

# Bangor University, REF 2021 Code of Practice

September 2020 Minor update

## Part 1: Introduction

For REF 2021 each Higher education institution is required to draw up and implement a code of practice on the fair and transparent identification of staff with significant responsibility for research; determining who is an independent researcher; approaches to supporting staff with circumstances and the selection of outputs. This will help institutions to meet their responsibilities in respect of promoting equality and diversity, complying with legislation and avoiding discrimination, when preparing submissions to the REF. The code of practice will be effective from the point at which it is approved by the REF Team.

Further information regarding REF 2021 is available here – <https://www.ref.ac.uk/guidance/>

Bangor University aims to provide an environment which respects and values the positive contribution of all its members so enabling them to achieve their full potential and to gain benefit and enjoyment from their involvement in the life of the University.

To achieve this aim, the University acknowledges the following basic rights for all its members and prospective members:

- To be treated with dignity and respect
- To be treated fairly with regard to all procedures, assessments and choices
- To receive encouragement to reach their full potential.

These rights carry with them responsibilities and the University requires all its members to recognise these rights and to act in accordance with them in all their dealings with other members of the University community. To achieve this aim, staff training in the area of equality and diversity has been identified as a key objective for the University. The University is committed to and has a legal obligation to monitor and ensure that every member of staff undertakes equality and diversity training that is appropriate to their role within the University.

Since REF 2014 Bangor University introduced a new institution-wide Current Research Information System (PURE) in July 2016, allowing staff to view, amend and update information on their research activity. The PURE system allows staff to nominate outputs for internal review during each annual mock REF exercise (see part 3 below). Bangor has also developed a set of principles for internal grading of outputs for staff (see part 4 below) from May 2016.

### **1.1: Bangor University Equality and Diversity related policies, training and support:**

Bangor University is approaching the end of its current [Strategic Equality Plan \(2016 – 2020\)](#) and preparing to develop a new Strategic Equality Plan. The University's strategic equality objectives have been developed around the Universities' strategic priorities, two of which are of particular relevance for this Code of Practice: "Mainstreaming Equality and Diversity" and "Enhancing research success". Progress has been made towards embedding the equality and diversity agenda. Since REF 2014, four schools have achieved Department-level [Athena SWAN awards](#) and Bangor University successfully reapplied for Institutional Bronze in 2018. In 2019, Bangor University (voluntarily) published its [Gender Pay Gap analysis](#); this will now be published annually. The University continues to be fully committed to the [Concordat to Support the Career Development of Researchers](#) and holds an HR Excellence in Research Award.

#### **Links to relevant policies and training:**

[Equality Policy Statement](#)

[Welsh Language Policy](#)

[Employee Support Policies](#)

[Equal Pay Audit](#)

[Equality and Diversity Training](#)

The principles of transparency, consistency, accountability and inclusivity underpin the University's annual mock REF exercises. The process and procedures are reviewed each year, updated, and amended as required in response to any feedback from staff and in response to updates on REF 2021 Guidance and Panel Criteria.

The Code of Practice, pro-forma and supporting material will be emailed to all academic staff and be available on the University's intranet from June 2019.

Staff absent from Bangor University will be contacted by their School/Unit or Human Resources.

Staff who join Bangor University or whose circumstances alter after June 2019 will be directed to the documentation on the University's intranet.

Open information sessions will be held at University/College level during summer 2019.

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

### **2.1: REF eligible Staff.**

All staff with a significant responsibility for research (Category A) will be submitted by Bangor University to REF 2021. As per the REF guidelines, to be classified as a Category A a member of staff must hold a contract of employment with the University of 0.20 fte or greater, be on the payroll on the REF Staff Census Date of 31<sup>st</sup> July 2020 and have a primary employment function to undertake 'teaching and research' or 'research only'. In the case of staff on research only contracts, staff must meet the criteria of independent researchers and does not include research assistants (see below).

Staff on all other academic contracts, such as Teaching and Scholarship, are not eligible for REF 2021 since research is not a requirement of their contract.

Bangor University will be submitting 100 per cent of REF Category A eligible staff across its REF 2021 Unit of Assessment submissions. The exception will be small units lacking critical mass (<5 fte) for research capability and appropriate exemption will be applied for.

Following the development of the REF2021 Code of Practice by the REF Task Group, all academic staff were consulted in May 2019 about the draft. The University and College Union (UCU) were actively in the initial Code of Practice meetings in December 2018 and before and after the staff consultation. The feedback from UCU was constructive and positive.

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

### **3.2: Independent researchers**

All staff on research only contracts who are not solely acting as research assistants/officers are included in the PURE-REF module and their eligibility status is reviewed during annual mock REF exercises. These staff are initially coded in PURE as 'eligibility – pending' until independent status can be confirmed in line with the final REF Guidance documentation released between January and March 2019. From May 2019 onwards, all such staff were invited to complete a short pro-forma (Annex A) in consultation with their School and College Directors of Research in order to establish whether they fulfil the criteria set for research independence within the REF 2021 guidelines. All completed forms will be reviewed by the University's REF 2021 Task Group (Annex C) and decisions communicated to staff in a timely manner via their Head of School and confirmed following the next annual mock REF exercise.

### **3.3: Feedback to Staff.**

Staff are provided with general feedback on their research performance and updates on their contract eligibility status with respect to REF 2021 on the completion of each annual mock REF exercise. This feedback is provided by the School and College directly from their Head of School, or a designated representative nominated by the Head of School.

The REF 2021 Task Group (see Annex C) will confirm the final list of eligible staff once the staff census date has passed (31/7/2020).

### **3.4: Decision making-committees**

Bangor University makes use of the existing annual mock REF process to inform the dedicated REF 2021 decision-making Task Group<sup>1</sup> on all REF matters. This REF 2021 Task Group reports directly to the University Executive.

Membership and Terms of Reference for The University Executive Committee and the REF 2021 Task Group are provided in Annex C. Approved minutes from these committees are available to Bangor staff via the staff intranet.

All members of the Executive Committee and REF 2021 Task Group receive equality training through Bangor's Equality E-learning and Equality for Managers training courses. This training is mandatory and monitored by the Human Resources department. In addition, members of the REF 2021 Task Group will complete a new online Unconscious Bias Module developed by Bangor's Human Resources department.

### **3.5: Advisory process**

The annual mock REF exercises take place at the beginning of each year and review staff, outputs, impact and environment information from the previous year. There is one panel meeting per College. Each panel is chaired by the Pro Vice-Chancellor for Research, and comprises the College Director of Research, the College Director of Impact, Head of Schools and the University REF Manager. A summary of all information considered during each panel meeting is reviewed by the University's Research, Innovation and Impact Strategy Group (to March 2019), REF 2021 Task Group (from April 2019 to submission) and a summary is considered and ratified by the University's Executive Committee.

Advisors and decision makers consider a number of factors during the annual mock REF exercises. These are explained below.

#### **i. Gathering information on staff, outputs, impact and environment**

Bangor implemented PURE in 2016. The system draws together research information from both internal and external sources and includes the institutional repository. Staff who are potentially returnable as Category A (based on current contract type) nominate outputs for internal review each autumn as part of this annual mock REF process. Details of any contribution to impact within their unit, and their contribution to the research environment of their unit are also inputted and held in PURE and extracted for the annual mock REFs. The process is directed at College level by the College Director of Research and the College Director of Impact. Bangor University has invested substantially in training with the PURE system across all levels of staff, to ensure that no staff groups are excluded.

#### **ii. Mock REF Exercises**

In this process eligible research outputs proposed for review by members of staff will be assigned grades following the *Principles for Internal Quality Grading* of research outputs (details in part 4 below). The grades will be reviewed at the mock REF panel meetings and will be based on work published or accepted for publication before 31<sup>st</sup> December 2020. Where applicable, grades will be accompanied by a note of any likely substantial change, for example an output with a high

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<sup>1</sup> Up until March 2019 the University's Research, Innovation and Impact Strategy Group was responsible for the annual mock REF exercises; from April 2019, (once the final guidance material was available) until final submission the University's REF 2021 Task Group takes over responsibility for all aspects of REF 2021.

probability of appearance in the REF window. Staff contribution to impact and environment will also be examined. The annual mock REF exercises are a mechanism for-

- preparing for the next REF in 2021
- understanding research activity at university, college, school, research group and individual level
- allowing all researchers to reflect on the focus of their research effort and the progress they are making on their own personal research targets and career progression.

The annual mock REF process involves closer and ongoing integration of strategic direction with individual research excellence. After each annual exercise, we review our processes and improve our approach as appropriate. A key outcome of each mock REF is to provide individuals with an annual update on their progress to submission and (for staff on research only contracts) their eligibility status.

The information gathered through the mock REF exercises is reported to the Research, Innovation and Impact Strategy Group (up to March 2019) and the REF 2021 Task Group (from April 2019) and The University Executive.

### **iii. Feedback to staff**

As part of the annual mock REF exercise individual staff members receive general feedback on their research performance and on matters relating to their contract status with regard to REF eligibility (for staff on research only contracts) through the appropriate system within their School or other unit. Heads of Schools/senior line managers ensure that individual staff members receive feedback on the likely quantity and quality of their contribution to the institution's submission to REF 2021.

### **iv. REF 2021 Task Group**

The REF 2021 Task Group, with approval of the University Executive, will determine to which UoAs Bangor will submit, and the strategic composition for each UoA. From August 2019, the REF 2021 Task Group will assign every individual member of staff to a UoA using material published by the REF 2021 on panel boundaries and membership. Ultimately, the University will select outputs for the REF that best reflect the excellence of research within each UoA. The REF Task Group will use the findings from the internal scoring of outputs by internal experts from the annual Mock REF and in some circumstance advice from external peer-review. Initial suggestion will be made by research-area specific teams of the REF Task Group, but the final decision will be taken by the whole.

External peer review may be used for a sub-set of eligible outputs to support calibration of the output pool, or where internal expertise in a specific field is confined to such a small number of staff that meaningful internal peer-review is not feasible.

Additional bibliometric information, where relevant to the discipline, will be used to inform differentiation between outputs assessed at similar quality levels.

### **3.6: Appeals**

Appeals regarding any aspect of the mock REF process or REF eligibility should be directed to the Pro Vice-Chancellor Research and evaluated upon the factual or process errors. Any issues that cannot be resolved via this process will be considered by the Vice-Chancellor, who will institute a rapid and independent review of each case within one month. The Vice-Chancellor (or nominated representative) will convene an independent group of three senior academics, none of whom is on the REF 2021 Task Group. Staff are informed of the appeals process during each annual mock REF exercise. All appeals will be completed before the final REF 2021 submission is made by Bangor University.

### **3.7: Equality impact assessment**

The funding bodies require all HEIs to conduct an EIA on their policy and procedures for selecting staff for the REF to determine whether the institution's staff selection policy for the REF has a differential impact on particular groups. An equality impact assessment (EIA) will be carried out on Bangor's REF Code of Practice prior to submission in June 2019. Full details are given in Annex E. It will be kept under review as submissions are prepared to ensure that any necessary changes to prevent discrimination or promote equality are taken prior to the submission deadline.

Shortly before the submission date, a final EIA will be conducted by the REF 2021 Task Group to check that (a) all eligible staff have all been submitted and all appeals procedures concluded; and (b) that all staff to be included have been subject to an equal opportunities check and appropriate text inserted in REF6a/6b.

If any EIA identifies discrimination within Bangor's policies or procedures the REF 2021 Task Group in conjunction with the University's Equality Officer will explore alternative procedures that could be employed to mitigate the negative effect or justify the policy or practice within the constraints of the law and will also explore other solutions available to support the staff affected. If any policy or practice is found to advance equality, Bangor will seek to apply it to other areas of REF preparation.

The EIA will be published on Bangor's website after the REF submissions have been made in 2021. The published information will include the outcomes of any actions taken to prevent discrimination or advance equality.

## **Part 4: Selection of outputs**

### **4.1: Policies and procedures. Principles for internal quality grading of research outputs for Research Excellence Framework (REF) preparation.**

Staff are encouraged to propose outputs via the PURE REF 2021 module that they believe reach 3 star or above quality or are close to 3 star quality (using the REF 2021 star quality definitions). Staff are requested to provide a brief written justification for their proposed star grade based on the REF 2021 criteria of originality, significance, and rigour, as appropriate to their discipline. Additional external discipline-specific information and/or metrics to demonstrate the academic impact of the output are welcomed.

A School, College or REF Unit of Assessment (UoA) level pool of internal reviewers review the proposed outputs. The pool comprise staff who have experience of reviewing and/or expertise in the general area of the UoA remit. Internal reviewers are asked to comment on the quality of a research output only. There will not be given any information relating to individual staff circumstances. Each proposed output is reviewed by more than one reviewer who provides an internal predicted star grade and a justification for that grade based upon the REF 2021 criteria of originality, significance, and rigour. The predicted star grade will always be a snap-shot based upon the best information available at the time of reviewing and thus could be increased or decreased at a later point. All reviewers' predicted grades are based on reading the output in order to mirror the actual REF UoA panel reviewing process as far as possible.

Where required reviewers' predicted grades will be moderated by the College Director of Research, in consultation (as appropriate) with the School Director of Research, and/or external assessors. Appeals should be directed to the Pro Vice-Chancellor for Research and based upon factual or process errors.

All predicted grades for each year are reviewed during the University's mock REF review meetings at the beginning of each year. Feedback to authors will be communicated in a supportive context, such as during an annual Professional Development Review (PDR) This feedback is provided by the School and College directly from their Head of School, or a designated representative nominated by the Head of School. Any discussion and feedback should include a brief justification for the predicted grade.

These principles are reviewed and updated as details of the REF framework and guidelines emerge.

#### **4.2: The use of external assessors**

When external assessors are consulted for individual UoAs they will be asked to comment on the quality of a research output only. They will not be given any information relating to individual staff circumstances. External assessors will be made fully aware of Bangor's Code of Practice.

#### **4.3: Former staff (CAT B at staff census date)**

For REF 2021 Bangor University will consider submission of the outputs of former staff that were first made publicly available while they were employed by Bangor as eligible staff. However, Bangor University will not submit outputs against staff who have been made compulsorily redundant. Outputs co-authored by current staff and staff that were made compulsorily redundant remain eligible for submission by the current staff member.

#### **4.4: Staff, committees and training**

Please see part 3 above.

#### **4.5: Staff circumstances**

As part of the university's commitment to supporting equality and diversity in REF, we have put in place safe and supportive structures for staff to declare information about any equality-related circumstances that may have affected their ability to research productively during the assessment period (1 January 2014 – 31 December 2020), and particularly their ability to produce research outputs at the same rate as staff not affected by such circumstances. The purpose of collecting this information is threefold:

- To enable staff who have not been able to produce a REF-eligible output during the assessment period to be entered into REF where they have;
  - circumstances that have resulted in an overall period of 46 months or more absence from research during the assessment period, due to equality-related circumstances (see below)
  - circumstances *equivalent* to 46 months or more absence from research due to equality-related circumstances
  - two or more qualifying periods of family-related leave.
- To recognise the effect that equality-related circumstances can have on an individual's ability to research productively, to adjust expectations in terms of expected workload and therefore for the REF 2021 submission production of research outputs.
- To establish whether there are any Units of Assessment where the proportion of declared circumstances is sufficiently high to warrant a request to the higher education funding bodies for a reduced required number of outputs to be submitted.

#### *Applicable circumstances:*

- Qualifying as an early career researcher (ECR) - started career as an independent researcher on or after 1 August 2016.
- Absence from work due to secondments or career breaks outside the HE sector
- Qualifying periods of family-related leave
- Junior clinical academics who have not gained a Certificate of Completion of training by 31 July 2020
- Disability (including chronic conditions)
- Ill health, injury or mental health conditions
- Constraints relating to family leave that fall outside of the standard allowances
- Caring responsibilities
- Gender reassignment
- COVID-19 related circumstances (REF6a only)<sup>2</sup>

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<sup>2</sup> As well as effects due to applicable circumstances (such as ill health, caring responsibilities), this includes other personal circumstances related to COVID-19 (such as furloughed staff, health-related or clinical staff diverted to

From June 2019 individual staff will be invited, if they wish, to provide a confidential completed pro-forma (Annex B) detailing matters relating to their ability to produce research outputs.

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

Full details of the REF's criteria of extenuating circumstances are given in the pro-forma.

Within Bangor University, information that staff provide on the pro-forma will only be seen by the REF 2021 Task Group who will have the final decision in complex cases. The REF 2021 Task Group will manage the review process. All members of the group will observe strict confidentiality and carry out their duties with the utmost sensitivity. All information provided regarding staff circumstances will be stored securely. Staff will be informed about the outcomes by the REF 2021 Task Group.

Appropriate content from the form may be returned to REF 2021 linked to named individuals whose productivity has been affected by equality issues, confidentially, in form REF6a of the University's REF submission.

Any staff member who claims and is subsequently deemed to have been disadvantaged by equality issues or extenuating circumstances will have their case examined by the REF 2021 Task Group who will agree the number of outputs required for submission for that individual. The REF 2021 Task Group will then reduce the output requirement for that Unit of Assessment if deemed appropriate. The decision will involve balancing individual and institutional interests.

#### **Summary of Annex L: Reductions for staff circumstances (Guidance on Submissions)**

Staff circumstances:	Reduction pool may be reduced by:
Early career researcher, first met REF definition of an ECR between 1 August 2016 and 31 July 2017 inclusive	0.5
Early career researcher, first met REF definition of an ECR between 1 August 2017 and 31 July 2018 inclusive	1
Early career researcher, on or after 1 August 2018	1.5
Secondments or career breaks, 12 calendar months but less than 28	0.5
Secondments or career breaks, 28 calendar months but less than 46	1
Secondments or career breaks, 48 calendar months or more	1.5
Qualifying periods of family-related leave	0.5 for each discrete period
Combining circumstances that have a defined reduction in outputs	Up to a maximum reduction of 1.5
Other circumstances, UoAs 1-6	up to one for staff who are junior clinical academics.
Circumstances requiring a judgement	Between 0.5 and 1.5
Where an individual's circumstances have had an exceptional effect on their ability to work productively throughout the assessment period.	Request can be made to remove the minimum of one output requirement

frontline services, staff resource diverted to other priority areas within the HEI in response to COVID-19); and / or external factors related to COVID-19 (for example, restricted access to research facilities).

#### **4.6: Equality impact assessment**

Bangor University will select outputs for submission based on their quality, while fitting within the REF guidelines of the minimum and maximum number required per member of staff. An EIA will be conducted prior to the final confirmation of outputs selected for submission to ensure no detrimental impact on any particular groups with one or more protected characteristic(s) where sufficient volume allows for statistical analysis.

#### **Part 5: Appendices**

Annex A – Independent researcher template.

Annex B – Declaration of individual staff circumstances template

Annex C – Membership and Terms of Reference for key committees.

Annex D – Bangor University REF Data Collection Statements

Annex E – Equality Impact Assessment (EIA)



## Annex A – Independent researcher template.

### Independent Researcher Declaration

Academic staff employed on ‘research only’ contracts must be independent researchers to meet the definition of Category A eligible for submission in REF 2021. For the purposes of the REF, an independent researcher is defined as **an individual who undertakes self-directed research**, rather than carrying out another individual’s research programme.

Typically, research assistants (sometimes also described as postdoctoral research assistants, research associates, research officers or assistant researchers) are not eligible to be returned to the REF as Category A staff. They are employed to carry out another individual’s research programme rather than as independent researchers in their own right. They are usually funded from research grants or contracts from Research Councils, charities, the European Union (EU) or other overseas sources, industry, or other commercial enterprises, but they may also be funded from the institution’s own funds. They must not be listed as Category A submitted staff purely on the basis that they are named as an author on one or more research outputs.

There are three possible indicators of independence sufficient to be considered as Category A staff that apply across **all REF subject panels**, these are listed in the first half of the form below, 1, 2 and 3.

There are a further two possible indicators of independence that apply to **REF Panels C and D only**, listed in the form under 4 and 5, these will only apply to staff being considered for submission to the following REF Units of Assessment:

Panel C	17	Business and Management Studies
	21	Sociology
	24	Sport and Exercise Sciences, Leisure and Tourism
Panel D	26	Modern Languages and Linguistics
	27	English Language and Literature

**Please read carefully and complete the form below if you are on a research only contract and wish to be considered for independent researcher status for REF.**

**To submit this form** please email it to the REF Manager, Claire V Davis, [bss010@bangor.ac.uk](mailto:bss010@bangor.ac.uk)

<b>Name:</b> Click here to insert text.
<b>School:</b> Click here to insert text.

Please provide requested information on possible indicators of independence in relevant box(es).

<b>Indicator of independence – <u>ALL REF SUBJECT PANELS</u></b> <i>Please note that each indicator may not individually demonstrate independence and, where appropriate, multiple factors may need to be considered</i>	<b>Details</b>
<b>1. Leading or acting as principal investigator or equivalent on an externally funded research project</b>  <i>Details of research project, funder, dates, title, project code, link to project in PURE.</i>	Click here to enter dates and details.

<p><b>2. Holding an independently won, competitively awarded fellowship where research independence is a requirement.</b>  <b>An illustrative, but not exhaustive, list of independent fellowships can be found at <a href="https://www.ref.ac.uk/guidance/additional-guidance/">https://www.ref.ac.uk/guidance/additional-guidance/</a>, under Additional Guidance</b></p> <p><i>Details of fellowship: funder, dates, title</i></p>	<p>Click here to enter dates and details.</p>
<p><b>3. Leading a research group or a substantial or specialised work package</b></p> <p><i>Details of research package, funder, dates, link to PURE record</i></p>	<p>Click here to enter dates and details.</p>
<p><b>Indicator of independence –MAIN PANELS C AND D, please see relevant REF UoAs on page 1 above.</b>  <b>SUPPLEMENTARY CRITERIA</b></p>	
<p><b>4. Being named as a Co-I on an externally funded research grant/award.</b></p> <p><i>Details of research project, funder, dates, title, project code, link to project in PURE</i></p>	<p>Click here to enter text.</p>
<p><b>5. Having significant input into the design, conduct and interpretation of research</b></p> <p><i>Provide as details as appropriate.</i></p>	<p>Click here to enter text.</p>

Please confirm, by ticking the box provided, that:

- The above information provided is a true and accurate description as of the date below.
- I realise that the above information will be used for REF purposes only.
- I realise it may be necessary to share the information with the Research England's REF Team.

I agree

<b>Name:</b> Print name here	<b>Signed:</b> Sign or initial here	<b>Date:</b> Insert date here
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## Annex B – Declaration of individual staff circumstances template

### Declaration of Individual Staff Circumstances template

#### Bangor University – August 2020 update

This document is being sent to all Category A staff whose outputs are eligible for submission to REF 2021 (see 'Guidance on submissions', (GOS) paragraphs 117-122). As part of the university's commitment to supporting equality and diversity in REF, we have put in place safe and supportive structures for staff to declare information about any equality-related circumstances that may have affected their ability to carry out research during the assessment period (1 January 2014 – December 2020), and particularly their ability to produce research outputs at the same rate as staff not affected by such circumstances. The purpose of collecting this information is threefold:

- To enable staff who have not been able to produce a REF-eligible research output (GOS, paragraph 205) during the assessment period to be entered into REF where they have:
  - circumstances that have resulted in an overall period of 46 months or more absence from research during the assessment period, due to equality-related circumstances (see below)
  - circumstances *equivalent* to 46 months or more absence from research due to equality-related circumstances
  - two or more qualifying periods of family-related leave.
- To recognise the effect that equality-related circumstances can have on an individual's ability to research productively, and to adjust expectations in terms of expected workload / production of research outputs.
- To establish whether there are any Units of Assessment where the proportion of staff with declared circumstances is sufficiently high to warrant a request to the higher education funding bodies for a reduced total number of outputs required to be submitted.

#### Applicable circumstances

- Qualifying as an early career researcher (ECR) - Started career as an independent researcher on or after 1 August 2016
- Absence from work due to secondments or career breaks outside the HE sector
- Qualifying periods of family-related leave
- Junior clinical academics who have not gained a Certificate of Completion of training by 31 July 2020
- Disability (including chronic conditions)
- Ill health, injury or mental health conditions
- Constraints relating to family leave that fall outside of the standard allowances
- Caring responsibilities
- Gender reassignment
- COVID-19 related circumstances (REF6a only)<sup>3</sup>

If your ability to research productively during the assessment period has been constrained due to one or more of the following circumstances, you are requested to complete the attached form. Further information can be found paragraph 160 of the Guidance on Submissions (REF 2019/01). Completion and return of the form is voluntary. Individuals who do not choose to return it will not be put under any pressure to declare information if they do not wish to do so.

This form is the only means by which the University will be gathering this information; we will not be consulting HR records, contract start dates, etc. You should therefore complete and return the form if any of the above circumstances apply and you are willing to provide the associated information.

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<sup>3</sup> As well as effects due to applicable circumstances (such as ill health, caring responsibilities), this includes other personal circumstances related to COVID-19 (such as furloughed staff, health-related or clinical staff diverted to frontline services, staff resource diverted to other priority areas within the HEI in response to COVID-19); and / or external factors related to COVID-19 (for example, restricted access to research facilities).

## Ensuring Confidentiality

Within Bangor University, information that you provide on the pro-forma will only be seen by the REF 2021 Task Group who will have the final decision in complex cases. The REF 2021 Task Group will manage the review process. All members of the group will observe strict confidentiality and carry out their duties with the utmost sensitivity. All information provided regarding staff circumstances will be stored securely. Staff will be informed about the outcomes by the REF 2021 Task Group.

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

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

## Changes in circumstances

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

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**To submit this form** please email it to the REF Manager, Claire V Davis, [bss010@bangor.ac.uk](mailto:bss010@bangor.ac.uk)

**Name:** Click here to insert text.

**School:** Click here to insert text.

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

Yes  No

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

Circumstance	Time period affected
<b>Early Career Researcher (started career as an independent researcher on or after 1 August 2016).</b> <i>Date you became an early career researcher.</i>	Click here to enter a date.
<b>Junior clinical academic who has not gained Certificate of completion of Training by 31 July 2020.</b>	Tick here <input type="checkbox"/>
<b>Career break or secondment outside of the HE sector.</b> <i>Dates and durations in months.</i>	Click here to enter dates and durations.

<p><b>Family-related leave;</b></p> <ul style="list-style-type: none"> <li>• statutory maternity leave</li> <li>• statutory adoption leave</li> <li>• additional paternity or adoption leave or shared parental leave lasting for four months or more.</li> </ul> <p><i>For each period of leave, state the nature of the leave taken and the dates and durations in months.</i></p>	<p>Click here to enter dates and durations.</p>
<p><b>Disability (including chronic conditions)</b>  <i>Total duration in months.  May include: Nature / name of condition, periods of absence from work, and periods at work when unable to research productively.</i></p>	<p>Click here to enter text.</p>
<p><b>Mental health condition</b>  <i>Total duration in months.  May include: Nature / name of condition, periods of absence from work, and periods at work when unable to research productively.</i></p>	<p>Click here to enter text.</p>
<p><b>Ill health or injury</b>  <i>Total duration in months.  May include: Nature / name of condition, periods of absence from work, and periods at work when unable to research productively.</i></p>	<p>Click here to enter text.</p>
<p><b>Constraints relating to family leave that fall outside of standard allowance</b>  <i>Total duration in months.  May include: Type of leave taken and brief description of additional constraints, periods of absence from work, and periods at work when unable to research productively.</i></p>	<p>Click here to enter text.</p>
<p><b>Caring responsibilities</b>  <i>Total duration in months.  May include: Nature of responsibility, periods of absence from work, and periods at work when unable to research productively.</i></p>	<p>Click here to enter text.</p>
<p><b>Gender reassignment</b>  <i>Total duration in months.  May include: periods of absence from work, and periods at work when unable to research productively.</i></p>	<p>Click here to enter text.</p>
<p><b>Any other exceptional reasons e.g. bereavement.</b>  <i>Total duration in months.  May include: brief explanation of reason, periods of absence from work, and periods at work when unable to research productively.</i></p>	<p>Click here to enter text.</p>
<p><b>COVID-19</b> (Applicable only where requests are being made for the removal of the minimum of one requirement)</p>	<p>Click here to enter text.</p>

<p><i>To include: periods of absence from work, and periods at work when unable to research productively. Total duration in months.</i></p> <p><i>The overall impact of the COVID-19 effects should be considered in combination with other applicable circumstances affecting the staff member's ability to research productively throughout the period.</i></p>	
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Please confirm, by ticking the box provided, that:

- The above information provided is a true and accurate description of my circumstances as of the date below
- I realise that within Bangor University the above information will be used for REF purposes only and will only be seen by the REF Task Group.
- I realise it may be necessary to share the information as part of Bangor University's REF submission with the UKRI's REF team, the REF Equality and Diversity Advisory Panel, and the REF main panel chairs.

I agree

**Name:** Print name here    **Signed:** Sign or initial here    **Date:**        Insert date here

**Support available outside the REF 2021 process:**

If you would like to discuss any of the equality-related issues raised within this form with a member of staff from Bangor's Human Resources department or your School, College or Centre please tick the relevant box below. Please note, if you do not give permission HR or your School/College/Centre may be unable to adjust expectations and put in place appropriate support for you.

- I give my permission for an HR staff member to contact me to discuss my circumstances, and my requirements in relation to these.
- I give my permission for the details of this form to be passed on to the relevant contact within my School/College/Centre.

I would like to be contacted by: Email         Insert email address    Phone         Insert contact telephone number

## Annex C – Membership and Terms of Reference for key committees.

### XXXIII. THE EXECUTIVE COMPOSITION & TERMS OF REFERENCE

1. Pursuant to Statute XII (x), there shall be an Executive, which shall be the senior management group of the institution and which shall be accountable to the Council.
  - (a) Composition  
Ex-officio :
    - The Vice-Chancellor (Chair)
    - The Pro-Vice-Chancellors, including a Senior Pro-Vice-Chancellor or Deputy Vice-Chancellor
    - The University Secretary
    - The Director of Finance
    - Deans of Colleges
    - Director of HR
  - (b) Terms of Reference
    - (1) To consider, recommend and be responsible for implementing the overall strategy of the University, including the setting of targets and monitoring their achievement.
    - (2) To consider, recommend and implement overall University policy.
    - (3) To be responsible for the financial management of the University, including the allocation of resources, setting budgets and monitoring financial performance.
    - (4) To be responsible for the overall, day-to-day management and administration of the University.
    - (5) To consider staffing levels within resource centres and schools/departments, and to consider and, where appropriate, approve appointments to new or replacement posts within available resources, and in accordance with the University's Strategic Plan.
    - (6) To be responsible for the size, academic shape and structure, (including the establishment or discontinuance of subject areas) and for the managerial and support structure of the University.
    - (7) To monitor the performance of the University in all aspects, and ensure that procedures are in place to measure achievement and performance.
    - (8) To consult as appropriate within the institution<sup>4</sup> to take decisions at a senior management level as effectively and efficiently as possible, and to communicate these within the institution.
    - (9) To exercise leadership within the University.
    - (10) To make recommendations to the Council and to Council committees on matters within their jurisdiction. The Executive will report to the Council.
2. The Executive shall have power to establish boards, steering groups or committees, with such composition and Terms of Reference as it shall agree in consultation with the body concerned.
3. The Executive shall have power to establish Task Groups in specific areas of activity to assist with, and advise upon, the management of the University's affairs, and with such Terms of Reference as it shall agree in consultation with the Task Groups.

Amended April 2019

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<sup>4</sup> Unless otherwise determined, the Executive's normal channel of communication will be with Deans of College and Directors of Professional Services. It reserves the right however, to conduct such discussions as it sees fit with other individuals or groups, including other budget holders.

## **Research, Innovation and Impact Strategy Group (RIISG) Terms of Reference and Membership**

### **Members -**

Pro Vice-Chancellor Research (Chair)  
College Directors of Research  
College Directors of Impact  
Dean of Postgraduate Research  
Director of the Research, Innovation and Impact Office (RIIO) (Deputy Chair)  
Head of Knowledge Exchange, RIIO  
Head of Pre-Award, RIIO  
Research Information and REF Manager, RIIO (Secretary)

### **Aim**

This Task Group provides strategic direction, leadership and oversight of Bangor University's research, innovation and impact activities and performance. Membership allows representation from relevant university constituencies including Colleges, Doctoral School and Research, Innovation and Impact Office.

### **Remit**

- A Task Group of the University Executive.
- **Develop** an integrated research, innovation and impact strategy for the university.
- **Review and oversee** the implementation of the University's research, innovation and impact strategy.
- **Review and oversee** the Doctoral School's strategy and performance.
- Ensure **linkage** between institutional strategy and the University research, innovation and impact strategy and link appropriately with College strategies, Doctoral School strategy, and Welsh Government and HEFCW policy.
- **Communicate** the University's research, innovation and impact strategy and strategically important information to Colleges.
- **Receive and respond** to strategically important information from Colleges, the Doctoral School and other relevant parties.
- **Deliver** the strategy to improve the University's research, innovation and impact environment.
- **Develop, implement and review University policies**, management and governance processes and procedures relevant to the delivery of the University's research, innovation and impact strategy.
- To **promote**, facilitate, support and embed research, innovation and impact activities and raise awareness of and support these activities across the University.
- **Inform** the strategic allocation of research, innovation and enterprise resources at Bangor University.
- To **manage** risks, threats and changes proactively in areas relevant to research, innovation and impact.
- **Receive reports** of the University's research, impact and enterprise performance from Colleges, Research, Innovation and Impact Office, Finance Office, Planning Office, Library and Archives Services and Human Resources.
- Review and **act on reports** received to maximise research, innovation and impact performance across the University.
- Oversee the institutional approach and response to **external** research, innovation and impact drivers, such as the Higher Education Business and Community Interaction Survey (HEBCIS), Research Excellence Framework (REF) and UK Research and Innovation (UKRI).
- To establish such sub-groups, boards or committees as the Task Group thinks appropriate.
- Annually review these Terms of Reference.

### **Way of working**

The task group will be:

- Evidence informed
- Creative



- Agile, and
- Collaborative

### **Reporting Structure**

- College RIISG groups report to this Task Group.
- The RIISG Support Group reports directly to this Task Group.
- The RIISG reports to the Executive through the Pro Vice-Chancellor Research & Impact.

*November 2018*

## **RESEARCH EXCELLENCE FRAMEWORK (REF) 2021 TASK GROUP Membership and Terms of Reference**

Pro Vice Chancellor Research (Chair)  
Research Information and REF Manager (Secretary)  
UKRI and Impact Manager (Minutes)  
College Directors of Research  
College Directors of Impact

### **Entitled to attend:**

Vice Chancellor  
Relevant stakeholders can attend on an ad hoc basis.

### **Terms of Reference**

1. A Task Group of the University Executive.
2. To determine policies, processes and tactics to maximise the University's performance in the next REF;
3. To make decisions and recommendations to the Executive to maximise the University's performance in REF 2021.
4. To approve and evaluate data from the annual Rolling REF exercises.
5. Annually review these Terms of Reference.

This Task Group will meet monthly and add additional meetings as and when required for specific REF 2021 deadlines.

*October 2018*

## **Annex D Bangor University Data Collection Statements**

### **REF2021 Bangor University Staff Data Collection Statement - Updated August 2020.**

#### **Staff Data Collection Statement for the REF2021**

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

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

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

#### **Sharing information about you**

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

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

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

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

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

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

#### **Publishing information about your part in our submission**

The results of the assessment exercise will be published by UKRI, on behalf of the four UK higher education funding bodies, in April 2022. The published results will not be based on individual performance nor identify individuals.

Those parts of submissions that contain factual data and textual information about research activity will also be published by UKRI, on behalf of the four UK higher education funding bodies, and will be made available online. Published information is likely to include **textual information including impact case studies in which you may be referenced**. Your name and job title may be included in this textual information. Other personal and contractual details, including your date of birth and all information about individual staff circumstances will be removed.

*Please note that impact case studies, environment statements and other textual information should submitted to REF 2021 by Bangor University will not normally be submitted with personal information (other than names and job titles), and that usually any personal information (other than names and job titles) will be removed in the redacted version(s) that are submitted.*

Unless redacted, the information to be published by UKRI, on behalf of the four UK higher education funding bodies, will include a single list of all the outputs submitted by us in each Unit of assessment. The list of outputs will include standard bibliographic data for each output, but will not be listed by author name.

### **Data about personal circumstances**

You may voluntarily disclose personal circumstances to your submitting unit, which could permit us to submit your information to the REF without the 'minimum of one' requirement (without penalty), or to submit a reduced number of outputs without penalty. If (and only if) we apply either form of reduction of outputs, we will need to provide UKRI with data that you have disclosed about your individual circumstances, to show that the criteria have been met for reducing the number of outputs. Please see the 'Guidance on submissions' document (paragraphs 151-201) for more detail about reductions in outputs and what information needs to be submitted. If you wish to disclose personal circumstances please request a pro forma from the [REF Manager](#) or your College Director of Research.

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

*Bangor University will be anonymising data on circumstances provided in REF6 by removing any information that could lead to an individual being identified when personal data is shared beyond the REF Task Group and UoA 5b Environment Statement author/s.*

We will send to Research England a report that will include a summary of all voluntarily declared personal circumstances, whether or not they were used to reduce the output requirements. This report will only contain data in aggregated form and will not contain information that will identify individual members of staff.

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

### **Accessing your personal data**

Under the Data Protection Act 2018 and the GDPR, you have the right to see and receive a copy of any personal information that UKRI holds about you. Further information about the Act and

GRPR, and guidance on making a subject access request, can be found on the RE web-site at <https://re.ukri.org/about-us/policies-standards/foi-data-protection/>

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

Data Protection Officer  
UK Research and Innovation  
Polaris House  
Swindon, SN2 1FL  
Email: [dataprotection@ukri.org](mailto:dataprotection@ukri.org)

**[Bangor University Data Protection Policy and Privacy Notices can be found here](#)**

## **Bangor University Data Collection Statement for the REF2021 – Non-Staff August 2020 update**

### **About the REF**

The purpose of the Research Excellence Framework 2021 (REF2021) is to assess the quality of UK research and to inform the selective distribution of public funds for research by the four UK higher education funding bodies. The REF outcomes are used to calculate about £2 billion per year of public funding for universities' research, and affect their international reputations. The results also inform strategic decisions about national research priorities. The next REF will be undertaken in 2021.

The REF was first carried out in 2014, replacing the previous Research Assessment Exercise. It included for the first time an assessment of the broader impact of universities' research beyond academia: on the economy, society, culture, public policy and services, health, the environment and quality of life – within the UK and internationally.

Impact is assessed through the submission of case studies, which describe the changes or benefits brought about by research undertaken by researchers at the institution. Impressive impacts were found across all disciplines, with 44 per cent of submissions judged to be outstanding. A database of case studies submitted in 2014 can be found here:

<https://impact.ref.ac.uk/>.

### **Data collection**

The REF is managed by the REF team, based at Research England (RE), on behalf of the four UK higher education funding bodies. RE is part of UK Research and Innovation (UKRI), and under this arrangement UKRI has the role of 'data controller' for personal data submitted by us to the REF.

You may have provided information for one or more impact case studies or environment statements as part of our submission to the REF 2021. In 2021 we will send information about impact case studies and environment statements to UKRI for the purpose of the REF2021. The information will not be in coded form and your name - and details such as your job title and organisational affiliation - may be provided in these narrative statements. We refer to this information about you as 'your data'.

You can find further information about what data are being collected on the REF website, at [www.ref.ac.uk](http://www.ref.ac.uk) in particular publication 2019/01, 'Guidance on submissions'. Annex G of that document sets out the data that we will be required to share with UKRI.

### **Sharing information about you**

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

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

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

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

Parts of your data will be passed to the REF expert panels and the Equality and Diversity Advisory Panel (whose members are independent of UKRI) for the purpose of conducting a systematic evaluation of submissions, in accordance with predetermined criteria and methods. All panel members are bound by confidentiality arrangements.

### **Publishing information about your part in our submission**

The results of the assessment exercise will be published by UKRI, on behalf of the four UK higher education funding bodies, in April 2022.

Those parts of submissions that contain factual data and textual information about research activity will also be published by UKRI, on behalf of the four UK higher education funding bodies, and will be made available online. Published information is likely to include **textual information including impact case studies in which you may be referenced**. Your name and job title may be included in this textual information. Other personal details will normally be removed.

*Please note that impact case studies, environment statements and other textual information should submitted to REF2021 by Bangor University will not normally be submitted with personal information (other than names and job titles), and that usually any personal information (other than names and job titles) will be removed in the redacted version(s) that are submitted.*

### **Accessing your personal data**

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

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

Data Protection Officer

UK Research and Innovation

Polaris House

Swindon, SN2 1FL

Email: [dataprotection@ukri.org](mailto:dataprotection@ukri.org)

**[Bangor University Data Protection Policy and Privacy Notices can be found here](#)**

## Annex E Equality Impact Assessment of the REF 2021 Code of Practice

By: Claire Davis & Nia Blackwell

Date: 8<sup>th</sup> May 2019

Project Aim
<i>What does the project aim to achieve? (Please note the financial and / or non-financial outcomes and benefits)</i>
<p>Full details can be found in the Bangor University REF 2021 Code of Practice, in summary the aim of the code is to document and apply the fair and transparent process by which the University will make decisions regarding:</p> <ul style="list-style-type: none"> <li>• determining who is an independent researcher</li> <li>• supporting staff with circumstances</li> <li>• the selection of outputs for submission to the REF 2021</li> </ul> <p>This is to ensure that Bangor University's REF procedures do not discriminate unlawfully against, or otherwise have the effect of harassing or victimising individuals because of age, disability, gender identity, marriage and civil partnership, race, religion or belief, sex or sexual orientation or because they are pregnant or have recently given birth.</p>

<b>Project Title</b>	<b>Bangor University REF 2021 Code of Practice</b>
<b>Project Lead</b>	<b>REF 2021 Task Group</b>
<b>Project Team</b>	<b>REF 2021 Task Group</b>

What impact does the project, policy or practice have on people that share a protected characteristic?
<p><i>Under the equality duty (set out in the Equality Act 2010), the University must have 'due regard' to the need to eliminate unlawful discrimination, harassment and victimisation as well as to advance equality of opportunity and foster good relations between people who share a protected characteristic and those who do not. The protected characteristics covered by the equality duty are: <b>age, disability, gender reassignment, pregnancy and maternity, race, religion or belief, sex and sexual orientation</b>. The duty also covers marriage and civil partnerships, but only in respect of eliminating unlawful discrimination. The law requires that the University demonstrates it has had 'due regard' to the aims of the equality duty in its planning and decision-making processes. Although not classed as protected characteristics under the Equality Act 2010, due regard must also be made to the effects of planning and decision-making processes on <b>carers</b>. Due regard also needs to be given to the <b>Welsh Language</b> under the Welsh Language (Wales) Measure 2011.</i></p>

Public Sector Equality Duty Requirements	Detail of Impact (Positive / Neutral / Negative)	Evidence
<p><b>Eliminating Discrimination</b></p> <ul style="list-style-type: none"> <li>• <i>Is the project, policy or practice likely to treat anyone less favourably or</i></li> </ul>	<p>Bangor's REF process could have a direct or indirect impact on staff in identified categories:</p> <ol style="list-style-type: none"> <li>1. Maternity / Paternity and other related leave</li> </ol>	<p><i>(If the number of staff in a category is under 5% the number is not included to ensure that individual staff cannot be identified)</i></p>

*disadvantage them because of their protected characteristics?*

- *Could the project, policy or practice lead to different outcomes for different protected groups?*

2. Career breaks for family caring responsibilities
3. Disability / Health related issues
4. Early career research
5. Part-time staff
6. Staff on fixed-term contracts.

The Code of Practice acknowledges and identifies **Staff circumstances** where staff members' outputs may have been affected by issued afforded adjustments by the Equality Act.

**All University staff (including all academic, professional, research, manual, clerical and technical staff) information breakdown by protected characteristic is as follows (all numbers are FTE):**

Total number of staff 2259.

Average age – 43.9 years

Disability  
 Declared a disability – 8%  
 No disability – 80%  
 Information refused – less than 5%

Gender - 59% female, 41% male.

Race  
 BME - 6%  
 White - 93%  
 Information refused – less than 5%

Sexual Orientation  
 Heterosexual – 73%  
 Other – less than 5%  
 Information refused – 22%

Religious Belief  
 No religion – 41%  
 Christian – 35%  
 Other – 5%  
 Information refused – 19%

Welsh Language  
 Welsh speaker – 40%  
 Learner – 24%  
 No Welsh – 31%



		<p>Information not provided 5%</p> <p><b>The protected characteristic data of the 479 academic staff on Teaching &amp; Research and Research-only contracts in scope is as follows (all numbers are FTE):</b></p> <p>Average age – 44.7 years</p> <p>Disability  Declared a disability – less than 5%  No disability – 95%  Information refused – less than 5%</p> <p>Gender – 41% female, 60% male.</p> <p>Race  BME – 12%  White – 87%  Information refused – less than 5%</p> <p>Sexual Orientation  Heterosexual – 73%  Other – less than 5%  Information refused – 24%</p> <p>Religious Belief  No religion – 50%  Christian – 21%  Other – 7%  Information refused – 22%</p> <p>Welsh Language  Welsh speaker – 16%  Learner – 26%  No Welsh – 57%  Information not provided less than 5%</p>
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<p><b>Advancing Equality of Opportunity</b></p> <ul style="list-style-type: none"> <li>• <i>Will the needs of staff and students with different protected characteristics be met?</i></li> <li>• <i>Could the project, policy or practice lead to increased take-up / participation by protected groups?</i></li> <li>• <i>Are there any opportunities to proactively advance equality for specific protected groups and / or between protected groups?</i></li> </ul>	<p>Ensuring staff involved in REF process have appropriate equality training raises awareness of all equality and diversity issue via the University's Equality and Diversity e-learning training programme</p>	<p>All members of the Executive Committee and Task Groups have received equality training through Bangor's Equality E-learning and Equality for Managers training courses. This training is mandatory and monitored by the Human Resources department. In addition to this, members of the REF 2021 Task Group will complete a new an online Unconscious Bias Module developed by Bangor's Human Resources department in 2019/20.</p>
<p><b>Promoting Good Relations</b></p> <ul style="list-style-type: none"> <li>• <i>Have steps been taken to tackle prejudice and promote understanding?</i></li> <li>• <i>How have relevant individuals, groups or organisations been involved / consulted in developing and impact assessing the project?</i></li> </ul>	<p>Appropriate staff equality training is undertaken by all staff responsible for the REF process.</p> <ul style="list-style-type: none"> <li>• Appropriate staff equality training for the REF Task Group overseeing requests for special circumstance ensuring staff involved are fully trained to deal with the range of requests for special circumstances and are aware of their responsibilities.</li> <li>• Raising awareness amongst REF eligible staff of how to request special circumstances and create confidence that requests will be assessed fairly and openly.</li> <li>• Providing adequate methods of dealing with questions about the REF process to include information on the University's intranet.</li> <li>• Detailed consideration about fair external verification of research quality to eliminate any potential for internal bias.</li> </ul>	<p>Details on equality reports and monitoring can be found on Bangor University's website here - <a href="https://www.bangor.ac.uk/humanresources/equalitydiversity/monitoring.php.en">https://www.bangor.ac.uk/humanresources/equalitydiversity/monitoring.php.en</a></p>

	<p>Qualitative and Quantitative information:</p> <ul style="list-style-type: none"><li>• Ensuring data is monitored and drawn in a timely manner.</li><li>• Ensuring a continued programme of communication is available.</li><li>• Build upon experience gained from RAE08 and REF2014 processes and Codes of Practice.</li><li>• Ensure data from mock REF exercises and draft submissions are analysed for differential impact on particular groups.</li><li>• Ensuring resources are available to respond to staff questions and queries.</li><li>• Consideration of feedback and comments from consultation and communication with the various groups listed below.</li></ul> <p>Groups and Stakeholders involved:</p> <ul style="list-style-type: none"><li>▪ The University's main decision making body – The Executive.</li><li>▪ The REF Task Group (which includes senior University staff responsible for research direction and decisions).</li><li>▪ The Equality and Diversity Task Group (which includes representatives from equality groups, Union representation, Senior College Administrators, the Equality Officer, the Athena SWAN Task Group and HR Officers).</li><li>▪ University College Union (UCU) Bangor Branch.</li><li>▪ HR and Staff Development.</li><li>▪ Deans of Colleges and Heads of Schools.</li><li>▪ Email correspondence to all academic staff inviting feedback.</li></ul>	
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	<p>Ongoing awareness raising and consultations:</p> <ul style="list-style-type: none"> <li>• Presentations to and discussions with the above groups and stakeholders.</li> <li>• Regular E-mails to all staff in 2019 and 2020.</li> <li>• Further email communications prior to the Draft Exercise (Summer 2020).</li> </ul> <p>Feedback, to date, has highlighted the importance of clear communication. This has been identified as a key requirement during the whole of the REF process.</p> <p>The final Code will require acceptance by the Executive before submission.</p>	
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**Based on the above assessment, what course of action is required?**

<p><b>No major change required</b>  <i>The assessment has not identified any potential for discrimination or adverse impact and all opportunities to advance equality have been taken.</i></p>	<p>This equality impact assessment (EIA) has not identified any major potential for discrimination or adverse impact for staff of any particular protected characteristic.</p>
<p><b>Make adjustments to remove barriers or to better advance equality</b>  <i>Note the adjustments that will be made to remove barriers identified by the assessment or to better advance equality.</i></p>	<p>N/a</p>
<p><b>Continue despite having identified some potential for adverse impacts or missed opportunities to advance equality</b>  <i>Note the steps that will be taken to reduce or mitigate the adverse impacts.</i></p>	<p>N/a</p>
<p><b>Stop and rethink</b>  <i>The assessment shows actual or potential unlawful discrimination. Note the action to be taken to stop and / or rethink the project.</i></p>	<p>N/a</p>

### How will the actual impact of the project, policy or practice be monitored once it has been implemented?

Bangor University's Code of Practice the Research Excellence Framework 2021 (REF) will be reviewed for equality impact as follows:

1. Equality Impact Assessment following the next mock REF in February 2020 and following the Draft REF Exercise (winter 2020) which will include:
  - a. Quantitative analysis of equality data on staff requesting independent researcher status at institutional level in the context of an appropriate comparator pool.
  - b. Quantitative analysis of data from the REF Task Group looking at requests for special circumstances at institutional level.
  - c. Quantitative analysis of outputs selected for REF submission by equality data on the profile of allocated author at both institutional and UoA levels in the context of the characteristics of the submitted staff pool.
  - d. Qualitative data from sources such as line managers.
  - e. Any appeals, general complaints or issues raised through formal and informal procedures within the University.
2. Final Equality Impact Assessment post submission that will include a full review of all available data and information accumulated during the process.
  - a. A summary of the quantitative analysis at institutional level will be provided.
  - b. Analysis will be carried out at UoA level and provided if data sets are large enough to avoid identification of individual staff members.
3. Post submission Bangor University will submit a report to the REF team reflecting on the experience of supporting staff with circumstances, including a breakdown of the circumstances declared, the number of requests for the removal of the minimum of one output requirement. The report will also reflect on how the circumstances declared fed into decisions on whether or not to request a reduction in outputs required for each submitted unit as well as on the timing of requests for reduction and how expectations were managed.

### Publication

This Equality Impact Assessment will be published on the University website.