective and mitigating measures recommended in the Equality Impact Assessment as directed by the Equality and Diversity Group. The Equality Impact Assessment will be published with the results of the University's submissions.

Step 10. Update of bibliographic data for research outputs

- a) The REF Management Group will identify further data points for the updating of bibliographic data on research outputs in accordance with Step 2.

Step 11. Repeat steps 3, 6 and 9 as required.

- a) Initial review of each additional research output identified in Step 1.
- b) Review of output for quality and alignment to UoA as identified in Step 7.
- c) Review provisional selection of outputs for submission.

Step 12. Confirm Category A Submitted eligibility on census date

- a) Check contractual status (FTE and employment)

Step 13. Agree final outputs for submission.

- a) The REF Management Group will undertake a final exercise to select outputs for submission in each Unit of Assessment which shall be informed by the processes, checks, insight and understanding gained through steps 1-12.
- b) The fundamental criteria for selection shall be the considered evaluation of the output's 'originality', 'significance' and 'rigour' as defined in the generic assessment criteria and level definitions, Appendix 2 of Guidance on Submissions, and the specific sub-panel criteria found in Panel Criteria and Working Methods.

Step 14. Equality Impact Assessment

- c) The Equality and Diversity Group will conduct a final Equality Impact Assessment on the decisions arrived at through Steps 1-14 in accordance with the process and guidance detailed in Section 1.7.
- d) The REF Management Group will undertake and corrective and mitigating measures recommended in the Equality Impact Assessment as directed by the Equality and Diversity Group. The Equality Impact Assessment will be published with the results of the University's submissions.

Step 15. Inform Staff

- a) All Category A Submitted staff will be informed in writing, on a confidential basis, on which outputs were included in the University's submission.
- b) The University recognises the sensitive nature of REF2021 and the impact that decisions to submit outputs can have on career prospects, reputation amongst peers and in many cases self-esteem. For this reason, it is committed to making decisions at the earliest possible juncture. All submission intentions however will be subject to subsequent revisions should a) individual outputs fail to enter the public domain on the relevant census dates, or due to any unforeseen circumstances, or b) individual outputs which were not expected to enter the public domain on the relevant census date do so.

4.5. Staff, committees and training

The University's procedures for identifying designated staff and committees for the selection of outputs is as detailed in Sections 2.15 - 2.21 above. This provides information on role descriptions for individuals and terms of reference for the Research Committees and REF

Management Group, their modes of operation, and record-keeping procedures, as well as information about where these roles / committees / panels fit into the wider institutional management structure, such as the University's Research Institutes and Senate. Details of training provided to individuals and committees involved in selecting outputs, the timescale for delivery, and content are provided in Section 2.21.

4.6. Disclosure of circumstances

As a key measure to support equality and diversity in research careers, in all UOAs the University may optionally request a reduction without penalty in the total number of outputs required for submission. This means that:

- a) Staff will be able to be returned without the required minimum of one output where certain exceptional individual circumstances have affected their ability to meet the requirement. This measure is intended to minimise any potential negative impact on the careers of particular groups of researchers who have not been able to produce an output in the period due to their individual circumstances.
- b) UoAs will allow an optional reduction in the number of outputs required from the submitting unit overall. This measure is intended to recognise the cumulative effect on the output pool where units have higher proportions of staff who have not been able to research productively throughout the period because of individual circumstances, even though they may meet the requirement for the minimum of one output.

The reductions will be applied in accordance with the guidance set out in Guidance on Submissions, available from the REF website at <https://www.ref.ac.uk/> or from Research Innovation and Enterprise Services. A summary of the assessment framework's equality measures is set out below, along with the University's procedures for taking into account staff whose circumstances have affected their ability to research productively throughout the period. A detailed Privacy Notice is included in Part 5 explaining what the data will be used for, how it may be updated, how long it will be kept for, how it will be safeguarded and who will have access to it.

4.7. Processes for disclosing circumstances.

The University has made the Declaration of Individual Staff Circumstances form available on the human resources pages of the University intranet (Appendix 4). Staff wishing to disclose personal circumstances should complete the disclosure form and forward to the Chair of the Equality and Diversity Group at the confidential email address given. An overview of the University's approach to these equality and diversity measures is provided in the box below.

When shall I disclose my circumstances? The University will alert all staff of the process for disclosing circumstances during the process for determining those with a significant responsibility for research (Step 5 in the Figure 2.1 and Step 3 in Figure 3.1) and in selecting outputs for submission (Step 5 in the Figure 4.1). You may however disclose circumstances at any time using the confidential email and disclosure form.

Do I have to disclose my circumstances? The University's view is that the individual staff member is best placed to consider whether equality-related circumstances have affected their productivity over the REF assessment period and that they should not feel

under pressure to declare their circumstances where they do not wish to do so. If you wish to declare circumstances, you should follow the process noted above. The University will not take account any individual circumstances other than those that staff have consented to declare voluntarily.

What if my circumstances change? The University recognises that staff circumstances may change between 1st January 2014 and 27th November 2020. If your circumstances change you can download a copy of the Declaration of Individual Staff Circumstances form (Appendix 4) on the University's Human Resource Intranet page. The form should be submitted without delay to the Chair of the Equality and Diversity Group.

What are the University's expectations for my outputs? The University has no predetermined expectations regarding the number of outputs required from any individual Category A submitted member of staff, other than that the minimum requirement to return one output is met. This requirement can be waived however for staff who have personal circumstances which have effected their productivity and who have not been able to produce an output during the assessment period. If this is the case, the University may request that the minimum of one output be removed and if there is a cumulative effect, the overall number of outputs required in the Unit's submission can also be reduced (for example, in small units / submissions). These measures are in place to:

- Ensure recognition of the effect circumstances can have upon an individual researcher's productivity.
- Create the right incentives for HEIs to support staff with circumstances (and avoid introducing negative incentives, for example around recruitment).
- Recognise the potential disparity in the available output pool for units in particular contexts, for example where there are high proportions of staff with circumstances, or for very small units.
- Maintain the integrity of exercise – both in supporting equality and diversity and ensuring the credibility of assessment process.

Will I have to submit at least one output if I have personal circumstances? The University will be able to request a removal of the minimum of one output where any of the following circumstances apply within the period 1st January 2014 to 31st July 2020:

- a) an overall period of 46 months or more absence from research during the assessment period, due to qualifying as an ECR; absence from work due to secondments or career breaks outside the HE sector and qualifying periods of family-related leave;
- b) circumstances with an equivalent effect to absence, that require a judgement, such as disability, ill health, injury, or mental health conditions; constraints relating to pregnancy, maternity, paternity, adoption or childcare; other caring responsibilities (such as caring for an elderly or disabled family member); gender reassignment.

The University can also request a reduction where other circumstances not listed above apply, including a combination of circumstances that would not individually meet the thresholds set out, as long as they have affected the researcher's ability to produce an eligible output in the period.

Further information, guidance and advice. As this is a complex area, staff are also encouraged to consult the full text of Guidance on Submissions. Confidential advice and

guidance can also be sought from a member of the Equality and Diversity Group, as detailed in Section 2.17. Sections 4.8 – 4.14 give more detail on these protected characteristics.

4.8. Summary of applicable circumstances

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

- a) Qualifying as an early career researcher,
- b) Absence from work due to secondments or career breaks,
- c) Qualifying periods of family-related leave,
- d) Circumstances equivalent 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 made in Section 4.11 below.
 - 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 Appendix 2 or relating to activities protected by employment legislation.

4.9. Early career researchers

ECRs are defined as 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 1st August 2016. For the purposes of the REF, an individual is deemed to have started their career as an independent researcher from the point at which:

- a) they held a contract of employment of 0.2 FTE or greater, which included a primary employment function of undertaking 'research' or 'teaching and research', with any HEI or other organisation, whether in the UK or overseas, and
- b) they first met the definition of an independent researcher as defined in Part 3.

The following do not meet the definition of an ECR (this list is not exhaustive):

- a) Staff who first acted as an independent researcher while at a previous employer – whether another HEI, business or other organisation in the UK or elsewhere – before 1 August 2016, with a contract of 0.2 FTE or greater.
- b) Staff who first acted as an independent researcher before 1 August 2016 and have since had a career outside of research or an extended break from their research career, before returning to research work. Career breaks are included in the types of circumstances where requests for output reductions may be made (see paragraph 167).

- c) Research assistants who would not normally meet the definition of an independent researcher, as set out in Section 3.3.

Table 4.1 sets out the permitted reduction in outputs without penalty in the assessment for ECRs who meet this definition.

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

Table 4.1. Early career researchers: permitted reduction in outputs

4.10. Absence from work due to secondments or career breaks

Table 4.2 sets out the permitted reduction in outputs without penalty in the assessment 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. The allowances 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.

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:
0–11.99	0
12–27.99	0.5
28–45.99	1
46 or more	1.5

Table 4.2 Secondments or career breaks: permitted reduction in outputs

4.11. Qualifying periods of family-related leave

The total output pool may be reduced by 0.5 for each discrete period of:

- Statutory maternity leave or statutory adoption leave taken substantially during the period 1st January 2014 to 31st July 2020, regardless of the length of the leave.
- Additional paternity or adoption leave, or shared parental leave¹, lasting for four months or more, taken substantially during the period 1st January 2014 to 31st July 2020.

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:

- c) 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.
- d) By combining the number of months for shorter periods of such leave in combination with other circumstances, such as absence from work due to secondments or career breaks, according to Table 4.2.

4.12. Part-time working

As part-time working is taken account of within the calculation for the overall number of outputs required for the unit (which is determined by multiplying the unit's FTE by 2.5) reduction requests on the basis of part-time working hours should only be made exceptionally. For example, where the FTE of a staff member late in the assessment period does not reflect their average FTE over the period as a whole.

4.13. Circumstances requiring a judgement about reductions

Where staff have had circumstances during the period, as listed a Section 4.8d including in combination with any circumstances with a defined reduction in outputs, the University, through the Equality and Diversity Group will 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 4.3, and provide a brief rationale for this judgement.

Total months absent between 1 January 2014 and 31 July 2020 due to circumstances requiring a judgement about reductions	Output pool may be reduced by up to:
0–11.99	0
12–27.99	0.5
28–45.99	1
46 or more	1.5

Table 4.3 Circumstances requiring a judgement about reductions: permitted reduction in outputs

Combining circumstances

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.

4.14. Removing the 'minimum of one' requirement

This measure only applies in circumstances where an individual has not been able to produce an eligible output as normally 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 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 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 further reduced by one.

Absence of 46 months and above.

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:

- a) an overall period of 46 months or more absence from research, due to one of more of the circumstances set out at paragraph 4.8a, 4.8b and 4.8c (qualifying as an early career researcher, absence from work due to secondments or career breaks and qualifying periods of family-related leave)
- b) circumstances equivalent to 46 months or more absence from research, where circumstances set out at paragraph 4.8d apply (such as mental health issues, caring responsibility, long-term health conditions) or
- c) two or more qualifying periods of family-related leave.

Absence under 46 months.

Where the period of absence (or circumstances equivalent to this) does not equal 46 months or more, but the individual's circumstances are deemed to have resulted in a similar impact, a request may still be made and the institution should clarify this within the request form. Where an individual has a combination of circumstances, all the applicable circumstances should 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.

4.15. Fixed-term and part-time staff

The University is committed to ensuring equality for fixed term relative to permanent/open ended contracts and to part time relative to full time contracts for staff. The Code of Practice is set within the framework of the University's Strategic Equality Plan. The University conducts annual monitoring of the proportion of fixed term to permanent contracts and to part time to full time staff. Equality Impact Assessments of REF processes will identify any practices or policies which promote or advance equality and any which inadvertently discriminate.

4.16. Equality impact assessment

To be completed in October 2020

- How an equality impact assessment on the spread of outputs across staff (in relation to their protected characteristics) has been used to inform the final selection of outputs to be submitted.
- Consider data on the distribution of selected outputs across staff, by protected characteristic, in the context of the characteristics of the submitted staff pool.

To be completed in March 2021

- How an equality impact assessment on the spread of outputs in the final submission across staff (in relation to their protected characteristics) has been used to inform the final selection of outputs to be submitted.
- Consider data on the distribution of selected outputs across staff, by protected characteristic, in the context of the characteristics of the submitted staff pool.

Please refer to Section 1.7 and Table 1.2 and 1.3 for process.

Part 5: Privacy Notice

The University recognises that everyone has rights with regard to the way in which their personal data is handled. During the course of its REF planning the University will collect, store and process personal data about its staff, students, suppliers and other third parties. Data users are therefore obliged to comply with the UWTSD Group Data Protection Policy in all aspects of REF2021 planning and submission as the processing of personal data is essential for the proper administration of the employment relationship, both during and after employment. This will ensure that:

- Data is processed lawfully, fairly and in a transparent manner ('lawfulness, fairness and transparency')
- Data is obtained for specified, explicit and legitimate purposes and not further processed in a manner that is incompatible with those purposes ('purpose limitation')
- Data is processed is adequate, relevant and limited to what is necessary ('data minimisation')
- Data is accurate and, where necessary, kept up to date ('accuracy')
- Data is not to be kept longer than is necessary for the purpose ('storage limitation')
- Appropriate technical and organisational measures against unauthorised or unlawful processing, loss, damage or destruction ('integrity and confidentiality')

Notifying data subjects

If the University collects personal data directly from data subjects in the course of REF2021 planning and submission, we will inform them about:

- The purpose or purposes for which we intend to process that personal data.
- The types of third parties, if any, with which we will share or to which we will disclose that personal data.
- The means, if any, with which data subjects can limit our use and disclosure of their personal data.

Data collected

The University will provide an assurance that proper regard will be given to lawful data protection principles regarding information gathered for the purposes of REF2021. Data collected in these terms include the following for REF 2021 planning and submission will include:

- Individual research and publication information, including that of Early Career Researcher status
- Research activity
- Participation in and organisation of conferences, workshops, networks and seminars
- Knowledge transfer and impact activity
- Continuing professional development activity
- Research supervision
- Income generation and grant capture
- Research based peer esteem indicators, such as membership of editorial boards, AHRC peer review boards etc.
- Training Records

Data collected and held in these areas will be processed in accordance with the requirements of REF2021 submission protocols. Details of these are available in Assessment Framework and Guidance on Submissions. This will include:

- REF2021 planning and submission
- REF training and development purposes
- REF management planning
- Negotiations with trade union or staff representatives
- Timetable or working rota organisation
- To ensure Compliance with the Strategic Equality Plan
- To ensure compliance with the Equality Act 2010

Within the University, the information that staff provide could be seen either in full or summary form by members of the following committees and boards, as detailed in sections 2.15 – 2.21.

- Research Committee
- REF Management Group
- Equality and Diversity Group
- Strategic Equalities Steering Group
- Senior Management Team
- Research Institutes, Research Groups or Research Centres

Members of these bodies that are involved in the review and decision making process apropos of individual staff circumstances will observe confidentiality.

Who will process the data outside of the University?

The purpose of the Research Excellence Framework 2021 (REF2021) is to assess the quality of UK research and to inform the selective distribution of public funds for research by the four UK higher education funding bodies. The REF is managed by the REF team, based at Research England (RE), on behalf of the four UK higher education funding bodies. RE is part of UK Research and Innovation (UKRI), and under this arrangement UKRI has the role of 'data controller' for personal data submitted by us to the REF.

If you are a researcher who has been included as part of our submission to the REF 2021, in 2020 we will send some of the information we hold about you to UKRI for the purpose of the REF2021. The information will not be in coded form and your name and details such as your date of birth, research groups, and contract dates will be provided along with details of your research. If you are submitted with individual circumstances that allow a reduction in the number of outputs submitted, without penalty, some details of your personal circumstances will be provided.

Further details of how UKRI will process your data are provided below.

You can also find further information about what data are being collected on the REF website, at www.ref.ac.uk in particular publication 2019/01, 'Guidance on submissions'.

Sensitive Personal Data

The GDPR categorises data consisting of racial or ethnic origin, political opinions, religious or philosophical beliefs, or trade union membership, genetic data, biometric data, data

concerning health or data concerning a natural person's sex life or sexual orientation as sensitive personal data. Sensitive personal data, such that may be processed under the assessment framework's equality provisions, are subject to stricter forms of processing, as outlined below. Most importantly, if a member of staff informs someone of their protected characteristics their permission must be sought before the information is passed on or stored. Where staff do not provide permission for information to be passed on or stored, the University may be limited in the actions that it can take. Staff cannot be compelled to provide information about their circumstances or to give permission for it to be stored or passed on.

Personal sensitive data detailing personal circumstances covered by the protected characteristics of the Equality Act (2010) will be collected in the form provided in Appendix 4 (Declaration of Individual Staff Circumstances form). The form has been approved for this purpose by the Equalities Challenge Unit. Upon signing the form staff will permit the University to use the data collected for the purposes required of REF2021, the scope of which are outlined in REF publications Assessment Framework and Guidance on Submissions and Panel Criteria and Working Methods both of which are available at <https://www.ref.ac.uk/> or by request from the Research, Innovation and Enterprise Services.

The types of information that **could** be included in the processing activity relate to:

- Mental and physical health, including dates of absence from work due to sickness, and the reason for the absence
- Pregnancy and maternity, adoption and paternity records
- Race or ethnic origin
- Qualifications and skills
- Information relating to discipline or to capability
- Age and years of service
- Declared disability
- Training records
- Religious belief
- Gender including gender reassignment

The University will process information of this nature for any of the following reasons, insofar as they are necessary for REF2021:

- For REF2021 planning and submission
- For training and development purposes
- For management planning
- For negotiations with trade union or staff representatives
- For timetable or working rota organisation
- For compliance with the Strategic Equality Plan
- For compliance with the Equality Act 2010

Previously undisclosed personal Circumstances

The University is aware that the data gathering exercises required for REF2021 may bring to the attention of Human Resources an individual's personal circumstance that the University was previously unaware of. In such cases that consent is given, members of staff

may discuss their individual circumstances, requirements and the support provided by the University with a member of HR staff.

The rights of data subjects

Individuals have a number of rights in relation to their personal data. They can require the organisation to:

- rectify inaccurate data;
- stop processing or erase data that is no longer necessary for the purposes of processing;
- stop processing or erase data if the individual's interests override the organisation's legitimate grounds for processing data (where the organisation relies on its legitimate interests as a reason for processing data);
- stop processing or erase data if processing is unlawful; and
- stop processing data for a period if data is inaccurate or if there is a dispute about whether or not the individual's interests override the organisation's legitimate grounds for processing data.

To ask the organisation to take any of these steps, the individual should send the request to foi@uwtsd.ac.uk.

Safeguards to protect staff members' confidentiality and privacy

UWTS D: Data recorded on the Declaration of Individual Staff Circumstances form (Appendix 4) will be seen and processed by the REF Equality and Diversity Group whose membership consist of the Chair of the Strategic Equalities Steering Group, the REF Manager, and a designated Human Resources Officer. Each will have undergone REF specific equality and diversity training.

Joint submission: In such instances that the University enters into negotiation and planning for joint submissions with another Higher Education Institution, any final reduction in outputs, as calculated through the approved tariffs will be shared with that Institution. This, wherever possible, shall be limited to a statement of the eligible reduction of outputs. Under no circumstances will the sensitive data that underpins such a calculation be passed-on or shared for verification with the organisation / organisations with whom a joint submission is being sought or made without the consent of the individual staff member concerned. Information provided on the Declaration of Individual Staff Circumstances form (Appendix 4) will be shared externally for the purposes of evidencing any reduction in the number of research outputs.

Sharing data with UKRI:

UKRI may pass your data, or parts of it, to any of the following organisations that need it to inform the selective distribution of public funds for research and to carry out their statutory functions connected with funding higher education:

- Department for the Economy, Northern Ireland (DfE)
- Higher Education Funding Council for Wales (HEFCW)
- Scottish Funding Council (SFC).

Some of your data (Unit of Assessment, HESA staff identifier code and date of birth) will also be passed to the Higher Education Statistics Agency (HESA) to enable it to verify coded data returned to it as part of our HESA staff return (see www.hesa.ac.uk). Data returned to the REF will be linked to that held on the HESA staff record to allow UKRI and the organisations listed above to conduct additional analysis into the REF and fulfil their statutory duties under the Equality Act 2010 (England, Wales and Scotland) or the Northern Ireland Act 1998 (Northern Ireland).

UKRI and the organisations listed above will use the information to analyse and monitor the REF2021. This may result in information being released to other users including academic researchers or consultants (commissioned by the funding bodies), to carry out research or analysis, in accordance with the Data Protection Act 2018 and the General Data Protection Regulation (GDPR) (Regulation (EU) 2016/679). Where information not previously published is released to third parties, this will be anonymised where practicable.

UKRI will require that anyone who has access to your data, held in UKRI's records, paper or electronic, will respect its confidentiality and will only process it in accordance with instructions issued for the purposes specified by UKRI.

Parts of your data will be passed to the REF expert panels and the Equality and Diversity Advisory Panel (whose members are independent of UKRI) for the purpose of conducting a systematic evaluation of submissions, in accordance with predetermined criteria and methods. Panels will make judgments about the material contained in submissions and will not form quality judgments about individuals. All panel members are bound by confidentiality arrangements.

Publishing information about your part in our submission

The results of the assessment exercise will be published by UKRI, on behalf of the four UK higher education funding bodies, in December 2021. The published results will not be based on individual performance nor identify individuals.

Those parts of submissions that contain factual data and textual information about research activity will also be published by UKRI, on behalf of the four UK higher education funding bodies, and will be made available online. Published information is likely to include **textual information including impact case studies in which you may be referenced**. Your name and job title may be included in this textual information. Other personal and contractual details, including your date of birth and all information about individual staff circumstances will be removed. UKRI will also publish a list of the outputs submitted by us in each UOA. This list will not be listed by author name.

Data about personal circumstances

You may voluntarily disclose personal circumstances to your submitting unit, which could permit us to submit your information to the REF without the 'minimum of one' requirement (without penalty), or to submit a reduced number of outputs without penalty. If (and only if) we apply either form of reduction of outputs, 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 Equalities 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.

As set out above, unless redacted, the information to be published by UKRI, on behalf of the four UK higher education funding bodies, will include a single list of all the outputs submitted by us. The list of outputs will include standard bibliographic data (including the author name) for each output, but will not be listed by author name.

Accessing your personal data

Under the Data Protection Act 2018 and the GDPR, you have the right to see and receive a copy of any personal information that UKRI holds about you. Further information about the Act and GRPR, and guidance on making a subject access request, can be found on the RE web-site at <https://re.ukri.org/about-us/policies-standards/foi-data-protection/>

If you have any concerns about your information being used for these purposes, please contact:

Data Protection Officer
UK Research and Innovation
Polaris House
Swindon, SN2 1FL

Email: dataprotection@ukri.org

Part 6: Appendices

Appendix 1.

The Equality Act 2010: Quick Facts

What is the Equality Act? The Equality Act 2010 makes it law that every private, public and voluntary organisation must not discriminate against employees and people that use their services because of particular characteristics. The main provisions of the Act were implemented in two phases. The first phase became law in October 2010. It updated and harmonised preceding legislation, providing protection from discrimination for all individuals across a broad range of 'protected characteristics'. The second phase became law in April 2011 introducing a new 'public sector equality duty' and clarifying which organisations must comply with this duty.

Who is protected? The Equality Act 2010 makes sure that people with nine listed protected characteristics are protected from discrimination. These protected characteristics are: age, disability, gender reassignment (transgender), marriage and civil partnership, pregnancy and maternity, race/ethnicity, religion or belief, sex/gender, and sexual orientation. Definitions of the protected characteristics are provided in Appendix B.

What is 'prohibited conduct' under the Act? Private, public or voluntary organisations are not allowed to discriminate directly or indirectly against people with protected characteristics. However, there are some areas of detail that are worth noting:

- With respect to pregnancy and maternity, women are protected for the duration of the pregnancy and up to 26 weeks after the birth
- All those with protected characteristics are protected from harassment, with the exceptions of pregnancy and maternity and marriage and civil partnership
- Discrimination by association is extended to all protected characteristics except pregnancy and maternity. So, for example, carers are protected because of their association with someone with a protected characteristic, such as a disabled person,
- Organisations must continue to make 'reasonable adjustments' for disabled people, and may if appropriate treat a disabled person more favourably than others
- Organisations may not discriminate against someone they perceive to have a protected characteristic – even if that person does not actually have that characteristic.

What are Public Sector Equality Duties (PSED)? The Public Sector Equality Duty means that public bodies not only have to take steps to stop discrimination, harassment and victimisation but also promote equality and foster good relations, which involves tackling prejudice and raising awareness and understanding. There are also certain 'specific duties' for public bodies in Wales including publishing equality objectives and a strategic equality plan, monitoring potential pay gaps, engaging and consulting stakeholders, particularly those with protected characteristics, and assessing how any changes to policy or practice might impact on its ability to meet the general duties listed above.

What is positive action? Positive action means the steps that an employer can legally take to encourage people from groups with different needs or with a past track record of disadvantage or low participation to apply for jobs or promotions. Positive action measures

are designed to counteract the effects of past direct or indirect discrimination and to help abolish stereotyping, and can only apply to groups that are under-represented.

Learners/ students with protected characteristics may be disadvantaged for social or economic reasons or for reasons to do with past or present discrimination. The Act contains provisions which enable education providers to take action to tackle the particular disadvantage, different needs or disproportionately low participation of a particular learner / student group, provided certain conditions are met.

These are known as positive action provisions and allow (but do not require) education providers to take proportionate action to remedy the disadvantage faced by particular groups of learners / students. Such action could include targeted provision or resources or putting in place additional or bespoke provision to benefit a particular disadvantaged learner / student group.

Positive action is not the same as positive discrimination which involves preferential treatment for a particular disadvantaged learner / student group which does not meet the positive action conditions.

It is never unlawful to treat disabled learner / students (or applicants) more favourably than non-disabled learners / students (or applicants).

Appendix 2

Summary of Legislation

<p>Age</p>	<p>All employees within the higher education sector are protected from unlawful age discrimination, harassment and victimisation in employment under the Equality Act 2010 and the Employment Equality (Age) Regulations (Northern Ireland) 2006. Individuals are also protected if they are perceived to be or if they are associated with a person of a particular age group.</p> <p>Age discrimination can occur when people of a particular age group are treated less favourably than people in other age groups. An age group could be for example, people of the same age, the under 30s or people aged 45-50. A person can belong to a number of different age groups.</p> <p>Age discrimination will not be unlawful if it is a proportionate means of achieving a legitimate aim. However, in the context of the REF, the view of the funding bodies is that if a researcher produces excellent research an HEI will not be able to justify not selecting their outputs because of the their age group.</p> <p>It is important to note that early career researchers are likely to come from a range of age groups. The definition of early career researcher used in the REF (see 'Guidance on submissions', paragraphs 144 to 147) is not limited to young people.</p>
<p>Disability</p>	<p>The Equality Act 2010, the Disability Discrimination Act (1995) (Northern Ireland only) and the Disability Discrimination (Northern Ireland) Order 2006 prevent unlawful discrimination, victimisation and harassment relating to disability. Individuals are also protected if they are perceived to have a disability or if they are associated with a person who is disabled (for example, if they are responsible for caring for a disabled family member).</p> <p>A person is considered to be disabled if they have or have had a physical and/or mental impairment which has 'a substantial and long-term adverse effect on their ability to carry out normal day-to-day activities'. Long-term impairments include those that last or are likely to last for at least 12 months.</p> <p>Cancer, HIV, multiple sclerosis and progressive/degenerative conditions are disabilities too, even if they do not currently have an adverse effect on the carrying out of day-to-day activities. An impairment which is managed by medication or medical treatment, but which would have had a substantial and long-term adverse effect if not so managed, is also a disability.</p> <p>The definition of disability is different in Northern Ireland in that a list of day- to-day activities is referred to.</p>

	<p>There is no list of day-to-day activities for England, Scotland and Wales but day-to-day activities are taken to mean activities that people, not individuals, carry out on a daily or frequent basis.</p> <p>While there is no definitive list of what is considered a disability, it covers a wide range of impairments including:</p> <ul style="list-style-type: none"> • sensory impairments • impairments with fluctuating or recurring effects such as rheumatoid arthritis, depression and epilepsy • progressive impairments, such as motor neurone disease, muscular dystrophy, HIV and cancer • organ specific impairments, including respiratory conditions and cardiovascular diseases • developmental impairments, such as autistic spectrum disorders and dyslexia • mental health conditions such as depression and eating disorders • impairments caused by injury to the body or brain. <p>It is important for HEIs to note that people who have had a past disability are also protected from discrimination, victimisation and harassment because of disability.</p> <p>Equality law requires HEIs to anticipate the needs of disabled people and make reasonable adjustments for them. Failure to make a reasonable adjustment constitutes discrimination. If a disabled researcher's impairment has affected the quantity of their research outputs, the submitting unit may return a reduced number of outputs (see 'Guidance on submissions', Part 3, Section 1, 'Staff circumstances').</p>
<p>Gender Reassignment</p>	<p>The Equality Act 2010 and the Sex Discrimination (Gender Reassignment) Regulations (Northern Ireland) 1999 protect from discrimination, harassment and victimisation of trans people who have proposed, started or completed a process to change their sex. Staff in HE do not have to be under medical supervision to be afforded protection because they are trans and staff are protected if they are perceived to be undergoing or have undergone related procedures. They are also protected if they are associated with someone who has proposed, is undergoing or has undergone gender reassignment.</p> <p>Trans people who undergo gender reassignment will need to take time off for appointments and, in some cases, for medical assistance. The transition process is lengthy, often taking several years and it is likely to be a difficult period for the trans person as they seek recognition of their new gender from their family, friends, employer and society as a whole.</p> <p>The Gender Recognition Act 2004 gave enhanced privacy rights to trans people who undergo gender reassignment. A person acting in an official capacity who acquires information about a person's status as a</p>

	<p>transsexual may commit a criminal offence if they pass the information to a third party without consent.</p> <p>Consequently, staff within HEIs with responsibility for REF submissions must ensure that the information they receive about gender reassignment is treated with particular care.</p> <p>If a staff member's ability to work productively throughout the REF assessment period has been constrained due to gender reassignment, the unit may return a reduced number of research outputs (see 'Guidance on submissions', Part 3, Section 1, 'Staff circumstances'). Information about the member of staff will be kept confidential as described in 'Guidance on submissions', paragraph 191.</p> <p>HEIs should note that the Scottish government recently consulted on, and the UK government is currently consulting on, reform of the Gender Recognition Act 2004, which may include streamlining the procedure to legally change gender.</p>
<p>Marriage and Civil Partnership</p>	<p>Under the Equality Act 2010 and the Sex Discrimination (Northern Ireland) Order 1976 as amended, individuals are protected from unlawful discrimination, harassment and victimisation on the grounds of marriage and civil partnership status. The protection from discrimination is to ensure that people who are married or in a civil partnership receive the same benefits and treatment in employment. The protection from discrimination does not apply to single people.</p> <p>HEIs must ensure that their procedures and decision-making processes in relation to REF 2021 do not inadvertently discriminate against staff who are married or in civil partnerships.</p>
<p>Political Opinion</p>	<p>The Fair Employment and Treatment (Northern Ireland) Order 1998 protects staff from unlawful discrimination on the grounds of political opinion.</p> <p>HEIs must ensure that their procedures and decision-making processes in relation to REF 2021 do not inadvertently discriminate against staff based on their political opinion.</p>
<p>Pregnancy and Maternity</p>	<p>Under the Equality Act 2010 and the Sex Discrimination (Northern Ireland) Order 1976 women are protected from unlawful discrimination, harassment and victimisation related to pregnancy and maternity. Consequently, where researchers have taken time out of work, or their ability to work productively throughout the assessment period has been affected, because of pregnancy and/or maternity, the submitting unit may return a reduced number of research outputs, as set out in 'Guidance on submissions', paragraphs 169 to 172.</p> <p>In addition, HEIs should ensure that female researchers who are pregnant or on maternity leave are kept informed about and included in their submissions process.</p>

	<p>For the purposes of this summary it is important to note that primary adopters have similar entitlements to women on maternity leave.</p>
Race	<p>The Equality Act 2010 and the Race Relations (Northern Ireland) Order 1997 protect HEI staff from unlawful discrimination, harassment and victimisation connected to race. The definition of race includes colour, ethnic or national origins or nationality. Individuals are also protected if they are perceived to be or are associated with a person of a particular race.</p> <p>HEIs must ensure that their procedures and decision-making processes in relation to REF 2021 do not discriminate against staff based on their race or assumed race (for example, based on their name).</p>
Religion and belief – including non-belief	<p>The Equality Act 2010 and the Fair Employment and Treatment (Northern Ireland) Order 1998 protect HEI staff from unlawful discrimination, harassment and victimisation related to religion or belief. Individuals are also protected if they are perceived to be or are associated with a person of a particular religion or belief.</p> <p>HEIs must ensure that their procedures and decision-making processes in relation to REF 2021 do not discriminate against staff based on their actual or perceived religion or belief, including non-belief. 'Belief' includes any structured philosophical belief with clear values that has an effect on how its adherents conduct their lives.</p>
Sex (including breastfeeding and additional paternity and adoption leave)	<p>The Equality Act 2010 and the Sex Discrimination (Northern Ireland) Order 1976 protect HEI staff from unlawful discrimination, harassment and victimisation related to sex. Employees are also protected because of their perceived sex or because of their association with someone of a particular sex.</p> <p>The sex discrimination provisions of the Equality Act explicitly protect women from less favourable treatment because they are breastfeeding. Consequently, the impact of breastfeeding on a woman's ability to work productively will be taken into account, as set out in 'Guidance on submissions', Part 3, Section 1, 'Staff circumstances'.</p> <p>If a mother who meets the continuity of employment test wishes to return to work early or shorten her maternity leave/pay, she will be entitled to shared parental leave with the father or her partner within the first year of the baby's birth. Partners may also be eligible for shared parental leave or pay.</p> <p>Fathers/partners who take additional paternity or adoption leave will have similar entitlements to women on maternity leave and barriers that exist to taking the leave, or as a result of having taken it, could constitute unlawful sex discrimination. Consequently, where researchers have taken additional paternity and adoption leave, the submitting unit may return a reduced number of outputs, as set out in 'Guidance on submissions', paragraphs 169 to 172.</p>

	<p>HEIs need to be wary of implementing procedures and decision-making processes in relation to REF 2021 that would be easier for men to comply with than women, or vice versa. There are many cases where a requirement to work full-time (or less favourable treatment of people working part-time or flexibly) has been held to discriminate unlawfully against women.</p> <p>HEIs should note that there are now requirements under UK and Scottish legislation for public authorities (including HEIs) to report information on the percentage difference amongst employees between men and women's average hourly pay (excluding overtime).</p>
Sexual orientation	<p>The Equality Act 2010 and the Employment Equality (Sexual Orientation) Regulations (Northern Ireland) 2003 protect HEI staff from unlawful discrimination, harassment and victimisation related to sexual orientation. Individuals are also protected if they are perceived to be or are associated with a person who is of a particular sexual orientation. HEIs must ensure that their procedures and decision-making processes in relation to REF 2021 do not discriminate against staff based on their actual or perceived sexual orientation.</p>
Welsh Language	<p>The Welsh Language Act 1993 places a duty on public bodies in Wales to treat Welsh and English on an equal basis. This is reinforced by the provisions of the Welsh Language (Wales) Measure 2011 and the Welsh Language Standards (No 6) Regulations 2017. The arrangements for the assessment of outputs in the medium of Welsh by the REF panels are set out in 'Guidance on submissions', paragraphs 278 and 279.</p>

Appendix 3.

UWTSD Equality Objectives for 2016-20

<p>Theme One: Strengthening leadership and governance of E&D across the Group</p> <p>Objective one: To establish, across the UWTSD Group, an interconnected E&D governance structure which engages stakeholders, facilitates the sharing of good practice and has strong, committed senior leadership.</p>
<p>Sub-objectives</p> <ol style="list-style-type: none"> 1. Appoint a senior Group E&D Lead who leads the implementation of this plan and ensures the embedding and alignment of equality and diversity at the highest strategic levels. 2. Ensure this Strategic Equality Plan and related action plans align with UWTSD Group strategic objectives, updating and revising this over its duration if required. 3. Ensure, through annual reviewing, that this Strategic Equality Plan and connected action plans align with future policy developments emanating from the UK and Welsh Governments, the Equality and Human Rights Commission, and HEFCW over the period 2016-2020 and that these objectives and action plans are updated and revised if required. 4. Ensure each institution within the UWTSD Group has its own E&D Committee chaired by a senior leader that meets at least once a semester. 5. Establish a central E&D Committee bringing together institutional representatives, chaired by the Group E&D Lead and reporting to Council and Senate. 6. Make visible the existing strong senior leadership support for E&D through more regular and stronger messages from senior level about E&D's importance and benefits 7. Review the diversity of UWTSD governing bodies to ensure they are representative of the constituencies they serve. 8. Ensure governing bodies are regularly briefed on E&D issues and their responsibilities in this area. Ensure they have the information they need to see the connectivity between this plan and other plans and strategies they oversee.
<p>Theme 2: Strengthening data monitoring</p> <p>Objective 2: To develop a harmonised and effective E&D data system across the UWTSD Group to improve data collection, analysis and use.</p>
<p>Sub-objectives</p> <ol style="list-style-type: none"> 1. To develop a common and comprehensive system of E&D data collection, recording and reporting shared by all institutions in the UWTSD Group to monitor and measure performance against targets set. 2. Develop a strategy to improve disclosure of all protected characteristics by both staff and learners / students which can be adapted to suit each individual institution. 3. Upskill and increase the confidence of staff running E&D data reports and facilitate sharing of good practice in this area. 4. Use E&D data reports, at least annually, to enable the E&D Committee to monitor progress and report to Council and Senate. 5. To ensure the embedding of the analysis of E&D data at all levels of activity.

Theme 3: Awareness and understanding of E&D

Objective 3: To improve awareness and understanding of equality matters and how they impact on the success of the organisation and its people.

Sub-objectives

1. Design and run an E&D awareness campaign for staff and learners / students across the UWTSD Group.
2. Consider developing and publishing a business case for E&D to clarify the issues for leaders, managers and individuals.
3. Include E&D training in inductions for new staff, for E&D committee members, members of selection panels, Human Resource teams and those members of staff undertaking appraisals.
4. Include E&D in other training and development programmes where appropriate.
5. Support the Students' Union in enhancing their training and briefing on E&D for Students' Union officers and course representatives.
6. Increase the number of staff completing Equality Impact Assessment (EIA) training and streamline our EIA systems across the UWTSD Group.
7. Ensure that all student / learner cohorts are made aware of E&D principles and values as appropriate and embed awareness raising activities of E&D within induction events.

Theme 4: Creating an inclusive and open environment

Objective 4: Creating an inclusive environment where all staff and learners feel safe, valued, respected and are able to fulfil their potential, and where people with protected characteristics are able to speak openly about their needs and expect appropriate support.

Sub-objectives

1. Develop a clear system of support for staff with protected characteristics.
2. Ensure that there is a clear system for staff and learners to report any incidents of discrimination, victimisation, harassment, or bullying, that complaints are properly recorded and followed up, and that the complainant receives feedback on the action taken. Produce an annual, anonymised overview report to the central E&D committee recording the incidents that have taken place in all institutions in the UWTSD Group and make recommendations to reduce the likelihood of occurrence.
3. Embed questions about E&D in the staff survey to ensure that staff have a voice on E&D as well as other matters related to their engagement and satisfaction.
4. Strengthen existing learner / student support systems by reporting and monitoring any issues and sharing good practice across the Group through the central E&D committee.
5. Conduct regular staff equal pay audits and identify and address any areas of pay inequality.
6. Explore additional widening participation and/or positive action activities to help address under-representation of learners / students and staff with protected characteristics
7. Support the Students' Union in ensuring that student representation systems across the UWTSD Group appropriately embed E&D principles so that students / learners with protected characteristics have an appropriate voice

8. Ensure fairness and transparency in recruitment, appointment and promotion procedures and tackle any biases identified through monitoring.
9. Strive for equality in bilingualism by meeting the new Welsh Language Standards, raising awareness of the rights of Welsh language speakers, looking for opportunities to collaborate on Welsh medium initiatives, and also by giving staff the opportunity to learn and refresh Welsh language skills.
10. Ensure that procurement services within the UWTSD Group are fair, transparent, embracing best practice and the principles of this Strategic Equality Plan.
11. Consider the use of mentoring and shadowing as a tool for development of E&D awareness and to promote good relationships among all people belonging to the Group.
12. Ensure that all partners within the UWTSD Group publish relevant organisational E&D policies on their website so that these can be easily accessed by stakeholders.

Welsh Language Commitment

Protecting and promoting the Welsh language continues to be a priority of the Welsh Government and more developments are expected with the Welsh Language Schemes being replaced by Welsh Language Standards. We recognise that speaking Welsh is not legally a protected characteristic, and that the development and implementation of the Welsh Language Scheme is managed separately from E&D but in recognition of the links between the two we will identify synergies in policy development, implementation and monitoring.

Responsibilities

Everyone has responsibilities for implementing this Strategic Equality Plan. The specific responsibilities of different groups are set out below:

As a learner you should:

- Treat your peers, and all members of our learning and wider community with respect;
- Feel confident to report any incidents of bullying, victimisation, harassment or discrimination;
- Be aware of the principles of equality and diversity and respect people's rights, preferences and beliefs in accordance with these values.

As a member of staff, agent or consultant you should do the above, plus:

- Apply the principles of equality and diversity in your work and your day-to-day interactions with colleagues and students / learners;
- Ensure you are aware of equality legislation and organisational policies connected to equality and are able to apply these in your working environment as appropriate;
- Be alert and responsive to the needs and rights of people with protected characteristics.

As a line manager or a manager of agents or consultants you should do all the above, plus:

- Ensure that new staff are aware of and understand the organisations' policies connected to equality and diversity;
- Ensure that all your staff are aware of their rights and responsibilities with respect to equality and diversity and challenge any attitudes or behaviours that could be deemed discriminatory or prejudicial;
- Ensure your staff are supported to reach their potential and have equal access to development and promotion opportunities.

As the E&D Group Lead you have

- the responsibility for the effective implementation, monitoring and updating of this Strategic Equality Plan.

As a senior leader you should do all the above plus:

- Include equality and diversity considerations in all relevant strategies and plans;
- Monitor your strategies, policies and plans for any equality impacts;
- Consider the resource and workload implications of, for example, staff E&D training, governance duties, and action plan implementation;
- Ensure a strategic and joined-up approach to equality and diversity.

As a member of the governing body you should:

- Ensure you are fully up to date with the requirements of equalities legislation and the Public Sector Equality Duty (Wales) and their implications for learning providers;
- Ensure your organisation is compliant with equalities duties and legislation;
- Ensure E&D work is adequately resourced, well governed and regularly monitored and that you are receiving clear reports on the progress made and performance to targets;
- Ensure that action is taken if acceptable progress is not being made and targets are not met.

As a provider of goods or services to the UWTSD Group you should:

- Understand and respect the need of the UWTSD Group to eliminate discrimination, promote equality of opportunity and foster good relations between people within the organisation;
- Subscribe to our equality vision and support the principles of this Strategic Equality Plan.

Appendix 4.

Declaration of Individual Staff Circumstances

This document is being sent to all Category A staff whose outputs are eligible for submission to REF2021 (see the UWTSD REF Code of Practice available on the REF MyDay Page).

As part of the University's commitment to supporting equality and diversity in REF2021, 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 REF2021 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
- Disability (including chronic conditions)
- Ill health, injury or mental health conditions
- Constraints relating to family leave that fall outside of the standard allowances
- Caring responsibilities
- Gender reassignment

If your ability to research productively during the assessment period has been constrained due to one or more of the 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). 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

Data recorded on this form will be seen and processed by the REF Equality and Diversity Group whose membership consist of the Chair of the Strategic Equalities Steering Group, the REF Manager, and a designated Human Resources Officer. Each will have undergone REF specific equality and diversity training.

If the University 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. A complete privacy statement, details arrangements for the selection of staff and outputs, and the University's REF 2021 equality and diversity processes are set out in the REF 2021 Code of Practice, on the University's REF MyDay page.

If you have any questions or concerns regarding this process, please contact the Chair of the REF Equality and Diversity Group, on m.plantinga@uwtsd.ac.uk .

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 resubmit this form or contact the Chair of the REF Equality and Diversity Group, on m.plantinga@uwtsd.ac.uk .

To submit this form, you should email, equality@uwtsd.ac.uk

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>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</i></p>	<p>Click here to enter text.</p>

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

Please confirm, by ticking the box provided, that:

- The above information provided is a true and accurate description of my circumstances as of the date below
- I realise that the above information will be used for REF purposes only and will be seen by the UWTSD REF Equality and Diversity Group.
- I realise it may be necessary to share the information with the 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 5.

Research Fellowships requiring independent research

Funder	Fellowship scheme
AHRC	AHRC Leadership Fellowships - Early Career Researchers
AHRC	AHRC Leadership Fellowships
BBSRC	BBSRC David Phillips Fellowships
BBSRC	BBSRC Future Leader Fellowships (from 2018 known as BBSRC Discovery Fellowships)
British Academy	BA/Leverhulme Senior Research Fellowships
British Academy	British Academy Postdoctoral Fellowships
British Academy	JSPS Postdoctoral Fellowships
British Academy	Mid-Career Fellowships
British Academy	Newton Advanced Fellowships
British Academy	Newton International Fellowships
British Academy	Wolfson Research Professorships
British Heart Foundation	Career Re-entry Research Fellowships
British Heart Foundation	Clinical Research Leave Fellowships
British Heart Foundation	BHF-Fulbright Commission Scholar Awards
British Heart Foundation	Intermediate Basic Science Research Fellowships
British Heart Foundation	Intermediate Clinical Research Fellowships
British Heart Foundation	Senior Basic Science Research Fellowships
British Heart Foundation	Senior Clinical Research Fellowships
British Heart Foundation	Springboard Award for Biomedical Researchers
British Heart Foundation	Starter Grants for Clinical Lecturers
Cancer Research UK	Advanced Clinician Scientist Fellowship
Cancer Research UK	Career Development Fellowship
Cancer Research UK	Career Establishment Award
Cancer Research UK	Senior Cancer Research Fellowship
EPSRC	EPSRC Early Career Fellowship
EPSRC	EPSRC Established Career Fellowship
EPSRC	EPSRC Postdoctoral Fellowship* ¹
ESRC	ESRC Future Cities Catapult Fellowship
ESRC	ESRC Future Leaders Grant
ESRC	ESRC/Turing Fellowships
ESRC/URKI	Early Career Researcher Innovation Fellowships
European Research Council	ERC Advanced Grants
European Research Council	ERC Consolidator Grants
European Research Council	ERC Starting Grants
Health Education England	ICA Clinical Lectureship
Health Education England	ICA Senior Clinical Lectureship
Leverhulme Trust	Early Career Fellowship

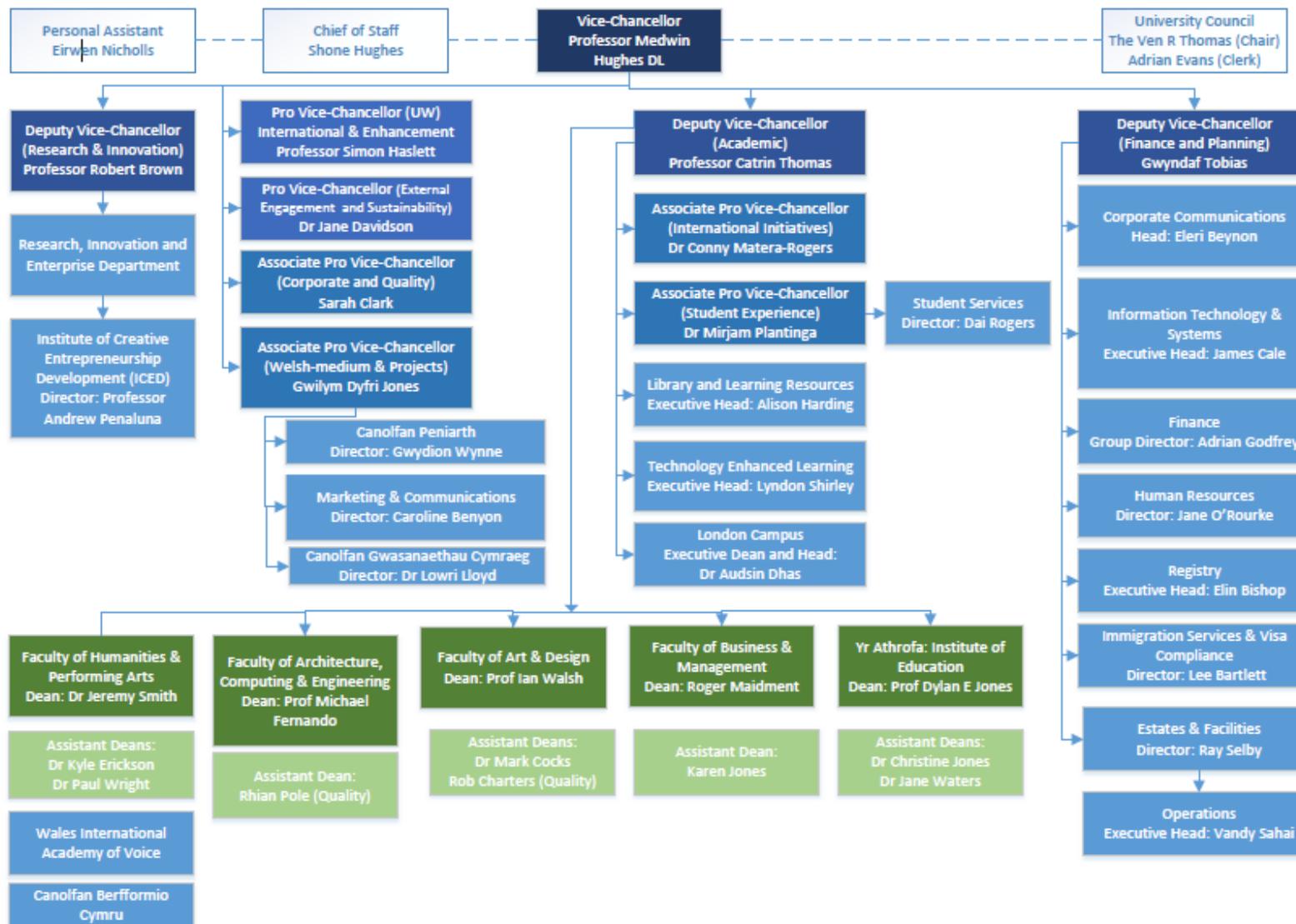
Leverhulme Trust	Research Fellowship
Leverhulme Trust	Emeritus Fellowship
Leverhulme Trust	Major Research Fellowship
Leverhulme Trust	International Academic Fellowship
MRC	MRC Career Development Awards*
MRC	MRC New Investigator Research Grants (Non-clinical)*
MRC	MRC New Investigator Research Grants (Clinical)*
MRC	MRC Clinician Scientist Fellowships*
MRC	Senior Non-Clinical Fellowships
MRC	Senior Clinical Fellowships
NC3R	David Sainsbury Fellowship
NC3R	Training fellowship
NERC	Independent Research Fellowships
NERC/UKRI	Industrial Innovation Fellowships
NERC/UKRI	Industrial Mobility Fellowships
NIHR	Advanced Fellowship
NIHR	Career Development Fellowship
NIHR	Clinical Lectureships
NIHR	Clinical Trials Fellowship
NIHR	Clinician Scientist
NIHR	Development and Skills Enhancement Award
NIHR	Knowledge Mobilisation Research Fellowship
NIHR	Post-Doctoral Fellowship
NIHR	Research Professorship
NIHR	School for Primary Care Post-Doctoral Fellowships
NIHR	Senior Research Fellowship
Royal Academy of Engineering	RAEng Engineering for Development Research Fellowship
Royal Academy of Engineering	Industrial Fellowships
Royal Academy of Engineering	RAEng Research Fellowship
Royal Academy of Engineering	RAEng Senior Research Fellowship
Royal Academy of Engineering	UK Intelligence Community (IC) Postdoctoral Research Fellowship
Royal Society	Royal Society Wolfson Fellowship
Royal Society	Dorothy Hodgkin Fellowship*
Royal Society	JSPS Postdoctoral Fellowship
Royal Society	Newton Advanced Fellowship
Royal Society	Royal Society/Leverhulme Trust Senior Research Fellowship
Royal Society	University Research Fellowship*
Royal Society and Wellcome Trust	Sir Henry Dale Fellowship*
Royal Society of Edinburgh	RSE Arts & Humanities Awards (for permanent staff)

Royal Society of Edinburgh	RSE Personal Research Fellowship
Royal Society of Edinburgh	RSE Sabbatical Research Grants (for permanent staff)
Sêr Cymru	Research Chairs
Sêr Cymru	Rising Stars
Sêr Cymru	Recapturing Talent*
Sêr Cymru	Research fellowships for 3 -5 year postdocs
STFC	CERN Fellowships
STFC	Ernest Rutherford Fellowship
STFC	ESA Fellowships
STFC	Innovations Partnership Scheme Fellowships
STFC	Returner Fellowships
STFC	RSE/STFC Enterprise Fellowships
STFC	Rutherford International Fellowship Programme
UKRI	UKRI Future Leaders Fellowships
UKRI	UKRI Innovation Fellowships
Wellcome Trust	Intermediate Fellowship in Public Health and Tropical Medicine
Wellcome Trust	Principal Research Fellowships
Wellcome Trust	Research Award for Health Professionals
Wellcome Trust	Research Career Development Fellowship
Wellcome Trust	Research Fellowship in Humanities and Social Science
Wellcome Trust	Senior Research Fellowship

Appendix 6

University Committee Structure and organisation chart

Senate	Academic Policy Committee	Learning and teaching forum
		Student Support and Wellbeing Forum
		Welsh Affairs Committee
		Widening Access and Community Engagement Sub-Committee
	Academic Quality and Standards Committee	External Examiner Nomination Panel
		RPEL Board
		Special Cases Committee
	Corporate Policy Committee	Safeguarding Forum
		Sustainability Committee
		Strategic Equalities Steering Group
	Research Committee	Research Degrees Committee
		Ethics Committee
		REF Management Group
		REF Equality and Diversity Group
	Faculty Boards	Faculty Committees
International Affairs and Collaborative Partnerships Committee		
Staff Development Committee		



Please note: this institutional structure is currently under review and will be updated once the restructuring process is complete.

Appendix 7. Equality Impact Assessment/Equality Analysis

Section A: About the Policy			
1. Title of policy being developed/revised:	REF2021 Code of Practice		
2. Policy type	New <input checked="" type="checkbox"/>	Revision	Review
3. Which category does this document fall into?	Policy	Code of Practice <input checked="" type="checkbox"/>	Guidance
	Procedure	Regulation	Service / Practice
	Strategy	Other:	
4. Directorate / Department / Service	RIES		
5. Who is responsible and the developer for this policy?	Dr Matt Briggs. REF Manager		
6. Names and roles of staff involved in completing this checklist:	Dr Matt Briggs. REF Manager Jane Hewitt. HR Officer		
7. What are the main aims of this policy?			
<p>In addition to the University's overarching commitment to equality as covered by the Strategic Equality Plan, it is required by the UK Funding Councils to develop, document and apply a REF2021 Code of Practice in order to define the procedures, functional responsibilities and criteria for selecting staff and outputs to include in its submission to the Research Excellence Framework (REF2021). The Code of Practice must define UWTSU's procedures, functional responsibilities and criteria for:</p> <p>a) The fair and transparent identification of staff with significant responsibility for research; b) Determining who is an independent researcher; c) The selection of outputs.</p> <p>Both as an employer and public body, the University has a legal responsibility to ensure that its REF2021 procedures do not discriminate unlawfully against, or otherwise have the effect of harassing or victimising individuals because of age, disability, gender identity, marriage and civil partnership, race, religion or belief, sex or sexual orientation or because they are pregnant or have recently given birth.</p> <p>In this context, the code of practice will aid the University in promoting equality and diversity, complying with legislation and avoiding discrimination when preparing submissions to REF2021. On making its submissions, the Vice-Chancellor is required to confirm adherence to this code. The University will not be eligible to make submissions to REF2021 without such an approved code. The code will be reviewed and ratified by REF Equality and Diversity Advisory Panel (EDAP). The Code must be submitted for approval by June 7th 2019. The code will be published with the rest of the submission on completion of the assessment process.</p>			

Section B: Equality Relevance					
8. Does the policy involve, or have consequences for students, employees or other people?		Yes X		No	
If yes, then the policy is equality relevant so please state who will be affected. If no, you can skip sections C to E.		Academic Staff			
Section C: The general Duties under the Equality Act 2010					
To eliminate discrimination, harassment and victimisation and all other prohibited conduct			To advance equality of opportunity and foster good relations between people from different groups		
<p>Based on the evidence you have analysed, describe any actual or likely adverse impacts that may arise as a result of the policy and tick the box 'Negative Impact' in the table below then give details under 'Reason/comment'.</p> <p>You should also state what actions will be taken to mitigate that negative impact, i.e. what can the University do to minimise the negative consequences of its decision/action.</p>			<p>Can the policy/project help to advance equality of opportunity or foster good relations in any way?</p> <p>This involves tackling prejudice and promoting understanding between people from different groups. If yes, please tick 'Positive Impact' and provide details explaining how in the table below.</p>		
If there are neither positive nor negative implications for any one group of people compared to others please tick 'Neutral'.					
Protected Characteristic	Positive Impact	Negative Impact	Neutral	Don't Know	Reason / Comment
Age	X				Early Career Researchers are included as a group who will be considered under Clearly Defined Circumstances. A reduction in outputs will be available for those Cat A Submitted staff who declare these circumstances and who meet the REF thresholds.
Disability	X				Periods of disability related absence, ill health or mental illness will be considered as Complex Circumstances cases which require a judgement about reductions and will be considered by REF Equality and Diversity Sub-Group for those staff who declare circumstances.

Gender Reassignment	X				Gender Reassignment will be considered as a Complex Circumstances cases which requires a judgement about reductions and will be considered by REF Equality and Diversity Group for those staff who declare circumstances. Reductions will be requested based on the published REF2021 tariff.
Marriage & Civil Partnership			X		It is expected that the Code will have a neutral impact as it emphasises the need for selection criteria to be free from unlawful discrimination.
Pregnancy and Maternity	X				Pregnancy and Maternity will be considered as a Complex Circumstance cases which require a judgement about reductions and will be considered by REF Equality and Diversity Group for those staff who declare circumstances. Reductions will be requested based on the published REF2021 tariff.
Race			X		It is expected that the Code will have a neutral impact as it emphasises the need for selection criteria to be free from unlawful discrimination.
Religion or Belief			X		It is expected that the Code will have a neutral impact as it emphasises the need for selection criteria to be free from unlawful discrimination.
Sex/ Gender			X		It is expected that the Code will have a neutral impact as it emphasises the need for selection criteria to be free from unlawful discrimination.
Caring Responsibilities	X				REF Guidance on clearly defined circumstances and on complex circumstances will be followed by the REF Equality and Diversity Group considering cases where the member of staff has experienced and declared constraints related to dependent /

					carer responsibilities, career breaks, part-time working etc. and this has impacted on their ability to research productively throughout the REF2021 census period.
Sexual Orientation			X		It is expected that the Code will have a neutral impact as it emphasises the need for selection criteria to be free from unlawful discrimination.
Section D: Implementation					
10. Who is responsible for Implementing the Policy?		The principal bodies involved in REF2021 planning are the Research Committee (decision making), the REF Management Group (decision making) and the Research Institutes (advisory). The Research Committee in turn reports to Senate.			
11. How will the Policy be implemented?		<p>The University will ensure that all staff with such functional responsibilities will receive REF2021 specific training on the Code of Practice and the relevant underpinning equality and diversity legislation. Training is scheduled as below while further training will be provided should the need be identified in ongoing EIAs</p> <p>June 2019. REF2021 Equality and Diversity Provisions (Management)</p> <p>June 2019. REF 2021 Equality Impact Assessment (Management)</p> <p>March 2019 November 2019 REF2021 Equality and Diversity Provisions (Staff)</p>			
12. What needs to be done to help the people implementing this policy to do so fairly and consistently?		<p>Brief the staff involved in the REF submission process. Train those involved in making judgements about individual circumstances. Keep all staff involved in the process up to date with latest guidance and case studies.</p> <p>An EIA will be conducted on the membership of the decision making bodies involved in the selection of staff, determination of research independence and the selection of outputs. These bodies are the Research</p>			

	<p>Committee, REF Management Group and the REF Equality and Diversity Group.</p>
<p>13. What are the resource implications of implementing this Policy? (including time, role, workload and costs)</p>	<p>Time and cost of briefing and training sessions. Time involved in the Equality and Diversity Group considering cases. Time involved for HR Director / Governors considering formal appeals.</p>
<p>14. When will this policy be published and implemented?</p>	<p>The Code of Practice will be implemented following approval by the University's Senate (May 2019) with amendments following feedback from the REF Team / EDAP (subsequent to June 7th 2019)</p> <p>The University will promote its commitment to the code to both existing and potential members of the organisation and document the steps that the University will take to meet equality challenges in respect of REF2021. The University will, in respect of this will:</p> <ul style="list-style-type: none"> f) publish the code on the University's MyDay pages under the Research, Innovation and Enterprise Services section. For staff who do not have regular IT access, and for those newly joining the institution, hard copies will be made available within their academic unit or may be obtained from the Human Resources Department and Research, Innovation and Enterprise Services; g) ensure that the code is available in a variety of alternative and accessible formats; h) ensure the code is displayed bilingually and distributed throughout the University; i) ensure the code will be handed to new members of academic staff and all others whose duties will involve preparations for REF2021 during their induction process; j) publish the results of an equality policy impact assessment made on the University's submission to REF2021 on the UK funding councils' REF2021 website. <p>Special attention will be given to communicating the Code of Practice to all academic staff who are absent from work. The University's Human Resources Department will upon adoption of the code identify all academic staff who are absent due to ill health and convalescence, those undergoing surgical procedures (such as gender-reassignment), maternity or paternity leave, disability, secondment, disciplinary suspension, or any other reason such that is resulting in ongoing</p>

	<p>absence from work. In such circumstances a hard copy version of the Code will be sent to each member of staff. An open invitation to discuss the Code and the implications for them with a member of the Equality and Diversity Group will also be made at this time. Such a consultation, if requested, will be held at a time and place convenient to the member of staff and within four weeks of the request.</p>												
Section E: Review													
15. Who is responsible for monitoring the impact of this policy and when?	<p>Officers: Dr Matt Briggs. Jane Hewitt</p> <p>Date: Ongoing during REF submission period as noted below</p>												
16. How will you measure/monitor and evaluate this policy? e.g. more data analysis?	<p>Analysis of submission data and submissions to the REF Equality Group. Review of feedback from affected staff via the UWTSO Equality and Diversity Steering Group and other appropriate channels.</p>												
17. How will you determine whether the policy had been effectively and fairly applied across the University?	<p>Review of feedback on the application of the Code an analysis of data on submissions.</p>												
18. What is the review date for this policy? (please indicate and state date)	<table border="1"> <thead> <tr> <th data-bbox="684 1357 1166 1431">The Code will be reviewed following EIAs at the following points:</th> <th data-bbox="1166 1357 1391 1431">Expected date:</th> </tr> </thead> <tbody> <tr> <td data-bbox="684 1431 1166 1505">When identifying staff with a significant responsibility for research.</td> <td data-bbox="1166 1431 1391 1505">December 2019</td> </tr> <tr> <td data-bbox="684 1505 1166 1615">When determining research independence.</td> <td data-bbox="1166 1505 1391 1615">December 2019</td> </tr> <tr> <td data-bbox="684 1615 1166 1794">When considering appeals against identification of staff who do not have significant responsibility for research or who are not independent researchers.</td> <td data-bbox="1166 1615 1391 1794">January 2020</td> </tr> <tr> <td data-bbox="684 1794 1166 1901">When selecting outputs for submission.</td> <td data-bbox="1166 1794 1391 1901">June 2020</td> </tr> <tr> <td data-bbox="684 1901 1166 1973">When preparing the final submission.</td> <td data-bbox="1166 1901 1391 1973">November 2020</td> </tr> </tbody> </table>	The Code will be reviewed following EIAs at the following points:	Expected date:	When identifying staff with a significant responsibility for research.	December 2019	When determining research independence.	December 2019	When considering appeals against identification of staff who do not have significant responsibility for research or who are not independent researchers.	January 2020	When selecting outputs for submission.	June 2020	When preparing the final submission.	November 2020
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Section F: Authorisation	
Name & job title of person completing this checklist:	Dr Matt Briggs
Date of completion:	07/05/2019
Name & job title of person responsible for monitoring and reporting on the implementation of the actions arising from this checklist:	Jane Hewitt

Code of Practice author(s):

Dr Matt Briggs. Executive Research Development Officer.

Document version control

Version No:	Reason for change:	Author:	Date of change:
V2 18_12_18	Original document for review by HR and REF MG	Matt Briggs	18/12/18
V3 24_01-19	Updates following REF MG review	Matt Briggs	24/01/19
V4 11_02_19	Updates following HR review	Matt Briggs	11/02/18
V6 12_03_19	Updates following attendance at REF information event and finalisation of Guidance on Submissions	Matt Briggs	12/03/19
V6 19_03_19	Updates following discussions with HR	Matt Briggs	19/03/19
V7 19_03_19	For Consultation	Matt Briggs	19/03/19
V8 20_04_19	Post Consultation updates	Matt Briggs	20/04/19
V9 04_06_19	Post Consultation updates	Matt Briggs	04/06/19
V10 05_06_19	Final UWTSD approved code submitted to EDAP	Matt Briggs	05/06/19
V11 09_09_19	EDAP approval noted; REF MG membership updated.	Matt Briggs	09/09/19
V12 07_10_20	Milestones amended for new submission deadline (+4 months from March 2020). Approved by Research Committee and supplied to REF Team	Matt Briggs	07/10/20

Current status of Code of Practice: approved

Is the Code of Practice applicable to: HE

Date ratified: 05/06/19

Date effective from: 05/06/19

For publication: on UWTSD website / MyDay

