



**Code of Practice on Decision Making Processes in the
Preparation of Submissions to the
Research Excellence Framework 2021**

Final version as approved by Research England, 16 August 2019
Updated to reflect the impact of Covid-19. 2 October 2020

Table of Contents

Preamble	1
Part 1: Introduction	3
Part 2: Identifying staff with significant responsibility for research	6
Policies and Procedures	6
Development of Processes	9
Staff, committees and training	11
<i>Designated staff and working groups</i>	11
<i>Advisory roles and groups</i>	12
Appeals	14
Equality Impact Assessment	14
Part 3: Determining research independence	16
Policies and Procedures	16
Staff, committees and training	17
Appeals	17
Equality Impact Assessment	17
Part 4: Selection of outputs	18
Policies and Procedures	18
Staff, committees and training	20
Disclosure of circumstances	20
Equality Impact Assessment	22
Part 5: Appendices	23
Appendix A - Glossary	23
Appendix B - Membership and Terms of Reference of REF Working Groups	24
REF Strategy Group	24
REF Code of Practice Working Group	25
Appendix C - Criteria for appointment of reviewers	26
External REF consultants	26
Internal Reviewers	27
Appendix D - Timeline to REF Submission	28
Appendix E - Executive Summary	29

Preamble

1. This Code of Practice explains Anglia Ruskin University's approach to:
 - a. The fair and transparent identification of staff carrying significant responsibility for research (SRR)
 - b. Determining which staff meet the definition of an 'independent researcher'
 - c. Selecting research outputs for inclusion, taking into account any applicable individual staff circumstancesin making preparations for submission to the 2021 Research Excellence Framework (REF).
2. The Code of Practice applies to all staff who are eligible for inclusion in REF 2021, as defined in *Guidance on Submissions*, paragraphs 117-122.¹ For brevity, future references to 'all staff' mean 'all staff eligible for inclusion in REF 2021' except where an alternative definition is provided. The Code is designed to ensure that all staff to whom it applies will be treated fairly and that our procedures promote equality and diversity. It enables transparency, consistency, accountability and inclusivity in our decision-making processes, and our Vice Chancellor will confirm, when making our submissions to REF 2021, that in preparing them, this Code of Practice has been adhered to.
3. The REF is governed by regulations, notably the *Guidance on Submissions and Panel Criteria and Working Methods*.² These have been set out by the REF team based at Research England who conduct the exercise on behalf of the four UK higher education funding councils. In addition to these regulations, the REF team produce and publish supplementary and clarifying guidance, for example in 'Frequently Asked Questions' format, via their website www.ref.ac.uk.
4. The Code of Practice has been developed in response to the requirement of the REF that institutions ensure that their procedures do not discriminate unlawfully against, or otherwise have the effect of harassing or victimising individuals because of:
 - a. Age
 - b. Disability
 - c. Gender reassignment
 - d. Marriage and civil partnership
 - e. Pregnancy and maternity
 - f. Race
 - g. Religion or belief
 - h. Sex or sexual orientation
5. It builds on the equivalent documents we used successfully for the 2008 Research Assessment Exercise and the 2014 REF, and follows the REF requirements laid down in *Guidance on Codes of Practice*.³ We have also undertaken an initial Equality Analysis on the identification of staff for REF 2021 using our proposed Code, the results of which demonstrated no cause to amend our proposals. We will undertake further Equality Analysis, as described at paragraphs 61-63 below.
6. The Code of Practice was developed by our Code of Practice Working Group, membership of which included a representative of our branch of the University and

¹ REF 2019/01 *Guidance on Submissions*, published January 2019, which can be downloaded from the Publications section of the REF website, www.ref.ac.uk. For brevity, future references will be to *Guidance on Submissions*.

² REF 2019/02 *Panel Criteria and Working Methods*, published January 2019, which can be downloaded from the Publications section of the REF website, www.ref.ac.uk. For brevity, future references will be to *Panel Criteria*.

³ REF2019/03 *Guidance on Codes of Practice*, published January 2019. For brevity, future reference will be to *CoP Guidance*.

College Union (UCU). It was consulted on widely. A good draft version was reviewed and endorsed by the Equality, Diversity and Inclusion Group at its meeting on 26 February 2019. Senate also reviewed the draft version on 27 March 2019 and gave its assent to approval of the final version by Chair's Action, which was given by our Vice Chancellor on 23 May 2019. The final version was also approved by our REF Strategy Group at its meeting of 8 May 2019, by our Research & Innovation Committee on 21 May 2019, and by our Corporate Management Team on 23 May 2019.

7. During its development, a formal consultation exercise was run to which all staff eligible for submission to the REF were invited to respond. Approximately 11% did so, analysis showing that responses came from all four of our Faculties, and from every category of job role with some responsibility for research. As well as seeking feedback, which has been used to improve the draft Code, respondents were asked to indicate their agreement with the proposed approach. Almost all (85.7%) agreed with proposals around determining research independence. Nearly as many (83.1%) agreed with our proposals around determining Significant Responsibility for Research (SRR). Virtually all responses (94.9%) agreed with our proposed approach to selecting outputs for submission. The final version of the Code has been finessed and tweaked, but is fundamentally the same document.
8. The Code of Practice will be submitted to the REF team's Equality and Diversity Advisory Panel (EDAP) for review by 7 June 2019. Research England will approve it on the basis of EDAP's advice, and approved Codes will be published by the REF team, provisionally in December 2019. We also undertake to publish our Code of Practice on our externally-facing website as soon as possible after its approval.
9. All individuals involved in preparing REF submissions must adhere to the Code throughout their preparations, and ensure that those individuals who may be submitted to REF 2021 in the various UoAs are aware of its application to the processes of identifying staff for submission and selecting outputs.
10. In the event that a joint submission is to be made, this Code of Practice will be made available to the collaborating institution(s). Joint decision-making will not compromise adherence to this Code.

At the request of the REF team at Research England, in September 2020 this Code of Practice was amended to reflect changes to the REF 2021 exercise and to our processes due to the disruption of the worldwide Covid-19 pandemic. Changes to the REF exercise itself are captured in *Guidance on Revisions to REF 2021*.⁴

Minor amendments to our Code can be found at paragraphs 48b and 48c (in respect of staff playing an advisory role), also reflected at Appendix B; at paragraphs 62, 63 and 64 (regarding the timing of Equality Analysis and affirming our commitment to equality and diversity); and at paragraphs 62, 104, 106 and at Appendix D (concerning the timing of submission and post-submission activities). None of these amendments make any substantive difference to our processes. In addition, the title page has been updated to reflect the amendments, and these explanatory paragraphs inserted.

The amended version of this Code of Practice will be submitted to the REF team by 9 October 2020 and will be published by them by early November 2020. In line with the commitment at paragraph 22a made below, it will also be communicated internally.

⁴ REF 2020/02 *Guidance on Revisions to REF 2021*, published July 2020, which can be downloaded from the Publications section of the REF website, www.ref.ac.uk.

Part 1: Introduction

11. Anglia Ruskin University is committed to valuing diversity and promoting equality. We seek to develop our people to be responsive, and equip our students for life in a multicultural and diverse society. Our aim is to provide a supporting environment in which to work and study, where treating others with dignity, courtesy and respect is standard. This ethos is reflected in our vision and values statement and our strategy, *Designing Our Future 2017-2026*, which commits us to ‘integrated instinctive inclusivity.’ Our supporting people strategy *ARU People 2022* reinforces the point that inclusion is not an objective or a target but inherent in all that we do.⁵
12. We recognise our obligations under the Equality Act 2010, the Part-Time Workers (Prevention of Less Favourable Treatment) Regulations 2000, the Fixed-Term Employees (Prevention of Less Favourable Treatment) Regulations 2002, and all other relevant legislation currently in force. We also undertake to fulfil any obligations arising from future legislation, where relevant, in line with the principles espoused herein. We have a variety of equality, diversity and inclusion policy and guidance documents, including the *Valuing Diversity and Promoting Equality Policy*, the *Dignity at Work and Study Code of Conduct*, *Disability in the Workplace*, *Flexible Working at Anglia Ruskin* as well as *Family Related Leave and Pay* guidance.
13. We will not tolerate unfair discrimination on any grounds including race, gender, disability, sexual orientation, religion or belief, age, or any other irrelevant personal characteristics or circumstances.
14. We therefore support the aim and intention that institutions should, in preparing their submissions to the REF, support equality and diversity and the promotion of an inclusive environment for research through the development of a governing Code.
15. We were very pleased to note that, in the post-2014 equality analysis (equality impact assessment) of REF 2014 submissions, ARU’s staff submission was more equitable in gender terms than the national average. Of our staff eligible for submission, 53% were women; of those submitted, 47% were women. By contrast, nationally only 39% of eligible staff were women, and only 32% of those submitted were women.⁶ We also undertook an institutional equality analysis which revealed, for example, differing selection rates by gender in different Faculties, and that Black and Minority Ethnic (BME) staff were less likely to be submitted than White staff. We shall use this previous work to inform the interpretation of equality analysis undertaken around our developing REF 2021 submissions, discussed further below.
16. Nonetheless, we continue to make significant efforts to ensure that Anglia Ruskin University provides an inclusive environment. We have, since 2014, developed a new, externally-facing website to celebrate our approach to equality, diversity and inclusion (EDI), including the regular online publication of data from 2015 to show how we are fulfilling the general duties of the Equality Act 2010.⁷
17. We are fully committed to having a staff profile that reflects the diverse communities we work with and serve. As an employer, we are proud to be members of Inclusive Employers, an organisation supporting all areas of inclusion; our former LGBT Lead won Stonewall’s 2014 Young Person of the Year role model award. We have introduced training on Trans awareness, and published our Trans Equality Policy in March 2017. We became a member of Athena SWAN in 2012, and achieved our institutional Bronze

⁵ *Designing our Future*, June 2017; *ARU People 2022*, April 2018. Available at: <https://www.anglia.ac.uk/about-us/strategy-and-leadership>, accessed 2 May 2019.

⁶ HEFCE 2015/17, *Selection of staff for inclusion in the REF 2014*, August 2015. Available at: https://webarchive.nationalarchives.gov.uk/20180405115140/http://www.hefce.ac.uk/media/HEFCE,2014/Content/Pubs/2015/201517/HEFCE2015_17.pdf, accessed 2 May 2019.

⁷ At <https://www.anglia.ac.uk/about-us/equality-diversity-and-inclusion/objectives-and-report>

Award in April 2015, renewed in 2018. We submitted our first departmental Bronze Award application in March 2019, and are working towards departmental accreditation for all of our Faculties, and gaining institutional Silver recognition, by 2021. In 2017, we were a Highly Commended finalist in the Top Employers for Working Families Award. We signed the Race Equality Charter in March 2018, and have begun to set targets in our operational plans to address concerns around the lack of BME representation in our senior management team, and of female representation among our Professoriate. In 2019 we were shortlisted for in the Equality & Diversity category of the Universities Human Resources Awards for Excellence in HR for the work we have undertaken in addressing gender issues. We plan to submit for a Race Equality Award within the next three years. We aim to gain Disability Confident Leader status by January 2020.

18. We have built on our long-established Women's Network to develop four further inclusivity networks: the Part Time & Flexible Working Forum, and networks for BME, LGBT, and Disabled staff. Between them, they have more than four hundred members. These networks are central to our championing of inclusive practices, as part of our '#BeInclusive' approach, including the promotion and embedding of the principles espoused in Athena SWAN. In January 2018, what is now AdvanceHE published a case study on our networks as part of a report into intersectional approaches to equality and diversity.
19. In 2017, we agreed that equality analysis should become part of our everyday practice, meaning that whenever key decisions are taken, or policies are created or reviewed, an equality analysis is conducted. To support this, we incorporated equality analysis into our CPD resources, and routinely assign EDI Champions to high-level decision-making committees (e.g. our Corporate Management Team, Senate and Board of Governors) to ensure due consideration is given to equality, diversity and inclusion issues.
20. All staff at Grade 4 and above are required to undertake an e-learning module, *Diversity in the Workplace*, and for more than a decade specific EDI training has been mandatory for colleagues chairing recruitment and selection panels, including on unconscious bias. We conduct Equal Pay Audits every three years, and investigate any issues raised; our gender pay gap is in line with national norms and compares very favourably against the sector: Anglia Ruskin is placed 21st of all UK HEIs on the basis of pay gap ranking (smallest to largest).
21. We value and afford equal treatment to all researchers, regardless of personal characteristics or circumstances. We support the *Concordat on the Career Development of Researchers*, and were first awarded the HR Excellence in Research Award in 2013, which has been renewed biennially (we await the outcome of our most recent renewal submission, in May 2019). In line with its expectations we have recently relaunched our researcher development provision and support, to ensure that researchers are provided with appropriate career development structures and opportunities. We only appoint staff on fixed-term contracts where there is a justifiable reason to do so, for example where there is a link to funding, and are committed to ensuring redeployment opportunities are targeted to fixed-term staff at the end of their contracts.
22. We support the principles of Transparency, Consistency, Accountability and Inclusivity as outlined in the *CoP Guidance*. Specifically:
 - a. **Transparency.** This Code of Practice explains our processes for identifying staff carrying SRR, determining research independence, and selecting outputs for inclusion in REF submissions. It was drawn up with the oversight of a Code of Practice Working Group, made up of individuals including academic staff who volunteered through an institution-wide call to participate, the final selection of whom was made in order that the Group was as representative of the academic community as it could be. A good draft version was shared with all staff eligible for inclusion as part of a consultation exercise in late 2018, and approval processes involved institutional Committees on which those staff are represented. As outlined

below, we will ensure that the final version of the Code, as approved by Research England, is shared with all staff, such that all of those subject to it are fully conversant with our processes. Similar processes to share any updated version of the Code will apply if it is subsequently amended.

- b. **Consistency.** This Code sets out a single process for identifying staff carrying SRR, applicable in all Units of Assessment to which we intend to submit, and sets out principles which apply across our preparations, regardless of where those preparations take place.
 - c. **Accountability.** This Code defines roles and responsibilities, individual and collective, for our REF preparations, including the identification of staff carrying SRR, determining research independence, and selecting outputs for submission. Where appropriate, the training provided for those who are involved is outlined. Where a collective group holds responsibilities, its membership and terms of reference are provided.
 - d. **Inclusivity.** As noted above, we see inclusion as being embedded in everything that we do. The processes described in this Code are intended to support our efforts to promote an inclusive environment. We expect that they will identify all staff carrying SRR, and all staff who are independent researchers, enabling us to return excellent research produced by staff across all protected groups.
23. The Code of Practice has been and will be well-publicised throughout Anglia Ruskin University. A draft copy was circulated to all staff as part of the formal consultation exercise which ran between 14 December 2018 and 16 January 2019, including to those staff who were absent for an extended period (for example because of family-related leave, ill-health, gender reassignment, sabbatical or secondment arrangements or other career breaks), and a copy posted on our intranet REF pages. The version as submitted to EDAP for approval by Research England will also be circulated by the same mechanisms.
 24. A copy of the version approved by Research England will be sent to all staff as soon as possible after the decision is notified to us, and not later than 31 January 2020. This will include those staff who are absent for an extended period (as above). The Code will be provided to all new staff as part of their induction. It will also be available to download from our externally-facing website as soon as possible after Research England's decision is notified to us. An Executive Summary, capturing the major aspects of the Code in more manageable form, was initially prepared on the draft Code circulated for consultation and, updated, will similarly accompany the later versions we circulate. The Executive Summary of this version of the Code is provided at Appendix E.
 25. We recognise that providing the Code in hard copy or electronically as a standard PDF document may not be appropriate for some staff, and will make arrangements to supply copies in alternative formats (e.g. Braille, audio, large print, and easy-read transcriptions) if requested.

Part 2: Identifying staff with significant responsibility for research

Policies and Procedures

26. The process described herein applies to all staff eligible for submission to REF 2021. We have an overall timetable for preparations for submission to the REF (see Appendix D). The process for making decisions on the identification of staff carrying SRR will operate within that timetable.
27. We value the contributions of all our academic staff, whether through teaching, development of professional practice, research, knowledge exchange or academic administration. Engagement in research activity eligible for submission to the REF represents one aspect of the contribution staff may make. That an individual may engage in research but not carry SRR, or not engage in research at all, is no reflection of the value of their contribution to the institution, and will not be used in any way as a determining factor in, for example, promotion and progression, resource allocation and contract extension decisions.
28. REF guidance describes a member of staff carrying SRR as being someone for whom explicit time and resources are made available, to engage actively in independent research, and where doing so is an expectation of their job role.⁸ At Anglia Ruskin, our workload allocation both makes available time and resource for research and makes it clear where research is an expectation of the job role. All staff eligible for return to the REF are able, if these first conditions are met, to engage actively in independent research, including, for example, the ability to apply for internal and external research grant funding or to the institutional sabbatical scheme. In practice, therefore, an individual's workload allocation can determine if they carry SRR.
29. Most staff workload allocation is captured within a formal Academic Workload Balancing Model (AWBM). Anglia Ruskin introduced a new AWBM mechanism in the 2018-19 academic year, which involved four 'stepped' credit allocations for research time (0/none, 200/'modest', 500/'substantial', and 800/'very significant') within the workload total of c.1565 credits. This was intended to support our commitment in our institutional strategy *Designing our Future 2017-2026* to 'adjust the balance of workload between individuals, to enable our most productive researchers to focus more on research and related activities.' AWBM-based workload allocations are agreed annually through appraisal, reflecting both past performance and future potential, and taking into account specific requirements within individual Schools and subject areas, and personal preferences. Given the operating realities of the institution, it is intended that colleagues move between steps from one year to the next as circumstances dictate, while the institution makes a continuing commitment to supporting their excellent research. Therefore an approach to determining SRR based on an individual's AWBM on the staff census date alone would not accurately identify eligible staff who carry SRR in our institution. Those staff whose workload allocation is not captured through AWBM are nonetheless subject to expectations around their job role, determined through appraisal and other review mechanisms such as Professorial Review, and are allocated time and resource for research, as appropriate, to engage actively in independent research.
30. Following extensive discussion and consultation, we have determined a single definition of SRR that applies to all staff across our proposed Units of Assessment in post on the staff census date, 31 July 2020 (i.e. the last day of the 2019-20 academic year) as follows, and summarised in Chart 1. A summary of SRR outcomes based on our AWBM steps is captured in Table 1.
 - a. Staff employed on a research-only contract who, on the staff census date, qualify as independent researchers as set out in Part 3 below, carry SRR.

⁸ *Guidance on Submissions*, paragraph 141.

- b. Staff employed on a teaching and research contract who, on the staff census date qualify as independent researchers as set out in Part 3 below, who hold an AWBM with a zero allocation of research time, or had a zero allocation of research time in the 2018-19 academic year, do not meet the threshold allocation for research time and therefore do not carry SRR.⁹
- c. Staff employed on a teaching and research contract who, on the staff census date, qualify as independent researchers as set out in Part 3 below, who hold an AWBM with an allocation of research time of 500 credits or greater, meet the threshold allocation for research time and therefore carry SRR. They may meet the threshold through their annual stepped research allocation alone (i.e. awarded to generate a 'substantial [... or] very significant amount of high quality research'), or through a 200 credit ('modest') allocation in combination with any other agreed research credit, e.g. discretionary credits awarded for project development, in recognition of time allocated to externally funded research projects, or for an institutional research sabbatical, etc.¹⁰ These expectations are prorated for staff employed on fractional roles of 0.2 FTE and above on the census date.¹¹
- d. Staff employed on a teaching and research contract who, on the staff census date, qualify as independent researchers as set out in Part 3 below, who hold an AWBM with an allocation of research time of at least 200 credits (but less than 500 credits), meet the threshold allocation for research time and therefore carry SRR if their AWBM allocation for research time in the 2018-19 academic year was 500 credits or greater (as per the explanation at paragraph 30c).
- e. Staff employed on a teaching and research contract who, on the staff census date, qualify as independent researchers as set out in Part 3 below, who hold an AWBM with an allocation of research time of at least 200 credits (but less than 500 credits), and who had an allocation of research time of at least 200 credits (but less than 500 credits) in the 2018/19 academic year, carry SRR if they also previously held an institutional research sabbatical during the REF 2021 assessment period (i.e. after 1 January 2014). For the avoidance of any doubt, an AWBM allocation of at least 200 credits (but less than 500 credits) in both the 2018/19 and 2019/20 academic years is not sufficient to demonstrate SRR.
- f. Staff employed on a teaching and research contract who, on the staff census date qualify as independent researchers as set out in Part 3 below, but who do not hold an AWBM on the census date, but who are members of our Professoriate and are subject to periodic Professorial Review (including assessment of research performance), or who are formally based within one of our Research Institutes, carry SRR.
- g. Other staff employed on a teaching and research contract who, on the staff census date, qualify as independent researchers as set out in Part 3 below, but do not hold an AWBM on the census date, including staff who would normally hold an AWBM but for exceptional reasons do not, will be subject to Special Review to determine if they carry SRR, as outlined at paragraphs 34-36 below.
- h. Staff employed on teaching-only and professional services contracts, such as Associate Lecturers, Lecturer Practitioners, Professional and Clinical Skills Tutors and Learning Technologists, are not eligible for return to REF whether or not they have generated research outputs.

Table 1: AWBM 'stepped' profiles and SRR outcomes (full time staff; prorata for fractional staff)

⁹ Allocations of research time in the 2018-19 academic year are defined as those held by HR on 31 July 2019.

¹⁰ A 'research sabbatical' excludes those sabbaticals primarily awarded to enable the holder to complete a doctorate.

¹¹ For example, an individual employed at 0.5 FTE on the census date would need to hold an AWBM with an allocation of research time of at least 250 credits in order to be shown to carry SRR.

AWBM Research Allocation 2018/19	AWBM Research Allocation 2019/20	Significant Responsibility for Research demonstrated?
0	Any allocation	No
Any allocation	0	No
200	200	No*
200	500 / 800	Yes
500	200 / 500 / 800	Yes
800	200 / 500 / 800	Yes

* Unless the individual also held an institutional research sabbatical during the REF period.

31. Where staff hold two or more separate contracts on the census date, each eligible role must be assessed separately in line with the definition at paragraph 30.
32. As noted in Part 3 below, exceptionally it may be appropriate to challenge the assumption that a member of staff on a teaching and research contract qualifies as an independent researcher.
33. Following approval of our Code of Practice by Research England, and once AWBM allocations for the 2019/20 academic year have been agreed, a staff identification exercise will be undertaken by the Head of Research Excellence and Enhancement, and the REF Assistant Manager, RIDO. This will involve recording details of the indicators, as defined above, for all staff, and drawing a preliminary recommendation as to whether the individual carries SRR on the basis of evidence available; or initiating Special Review for those whose status is not determined by the definitions above. This finding will be shared with the individual concerned, their Head of School and their Deputy Dean for Research, and will be open to appeal, as outlined at paragraphs 54-61 below. Once an accepted position is reached, the conclusion will be shared with the relevant UoA Convenors.¹² Heads of School are expected to formally record the reasons for the decision in the individual's file.
34. All individuals whose status is not determined by the definitions at paragraph 30 above are subject to Special Review to determine if they do or do not carry SRR on the census date. This is typically anticipated to involve providing appropriate evidence to demonstrate that they are expected to undertake research, and have been given time or resources to do so, for example holding (on the census date) or having held (during the REF 2021 assessment period):
 - a. An allocation of research time in an academic year equivalent to or greater than that represented by 500 credits in our new AWBM guidance.
 - b. Institutional research sabbatical(s) or other extended period(s) of research leave.¹³
 - c. One or more substantial (in the context of the discipline) externally-funded research grants, awarded through a competitive process of peer review, as a named Principal Investigator, Co-Investigator, or equivalent.
 - d. A substantial specific research management responsibility in an academic unit (for example, as a Deputy Dean for or Director of Research, Departmental Research Convenor, Head of School or UoA Convenor or Co-Convenor) on the staff census date.
35. For the avoidance of any doubt, it is only possible to claim that an individual carries SRR where they have undertaken research in line with the expectations of their role, rather than in their own time and without institutional support.
36. Special Review involves a *prima facie* review, undertaken by the Head of Research Excellence and Enhancement, and the REF Assistant Manager, RIDO, of evidence as

¹² References to UoA Convenors means the UoA Convenors and Co-Convenors responsible for the submitting unit unless otherwise specified; see paragraph 42g.

¹³ A 'research sabbatical' excludes those sabbaticals primarily awarded to enable the holder to complete a doctorate.

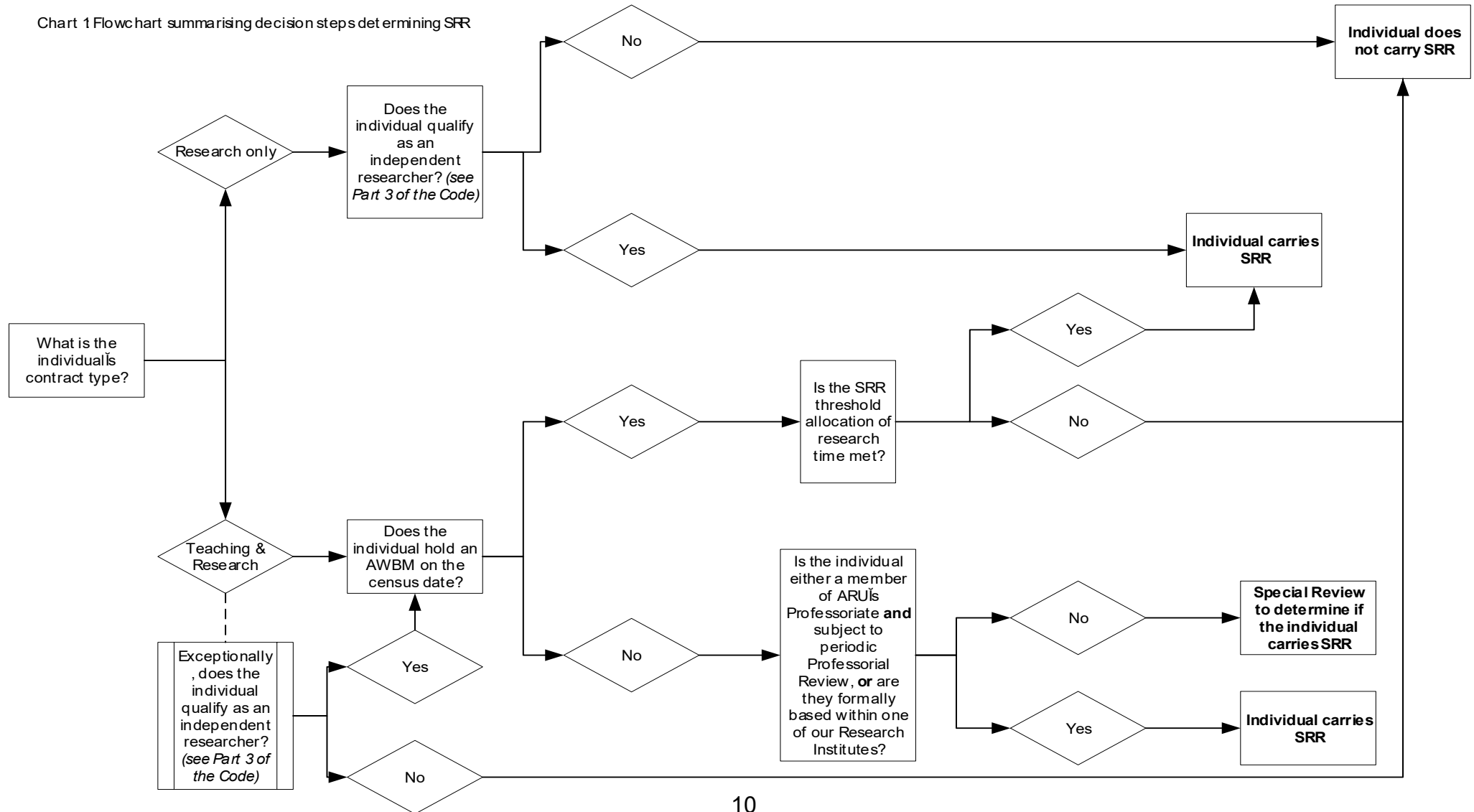
outlined at paragraph 34, including clarification with the colleague concerned where appropriate, to reach a preliminary recommendation. This recommendation will be presented to the REF Strategy Group for a preliminary finding. This finding will be shared with the individual concerned, their Head of School and their Deputy Dean for Research, and will be open to appeal, as outlined at paragraphs 54-61 below. Once an accepted position is reached, the agreed conclusion will be shared with the relevant UoA Convenors. Heads of School will formally record the reasons for the decision in the individual's file.

37. Very exceptionally, the definitions at paragraph 30 above may result in an incorrect finding because an individual's AWBM on the census date does not genuinely reflect their responsibilities for research. In these instances the individual or a manager responsible for that individual should make a special case to demonstrate they carry SRR. This must demonstrate that the individual is expected to undertake research, explain why on the census date the definitions at paragraph 30 above do not apply, provide evidence that they have been given time or resources to do so, following the guidance at paragraph 34 for Special Review. An AWBM which does not genuinely reflect responsibilities for research on the census date will most often be because of a break in career trajectory, e.g. a fixed-term appointment or secondment to undertake substantial teaching, managerial or administrative duties, representing a temporary interruption rather than a deliberate career change away from research, but other exceptional circumstances may also apply. Any special case to demonstrate SRR should be put to the Head of Research Excellence & Enhancement, and the REF Assistant Manager in RIDO, as soon as possible and before 30 June 2020. The assessment will proceed as for a Special Review, as outlined in paragraph 36.
38. For staff who join Anglia Ruskin University during or after this process, the same procedure will be followed, but with decisions being made and communicated as soon as practical following the commencement of their employment. Final decisions will be communicated to the individual concerned, relevant UoA Convenors, Head of School and Deputy Dean for Research not later than 31 August 2020.

Development of process(es)

39. A Code of Practice Working Group was set up in spring 2018 to take responsibility for developing our definition of Significant Responsibility for Research and to oversee the drafting of the remainder of the Code, including the process for the selection of outputs, and any other requirements as laid down in the Code of Practice guidance when it was published.
40. The call for volunteers to form the CoP Working Group was fully open, and the selection of its members (in line with its Terms of Reference; see Appendix B) from the shortlist was undertaken with the intention that the membership was representative both in EDI terms and of the various Faculties within our University. Further details of the Working Group follow below. Membership of the Working Group included a formal representative of the Anglia Ruskin branch of the University & College Union (UCU).
41. Over a series of meetings between summer 2018 and spring 2019 the CoP Working Group developed appropriate indicators for the identification of staff carrying significant responsibility for research, and oversaw the drafting of the underlying text of this Code. It was then considered and discussed by our REF Strategy Group at its meeting of 12 November 2018, before being put out to all staff for consultation between 14 December 2018 and 16 January 2019; feedback was also obtained via other routes, e.g. at our REF Awayday on 28 November 2018, and the Heads of Schools Awayday on 16 January 2019.

Chart 1 Flowchart summarising decision steps determining SRR



42. Of those who contributed to the consultation, 83.1% agreed with the proposal for identifying SRR. The feedback received from staff, EDIG and the unions, and the findings of our initial Equality Analysis was considered in detail by the Code of Practice Working Group and minor amendments made. The final version of the Code was approved by our REF Strategy Group at its meeting of 8 May 2019, by our Research & Innovation Committee on 21 May 2019, and by our Corporate Management Team on 23 May 2019.

Staff, committees and training

Designated staff and working groups

43. 'Designated staff' are, according to the *CoP Guidance*, those staff within our institution who hold formal REF responsibilities. These staff and their roles are:
- a. the Vice Chancellor, who has ultimate responsibility for the REF submissions. The Vice Chancellor is the Chief Executive and the Accounting Officer of Anglia Ruskin University and will make the decision on the institutional submission to REF 2021. The Vice Chancellor will confirm to the REF in making our submission that we have adhered to this Code of Practice.
 - b. the Deputy Vice Chancellor (Research and Innovation) (DVC(R&I)), who holds a portfolio of responsibilities including research, and is the senior member of staff responsible for overseeing our institutional submission to the REF, including ensuring the provision of appropriate equality training to designated staff. The Deputy Vice Chancellor (Research and Innovation) is Chair of the REF Strategy Group and Research & Innovation Committee.¹⁴
 - c. the Dean of the ARU Doctoral School, previously the interim Pro-Vice Chancellor (Research) referred to at footnote 14, who is a member of REF Strategy Group and the Research & Innovation Committee.
 - d. the Pro Vice Chancellors & Deans of Faculties (PVC&Ds), and Heads of School, who are responsible for leading the activities of their respective faculties and departments, including the line management and pastoral care of the staff within them.
 - e. the Faculty Deputy Deans with responsibility for research (we employ several titles describing this role), who are the senior members of staff responsible for overseeing the development of submissions in all UoAs within and across the Schools within their Faculties. They are members of the REF Strategy Group and the Research & Innovation Committee.
 - f. the Head of Research Excellence & Enhancement within our Research and Innovation Development Office (RIDO), who is the senior member of staff overseeing the administrative support of preparations for our institutional submission to the REF. The Head of Research Excellence & Enhancement is the institutional main contact to the REF, deputy Chair of the REF Strategy Group and a member of the Research & Innovation Committee and the REF Code of Practice Working Group, and line manager responsible for the REF Assistant Manager.
 - g. the REF Assistant Manager (RIDO), who is responsible for the administrative support of preparations for our institutional submissions, and the provision of advice and guidance on REF requirements. The REF Assistant Manager is the institutional technical contact to the REF, and officer to the Research & Innovation Committee, the REF Strategy Group and the REF Code of Practice Working Group.

¹⁴ The incumbent Deputy Vice Chancellor (Research & Innovation) became Acting Vice Chancellor in October 2018, and was appointed formally to the role in February 2019. Until such time as a replacement Deputy Vice Chancellor (Research & Innovation) is appointed the REF-related duties of this role will be split between the Vice Chancellor, and the temporary role of interim Pro-Vice Chancellor (Research).

- h. the Unit of Assessment Convenors and Co-Convenors: each REF Unit of Assessment (UoA) to which we anticipate making a submission is the responsibility of two or more Convenors and Co-Convenors who are appointed by their Faculty PVC&D, with the approval of the DVC(R&I).
44. All designated staff were appointed to their substantive roles in accordance with Anglia Ruskin's formal appointment process and procedures, and, excluding UoA Convenors and Co-Convenors, their roles include responsibilities for management and/or support of REF preparations or equivalent audit processes. UoA Convenors and Co-Convenors are appointed to this role by their respective PVC&D.
45. All designated staff will adhere to the requirements of this Code of Practice, and are fully cognisant of the REF guidance relevant to the UoA submission or submissions relevant to their role, and the relevant legislation.
46. The REF Strategy Group: In practice, responsibility for preparation and submission of the REF entry is delegated to the REF Strategy Group, chaired by the Deputy Vice Chancellor (Research and Innovation). The REF Strategy Group provides advice to the Vice Chancellor to help him in making final decisions on submissions, and will also make judgements on behalf of the institution in respect of reasonable reductions in the number of outputs required by staff who declare complex circumstances (on an anonymised basis, as outlined at paragraph 105), and where SRR is determined through Special Review. It is responsible for commissioning and considering equality impact assessments on our submissions. The REF Strategy Group is a working group of, and reports to, our Research & Innovation Committee, by which route our REF preparations are overseen within our formal committee structure. Membership and terms of reference for the REF Strategy Group can be found in Appendix B.
47. The REF Code of Practice Working Group: set up to operate with a reasonable degree of autonomy from other REF preparations, the purpose of this Group is to develop the Code of Practice covering the various decision-making processes required to inform our REF preparations. This particularly entailed the development of appropriate indicators of 'significant responsibility' for research. With the exception of its Chair, who was appointed to the role by the DVC(R&I) based on his role and prior REF experience, the members of the Group are volunteers, selected from a shortlist compiled from an open call to all academic staff and relevant professional service staff, by the Chair of the Working Group and endorsement of the DVC(R&I). The process for creating the Group, as outlined in the Terms of Reference (see Appendix B) was made clear in the call for volunteers.

Advisory roles and groups

48. In addition to the above-listed designated staff, we have a number of staff who play a significant advisory role in our REF preparations, but who do not meet the definition of a designated member of staff as they bear no responsibility in our REF preparations. We list them here to ensure full transparency. These individuals are:
 - a. The Director of the Research & Innovation Development Office, who is a member of REF Strategy Group, deputy Chair of Research & Innovation Committee, and line manager responsible for the Head of Research Excellence & Enhancement.
 - b. The former Head of School of Engineering & the Built Environment, who was appointed by the DVC(R&I) as Chair of the REF Code of Practice Working Group based on his experience as a REF 2014 panel member.
 - c. The various members of the REF Code of Practice Working Group, who were selected from an open nomination short list by the Chair, with the approval of the DVC(R&I) (see Appendix B).
 - d. The various Heads of School and Directors of Research Institutes who, under the direction of their respective PVC&D, hold operational responsibility for the day-to-

day activities of their Schools and Research Institutes, including line management of the UoA Convenors and Co-Convenors.

- e. The various members of our professional staff body who, typically within Faculties, provide administrative support to Deputy Deans, UoA Convenors and Co-Convenors in the organisation and development of submissions.
 - f. The various members of our internal review panels who have been called upon to review and score research outputs in line with REF criteria, as a means to support the fair and transparent selection of outputs. Further details of their identification and approval to serve in this role are provided at Appendix C below.
 - g. The various individuals who have been appointed, in line with an institutional procedure, as external REF consultants to review and score research outputs and other elements of our intended submissions to REF 2021, in line with REF criteria. Further details of their appointment are provided at Appendix C below.
 - h. Any other member of our academic staff not already identified, from whom we may wish to seek opinion and feedback in order to obtain the widest breadth of expertise and experience in managing our preparations and developing excellent REF submissions.
49. Likewise we bring together individuals holding both designated and advisory roles in a variety of different groupings, to discuss progress, give updates on significant developments, provide mutual help and support in preparing submissions, exchange good practice and ensure that our submissions are consistent and excellent. These range from an annual REF Awayday, ideally involving all our designated staff and some of those identified as fulfilling advisory roles, through to more focussed Faculty and UoA groups. Such groups exist only for the purpose of advising relevant designated staff or working groups.
50. As our preparations of submissions for REF 2021 progress, it may be that operational or managerial requirements necessitate the creation of further working groups, or the inclusion of additional individuals not anticipated at the time of the preparation of this Code of Practice, holding either designated responsibilities or advisory roles within our preparations. Notwithstanding the reason or timing of their creation or inclusion, any and all such groups and individuals will be subject to the Code of Practice in exactly the same way as those identified herein.
51. All staff at Grade 4 and above are required to complete the *Diversity in the Workplace* e-learning course which deals with the implications of the Equality Act 2010. All designated members of staff, all members of the various working groups set up to oversee, undertake and support our REF preparations, and the nominated faculty REF administrators, have therefore undertaken this equal opportunities training and have a good understanding of the requirements of equality legislation as they relate to direct and indirect discrimination, and the principles of equality and diversity, as articulated within our equality and diversity policies. All staff also have access to and are strongly recommended to complete one of either a face-to-face or online training course around unconscious bias.
52. In addition, all designated members of staff will receive additional training which will build on the generic training described above, covering the context and emphasis in the REF on equality and diversity, and the specific requirements of the REF exercise. This additional training will be based on the best practice training materials promised by Advance HE (themselves derived from previously-used REF 2014 materials), and on Advance HE and REF slide packs.
53. Other (advisory) staff involved in supporting our REF preparations are able and encouraged to attend the additional REF-specific equal opportunities training provided.

Appeals

54. This appeals process is communicated to staff by its inclusion in this Code of Practice, which has itself is communicated to staff as set out at paragraphs 23 to 25 above.
55. Any member of staff is entitled to ask for the decision that has been made about their responsibilities for research to be reconsidered. They may do so on the grounds that the indicators of significant responsibility which apply to them, as described above, have not been taken properly into account. They must present clear and compelling evidence in writing of such a nature to cause reasonable doubt about the decision made. An appellant cannot use this process to challenge the underlying processes on which the indicators of SRR rest, e.g. decisions in setting the research credit in individual AWBMs, awarding sabbaticals, etc.
56. We aim to have an open and transparent decision-making process. It is therefore expected that in most cases concerns and complaints can be resolved informally, without invoking the formal appeals process. When a problem is identified, the intention is that it should be resolved quickly and to mutual satisfaction. Staff may however appeal formally without seeking an informal resolution to their concerns.
57. Appeals against decisions must be lodged with the Deputy Vice Chancellor (Education) (DVC (E)) (who chairs our Equality, Diversity and Inclusion Group), in writing, within fifteen working days of the decision and not later than Monday 14 September 2020. Appeals should state in full the grounds on which reconsideration of the decision is requested.
58. Initially the DVC (E) will review the appeal to establish that there is a *prima facie* case. Should this be found to be so, an independent Appeals Panel will be constituted to fully consider the appeal. The Panel will be chaired by the DVC (E), and will comprise in addition a PVC&D or Deputy Dean and a Professor or Reader, each from unrelated and ideally different faculties. None of the members shall have been involved in the original decision-making process. All members of the Appeals Panel will receive the additional training referred to in paragraph 52 above, prior to the meeting of the Panel.
59. The appellant has the right to be accompanied to the Panel hearing by a work colleague, friend, relative or trade union representative.
60. All appeals will be heard, and the decision of the Appeals Panel communicated to all concerned, before 1 October 2020. Decisions of the Appeals Panel are final and not subject to further appeal. This does not prevent staff who wish to make a complaint about the implementation of this Code of Practice doing so using our Staff Grievance Procedure.
61. Although it is expected that complaints will be handled within this appeals process, Research England, as our national funding body, will put in place measures to enable individuals to make a formal complaint where it is believed the agreed processes set out in our Code of Practice are not being followed. Such complaints will not be able to challenge the adequacy of the approved Code of Practice itself.

Equality impact assessment

62. We will monitor the impact of our process for identifying staff carrying SRR through Equality Analysis as soon as possible after the preliminary findings process outlined at paragraph 33 above is complete. This will compare staff carrying SRR with all staff eligible for submission to REF 2021 in respect of all of the protected characteristics, as defined by the Equality Act 2010, for which data is available. EDIG will review this Equality Analysis, currently expected at its meeting in February 2021. It will refer any fundamental issues to the appropriate Committees for consideration and action.
63. Our intention had been that our REF Strategy Group would periodically review the Equality Analysis outcomes during our REF preparations. Due to the disruption of Covid-19, we were unable to finalise the preliminary findings process described above until

after the census date, rendering any possibility of amending the process for determining SRR on the basis of such periodic Equality Analysis impossible. As noted, however, the initial Equality Analysis conducted as part of our development of this Code of Practice demonstrated no cause to amend our proposals, and although we have not formally verified that this remains the case, we have been attendant at all levels of our preparations and in line with ARU policy and practice to have equality and diversity at the front of our minds.

64. As a matter of good practice, in mid 2021 we will publish online our final Equality Analysis, conducted on the basis of our final submission after it has been made. This will include the outcome of any changes made during the process to advance equality or avoid discrimination.

Part 3: Determining research independence

Policies and Procedures

65. Around 3% of our academic staff are employed on research-only contracts; 93% are employed on teaching and research contracts (the remainder on teaching-only contracts, including lecturer-practitioner contracts). We therefore welcome the presumption in *Guidance on Submissions* that staff employed on teaching and research contracts are considered to be independent researchers, while for research-only staff it is necessary to show how they meet this criterion.
66. For staff employed on research-only contracts, Anglia Ruskin job descriptions explain the nature of researchers' roles, and demonstrate whether the role holder is an independent researcher. To this end:
 - a. Someone holding a research-only contract with a job title of 'Research Assistant', 'KTP Associate' or 'KEEP Associate' is not typically an independent researcher. Such contracts are typically at Grade 4 in our graded payscales.
 - b. Someone holding a research-only contract with a job title of 'Research Fellow', 'Postdoctoral Research Fellow', 'Senior Research Fellow', 'Principal Research Fellow', 'Marie Curie Individual European Fellow' or 'Ruskin Fellow' is typically an independent researcher. Such contracts are typically at Grade 5 and above, in our graded payscales.

Challenging the above would involve demonstrating that a specific role was atypical, using the indicators set out in *Guidance on Submissions*, paragraph 132, and the *Panel Criteria*, paragraphs 188-189.

67. Where a member of staff holds two or more separate academic contracts on the census date and meets the definition of an independent researcher in any of these roles, they are also considered to meet the definition of an independent researcher in respect of the other roles.
68. Exceptionally, it may be appropriate to challenge the presumption that a member of staff employed on a teaching and research contract automatically meets the definition of an independent researcher. This is anticipated especially in respect of individuals in the early stages of their academic career, or who have an established track record in teaching but who have only recently become active in research, who will often be undertaking a doctoral qualification. In such instances, it will be necessary to demonstrate that the individual's position is atypical, using the indicators such as those set out in *Guidance on Submissions*, paragraph 132, and the *Panel Criteria*, paragraphs 188-189.
69. Following approval of our Code of Practice by Research England, an exercise to determine the research independence of research-only staff will be undertaken by the Head of Research Excellence and Enhancement, and the REF Assistant Manager, RIDO. This will involve reviewing the job titles of all staff holding 'research only' contracts and drawing a conclusion as to whether the individual is an independent researcher on the basis set out at paragraph 66. This finding will be reviewed by the REF Strategy Group after which it will be shared with the individual concerned, their Head of School / Research Institute Director and their Deputy Dean for Research, and will be open to appeal, as outlined below. Once an accepted position is reached, if the individual is agreed to be an independent researcher, the conclusion will be shared with the relevant UoA Convenors.
70. Staff who believe their position is atypical (as research-only or teaching and research staff) as outlined in paragraphs 66 and 68 above, should put forward their case for consideration by the Head of Research Excellence & Enhancement, and the REF Assistant Manager, for consideration in line with the process set out at paragraph 69 above as soon as possible.

71. For research-only staff who join Anglia Ruskin University during or after this process, the same procedure will be followed, but with decisions being made and communicated as soon as practical following the commencement of their employment.

Staff, committees and training

72. The section on staff, committees and training described at paragraphs 43 to 53 above applies equally here.

Appeals

73. Any member of staff is entitled to ask for the decision that has been made about their status as an independent researcher be reconsidered. They may do so on the grounds that their role is atypical. They must present clear and compelling evidence of such a nature to cause reasonable doubt about the decision made.
74. The process and timing of the appeals process is otherwise as listed at paragraphs 54 and 56 to 61 above.

Equality impact assessment

75. We will monitor the impact of our process for identifying the independence of research-only staff through Equality Analysis as soon as possible after the exercise outlined at paragraph 69 above is complete. This will compare research-only staff identified as independent, with all research-only staff, in respect of all of the protected characteristics, as defined by the Equality Act 2010, for which data is available. Other comments about ongoing Equality Analysis are as at paragraphs 62 to 64 above.

Part 4: Selection of outputs

Policies and Procedures

76. The selection of outputs for inclusion in our submissions to the REF will be conducted at all times in a manner consistent with the published guidance and regulations for the REF.
77. Overall, Anglia Ruskin's REF strategy is to maximise the quality of our submissions. We wish to be as inclusive as possible by submitting the excellent work of as many of our researchers as possible.
78. Individual staff members are responsible for providing, in a timely and accurate fashion, their research outputs and other appropriate information about their research activities, for review in support of the preparation of submissions. Staff managing REF preparations may also obtain details of eligible research outputs and supporting information from other sources internal and external to the university, such as our Symplectic CRIS, and bibliographic databases such as Scopus and Web of Science.
79. For an output to be submitted to REF 2021, we require that it has been reviewed by at least one external consultant, and at least two internal reviewers, and scored, to the best of the reviewers' ability, in line with REF quality criteria. Such scoring is primarily intended to enable the ranking and selection of outputs within the UoA, as described further below, rather than to generate scores that will accurately represent the eventual grading awarded by REF expert panels.
80. Every UoA appointed at least one, and usually two external REF consultants. Institution-wide criteria and an appointment process were developed, details of which are provided at Appendix C.
81. Every UoA also organized a panel of internal reviewers to support UoA Convenors in delivering internal review ratings for the Unit's outputs and to advise on and support the development of other aspects of REF submissions. Depending on the anticipated volume of outputs to be reviewed, it was recommended that the Internal Review Panel should consist of between three and five reviewers, in addition to the UoA Convenors. Institution-wide criteria and an appointment process were developed, details of which are provided at Appendix C.
82. It was strongly recommended by REF Strategy Group that activities to train internal reviewers around identifying high quality outputs, and to calibrate their expectations, modelled on REF 2014 panel practice, should be organized. Ideally this included, or was led by, former REF panel members appointed as External Consultants, leading to a common approach internally and externally to the review process. It was not expected that reviewers would undertake the review activities as a collective exercise, nor was it permitted for reviewers to review outputs for which they were an author or co-author. Once review scores had been generated, it was permitted to compare notes and moderate scoring to ensure a robust and consistent approach.
83. Under these arrangements a process of quality review of outputs began in early summer 2017. This entailed the review of any output proposed by its author or a member of the UoA convening team to be in scope of submission to REF 2021.
84. The following process will be used in making decisions on the selection or non-selection of outputs:
 - a. Identify, for each member of staff identified for submission to the UoA, their best available output.¹⁵

¹⁵ In order to maximise the overall quality of the submission, the best available output may not be same as the best output generated by the member of staff concerned. For example, Researchers A and B jointly co-author what is for both their best output, estimated to be 4* quality. Researcher A has a second-best output estimated at 3*, while Researcher B has a second-best

- b. Rank the remainder of the unit's outputs, such that the best of them are identified. This can include outputs generated by individuals within the REF period who are no longer employed at the institution.
 - c. Review the open access compliance of any outputs in scope of the open access policy, removing any as necessary within the total pool to remain within the permitted tolerances for non-compliance.
85. Outputs will primarily be selected for submission on the basis of their quality, to maximise the overall quality of the submission: those identified as the best available for each individual, and the best of the remainder, to the total required of the submitting unit (its FTE multiplied by 2.5), taking into account any reduction deemed appropriate due to the individual circumstances of members of staff in the submitting unit, using the process outlined below. Selection decisions will also reflect the rules around submitting a maximum of five outputs per individual, co-authoring within the submission, the possibility for some outputs to be double-weighted, and reserve outputs to be identified in respect of double-weighted outputs or outputs published after the submission deadline, and open access requirements.
 86. In this context, 'best' means the output anticipated, according to the professional judgment of the UoA led by its Convenors, most likely to score highest in REF terms and/or best benefit the overall submission, taking into account where appropriate the views of the submitting author(s), and other relevant information including bibliometric data, in line with REF rules.
 87. These arrangements also apply to the outputs of former members of staff in the submitting unit, which were first made publicly available during their employment. We will carefully consider the implications of submitting the outputs of former staff who have been made redundant, in respect of institutional and individual reputation and benefit.
 88. Internal and external review provides essential evidence for our selection decisions, but such review is just one element of our preparations. The opinion and advice provided by internal and external reviewers informs our selection processes, but the decisions made are entirely the responsibility of designated staff.
 89. An initial set of selections in line with this process will be made as part of a full Mock REF exercise, running during the summer of 2019; these selections will be refined and developed as preparations continue towards the submission deadline.
 90. The recommendations made by this process will be confirmed by the REF Strategy Group, advised as necessary by discussions with PVC&Ds, colleagues from the relevant faculties with responsibility for research and the REF, Heads of School and UoA Convenors.
 91. This selection process will necessarily mean that some staff will have more of their outputs submitted than their peers. The total number of outputs submitted for an individual in the REF has no reflection in the value placed upon that individual's contribution to the institution, and will not be used in any way as a determining factor in, for example, promotion and progression, resource allocation and contract extension decisions.
 92. Staff will be kept informed of the grading scores and selection intentions around outputs for which they are authors, including the final selection decision. This responsibility primarily lies with UoA convening teams and Deputy Deans. There is no similar expectation in respect of outputs generated by former staff.
 93. There is no right of appeal in respect of the selection of outputs.

output estimated at 2*. The 4* output would therefore be allocated to Researcher B, meaning that Researcher A's best available output was their second-best output.

Staff, committees and training

94. The section on staff, committees and training described at paragraphs 43 to 53 above applies equally here.

Disclosure of circumstances

95. In reaching a decision on the outputs to select for an individual or a unit of assessment, we will take full and proper account of any of the following circumstances that may have limited an individual's ability to produce the volume of research activity that would normally be expected within the REF assessment period. Such circumstances may permit the individual to be submitted without any output, and enable a reduced number of outputs to be required for the submitting unit as a whole.

96. Circumstances that could limit an individual's volume of outputs include a number justifying 'defined reductions':

- a. qualifying as an Early Career Researcher (as defined in paragraphs 146-149 of *Guidance on Submissions*)
- b. absence from work due to secondment or career breaks outside the higher education sector¹⁶
- c. qualifying periods of family-related leave
- d. qualifying as a junior clinical academic (as defined in paragraphs 162-163 of *Guidance on Submissions*)

and a number requiring a judgement of their equivalence to absence:

- e. disability
- f. ill-health, injury or mental health conditions
- g. constraints relating to pregnancy, maternity, paternity, adoption or childcare falling outside allowances made for qualifying periods of family-related leave (as dealt with under 'defined reduction' above)
- h. other caring responsibilities (such as caring for an elderly or disabled family member)
- i. gender reassignment
- j. other circumstances related to the protected characteristics defined under the Equality Act 2010, listed in the *CoP Guidance*, table 1.

97. This classification affects the means by which an appropriate reduction in the number of outputs is calculated, both internally and by the REF team, as explained in Annex L of *Guidance on Submissions*. For 'defined reductions', tariffs are set out in *Guidance on Submissions*. For circumstances requiring a judgement, we are expected to determine the appropriate reduction in the number of outputs to be submitted. As explained above, the REF Strategy Group, informed by the guidance issued by REF and Advance HE, and anticipated exemplar case studies prepared by the EDAP (or based on REF 2014 examples), will be responsible for making such judgements, based on recommendations made by the Head of Research Excellence and Enhancement and the REF Assistant Manager, RIDO.

98. The outcome of such decisions will be shared initially with the individual concerned and, if it is accepted and a reduction is permitted, with the relevant UoA Convenors and Deputy Dean. The specific circumstances permitting the reduction will not be shared. Any member of staff is entitled to ask for the decision that has been made about their circumstances to be reconsidered. They must present clear and compelling evidence of

¹⁶ Exceptionally, fractional working may also be taken into account as an 'absence from work', usually where the FTE of a staff member at the census data was substantially higher than the average over the assessment period, or where fractional working contributed to an overall period of absence of 46 months or more. In most cases fractional working is not expected to be taken into account, because of the way in which the volume of outputs required of the submitting unit for REF 2021 is defined by the FTE of its staff.

such a nature to cause reasonable doubt about the decision made. There is otherwise no right of appeal.

99. Both for 'defined reductions' and circumstances requiring a judgement, it will be necessary to collect information enabling us to calculate or judge the appropriate reduction in the number of outputs given the individual circumstances declared. To enable this, we will develop, using the REF 2021 best practice template, a standard form to be sent to all staff then in post, which will be issued as soon as possible after receiving Research England's approval of our Code of Practice.¹⁷ This form requests the disclosure of any circumstances which, in affecting an individual's productivity over the REF period, may justify a reduction in the number of outputs required, either individually or for the submitting unit. This form will also be routinely included in induction material sent to all new members of staff.
100. We will monitor the return of declaration forms, but we cannot require that staff complete them in order to enable reductions in outputs to be claimed, and we cannot take account in the REF submission process any individual circumstances other than those which staff have consented to declare voluntarily. For the avoidance of any doubt, HESA and REF reporting requirements mean we must identify individuals meeting the definition of an ECR, and we may require staff to provide information to assist in confirming that they meet this definition. However, we cannot claim a reduction for an individual on the basis of their ECR status without their approval.
101. In order to meet the REF requirement that claims for reductions are submitted by 31 March 2020, the last date on which declarations can be submitted by existing members of staff of their circumstances to inform our decision-making processes is 1 February 2020.
102. Declaration forms will be reviewed by the Head of Research Excellence & Enhancement and the REF Assistant Manager, RIDO, to determine what reductions are indicated (subject, as described above, to the consideration and approval of the REF Strategy Group). This will determine whether a request to remove an individual's minimum of one is justified and, cumulatively, whether the circumstances reflect a 'disproportionate effect' on staff productivity in the submitting unit. Outcomes will be considered by relevant UoA Convenors and Deputy Deans, and a preliminary recommendation reached as to whether a claim should be made, or if the circumstances can be managed within the flexibility offered by the 2.5 outputs per FTE average. Recommendations will be updated as further declarations are received. After 1 February 2020, a final set of recommendations will be submitted to the REF Strategy Group, ahead of the claim deadline of 31 March 2020. Where the REF Strategy Group approves the claim, justifications will be submitted to the REF team at Research England.
103. We will continue to accept and assess declaration forms received from new members of staff between 2 February 2020 and 31 July 2020. The outcomes of this process can be used to amend claims made and agreed by the REF team at Research England, but they cannot be used to make new claims.
104. A staff circumstances report, drawn up in line with the *COP Guidance*, paragraphs 73-74 and any additional guidance published by the REF team, will be submitted after the REF submission deadline in March 2021. This will report on the circumstances declared through this process, reflect on how circumstances fed into decisions about requesting reductions, and how the expectations of individuals were managed.
105. We recognise that information relating to staff and their personal circumstances is sensitive. All of the information collected for submission to the REF in respect of

¹⁷ In order to not delay preparations, we believe it necessary to run the various exercises outlined in this Code in parallel and plan to ask all staff eligible for inclusion in the REF to declare their circumstances, as we will not have established a definitive list of staff who will carry SRR on the census date at this time.

personal circumstances will be treated in compliance with the General Data Protection Regulations 2018 and all other relevant legal obligations. We will make the fullest use of the ability to tailor the REF data collection system to restrict institutional users' access rights and permissions very precisely. Sensitive personal data in REF 1a (that is, information relating to the individual circumstances listed above) will only be entered and seen in full by the Head of Research Excellence and Enhancement and the REF Assistant Manager (RIDO), both of whom have undertaken our e-learning courses around Data Protection and GDPR (which is in any case mandatory for all staff). All other necessary usage, including the institutional assessment of 'complex' circumstances by the REF Strategy Group, will be on an anonymised basis. Information provided for the REF relating to personal circumstances will be kept securely and completed disclosure forms will be destroyed in early 2022.

106. Any information submitted to the REF team at Research England in support of claims for a reduction in the outputs required of a submitting unit will be kept confidential in line with the arrangements at paragraph 195 and 196 of *Guidance on Submissions*. Information submitted will only be used by the REF team as part of the processes involved in assessing the submission, and will be destroyed on completion of the REF 2021 exercise.

Equality impact assessment

107. We will monitor the impact of our process for selecting outputs and their spread across staff through Equality Analysis as soon as possible after the Mock REF exercise outlined at paragraph 89, and the staff identification processes noted at paragraphs 33 and 69, are complete. This will compare the profile of staff submitted with each of zero to five outputs with all staff carrying SRR in respect of all of the protected characteristics, as defined by the Equality Act 2010, for which data is available. Other comments about ongoing Equality Analysis are as at paragraphs 62 to 64 above.

Part 5: Appendices

Appendix A - Glossary

ARU	Anglia Ruskin University
AWBM	Academic Workload Balancing Model
BME	Black and Minority Ethnic
CMT	Corporate Management Team
CoP	Code of Practice
CPD	Continuing Professional Development
CV	Curriculum Vitae
DVC (E)	Deputy Vice Chancellor (Education)
DVC (R&I)	Deputy Vice Chancellor (Research & Innovation)
ECR	Early Career Researcher
EDAP	REF's Equality & Diversity Advisory Panel
EDI	Equality, Diversity and Inclusion
EDIG	Equality, Diversity & Inclusion Group
GDPR	General Data Protection Regulations
GPA	Grade Point Average
HEI	Higher Education Institution
HR	Human Resources
KEEP	Knowledge Exchange and Embed Partnership
KTP	Knowledge Transfer Partnership
LGBT	Lesbian, Gay, Bisexual and Transgender.
PVC&D	Pro-Vice Chancellor & Dean of Faculty
REF	Research Excellence Framework
RIDO	Research & Innovation Development Office
SMART	Specific, Measurable, Attainable, Realistic, Timely
SRR	Significant Responsibility for Research
UCU	University and College Union
UoA(s)	Unit(s) of Assessment

Appendix B - Membership and Terms of Reference of REF Working Groups

REF Strategy Group

Membership:

Dean of the ARU Doctoral School
Deputy Vice Chancellor (Research and Innovation) (chair)
Director of RIDO
Faculty Deputy Deans with responsibility for research (or, exceptionally, their nominee)
Head of Research Excellence & Enhancement (RIDO) (deputy chair)
REF Assistant Manager (RIDO) (officer)

Terms of Reference:

1. To advise the Vice Chancellor on strategic preparations in support of research development, in preparation for a future REF.
2. To advise the Vice Chancellor on the overall direction and coordination of the REF 2021 submission.
3. To advise the Vice Chancellor on the identification of Units of Assessment and the selection of outputs for submission to REF 2021.
4. To ensure that our submissions adhere fully to the published REF guidance and regulations.
5. To agree a timetable or schedule of activities, leading to the submission date; and monitor progress of the preparations for submission.
6. To receive and review periodic updates of UoA draft submissions.
7. To communicate strategic decisions, recommendations, and advice as appropriate to Faculty Deans, UoA Convenors, and other relevant colleagues.
8. To commission and monitor internal and external reviewing as appropriate.
9. To monitor the activities and progress of subsidiary working groups and to give guidance as appropriate.
10. To ensure consistency of assessment of significant responsibility for research, to moderate recommendations and make judgments on whether individuals carry or do not carry a significant responsibility for research.
11. To ensure consistency of treatment of individual staff circumstances within Anglia Ruskin University, by acting as an institutional equivalent of the REF's Equality and Diversity Advisory Panel, to moderate recommendations and make judgements on the appropriate reductions in volume of outputs required for submission.
12. To commission and consider equality impact assessments, and where necessary to recommend actions arising from their findings.

REF Code of Practice Working Group

Membership

(The former) Head of School of Engineering & the Built Environment (Chair)
A representative from the Faculty Deputy Deans or Directors of Research
A representative from the Research Institutes
A representative of Heads of School
A representative from Early Career Researchers
A representative from teaching and research staff
A representative from Research Only staff
A representative from RIDO
A representative from HR Services
A representative of UCU.

The working group should seek to achieve broad representation from an equality and diversity perspective and across Faculties.¹⁸ Members will be selected by the Chair and Deputy Vice Chancellor (Research & Innovation) from self-nominations made through open calls by Faculties and relevant Professional Services. Where no nomination is received, a suitable member may be co-opted.

Terms of Reference

1. To develop a draft REF2021 CoP for approval by REF Strategy Group, Research Committee, CMT and Senate;
2. To consult within ARU to identify a range of SMART indicators that can be applied across the University to identify those members of eligible ('Category A') academic staff that have a significant responsibility for research; and to formally consult with staff on the proposed draft CoP when its development is complete;
3. To review its recommendations once the official REF2021 Code of Practice guidance is available (anticipated for publication in Summer 2018) and in the light of any further information from the REF team at Research England;
4. To develop processes for ensuring a fair approach for selecting outputs.

¹⁸ At its first meeting, the Code of Practice Working Group discussed whether representation from the Professoriate and Readers of Anglia Ruskin University should be added. The Group agreed, but further concluded that the existing membership already included representatives of the Professoriate and Readers.

Appendix C - Criteria for appointment of reviewers

External REF Consultants

Individuals nominated as external consultants should normally have the following experience:

- Responsibility for leading or co-leading the development of a successful submission to REF 2014 in a cognate Unit of Assessment¹⁹;

OR

- Experience in REF 2014 as a panel member, chair or output assessor in a cognate Unit of Assessment²⁰;

OR

- (as an *additional* consultant only) Demonstrable, ongoing research experience and recognised expertise in a relevant subject area, including extensive research assessment activities, such as peer reviewing, grant panel or editorial board membership.

Individuals who frequently collaborate with ARU staff, who are presently engaged as ARU external examiners, or who have close personal relationships with any member of the proposed Unit of Assessment should not be nominated.

Process for appointment

UoA Convenors should, in the first instance, produce a shortlist of suitable candidates for discussion with their Dean and Deputy Dean for, or Director of, Research, who will together decide on their nominee(s). The nominee(s) should then be contacted to ensure that they are happy to take on the role.

Names and contact details of nominees, along with a CV, a rationale for their selection and the support of the UoA Convenor(s) and Deputy Dean for Research should be submitted to the REF Assistant Manager in RIDO as soon as possible. Final confirmation of any appointment as an External REF Consultant will require the approval of the Deputy Vice Chancellor (Research and Innovation). Decisions regarding the approval of nominated consultants will be communicated within ten working days of their submission.

¹⁹ 'Successful' in this context would typically mean in the top half of submissions to the UoA according to the *THE* 'Table of Excellence' overall ranking by GPA, but will need to be understood flexibly according to context

²⁰ RAE 2008 panel experience will be considered, but is a less preferable alternative.

Internal Reviewers

To ensure equality of opportunity, internal reviewers should be identified through a process of open self-nomination, advertised to all academic (including research-only) staff within the Faculty and in cognate areas in other Faculties (facilitated by their respective Deputy Deans for, or Directors of, Research). The reviewers should be willing and able, within reason, to serve for the duration of the REF preparation period.

Applications will be reviewed, and provisional appointments made, by Faculty Deputy Deans for, or Directors of, Research, in collaboration with the respective UoA Convenor(s). Those selected will ideally be 'representative' of the staff whose work they will review, including gender and other protected characteristics; ideally also the review experience will serve for some reviewers as a development opportunity, equipping them to serve as convenors in the post-2021 REF era. Details of the proposed constitution of each internal review panel should be sent to the REF Assistant Manager for final approval by the Deputy Vice Chancellor (Research and Innovation).

Appendix D: Timetable to REF Submission

	Research England date	Anglia Ruskin date, where different
Submission of Code of Practice to the REF team	Noon, 7 June 2019	
Pilot REF data submission system available	September 2019	
REF Survey on Submission Intentions, including requests for multiple submissions, small submission exceptions etc	December 2019	
Final REF data submissions system released	Early 2020	
Reduction requests for inviting staff circumstances	31 March 2020	End of February 2020
End of REF census period for research environment	31 July 2020	
Staff Census date	31 July 2020	
Publication of approved institutional Codes of Practice	Early November 2020	As soon as possible after approval
End of REF census period for research outputs, impact, and research underpinning impact case studies	31 December 2020	
Intended submission point		Early March 2021
Deadline for submission to REF	Noon, 31 March 2021	



Appendix E: Executive Summary

ANGLIA RUSKIN UNIVERSITY

Code of Practice on Decision Making Processes in the Preparation of Submissions to the Research Excellence Framework 2021

EXECUTIVE SUMMARY

Introduction

As part of our preparations for REF 2021, we are required by the REF regulations to develop a Code of Practice to explain how we will identify those staff we are going to return, including determining researcher independence; and how we will select research outputs for submission, including taking into account any individual staff circumstances. We are also required to undertake equality analyses during our preparations to help ensure our submissions are properly representative. The Code also sets out details of who is responsible for making decisions, what the timescales are for doing so, and how they can be appealed. The Code will be sent for review by the REF's Equality & Diversity Advisory Panel in summer 2019, on whose advice Research England will approve it.

Our Code of Practice, in addressing these requirements fully, is necessarily a long and complicated document. This Executive Summary attempts to capture the key points in a more accessible way. While every effort has been made to ensure that it aligns with full Code of Practice, in the event of any contradiction the Code of Practice must be taken as definitive.

How do we decide if you are eligible to be returned to the REF?

The starting point for identifying you for return to REF is your individual contract and job description. REF rules mean that Anglia Ruskin can only return you if, on the REF staff census date (31 July 2020), you:

- Are employed by us on a contract of 0.2 FTE or greater
- Have a 'research only' or 'teaching and research' role (i.e. academic roles only, excluding teaching-only staff)
- Qualify as an independent researcher

If you meet these criteria then you are eligible to be returned to the REF. This does not mean you will be returned to the REF, as you must also qualify as an independent researcher and carry a significant responsibility for research.

How do we decide if you qualify as an independent researcher?

Essentially, qualifying as an independent researcher is about whether you are doing your own research, or doing research under the direction of another colleague. The REF rules presume that staff on 'teaching and research' contracts will typically be independent researchers, so it's normally only necessary to determine if you are an independent researcher if you hold a 'research only' contract.

Anglia Ruskin takes the view that job descriptions for research-only staff are sufficiently clear to demonstrate whether the holder is pursuing their own research or is under the direction of another, so all we need to do is look at your job title. If you are a 'Research Assistant', 'KTP Associate' or 'KEEP Associate' you are not an independent researcher. If you are a 'Research Fellow', 'Postdoctoral Research Fellow', 'Senior Research Fellow', 'Principal Research Fellow', 'Marie Curie Individual European Fellow', or 'Ruskin Fellow' you are an independent researcher.

Occasionally, it may be appropriate to challenge the presumptions about research independence based on job role, whether you are employed on a research-only or teaching and research contract, and the Code explains details of the mechanism to do this. This is most likely to be relevant to a minority of colleagues on teaching and research contracts who are completing a doctorate prior to starting their research career.

How do we identify if you are to be returned to the REF?

Having determined if you are initially eligible to be returned to the REF, we must still decide whether you actually will be. REF 2021 requires us to return you if you are an eligible member of staff carrying a 'significant responsibility for research' (SRR). We are required to define whether you carry SRR on the basis of what you are expected to do within your role (rather than, as was the case for previous REF and RAEs, what you have actually done). Our Code of Practice sets out our definition, summarised in Chart 1 overleaf.

If you are employed on a research-only contract, you carry SRR.

If you are employed on a teaching and research contract, further criteria apply. The most important of these is defined by your AWBM, if you hold one. If you do, then your allocation of research time is crucial. It must be at least 200 credits in both the 2018/19 and 2019/20 academic years, and if it is equivalent to or greater than 500 credits (i.e. the 'substantial' stepped allocation) in one or both of these years, then you carry SRR. This does not mean you must have a single 500 credit allocation, as a 200 credit ('modest') stepped allocation combined with sufficient other time allocations for research (e.g. discretionary credits for project development, credit for externally funded research grants, or an institutional research sabbatical) would also qualify. If you held an allocation of at least 200 credits (but less than 500 credits) in both the 2018/19 and 2019/20 academic years, and you held an institutional research sabbatical at any point in the REF 2021 assessment period (i.e. after 1 January 2014) then you carry SRR. If your research time allocation was zero in either 2018/19 or 2019/20, you do not carry SRR, regardless of your allocation in the other academic year.

If you are employed on a teaching and research contract and do not hold an AWBM, but are a member of ARU's Professoriate, subject to Professorial Review, or are formally based within one of our Research Institutes, then you carry SRR. If not, then you will be identified as such and a Special Review will determine if you carry SRR. The Code provides further details of the mechanism for this.

What are the timescales for identifying if you will be returned to the REF?

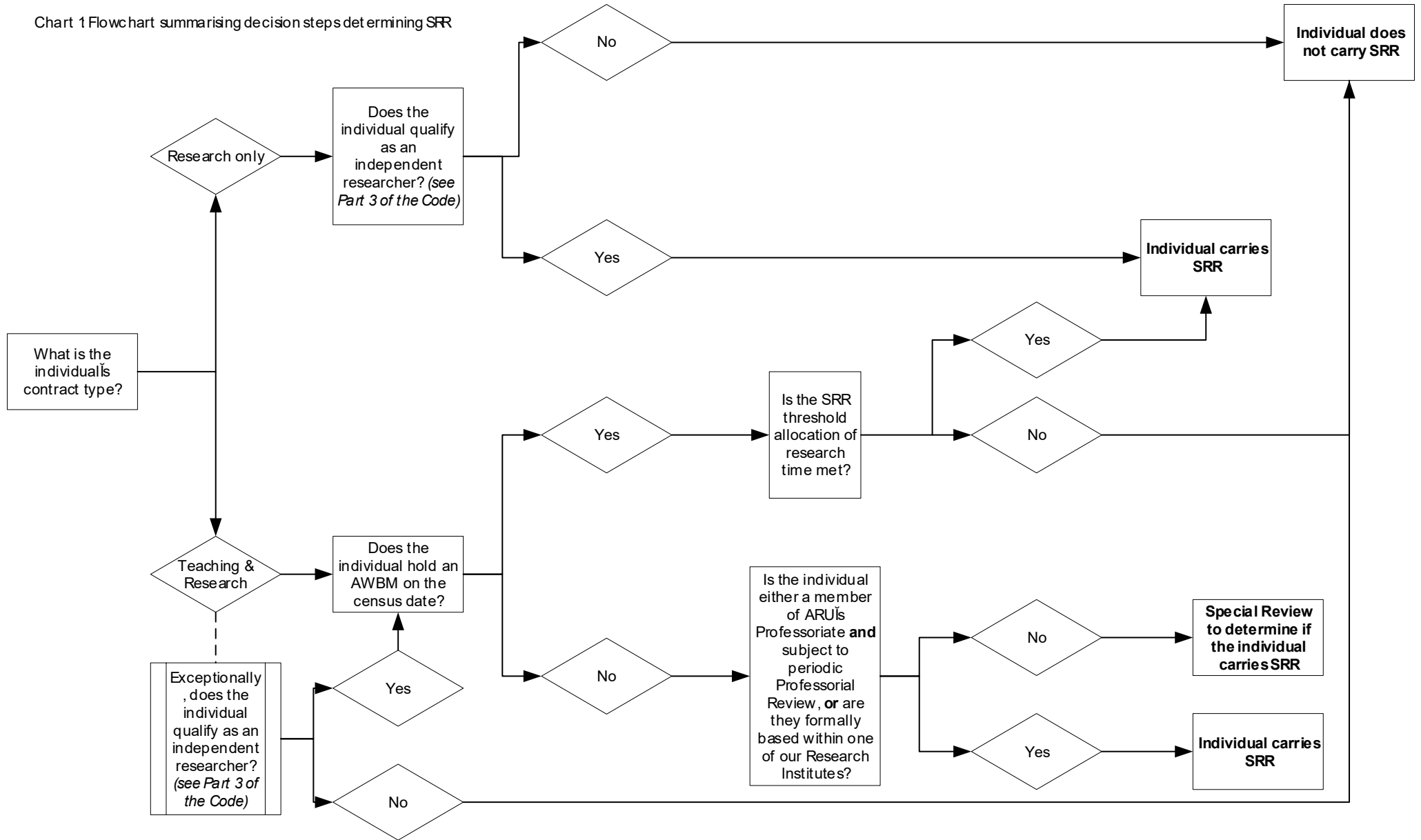
An initial staff identification exercise will take place after approval of the Code has been received from Research England, and once the AWBM allocations for the 2019/20 academic year have been agreed. The outcomes will be shared with you as soon as possible. A similar exercise will be completed as soon as possible after commencement of employment for colleagues joining during or after this process. Final decisions will be communicated by 31 August 2020.

We return staff who are in post on the staff census date, 31 July 2020.

Appeals

Where you do not agree with a decision made about your SRR or independent researcher status, it is expected that any disagreement can be resolved informally. However, there is an appeals process in place, if necessary. Appeals must be received within ten working days of the decision being made. The Code provides details of the mechanism to do this.

Chart 1 Flowchart summarising decision steps determining SRR



What are the REF's rules around submitting outputs?

REF regulations explain which outputs are eligible to be selected for submission. In brief, these require outputs to be the product of research, published between 1 January 2014 and 31 December 2020, attributable to a current or former member of staff in the submitting unit. Other rules also apply, including open access requirements, co-authoring within the unit, and the possibility for some outputs to be double-weighted.

Each unit's submission must normally include a total volume of outputs equivalent to its staff FTE multiplied by 2.5, rounded up to the nearest whole number. At least one output must be included for each member of staff submitted, and no more than five outputs can be attributed to any single individual (including both submitted and former staff).

The unit's total output volume requirement can be reduced where the individual circumstances of its staff warrant it: for example, qualification as an Early Career Researcher, periods of family-related leave, or the constraints of disability, ill-health and caring responsibilities. A mechanism to collect information from individual colleagues, to assess it, and to determine the appropriate reduction, is set out in further detail in the Code. The reduction will be reflected in the unit's total output requirement, and may also remove the individual minimum requirement.

How do we select outputs for submission?

Outputs we select for submission will be those identified as the best available for each individual, and the best of the remainder available, to meet the volume requirement for the submitting unit while reflecting the maximum of five outputs per individual.

For each proposed unit we have appointed external REF consultants, and set up internal reviewing panels. The Code sets out further details of their appointment process. Every output we submit will have had at least one external and two internal reviews, scored in line with REF quality criteria. This review data will inform the selection of outputs by the unit led by its Convenors and Co-Convenors, identifying in their professional judgement those outputs most likely to score highest in REF terms and/or best benefit the overall submission, taking into account where appropriate the views of the submitting author(s).

This process will necessarily mean that some staff will have more of their outputs submitted than their peers. The total number of outputs submitted for an individual in the REF has no reflection in the value placed upon that individual's contribution to the institution, and will not be used in any way as a determining factor in, for example, promotion or resource allocation decisions.

You will be informed which of your outputs have been selected for submission. There is no right of appeal in respect of the selection made.

More help and advice

If you have any questions about any aspect of the Code of Practice or the REF more generally then please do not hesitate to contact us.

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