



# RESEARCH EXCELLENCE FRAMEWORK 2021

## CODE OF PRACTICE

Originator: Dr Samantha Broadhead and Graham Curling  
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Approved by: Academic Board  
Type: Policy

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## 1 Background

Leeds Arts University has existed since 1846 when the Leeds Mechanics' Institute merged with the Literary Institute, creating Leeds School of Art. In the late 1920s, the Art School became known as Leeds College of Art. Following several decades as a Further Education College, undergraduate degree courses were introduced in 1992, and in 2011, Leeds College of Art became a Higher Education Institution (HEI). In 2016, Leeds College of Art was awarded Taught Degree Awarding Powers, and in August 2017 gained University status becoming Leeds Arts University, and the only specialist arts university in the North of England.

The submission to the Research Excellence Framework (REF) 2021 will be the first in the University's history.

As a specialist, institution Leeds Arts University will be submitting to 2 Units of Assessment 32 Art and Design: History, Practice and Theory and 33 Music, Drama, Dance, Performing Arts, Film and Screen Studies. The University currently employs 70.44 FTE Category A staff.

The Code of Practice has been written to reflect the University's commitment to the values championed by the Stern Research Excellence Framework (REF) review: Building on success and learning from experience (2016). The University intends to submit 100% of Category A staff (those who have significant responsibility for research as defined by REF 2021 guidance).

Careful planning has been undertaken to ensure that the panels and committees through which decisions are made about REF 2021 will operate in a transparent, consistent, accountable and inclusive manner. As the institution is comparatively small, attention has been given to ensure that there is a critical distance between the panels where decisions are made. Appeals are resolved independently from the decision-making process so that it is fair and transparent.

The University is also committed to open access research and it is developing an infrastructure to enable staff to deposit their outputs in a repository managed by GuildHE Research.

A commitment has been made to support the research culture through resource and infrastructure driven by the University's first research strategy that was approved in 2013. The Research Strategy (2013-19) has since been reviewed and aims to:

1. Establish postgraduate programmes to enhance and progress practice based research and scholarly activity in subject disciplines.
2. Develop research across the University and encourage international links to enhance research outcomes.
3. Identify research funding, as appropriate, from a wide range of sources.
4. Support our staff and help them to develop their research practice; encourage internal collaboration; and, through external networks and meetings, enhance subject-specialist knowledge (especially as it relates to teaching and learning).

Leeds Arts University is a specialist institution where the majority of the teaching HE staff have an active creative practice. Much of the research undertaken by staff is practitioner-based. There has been much progress in developing the University's research culture and this will be further supported by the University's Strategic Plan 2017-23 that aims:

To continue to develop and progress relevant research practice, which enhances teaching and learning, is globally significant and contributes positively to society.

## 2 Introduction

This Code of Practice has been developed to demonstrate the processes for identifying staff with significant responsibility for research within the University, for determining research independence, and on the selection of outputs for REF submissions. The Code outlines the principles and processes that will be used; the roles, responsibilities, operating criteria and terms of reference of the individuals and committees who will be involved; the training they will receive; the methods of communication and dissemination that will be used; and the steps that will be taken to ensure transparency, consistency, accountability and inclusivity in all aspects and stages of the preparation of the submission.

The Code seeks to ensure that the University works within four main principles of transparency, consistency, accountability and inclusivity and is underpinned by the University's commitment to equality, diversity and inclusion.

All staff within the University are required to complete training on Equality, Diversity and Inclusion on a regular basis, and equality themes are intertwined within other CPD delivery that occurs. All staff involved in staff and student recruitment undertake Unconscious Bias training, and all staff are required to attend a briefing on Behaviours at Work, which highlights issues around discrimination, harassment and victimisation and encourages staff to challenge such behaviours. Managers all receive Equality Impact Assessment Training, and all staff who are involved in selecting REF submissions will receive further training on equality, diversity and inclusion.

This Code should be read alongside other documents such as the University's "Concordat to Support the Career Development of Researchers Gap Analysis and Action Plan" (Appendix B); the Equality, Diversity and Inclusion Policy (Appendix C); the Equality in Employment Policy (Appendix D) and the Code of Conduct (Appendix E).

The University achieved the HR Excellence in Research Chartermark in June 2017 and it is used to support researchers at all stages of their careers, though the majority of the University's staff are Early Career Researchers.

The Code has been developed with staff consultation and has been deliberated at the University's Equality, Diversity and Inclusion Committee, the Research Committee and Staff Consultative Meeting. A copy of the University's committee structure and terms of reference be found in Appendix A. Following the consultation process the Code was submitted to and has been approved by the University's Academic Board. The University's Committees comprise of named and elected members (see Appendix I: LAU Procedure for Committee Elections).

### **3 Dissemination and communication**

Following approval, the Code will be published on the Staff PORTAL, and all staff notified of by a University wide e-mail announcement. Copies of the Code will be issued to all new academic staff with research responsibilities by the Head of Research as part of their induction process. Staff who are on maternity or shared parental leave are invited to use their (Keep in Touch) KIT days to attend briefings and meetings, including those related to Research. HR are responsible for sending copies of the final draft of this Code to any member of academic staff on a teaching and research or research only contract who is on maternity, paternity, adoption or shared parental leave.

### **4 Development**

The timeline for the consultation in devising this Code of Practice can be seen in Appendix G. The Code has been considered at the University's Staff Consultative Meeting at Programme Boards, at

the Equality, Diversity and Inclusion Committee and the Research Committee. Final approval is given at the University's Academic Board.

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

In accordance with the principles of transparency, consistency, accountability and inclusivity 100% of Category A staff on contracts of greater than 0.2 FTE will be submitted. The University does not use Visiting Lecturers for significant contracts, and Hourly Paid Lecturers are not used to supplement core staff teaching. It is therefore felt that no significant contribution can be made to research for any member of staff who is working less than 1 day per week when combined with other duties. The staff HESA return is used for identifying staff who meet these criteria. The University does not employ any staff on research only or teaching and research contracts of less than 0.2 FTE.

Those on a 0.2 FTE contract have a substantive connection to the University because they are involved with teaching. The University's only Associate Researcher has been employed to undertake independent research on a 0.2 FTE contract, over a number of years.

The University will submit all eligible Category A staff based on their employment status on the census date 31 July 2020. This means that all staff on a teaching and research contract and a research only contract will be submitted.

In line with the REF 2021 guidance, outputs may be submitted by the University for staff who are no longer employed on the census date where the staff member was previously employed by the University as Category A eligible when the output was demonstrably generated. For the purposes of this code 'demonstrably generated' will be determined by the date when the output was first made publicly available. There is not a requirement for former staff members to remain employed in academia on the census date. If an occasion arises where a member of staff has been made redundant, the University will comply with REF 2021 guidance and consider their outputs, which meet the University's selection criteria.

## **6 Determining research independence**

All staff eligible for submission to REF 2021 will be independent researchers. The University does not employ research assistants or PhD students to carry out research on behalf of other staff. Nor are staff directed by Senior Management or other academics to carry out specific research projects that will lead to outputs for REF 2021.

Currently four academic staff are employed on research-only contracts. These comprise of two Research Fellows, an Associate Researcher and the University Curator. They are employed to carry out independent research.

All staff on teaching and research contracts are also expected to carry out independent research. The University has designed an annual process, which was first implemented in 2013, that identifies the independent research undertaken by staff. Category A staff submit an annual research proposal, which is considered by the Head of Research, the Research Team (Research Fellows, the University Curator) and the Pro-Vice Chancellor (Academic). This process assures the University that the staff with a significant responsibility for research have a 'significant input into the design, conduct and interpretation of the research'.

The research Selection Panel (described in part 8) will confirm that the submitting staff are independent researchers by ensuring they meet at least one of the following criteria:

- leading or acting as principal investigator or equivalent on an externally funded research project
- holding an independently won competitively awarded fellowship where research independence is a requirement
- acting as a co-investigator on an externally funded research project
- leading a research group or a substantial work package
- significant input into the design, conduct and interpretation of the research
- have been employed to carry out independent research.

As the majority of the University's staff are new researchers, research independence is mostly indicated by the last criteria.

## 7 Selection of outputs

All members of staff who are eligible for submission to the REF 2021 will propose 1-5 outputs for consideration by the selection panel. They will also use a submission label that summarises their research (in terms of originality, significance, rigour and the peer review process) and if the output is co-authored the label will explain their contribution it.

The majority of staff are new researchers so it is anticipated that many staff will only submit one output.

The timeline for the process can be seen in Appendix H.

## 8 Selection Panel

The outputs will be selected by a panel of one external consultant and two named members of the research team. The members of this panel will previously have received Equality, Diversity and Inclusion (EDI) training, including training related to REF 2021 and all will have completed their doctorates and undertaken postdoctoral work. EDI training has been provided by a recognised provider, *AdvanceHE*.

The criteria used to evaluate the outputs submitted will be:

- Is the output produced by an independent researcher?
- Has the output been peer reviewed?
- Can it demonstrate originality, rigour and significance?
- Has the output been created in line with the University's Ethics Policy?
- Does the output comply with REF 2021 guidance on the eligibility of research outputs?

Outputs will not be declined on the basis of an estimation of their research quality rating because it is anticipated that many of the staff will be new researchers and are likely to submit 1 output.

Staff will be informed of the Panel's decision by email within 5 working days after the Panel has convened.

Staff who have had their outputs declined because they do not comply with the Ethics Policy or because they were not deemed to have been conducted through independent research or because

they did not demonstrate originality, rigour or significance will be offered support to develop their work into a peer review output that meets the Selection Panel's criteria. Staff will be given up to 21 calendar days to resubmit their output(s).

Members of the Selection Panel who are submitting outputs for REF 2021 will not consider their own submission, which will be selected by the Recommendation Panel.

## 9 Appeals

The Appeals Panel will decide if there is sufficient evidence to warrant reconsideration of decisions made according to the published Code of Practice. The Appeals Panel is independent of the Selection Panel and the Recommendation Panel. Appeals can be made based on the determination of significant responsibility for research, the determination of research independence and the selection of outputs. Staff should submit an appeal within seven calendar days of receiving the Selection Panel's decision. A letter outlining the basis of the appeal should be sent to the Head of Human Resources. The appeal will be considered by the Appeals Panel within 20 working days of receipt. The panel will treat any issues with sensitivity and discretion. Appeals will not be accepted based on an individual wishing to be excluded from the submission.

### Grounds for Appeal

The matters that can be considered for appeal may include:

In relation to significant responsibility for research:

- To review evidence where staff feel they have been selected incorrectly or unfairly treated as outlined in section 5.

In relation to research independence:

- To allow any staff on research contracts to appeal against the decision of the Selection Panel in relation to research independence outlined in section 6.

In the case of the selection of outputs

- Where staff feel there has been procedural irregularity regarding the inclusion/exclusion of a particular output (section 8).
- The appeal process will not consider academic judgement issues in relation to the estimated output rating of a particular output by internal and/or external peer-review.

The Appeals Panel will consist of:

- The Academic Registrar
- Two members of the Academic Registry team

The panel may invite the appellant to further clarify the grounds of appeal at a formal meeting in which case a note taker will also be present.

### Outcomes

The Appeals Panel will inform Human Resources of the outcome. Appeals will be treated with discretion and confidentiality. The appellant will receive a written response from Human Resources within seven calendar days of the Panel. The appeals process will result in one of the following:

- The appeal is upheld. The Selection Panel will be informed of the appeal outcome and requested to amend the decision. It will be asked to review how the appeal outcome might be better considered in future decision making.
- The appeal is dismissed and the original decision will stand.

The appeals will be concluded prior to the REF submission deadline, 31 March 2021. The decision of the Appeals Panel will be final.

## 10 Recommendation Panel

The Recommendation Panel will comprise of the Pro-Vice-Chancellor (Academic), the Head of Research and the Head of Human Resources who all will have received EDI in relation to REF 2021 training. The Recommendation Panel will provide a critical distance from the Selection Panel. Members of the Recommendation Panel who are submitting outputs for REF 2021 will not consider their own submission, which will be selected by the Selection Panel.

The Recommendation Panel has three functions:

- to consider the outputs submitted by the Selection Panel members.
- to note where staff have been unable to submit a research output due to exceptional personal circumstances. This will be treated with sensitivity and discretion.
- to formally recommend the selection of outputs to the University's Research Committee, through which the final selection will be approved by the Academic Board.

## 11 Disclosure of staff circumstances

All staff, having been informed about the REF 2021 and who believe they have circumstances that have led to a reduction in research outputs, will be invited to submit details to the Head of Human Resources in the first instance before 1<sup>st</sup> December 2019. A modified version of the *Declaration of Individual Staff Circumstances* template will be used by staff to document the information. Declaring circumstances will be voluntary and confidential. Staff circumstances include:

- Qualifying as an Early Career Researcher (ECR), those people who started their careers on or after 1 August 2016 maybe permitted a reduction in outputs, as described in Annex L: Reductions for staff circumstances (Guidance on Submissions 2019 p. 134).
- Secondments or career breaks during which no academic research was undertaken
- Maternity, statutory adoption leave or additional paternity leave (taken by partners of new mothers or co-adopters)
- Complex circumstances including disability, ill health, mental health conditions, pregnancy, maternity, childcare or other caring responsibilities, gender reassignment, and other caring circumstances related to the Equality Act 2010 (e.g. religious observance)

The processes for adjusting expectations of an affected individual's contribution:

Staff circumstances affected their ability to research productively during the assessment period (1 January 2014 - 31 July 2020), will be considered and an adjustment to the number of outputs an individual is expected to submit will be made. Staff may submit the minimum of one output. However, if the circumstances are such that:

- 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.

Then the individual researcher may be submitted to REF without the minimum requirement of one output.

The Pro-Vice-Chancellor (Academic), the Head of Research and the Head of Human Resources, will consider cases anonymously, to determine whether the circumstances leading to a reduction in outputs are valid under the terms of the Code of Practice and those cited in *Annex L: Reductions for staff circumstances (Guidance on Submissions 2019 pp. 134-135)*. Unnecessary details will not be disclosed and circumstances will not be shared on a wider basis. The aforementioned will also consider if the volume and proportion of staff circumstances, in relation to the two submitting units of assessment, will have a disproportionate impact on the number of eligible outputs.

If it is decided, there will be a disproportionate impact on a particular unit of assessment; a reduction of outputs will be requested. Information on staff circumstances will be submitted on form REF6a/b, where a unit reduction or removal of the requirement of the minimum of one output from each staff member is being requested by the institution. This form REF6a/b will be completed by March 2020. If necessary, the REF6a/b form will be amended to make requests for further reductions at the point of submission.

## 12 Research Committee

The Research Committee is part of the University's deliberative structure and its function in the selection of outputs will be to review the selection process to ensure it is fair, transparent, consistent, accountable and inclusive. The Research Committee will receive an overview that will summarise the proposed outputs. The Committee will consider the overview and recommend it to the Academic Board (on the condition that any final amendments are addressed before the Academic Board meeting).

## 13 Academic Board

The Academic Board has powers of approval of the final submission of REF 2021 outputs. The Section and Recommendation Panels and the Research Committee have an advisory function. The Academic Board will approve the final decisions.

## 14 Equality Impact Assessment

The University will aim to foster an inclusive environment by establishing, maintaining and updating an Equality Impact Assessment (EIA) at key stages of the process.

Initial EIA has been undertaken during August 2018 and September 2019 and then iteratively allowing adjustments to be made to mitigate any concerns regarding the impact on individuals with protected characteristics and those staff on fractional employment (Appendices Fa and Fb).

Further EIAs will analyse the characteristics of those Category A staff identified as having a significant responsibility for research in order to see if the Code of Practice processes are likely to disadvantage particular groups with protected characteristics.

The EIA will consider the processes for deciding research independence (see Section 6) to identify

any disadvantage to any groups with protected characteristics.

EIA will also consider the processes that take into staff circumstances and the adjustments to the numbers of expected outputs in relation to protected characteristics.

The selection of outputs and the appeals process will also be subject to EIA.

The Pro-Vice-Chancellor (Academic), the Head of Human Resources and the Head of Research will review the equality impact assessment in order to:

- Identify any adjustments in process that may be required to improve the University's approach to advancing equality.
- Recommend to the Research Committee any equality issues that arise that might require action in terms of the University's research infrastructure.
- Ensure the EIA is reported to the University's Equality, Diversity and Inclusion Committee.

The EIA outcomes will feature as part of our Equality, Diversity and Inclusion report, which is published on our external website annually.

## **15 Research assessment by an external consultant**

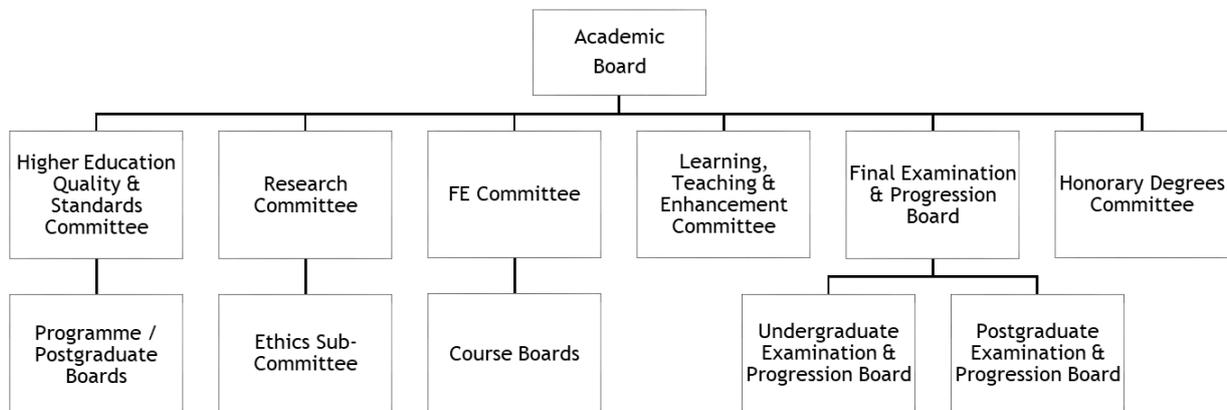
In summer, 2019 staff with a significant responsibility for research will be asked to submit their outputs for a mock research assessment exercise conducted by an external consultant who will be recruited based on the knowledge of REF Panel criteria and an understanding of practice-based research in particular. The research team will be available to give members of staff feedback on their work and to offer advice and guidance in developing their research.

## Appendix A: Deliberative Structure at Leeds Arts University & Terms of Reference

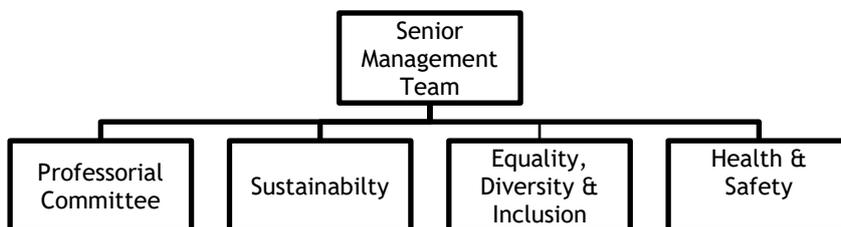
Academic Committees Terms of Reference: <https://portal.leeds-art.ac.uk/sites/default/files/documents/2019-20-Academic-Committees-ToR-23-10-19.pdf>

Executive Committees Terms of Reference: <https://portal.leeds-art.ac.uk/sites/default/files/documents/2019-20-Executive-Committees-ToR-06-09-19.pdf>

### Committee Structure - Academic Board



### Committee Structure - Senior Management Team



## Appendix B: Concordat to Support the Career Development of Researchers Gap Analysis and Action Plan

<https://www.leeds-art.ac.uk/media/1485344/concordat-2019-2021.pdf>

## APPENDIX C: Equality, Diversity and Inclusion Policy

<https://portal.leeds-art.ac.uk/sites/default/files/documents/Equality%20diversity%20and%20inclusion%20policy%20-%20cover%20update.pdf>

## APPENDIX D: Equality in Employment Policy

<https://portal.leeds-art.ac.uk/sites/default/files/documents/Equality%20in%20employment%20policy.pdf>

[art.ac.uk/sites/default/files/documents/Equality%20in%20Employment%20Policy%20LAU%202019.pdf](https://art.ac.uk/sites/default/files/documents/Equality%20in%20Employment%20Policy%20LAU%202019.pdf)

## **APPENDIX E: Code of Conduct**

[https://portal.leeds-art.ac.uk/sites/default/files/documents/Code%20of%20Conduct%202019%20New\\_0.pdf](https://portal.leeds-art.ac.uk/sites/default/files/documents/Code%20of%20Conduct%202019%20New_0.pdf)

## **APPENDIX Fa: Equality Impact Assessment internal research quality exercise 2018 report**

### **EDI and identifying staff with significant responsibility for research**

100% of Category A staff on contracts of greater than 0.2 FTE will be submitted.

### **EDI and determining research independence**

All Category A staff will be deemed independent researchers because they will meet at least one of the following criteria:

- leading or acting as principal investigator or equivalent on an externally funded research project
- holding an independently won competitively awarded fellowship where research independence is a requirement.
- acting as a co-investigator on an externally funded research project
- leading a research group or a substantial work package
- significant input into the design, conduct and interpretation of the research
- have been employed to carry out independent research.

The University aims to include everyone who is eligible under Ref 2021 criteria in the submission.

### **EDI and selection of outputs**

It is a requirement of the REF 2021 guidance related to the Code of Practice that the institution carries out a Equality Impact Assessment exercise related to research to ensure that groups with protected characteristics are not disadvantaged. As part of this exercise an internal assessment of the eligible research outputs created by the HE academic staff was made in August 2018. The outputs were given a notional star rating (4\*;3\*;2\*;1\* and unclassified). The results were anonymised and analysed according to the protected characteristics and contracts.

### **Fractional Posts**

#### **Sex**

Male and females are equality distributed in the 1\* category. There are more males in the unclassified category. There are higher numbers of females in the 2\* and 3\* category. Only females are represented in the 4\* category. Overall, there are more females (53.52%) than males (46.48%) in the sample. The University does not reflect the expected patterns where males are represented in the higher \* categories.

#### **Age**

In the 2\*, 3\* and 4\* categories the age ranges are fairly well distributed. In the Unclassified and 1\* there are more people in the 35-54 age range. Four people over 55 are represented in the unclassified category, however, people over 55 are represented in the 2\* and the 3\* categories. There does seem to be an imbalance of mid-career or middle-aged people in the lower end of the quality rating. This possibly could be to do with the University's recent transition to University title where long standing staff have not yet fully aligned themselves to the research culture, but this is speculation.

#### **Disability**

The majority of the categories contained 100% 'not known disability'. The only variation could be seen in the unclassified category where 92.60% were identified as 'not known disability'. This represents 2 people with a disability in the unclassified category. Although the numbers are very small it is of concern that the only 2 people who have reported a disability are at the point of writing in the unclassified category.

#### **Ethnicity**

The majority of categories were white, reflecting the ethnic profile of the University. 100% white were in the 2\* and 4\* categories. In the unclassified, 1\* and 3\* categories there were very small numbers of people identified as Black or Black British - African.

#### **Nationality**

The majority of people in all the categories were identified as coming from Great Britain.

#### **Sexual Orientation**

The majority of people were identified as heterosexual or as refusing to give the information.

#### **Religion or Belief**

There were similar patterns of belief in all the categories with the majority of people identifying as having no religion or refusing to give the information.

**Action:** The Selection and Recommendation Panels (described in the Code of Practice) will receive training on being sensitive to issues of unconscious bias and issues in relation to gender, age, disability, ethnicity, nationality, sexual orientation and religion or belief will be considered.

### **APPENDIX Fb: Impact Assessment REF Code of Practice**

#### **1. Persons responsible:**

Name: Graham Curling / Dr Sam Broadhead  Service: Research	Telephone: 01132028063 / 011320280 E-Mail:  Date of Assessment: 10/09/2019
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#### **2. Name of the policy, service, strategy, procedure or function: RESEARCH EXCELLENCE FRAMEWORK 2021 CODE OF PRACTICE**

Is this new or an existing one? New

#### **3. Briefly describe its aims and objectives**

The Code of Practice sets out the procedures which will be followed for selecting staff and research which will be put forward to the REF. It outlines the processes for identifying staff with significant responsibility for research within the University, for determining research independence, and on the selection of outputs for REF submissions. Key to the code is the criteria that will be applied to the selection of outputs which is:

- Is the output produced by an independent researcher?
- Has the output been peer reviewed?
- Can it demonstrate originality, rigour and significance?
- Has the output been created in line with the University's Ethics Policy?
- Does the output comply with REF 2021 guidance on the eligibility of research outputs?

Significant responsibility for research is defined as those on a research or teaching and research contract of 0.2 FTE or greater.

#### **4. Who is intended to benefit from it and in what way?**

All research active staff on research only or teaching and research contracts through a transparent process for selecting for the REF 2021 submission.

**5. Have you consulted on this policy, service, strategy, procedure or function?**

Yes/No

The Code has been submitted for consideration to the Staff Consultative Committee, Programme Boards, the Equality, Diversity and Inclusion Committee, and the Research Committee prior to submission to Academic Board for approval. The University does not recognize any trade unions for the purposes of negotiation and consultation.

**6. What evidence has been taken into account when considering the equality considerations for this policy/decision?**

Anonymised equality information on all Category A staff (those who have significant responsibility for research as defined by REF 2021 guidance) has been extracted from the HR system to identify the protected characteristics of staff involved and applied to the outcomes of the Mock REF exercise which took place in the summer of 2018. There were 57.9 FTE Category A staff which equates to a headcount of 71 staff. As noted in the Code the University is a small institution attention has been given to ensure that there is a critical distance between the panels where decisions are made and appeals are resolved so that the process is fair and transparent. The recommendation panel which will put forward the proposals to Academic Board, consider any appeals, and consider any mitigating circumstances is therefore separate from the selection panel which puts forward the outcomes for submission. Staff on both the Selection and Recommendation panels have received equality training from the University and specific training from Advanced HE.

**7. Could a particular group be affected differently in either a negative or positive way?**

	Negative	Positive	Evidence																												
Age			<p>The age profile of the Category A staff is:</p> <table border="1"> <thead> <tr> <th>AGE</th> <th></th> <th></th> <th></th> </tr> </thead> <tbody> <tr> <td>&lt;25</td> <td>0</td> <td>0%</td> <td></td> </tr> <tr> <td>25 - 34</td> <td>16</td> <td>22.53%</td> <td></td> </tr> <tr> <td>35 - 44</td> <td>24</td> <td>33.80%</td> <td></td> </tr> <tr> <td>45 - 54</td> <td>22</td> <td>30.99%</td> <td></td> </tr> <tr> <td>55 - 64</td> <td>8</td> <td>11.27%</td> <td></td> </tr> <tr> <td>&gt;65</td> <td>1</td> <td>1.40%</td> <td></td> </tr> </tbody> </table> <p>The University considers the majority of its staff to be new researchers, however there is particular possibility that younger staff will not have had the same opportunity to develop outputs and further their research than older staff. However an impact analysis of the Mock REF exercise suggests that this is not the case, however the recommendation panel will consider requests to exclude the requirement to make a submission for staff who have not previously worked in HE and have joined the University after 01/01/20.</p>	AGE				<25	0	0%		25 - 34	16	22.53%		35 - 44	24	33.80%		45 - 54	22	30.99%		55 - 64	8	11.27%		>65	1	1.40%	
AGE																															
<25	0	0%																													
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35 - 44	24	33.80%																													
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55 - 64	8	11.27%																													
>65	1	1.40%																													

As all Category A staff are being submitted the effects on age are considered neutral.

**Disability**

The disability profile of the Category A staff is:

<b>Disability</b>	Information Refused	1	1.41%
	Disability, impairment or medical condition not listed	1	1.41%
	Specific Learning Difficulty	1	1.41%
	No Known Disability	68	95.77%

The staff who have declared disabilities are all male. Given the low number of declarations it is possible that there are staff who have chosen not to declare disabilities, however the process outlined in the Code allows for a confidential declaration to be made to the Head of HR and reasonable adjustments made by the recommendation panel. The analysis of the mock REF exercise suggests that there is no disadvantage to the approach taken by the University.

Given this process and the fact that all category A staff are being submitted the impact on this group is considered neutral, though individual reasonable adjustments will be considered and applied.

**Sex**

The sex profile for Category A staff is:

<b>Sex</b>	Female	38	53.52%
	Male	33	46.48%

The sex/gender profile is consistent with that of the wider university, and all staff who meet the criteria of Category A staff on Research only or Teaching and Research contracts of 0.2 FTE or greater will be submitted to the REF and covered by the code. The Code in line with the REF Guidance allows staff who have taken 2 or more periods of family within the assessment period to reduce their expected outputs to 1.

Consideration has been given to gender and full or part time employment status. 57.6% of Male Category A staff are employed on part time contracts compared to 65.8% of Female Category A staff this could be a disadvantage towards female staff due to their nature of employment. However looking at the Mock REF data where males and females are equality distributed in the 1\* category. There are more males in the unclassified category. There are higher numbers of females in the 2\* and 3\* category. Only females are represented in the 4\* category. This would therefore not seem to be a disadvantage in the context of the institution.

			Given the staff profile; the assessment of outputs in the Mock REF; that all staff are included; and the reduction in outputs for family related leave the impact on sex and gender is considered to be neutral.																
Race			<p>The Race/ethnicity profile for Category A staff is:</p> <table border="1"> <tr> <td rowspan="4">Race</td> <td>White</td> <td>66</td> <td>92.96%</td> </tr> <tr> <td>Black or Black British - African</td> <td>2</td> <td>2.82%</td> </tr> <tr> <td>Other Mixed Background</td> <td>1</td> <td>1.41%</td> </tr> <tr> <td>Information Refused</td> <td>2</td> <td>2.82%</td> </tr> </table> <p>The race/ethnicity profile is in keeping with that of the wider University. All staff are supported in their research and as noted elsewhere all Category A staff will be submitted regardless of race/ethnicity.</p> <p>Whilst there are no negative impacts on this group, any successes will be celebrated as part of the University's efforts to encourage a wider background of staff into the institution.</p> <p>Overall the Code is neutral.</p>	Race	White	66	92.96%	Black or Black British - African	2	2.82%	Other Mixed Background	1	1.41%	Information Refused	2	2.82%			
Race	White	66	92.96%																
	Black or Black British - African	2	2.82%																
	Other Mixed Background	1	1.41%																
	Information Refused	2	2.82%																
Religion or Belief			<p>The declared religion or belief profile for category A staff is:</p> <table border="1"> <tr> <td rowspan="5">Religion or belief</td> <td>No Religion</td> <td>27</td> <td>38.03%</td> </tr> <tr> <td>Christian</td> <td>6</td> <td>8.45%</td> </tr> <tr> <td>Jewish</td> <td>1</td> <td>1.41%</td> </tr> <tr> <td>Spiritual</td> <td>1</td> <td>1.41%</td> </tr> <tr> <td>Information Refused</td> <td>36</td> <td>50.70%</td> </tr> </table> <p>There are low numbers of staff declaring, or declaring any religious observation. As all staff with significant responsibility for research are being submitted there is no direct on the employee's religion or belief unless it is reflected in their artistic practice. The impact on the code on religion or belief is considered neutral.</p>	Religion or belief	No Religion	27	38.03%	Christian	6	8.45%	Jewish	1	1.41%	Spiritual	1	1.41%	Information Refused	36	50.70%
Religion or belief	No Religion	27	38.03%																
	Christian	6	8.45%																
	Jewish	1	1.41%																
	Spiritual	1	1.41%																
	Information Refused	36	50.70%																
Sexual Orientation			The declared sexual orientation profile for category A staff is:																

			<table border="1"> <tr> <td rowspan="4" style="text-align: center;"><b>Sex orientation</b></td> <td>Bisexual</td> <td style="text-align: center;">1</td> <td style="text-align: center;">1.41%</td> </tr> <tr> <td>Gay Woman/Lesbian</td> <td style="text-align: center;">1</td> <td style="text-align: center;">1.41%</td> </tr> <tr> <td>Heterosexual</td> <td style="text-align: center;">31</td> <td style="text-align: center;">43.66%</td> </tr> <tr> <td>Information refused</td> <td style="text-align: center;">38</td> <td style="text-align: center;">53.52%</td> </tr> </table> <p>The low numbers of staff choosing to declare their sexual orientation means that analysis of the impact is limited; however as all staff with significant responsibility for research are being submitted there is no direct on the employee's sexual orientation unless it is reflected in their artistic practice. The impact on the code on sexual orientation is considered neutral.</p>	<b>Sex orientation</b>	Bisexual	1	1.41%	Gay Woman/Lesbian	1	1.41%	Heterosexual	31	43.66%	Information refused	38	53.52%
<b>Sex orientation</b>	Bisexual	1	1.41%													
	Gay Woman/Lesbian	1	1.41%													
	Heterosexual	31	43.66%													
	Information refused	38	53.52%													
Other protected characteristics (see Guidance notes)			There are no Trans employees who fall within the Category A definition and who are covered by the Code. If any staff were to join they would be covered by the code and there are no identified detriments.													

**Points to Consider:**

- Could or does the policy affect one or more equality target group(s) in a different way to other groups? There is no identified way of the Code and its implementation impacting on any equality group in a different way to any other group.
- Could or do different equality groups have different needs in relation to the policy? Adjustments exist within the Code for staff who may have different needs through the submission of information to the Recommendation panel.
- Does the policy actually or potentially contribute to or hinder the promotion of equality of opportunity? The code promotes equality of opportunity through its inclusive nature in that all staff with a significant responsibility for research (defined as a research or teaching and research contract of 0.2 FTE or greater) will be submitted for the REF and their success celebrated.
- Does the policy offer opportunities to promote equality? The code is neutral in this regard
- Does the policy have due regard to the need to eliminate discrimination? Yes in that all staff will be submitted and that the submission and recommendation panels have received specific training to avoid discrimination and bias.
- Does the policy help foster good relations between different people when carrying out their activities? The code is neutral in this regard.

**8 If you have identified a positive or negative impact in Question 7 complete Question 8**

Are there any actions or amends which can be made to counter these impacts. If Yes please complete an actions form.	Yes	No
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## Declaration

In completing this Impact assessment to assist in the decision making process in relation to:-

Identifying Category A staff identified as having a significant responsibility for research; deciding research independence and the Selection of outputs.

I have given full consideration to the Public Sector Equality Duty and the equality

Completed by: Graham Curling

Date: 10/09/2019

Role:

Date for Review: 10/09/2020

Please forward an electronic copy to the Head of Human Resources by emailing [graham.curling@leeds-art.ac.uk](mailto:graham.curling@leeds-art.ac.uk) .

The original signed hard copy and electronic copy should be kept with your team for audit purposes.

## APPENDIX G: Timeline for the consultation and approval of the Code of Practice

Papers will be prepared by the date	Committee and date	The Committee is asked to:	Notes
03/10/2018	Research 17/10/2018	Consider the draft Code, give feedback, and suggest processes for wide consultation. Possibly decide what would be a representative panel of staff to consult with.	The programme Boards would be a vehicle for wide distribution. The Staff Consultative meeting maybe a possible receiver of the report, but this may be restricted in its reach (dates would be 31/10/2018 or 06/02/2019?) A panel of representative staff could be selected to give feedback on the document.
Draft Code ready by 15/10/2018 to send to the proposed committees	Staff Consultative meeting 31/10/2018	Consider the draft Code, give feedback	Head of Research refers to meeting notes.
	Communication Design Programme Board 29/10/2018	Consider the draft Code, give feedback	Head of Research agree minutes with the Chair
	Art and performance Programme Board 05/11/2018	Consider the draft Code, give feedback	Head of Research agree minutes with the Chair
	Fashion and Textiles Programme Board 05/11/2018	Consider the draft Code, give feedback	Head of Research agree minutes with the Chair
	Lens based Practices Programme Board 12/11/2018	Consider the draft Code, give feedback	Head of Research agree minutes with the Chair
	Postgraduate Programme Board 23/11/2018	Consider the draft Code, give feedback	Head of Research agree minutes with the Chair
12/12/2018	Equality, Diversity and Inclusion 9 <sup>th</sup> January 2019.	Consider the draft Code in relation to the policies that specifically relate to EDI issues.	

16/01/2019	Research 30/01/2019	Consider the amended Code in light of feedback from other	Staff could be emailed the Code for purposes of consultation or
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		constituencies and consider if further consultation is needed or should it be recommended to go to the Academic Board?	purposes of transparency. There could be some Code of Practice training sessions open to everyone and led by research team.
03/03/2019	Academic Board 13/03/2019	The Code of Practice is considered and Approved contingent on any Chair's Actions that may arise from the meeting.	
Deadline noon 07/06/2019			
Published by December 2019.			
Equality Impact Assessment reported at the Equality, Diversity and Inclusion Committee in January 2020			

## APPENDIX H: Timeline for selection of outputs REF 2021

Papers will be prepared by the date	Committee and date	The Committee/Panel is asked to:	Notes
<b>May 2020 Staff who are eligible for submission to the REF 2021 will propose 1-5 outputs for consideration by the Selection Panel.</b>			
Submission of staff outputs by June 2020	Selection Panel meeting Mid-June 2020	Select outputs produced by independent researchers in line with the University's Ethics Policy and using the criteria of peer-review, originality, rigour and significance.	Staff are informed of decisions made Selection Panel. By end of June and are given a week to respond with any appeals.
Advice and guidance to those staff who need to make changes to their REF 2021 submission.			Deadline for resubmission July
Updated list of outputs prepared by mid-July	End of July 2020 Selection Panel reconvenes to review any amendments from staff.		Selection Panel to prepare the selection of out outputs for the consideration of the Recommendation Panel.
Appeals are prepared by 17 <sup>th</sup> August 2020	Appeals Panel considers any appeals in the week starting 17 <sup>th</sup> August.	Appeals Panel considers any appeals and makes a final judgement	Staff are informed of decisions made by the Appeal Panel
01/09/2020 papers prepared and sent to members of Recommendation Panel	Recommendation Panel considers any appeals and outputs produced by members of Selection Panel. Mid-September.	Confirms the list of outputs to be submitted taking to account staff circumstances.	Amend list of selected outputs for Research Committee
01/10/2020 papers prepared and sent to members of Research Committee	Research Committee	Recommend outputs to Academic Board on condition of any amendments	Ensure final amendments and actions are complete.
01/11/2020 papers prepared and sent to members of Academic Board	Academic Board November 2020	Approve the final submission	Final submission made 31 March 2021.

## APPENDIX I: Procedure for Committee Elections

1. <https://portal.leeds->

[art.ac.uk/sites/default/files/documents/LAU%20Procedure%20for%20Committee%20Elections%20September%202019.pdf](http://art.ac.uk/sites/default/files/documents/LAU%20Procedure%20for%20Committee%20Elections%20September%202019.pdf)

