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REF 2021

Code of Practice

Executive Summary

This Code of Practice sets out how the University of Hull will, fairly and transparently, make decisions on its submissions to REF 2021. This includes decisions on which staff are eligible for and how the outputs will be selected. This Code of Practice has been developed in discussion with key stakeholders from across the University of Hull. All staff were consulted on an earlier draft of the Code of Practice. This document was approved by the University Leadership Team.

Part 1 of this document outlines the context of REF 2021, the progress the University has made since REF 2014 and the broad principles that underpin the Code of Practice.

Part 2 describes how the University will determine which staff are eligible for submission to REF 2021. In summary, staff are eligible if they:

- Are academic staff with a contract of employment of 0.2 FTE (Full Time Equivalent) or greater
- Are on the University's payroll on the census date (31st July 2020)
- Have a primary employment function to undertake either "Research Only" or "Teaching and Research" as defined by HESA
- Have a substantive research connection with the University
- Are independent researchers ("Research Only" staff only)

All staff at the University of Hull on the Research Domain of the Academic Careers Framework have a primary employment function of "Teaching and Research" and will therefore be eligible for submission to REF 2021. Staff on other domains have a primary employment function of "Teaching Only" and are not eligible for REF 2021.

Decisions on staff eligibility will be made by REF Eligibility Committee and Part 2 outlines how these decisions will be made with regard to independence and substantive connection. An appeals process has been established to allow staff to dispute eligibility decisions.

Part 3 of this document explains how outputs will be selected for submission to REF 2021. This includes a full description of how staff can inform the University voluntarily of any circumstances that may have had an impact on their ability to produce research outputs. Voluntarily disclosed circumstances will be reviewed in an anonymised form by REF Individual Circumstances Committee.

Further details on REF and the development of this Code of Practice can be found on the University's SharePoint pages¹. Questions and comments should be emailed via REF2021@hull.ac.uk.

¹ <https://share.hull.ac.uk/Services/RI/SitePages/REF/L1%20REF.aspx>

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Part 1 Introduction

1.1 Background and context

1.1.1 The Research Excellence Framework (REF) 2021 is the system for assessing research in UK Higher Education Institutions (HEIs). Its purpose is to produce assessment outcomes for each submission which will:

- (1) Allow funding bodies to inform the selective allocation of funding from 2022-23.
- (2) Provide accountability for public investment in research and produce evidence of the benefits of this investment.
- (3) Provide benchmarking information and establish reputational yardsticks.

1.1.2 The REF 2021 Guidance on Submissions² sets out the framework and generic assessment criteria for REF 2021 and specifies all requirements and guidance of higher education institutions in preparing submissions. The Panel Criteria and Working Methods³ sets out the assessment criteria and working methods of the main and sub-panels for REF 2021. Together, the Guidance on Submission and Panel Criteria and Working Methods fully describe the information required in REF 2021 submissions and how the submissions will be assessed.

1.1.3 This Code of Practice outlines how the University will, fairly and transparently, make decisions on which of its staff are eligible for submission to REF 2021 and how the outputs for submission will be selected.

1.1.4 The University of Hull is committed to promoting a diverse and inclusive culture, which offers equality of opportunity for all staff and students by eliminating unlawful discrimination and barriers to progression, advancing equality of opportunity and promoting dignity and respect on campus. This is further amplified in the campus wide vision, values and behaviours programme that is being driven by the University Leadership Team. The University's Equality, Diversity and Inclusion Policy describes the University's ethos and compliance of equality in the key areas of current legislation as defined in the Equality Act 2010. The University has enabled a number of policies specifically designed to support its community of staff and students such as Disability and Transgender policies^{4,5}.

1.2 Actions taken since REF 2014

1.2.1 The University of Hull published its Equality Scheme in 2017⁶. The Equality Scheme sets out the University's strategic equality objectives that require the University to publish its equality information/data on an annual basis and review specific and measurable equality objectives every four years. The Equality Scheme sets out four key equality objectives:

- (1) Progress the embedding of equality and diversity across campus.
- (2) Develop compliance and external drivers.

² <https://www.ref.ac.uk/publications/guidance-on-submissions-201901/>

³ <https://www.ref.ac.uk/publications/panel-criteria-and-working-methods-201902/>

⁴ <https://www.hull.ac.uk/work-with-us/more/equality-diversity-and-inclusion/equality-documents.aspx>

⁵ <https://share.hull.ac.uk/Services/EDI/SitePages/EDI%20Policies%20and%20Procedures.aspx>

⁶ <https://www.hull.ac.uk/work-with-us/more/equality-diversity-and-inclusion/equality-scheme-2017-2020.aspx>

- (3) Develop diverse and inclusive organisational culture and values.
- (4) Enhance diversity and inclusion from a staff and student perspective.

1.2.2 The University published a new Equality, Diversity and Inclusion policy in 2017⁷. In 2018 the University of Hull joined the Race Equality Charter and intends to submit for a bronze Race Equality Charter award in 2020. In addition, the University successfully submitted for a bronze Athena SWAN award in 2018.

1.3 Transparency and consistency

1.3.1 The decision making processes outlined in this document regarding staff eligibility and outputs selection are designed to ensure that decisions are made in a consistent manner and that reasoned decisions are communicated to impacted staff. Decisions relating to individuals will be communicated to those individuals so that they are aware of their REF eligibility and the rationales for those decisions. Decisions on eligibility and on individual staff circumstances will be communicated as described in paragraphs 2.1.9 and 3.4.10 respectively.

1.3.2 To ensure transparency of the processes within this Code of Practice, all members of academic staff will be emailed a copy of the Code of Practice. The Code of Practice will also be published on SharePoint⁸. Where staff are absent, working off site or have no access to email communication, hard copies will be sent to them by their line manager.

1.3.3 To ensure consistency in decision making regarding eligibility for REF 2021, all decisions regarding eligibility of individual members of staff will be made by one committee (REF Eligibility Committee) whose selection and working methods are described in Part 2. Similar measures (described in Part 3) are in place for determining whether individuals have circumstances which could reduce the number of outputs required for a Unit of Assessment and REF Individual Circumstances Committee will make all of these decisions.

1.3.4 An appeals process (described in section 2.6) has been developed to allow staff to question the outcome of decisions on eligibility.

1.3.5 The Research Excellence Manager, the University of Hull REF Steering Group (Annex 1) and University Leadership Team will ensure that this Code of Practice is consistently applied across the University.

1.4 Consultation on the Code of Practice

1.4.1 The Code of Practice was developed in consultation with a number of key stakeholders including; University Leadership Team, University Research Committee, REF Steering Group, the Trades Union, and other representative groups through the Head of Equality, Diversity and Inclusion.

1.4.2 Consultation with the Trades Union and all staff took place on an earlier draft of the document. Copies for consultation were sent by email to all staff and made available through SharePoint. Consultation with staff was facilitated through an online survey and through REF Leads. A summary of the responses to the consultation was shared on the University's REF SharePoint pages⁸.

⁷ <https://share.hull.ac.uk/Services/EDI/SitePages/EDI%20Policies%20and%20Procedures.aspx>

⁸ <https://share.hull.ac.uk/Services/RI/SitePages/REF/REF%202021%20Code%20of%20Practice.aspx>

1.4.3 The Code of Practice was approved by University Leadership Team.

1.5 Data protection

1.5.1 All staff making any decisions or handling data covered by this code of practice (whether in an anonymous form or not) must abide by the University's data protection policy⁹ and must have up to date GDPR training.

1.5.2 Where information is to be reviewed by REF Eligibility Committee (Part 2) or REF Individual Circumstances Committee (Part 3), the information will be anonymised to protect data and to ensure consistency in decision making by reducing unconscious bias.

1.5.3 Information required to implement the REF Code of Practice and compile REF submissions will only be available in full detail to those outlined in the process below. Members of REF Eligibility Committee (Part 2) or REF Individual Circumstances Committee (Part 3) will only review anonymised data. Results of decisions and their rationales will be made known to the individuals concerned. REF Leads and those involved in the REF decision making processes will be informed of the decisions, but the underlying reasoning for these decisions will not be shared.

1.5.4 The data collected in the course of following this Code of Practice will be used for management information purposes, for monitoring the fairness and effectiveness of this Code of Practice (through equality impact assessments) and for data submission to REF 2021. Only staff who need the information in order to carry out the duties of their post or position on one of the REF committees will have access to these data. The University will not pass personal information directly to any representative who may be assisting a member of staff, unless a written instruction to do so is received from that member of staff. This is in accordance with the principles of the General Data Protection Regulations (GDPR).

1.5.5 Research England have published a data collection statement that outlines how REF 2021 will use submitted data. This statement can be found in Annex 2. The University's data protection statement can be found on the University website⁹.

1.6 Equality impact assessment

1.6.1 An initial Equality Impact Assessment screen was undertaken on this Code of Practice and is available to all staff through SharePoint¹⁰.

1.6.2 Further, more detailed, equality impact assessments will be carried out as the implementation of the Code of Practice develops and after the REF submission process has completed. These Equality Impact Assessments will be undertaken out when determining eligibility and when selecting the outputs for submission. These assessments are described in sections 2.7 and 3.6.

⁹ <https://www.hull.ac.uk/choose-hull/university-and-region/key-documents/data-protection.aspx>

¹⁰ <https://share.hull.ac.uk/Services/RI/SitePages/REF/REF%202021%20Code%20of%20Practice.aspx>

Part 2 Determining staff eligibility for REF 2021

2.1 Staff eligibility in REF 2021

- 2.1.1 Category A eligible staff are defined in the REF 2021 Guidance on Submissions (paragraph 117) as academic staff with a contract of employment of 0.2 FTE (Full Time Equivalent) or greater, on the payroll of the submitting institution on the census date (31st July 2020), whose primary employment function is to undertake either “Research Only” or “Teaching and Research” as defined through the annual Higher Education Statistics Agency (HESA) return. Category A eligible staff must also have a “substantive research connection” with the institution (paragraph 123, Guidance on Submissions and section 2.3). For clarity, staff who leave the University before the 31st July 2020 will not be eligible for REF 2021, although their outputs might be eligible (Part 3).
- 2.1.2 For staff with an Academic Employment Function of “Research Only” as defined by HESA, only those staff who are “independent” researchers will be Category A eligible (paragraph 117, Guidance on Submissions and section 2.4).
- 2.1.3 At the University of Hull, academic staff within the Research Domain of the Academic Careers Framework have a HESA Academic Employment Function of “Teaching and Research”. Staff in the other Domains of the Academic Careers Framework have a HESA Academic Employment Function of “Teaching Only”. Staff on specialist academic contracts such as Post Doctoral Research Assistants have an Academic Employment function of “Research Only”.
- 2.1.4 All staff at the University of Hull with a HESA Academic Employment Function of “Research only” or “Teaching and Research” are potentially Category A Eligible.
- 2.1.5 All potentially eligible staff as defined above (those in the Research Domain and those on “Research Only” contracts) will be reviewed by the REF Eligibility Committee to determine eligibility. This committee will be chaired by the Pro-Vice-Chancellor (International), and will include representative members from all four University Faculties. The relevant Dean, in agreement with the Chair and the Research Excellence Manager, will nominate these members. Members of the Committee will not have oversight of research or REF and will have no academic line management responsibilities. The full Terms of Reference and Membership for the REF Eligibility Committee can be found in Annex 3.
- 2.1.6 Staff data will be provided to the Research Excellence Manager by Human Resources. These data will be processed to identify staff that are automatically ineligible or potentially eligible. All potentially eligible staff will be reviewed by the REF Eligibility Committee who will make decisions on the eligibility of all potentially eligible staff. The first meeting of the Committee will agree the scope of the reviews and where additional information is required. These reviews will include staff with a contract between 0.2 and up to 0.5 FTE where a “substantive research connection” needs to be confirmed (section 2.3) and those staff who are “Research Only” and whose independence needs to be established (section 2.4). Where a detailed review is not required, the REF Eligibility Committee will ratify the eligibility of staff. Staff with an academic employment function of “Teaching Only” are ineligible and will not be reviewed by the REF Eligibility Committee. Annex 4 contains a chart outlining the decisions that will be made by the REF Eligibility Committee and a timeline for these decisions is

outlined in Annex 5. The process for determining eligibility will run multiple times (in accordance with the timetable in Annex 5) to ensure that the eligibility of new staff and staff that change domains in the Academic Careers Framework are assessed in a fair and transparent manner.

- 2.1.7 All information will be anonymised prior to review to increase the consistency of the decision making process and reduce unconscious bias. Only staff involved in the process will have access to the data and, given the obvious personal and potentially sensitive nature of the data, must abide by the University rules on handling of confidential information. All staff involved in the process must have up to date GDPR training as outlined as outlined in section 1.5.
- 2.1.8 The following sections outline how eligibility decisions will be made regarding:
 - (1) Significant responsibility (section 2.2)
 - (2) Substantive research connections (section 2.3)
 - (3) Independence (section 2.4)
- 2.1.9 Following the meetings of the REF Eligibility Committee, reasoned decisions will be communicated to all potentially eligible staff in writing by the Chair of the committee. Staff will have the opportunity to provide additional information and appeal decisions made by the REF Eligibility Committee. The appeals process is outlined in section 2.6.
- 2.1.10 Records of decisions and any associated documentation will be held by the Research Excellence Manager for use in compiling REF Submissions and in case of audit. Copies of statements and evidence will be destroyed in 2022 after the REF results have been announced.
- 2.2 Determining significant responsibility for research
- 2.2.1 The University of Hull will submit 100 % of Category A eligible staff to REF 2021. Category A eligible staff are described in the Guidance on Submissions (paragraph 117) and in paragraph 2.1.1 of this Code of Practice.
- 2.2.2 All staff within the University of Hull in the Research Domain of the Academic Careers Framework (and therefore returned to HESA with an academic employment function of “Teaching and Research”) have significant responsibility for research and are considered “independent” (as defined in section 2.4). Where the FTE is less than 0.5 a “substantive research connection” to the University will have to be established (section 2.3). These staff are therefore “Category A” eligible for submission to REF 2021 if they are employed at 0.2 FTE or greater and have a substantive research connection to the University (as defined in section 2.3).
- 2.2.3 All academic staff with an academic employment function of “Research Only” at the University of Hull have significant responsibility for research but a test of independence will be applied to determine whether they are Category A eligible. This is described in detail in section 2.4.
- 2.3 Establishing a substantive research connection
- 2.3.1 All Category A eligible staff, must have a “substantive research connection” with the institution (paragraph 123, Guidance on Submissions). The process described here outlines

how this substantive connection will be established for all potentially eligible staff with an FTE between 0.2 and up to 0.5. For “Research Only staff”, with an FTE between 0.2 and up to 0.5 the test of independence (section 2.4) will be undertaken first. Staff with an FTE below 0.2 will not be eligible for REF 2021. For clarity, staff with an FTE of 0.5 will be deemed to have a substantive research connection to the University.

- 2.3.2 Where staff have an FTE of 0.5 or above no further information will be required and all staff will be determined as having a substantive research connection to the University and will be eligible for REF 2021.
- 2.3.3 For staff with a contract of between 0.2 FTE and 0.29 FTE, the University is required to submit a short statement (maximum 200 words) to REF 2021 outlining the individual’s “substantive research connection”. Where a member of staff has an FTE of 0.3 or higher, a statement will not be submitted.
- 2.3.4 The University of Hull will collect statements outlining the substantive research connection of each individual with an FTE between 0.2 and up to 0.5 from the immediate line manager (e.g. Head of Department, Head of School or Research Institute Director). These statements will concisely summarise the ways in which the individual has a substantive research connection to the University and will be provided on the pro-forma in Annex 6 and returned to the Research Excellence Manager via REF2021@hull.ac.uk. These statements should use the indicators outlined in section 2.3.5 and 2.3.6 as required. These indicators are indicative only and do not all need to be met to indicate or confirm a substantive research connection to the University.
- 2.3.5 As described in the REF 2021 Guidance on Submissions (paragraph 123) the following are indicators of a substantive research connection:
 - (1) evidence of participation in and contribution to the unit’s research environment, such as involvement in research centres or clusters, research leadership activities, supervision of research staff, or supervision of postgraduate research (PGR) students
 - (2) evidence of wider involvement in the institution, for example through teaching, knowledge exchange, administrative, and /or governance roles and responsibilities
 - (3) evidence of research activity focused in the institution (such as through publication affiliation, shared grant applications or grants held with the HEI)
 - (4) period of time with the institution (including prospective time, as indicated through length of contract).
- 2.3.6 The Guidance on Submissions (paragraph 126) details the circumstances where a statement should not be submitted to REF 2021. These details will still be required for the University to make decisions and should therefore also be reported.
 - (1) where the staff member has caring responsibilities
 - (2) where the staff member has other personal circumstances (e.g. ill-health, disability)
 - (3) where the staff member has reduced their working hours on the approach to retirement
 - (4) where the fractional appointment reflects normal discipline practice (for example, where joint appointments with industry or practice are typical).
- 2.3.7 For staff with caring responsibilities of other personal circumstances (section 2.3.6 (1) and (2)), the statement provided to the University should note this and individuals will be

determined as having a substantial connection if these conditions are voluntarily reported through the individual staff circumstances process as outlined in section 3.4. For staff with reduced working hours on the approach to retirement or where the fractional appointment reflects normal discipline practice (section 2.3.6 (3) and (4)), this should be outlined in the statements.

- 2.3.8 All statements will be anonymised prior to review by the REF Eligibility Committee who will use the criteria outlined in paragraph 2.3.5 and 2.3.6 to determine whether an individual has a substantive research connection with the University of Hull. The REF Eligibility Committee will regard only the information submitted in making decisions based on the criteria stated in this code of practice 2.3.5 and 2.3.6. The process for decision making is outlined in the Terms of Reference of the REF Eligibility Committee (Annex 3). The REF Eligibility Committee will confirm eligibility, non-eligibility, or will refer the statement back to the line manager for clarification or further information. All meetings will be minuted to ensure decisions and rationale are auditable.
- 2.3.9 The timetable for decisions will be such that the process will be run for a final time after the 31st of July 2020 to ensure that any staff who have been employed or changed role close to the census date are treated fairly.
- 2.3.10 Staff will be informed of decisions as outlined in paragraph 2.1.9. A process has been established for staff to appeal decisions on eligibility as described in section 2.6.

2.4 Determining research independence

- 2.4.1 For staff with an academic employment function that is “Research Only” with an FTE of 0.2 or greater, a test of research independence will be applied to determine whether an individual is eligible for submission to REF 2021. The procedures below outline the policy and procedures for testing independence. All academic staff in the Research Domain of the Academic Careers Framework (with an academic employment function of “Teaching and Research”) are deemed independent by the University of Hull and this process will not be applied to those staff.
- 2.4.2 Eligibility decisions will be made about all staff who will be employed on a “Research Only” contract on the REF 2021 census date (31st July 2020). This includes staff on continuing contracts and those on fixed term contracts that end after 31st July 2020. Staff who have contracts that expire before the REF 2021 census date will be ineligible for REF 2021.
- 2.4.3 As outlined in the Guidance on Submissions (paragraphs 131 to 133) “an independent researcher is defined as an individual who undertakes self-directed research, rather than carrying out another individual’s research programme”. Individuals who are employed as research assistants to carry out another individual’s research programme are not eligible to be returned to REF.
- 2.4.4 The following conditions will indicate that an individual is independent (Guidance on Submissions paragraph 132 and Panel Criteria and Working Methods paragraphs 187 to 189). Numbers (1) to (3) are applicable to staff in all Units of Assessment, numbers (4) and (5) are applicable in Main Panels C and D only.

- (1) leading or acting as principal investigator or equivalent on an externally funded research project

- (2) employed on a competitively won external fellowship as outlined in the list on the REF 2021 website¹¹. This list is not exhaustive and for external fellowships not included in the list a description of independence will also be required.
 - (3) leading a research group or a substantial work package
 - (4) acting as a co-investigator on an externally funded research project. This may include where an individual is a co-investigator on a work package that would be equivalent to a principal investigator role on a small grant.
 - (5) significant input into the design, conduct and interpretation of the research
- 2.4.5 As described in the Guidance on Submissions (paragraph 133), “a member of staff is not deemed to have undertaken independent research purely on the basis that they are named on one or more research outputs”.
- 2.4.6 The University will ask the Heads of Department, Heads of School and Directors of Research Institutes to meet with all Research Only staff to complete a questionnaire Annex 7 which will outline whether the individual meets the criteria outlined in paragraph 2.4.4 above.
- 2.4.7 Completed questionnaires will be anonymised by the central University REF Team prior to review by the REF Eligibility Committee. The REF Eligibility Committee will determine an individual’s eligibility and with regard to only the information submitted and will make decisions in accordance with the criteria in paragraphs 2.4.4. All decisions will be made irrespective of job title or salary and irrespective of the quality of an individual’s outputs. The process for decision making is outline in the Terms of Reference of the REF Eligibility Committee (Annex 3). Where necessary, the REF Eligibility Committee will refer the statement back to the line manager for clarification or further information. All meetings will be minuted to ensure decisions and rationale are auditable.
- 2.4.8 The timetable for decisions will be such that the process will be run for a final time after the 31st of July 2020 to ensure that any staff who have been employed or changed role close to the census date are treated fairly.
- 2.4.9 Staff will be informed of decisions as outlined in paragraph 2.1.9. An appeals process will be in place for staff to contest decisions on eligibility as described in section 2.6.
- 2.4.10 For staff determined to be independent researchers, with a FTE of between 0.2 and up to 0.5, the process for determining substantive connection section 2.3 will also be applied. For clarity, staff with an FTE of 0.5 will be deemed to have a substantive research connection to the University.
- 2.5 Training
- 2.5.1 All staff involved in determining the eligibility of staff for REF 2021 will undergo equality and diversity training and unconscious bias training. This includes all members of the central REF team, REF Steering Group, all members of the REF Eligibility Committee and REF Individual Circumstances Committee (Part 3), all Heads of Department, Heads of School and Directors of Research Institutes. This training will be delivered face to face and all members determining eligibility will require their three yearly equality, diversity and inclusion mandatory training to be in date.

¹¹ <https://www.ref.ac.uk/media/1030/list-of-independent-research-fellowships.pdf>

- 2.5.2 Equality and Diversity Training will be delivered face to face by the Head of Equality, Diversity and Inclusion and will cover the protected characteristics as listed in the Equality Act 2010, issues relating to decision making, gender, race and disability equality and how inequality is evident in every day processes, practices and procedures. The training will be REF specific and tailored around inequalities that may affect eligible staff in REF 2021.
- 2.5.3 For staff who are members of the REF Eligibility Committee or REF Individual Circumstances Committee (section 3.4) the training will be undertaken prior to the first meeting of each Committee.
- 2.5.4 As staff will be handling sensitive data (albeit anonymised) all staff involved in committees and decision making for REF 2021 must have up to date data protection training in line with University expectations for all staff.

2.6 Appeals

- 2.6.1 Staff have the right to appeal decisions made by REF Eligibility Committee. Related decisions, such as those on the Academic Careers Framework, should be appealed using the relevant policy. This section outlines the procedure for appellants and the University.
- 2.6.2 Reasoned decisions on eligibility will be communicated to staff after meetings of the REF Eligibility Committee as outlined in section 2.1.9 after which each individual will have the opportunity to provide additional information, within 10 working days, to the Research Excellence Manager (via REF2021@hull.ac.uk). After receipt of any additional information, the REF Eligibility Committee will reconsider the eligibility of the individual. If no additional information is provided, the Committee's initial decision will stand.
- 2.6.3 If a staff member still has concerns following the procedures outlined above, they can make a case to the REF Eligibility Appeals Panel. The Panel will seek to ensure that decisions have been made in a manner consistent with the principles and processes within the Code of Practice.
- 2.6.4 The REF Eligibility Appeals Panel will be chaired by a member of the University Leadership Team who does not have oversight of REF preparations or decisions on staff eligibility. Membership of the panel will be appointed by the Chair and will include appropriate senior and expert individuals who are independent of any decisions around the appellant's eligibility. The Research Excellence Manager and a senior representative from the Human Resources Directorate will be in attendance at all panel meetings to provide advice on the REF 2021 rules and relevant HR policies.
- 2.6.5 The REF Eligibility Appeals Panel will review the formal decision of the REF Eligibility Committee, the evidence presented to the REF Eligibility Committee and any additional evidence not available to the Committee at the time. The REF Eligibility Appeals Panel will then make one of four decisions:
 - (1) To accept the appeal on the basis that the original decision made was not consistent with the principles and processes of the Code of Practice, and to amend the appellant's eligibility status.
 - (2) To accept the appeal on the basis of new information and to amend the appellant's eligibility status.
 - (3) To reject the appeal and uphold the appellant's original eligibility status.
 - (4) To delay a decision and request further information.

- 2.6.6 Decisions made by the REF Eligibility Appeals Panel will be final.
- 2.6.7 Full details of the appeals procedure, including timescales, can be found in Annex 8.
- 2.6.8 Staff will be informed of the appeals process when the code of practice is launched and when they are informed of the decisions made about their eligibility.

2.7 Equality Impact Assessment

- 2.7.1 The Equality Impact Assessment (EIA) will be an iterative process that will review every stage of the REF procedure. A series of equality impact assessments will be undertaken periodically throughout the decisions making processes on REF Eligibility.
- 2.7.2 For staff where an independence test is required (section 2.4) a thorough EIA will be undertaken in November 2019, March 2020 and August 2020 to review whether the processes and decisions are having a differential impact on specific groups. This will be done using data on protected characteristics and on intersectionality. These assessments will compare the numbers who are determined to be independent researchers to the overall pool of “Research Only” staff. Where enough data are available, these reviews will also be conducted at Unit of Assessment level.
- 2.7.3 Where any discrepancies are found, the underlying reasons will be explored and actions will be recommended to prevent discrimination and advance equality.

Part 3 Selection of outputs

3.1 Output eligibility

3.1.1 The Guidance on Submissions outlines which outputs are eligible for REF 2021 (paragraph 205). A full list of output types can be found in Annex K of the Guidance on Submissions. Each output must be:

- (1) The product of research, briefly defined as a process of investigation leading to new insights, effectively shared. (The full definition of research for the purposes of the REF is in Annex C of the Guidance on Submissions).
- (2) First brought into the public domain between 1st January 2014 and 31st December 2020.
- (3) Attributable to a Category A eligible member of staff (as determined in Part 2) or a former member of staff who was Category A eligible when the output was made publically available.
- (4) Available in an open access form (paragraph 3.1.2)

3.1.2 Where the output is within scope of the REF 2021 Open Access Policy (Guidance on Submissions, paragraph 223), the output should comply with the open access criteria set out in paragraphs 234-251, unless covered by an exception defined in paragraphs 252-255. The University of Hull Open Access Policy describes how the open access policy is implemented at the University of Hull¹².

- (1) Application of exceptions to the open access policy will be approved by the relevant Associate Dean for Research in conversation with the Research Excellence Manager.
- (2) The Guidance on Submissions (paragraph 231) states that each Unit of Assessment “may submit a maximum of five percent non-compliant in-scope outputs or one non-compliant in-scope output, whichever is higher, per submission”. Non-compliant outputs exceeding the maximum will be ruled ineligible by panels, and receive an Unclassified score. The University of Hull aspires to submit zero non-compliant outputs.

3.2 Output selection

3.2.1 Outputs will be selected to maximise the overall quality profile for the University. Outputs will be selected based on the minimum requirement that each individual should be submitted with one output; the remaining outputs will be selected on the basis of quality. The quality of outputs will be determined as described in section 3.3 below. Modelling of predicted quality scores will be used by the Research Excellence Manager and the REF Leads to select the outputs for submission. The final selection of outputs will be approved by the REF Lead and the relevant Associate Dean for Research.

3.2.2 The University of Hull recognises that there are many reasons why individuals publish research outputs at different rates and there is no expectation that all members of staff will contribute equally to the number of outputs submitted to REF 2021.

¹² <https://hydra.hull.ac.uk/resources/hull:17297>

- 3.2.3 As all staff meeting the definition of eligible as described in Part 2 will be submitted to REF 2021, there will be no quality threshold for inclusion these staff.
- 3.2.4 The final selection of outputs will not be taken into account in relation to any promotion, progression, or performance management procedures.
- 3.2.5 For staff submitted to REF (as outlined in Part 2) all outputs first made publically available in the REF period (paragraph 3.1.1(2)) are eligible for submission by the University.
- 3.2.6 Outputs from formerly eligible staff (e.g. those that have left the University or are no longer on eligible contracts) can be submitted to REF 2021 (Guidance on Submissions, paragraph 201). Outputs for staff formerly eligible at the University of Hull will be assessed as described as in section 3.3 and will be entered for submission in line with the principles outlined in paragraph 3.2.1. The outputs of all formerly eligible staff will be considered for inclusion in the submission, including the outputs of staff who have been made redundant. When selecting outputs for submission, if there are outputs with the same predicted score, the outputs for current staff will be selected as priority over formerly eligible staff.
- 3.2.7 Where outputs are to be submitted which do not comply with the REF 2021 Open Access Policy or qualify as an exception (paragraph 3.1.2), they will be selected for submission based on the principles outlined in paragraph 3.2.1 and the tolerance will initially be used where it is an individual's only REF eligible output. Any subsequent submission of non-compliant outputs will be used to maximise the overall quality profile for the University.
- 3.2.8 Individual outputs can be submitted once per Unit of Assessment submission in Main Panels A-C. In Main Panel D five percent of outputs can be submitted twice (Guidance on Submissions paragraph 270 and Panel Criteria and Working Methods paragraphs 233-236). Co-authored outputs that are double weighted can be counted as one output each for two co-authors. Co-authored outputs will be allocated to individuals based on the principles outlined in 3.2.1. Individuals will be considered as having made a substantial contribution according to the guidance set out in the Panel Criteria and Working Methods (paragraphs 216-236). Where panels require evidence of contribution, a statement outlining the individual's contribution will be submitted to REF 2021.
- 3.2.9 Where individual submitted research outputs do not fit within the boundaries of the Unit of Assessment to which the submitted staff member is being submitted, the University will make a request for cross referral of such outputs (as outlined in the Panel Criteria and Working Methods, paragraphs 399-403). Where submitted research outputs are interdisciplinary, they will be flagged as such in the REF submission (as described in the Guidance on Submissions paragraphs 273-274).
- 3.3 Output quality
- 3.3.1 The quality of outputs will be determined through a combination of internal peer review (minimum two reviewers) and calibration through external review. Reviews will be undertaken in line with the level definitions described in Section 3 of the Panel Criteria and Working Methods (paragraphs 190-205).
- 3.3.2 External reviewers will be selected on the basis of relevant expertise and seniority in the field. The suitability of external reviewers will be approved by the University's REF Steering Group (Annex 1).

- 3.3.3 The outputs to be externally assessed will be determined at Unit of Assessment Level. The intention of external reading is as a calibration exercise, so a representative sample of outputs should be reviewed externally and can include outputs where there is significant divergence in the views of internal readers. Ideally, one output per individual would be reviewed externally, but this might not always be possible. In rare cases where there is no internal expertise, outputs will be assessed solely by external reviewers.
- 3.3.4 For Units of Assessment where output level citation data will be used in their assessments, REF reviewers may use them in line with the guidance published by REF (Guidance on Submission paragraphs 288 to 292 and Panel Criteria and Working Methods paragraphs 274 to 282). Other metrics such as Journal Impact Factors or journal ranking lists will not be used.
- 3.3.5 Feedback to researchers on the assessment of outputs will be given by Heads of Department, Heads of School, Directors of University Research Institutes, or their nominee, in discussion with the relevant REF Lead.
- 3.3.6 Final decisions on the Unit of Assessment staff to which staff will be submitted will be communicated to individuals through Heads of Department, Heads of School, or Directors of University Research Institutes as appropriate.
- 3.3.7 The outputs that are to be submitted will be communicated to staff through Heads of Department, Heads of School, or Directors of University Research Institutes as appropriate.
- 3.4 Individual staff circumstances
- 3.4.1 REF 2021 will support and promote equality and has a number of measures to recognise the impact that individuals' circumstances may have on their ability to produce research outputs. As REF 2021 has decoupled staff and research outputs, it is not expected that submitted individuals will contribute equally to the output pool. The measures outlined in the Guidance on Submissions are intended to ensure that the effects of any circumstances are recognised by the University and that any subsequent inequality is mitigated so that no eligible staff member is disadvantaged and the potential disparity in the output pool for Units of Assessment is accommodated.
- 3.4.2 The REF 2021 Guidance on Submissions outlines how staff circumstances can be taken into account (paragraph 151 onwards). This section outlines how individuals can voluntarily notify the University of their circumstances and how the University will make decisions on the allowable reductions and whether the Unit of Assessment will apply for a reduction.
- 3.4.3 The applicable circumstances that can lead to a reduction in the units output pool are fully defined in the Guidance on Submissions (paragraphs 160-163) and, in summary, are:
- (1) Qualifying as an Early Career Researcher
 - (2) Absence from work due to secondments or career breaks outside the HE sector
 - (3) Qualifying periods of family-related leave
 - (4) Other circumstances that apply in Units of Assessment 1-6
 - (5) Circumstances with an effect equivalent to absence which require a judgement.
- 3.4.4 The applicable reductions and the tariffs are outlined in Annex 9 of this document and Annex L in the Guidance on Submissions.

- 3.4.5 Staff will be given the opportunity to declare potential circumstances voluntarily to the University according to the timetable in Annex 10. Circumstances will be declared via the form in Annex 11 and will be treated as confidential by all parties concerned. Forms should be sent to REFcircumstances@hull.ac.uk and will be reviewed by the Research Excellence Manager. In consultation with the relevant HR advisor, proposed reductions in the number of outputs that can be allocated to an individual will be calculated. Where further information or a discussion about the circumstance is required to understand the impact, these will take place with the HR partner. Proposed reductions and rationales will be anonymised prior to review by the REF Individual Circumstances Committee.
- 3.4.6 All recommended reductions in the number of outputs and their rationales will be anonymised and reviewed by the REF Individual Circumstances Committee. This Committee will be Chaired by the Pro-Vice-Chancellor (Education), and will include representative members from all four University Faculties. The relevant Dean, in agreement with the Chair and the Research Excellence Manager, will nominate these members. Members of the Committee will not have oversight of research or REF and will have no academic line management responsibilities. The full Terms of Reference and Membership of the committee is described in Annex 12. The full timetable for declarations and decisions is outlined in Annex 10.
- 3.4.7 The total eligible reduction in the outputs for a Unit of Assessment will be calculated and the relevant REF Lead, in conversation with the Research Excellence Manager and REF Steering Group Annex 1 will determine whether there has been a significant impact on the output pool for a unit of assessment. If the reduction in outputs is warranted, an application will be made to REF for a reduction of outputs for that Unit of Assessment before the REF 2021 circumstances deadline in March 2020.
- (1) Where staff have been significantly impacted in the assessment period so that they have not been able to produce any eligible outputs, they may request a reduction such that the minimum of one output be removed (Guidance on Submissions paragraphs 178-183). These requests should be made if there has been an overall absence of 46 months or more in the assessment period or there have been circumstances equivalent to 46 months absence or two or more periods of family related leave. These requests can only be granted if the individual has no outputs in the assessment period.
- 3.4.8 Requests to remove the minimum of one output should be made by individuals according to the process outlined in paragraph 3.4.5 and will be assessed in line with the process outlined in paragraph 3.4.6. Prior to a recommendation of a removal of the minimum of one output, the Research Excellence Manager will audit the publication record of individuals to ensure that no outputs have been produced in the assessment period.
- 3.4.9 Requests to remove the minimum of one output will be applied to individuals irrespective of whether there has been an overall reduction for that Unit of Assessment. Where an individual is allowed to remove the minimum of one output, no outputs will be allocated to them in the submission and one output will be removed from the outputs required in the submission.
- 3.4.10 Outcomes of all requests for reductions will be communicated to individual researchers in writing by the Chair of the REF Individual Circumstances Committee within fifteen working

days of decision being made. REF Leads and other individuals involved in the REF submissions will be informed of the total number of output reductions for the Unit of Assessment and which individuals can be submitted without the minimum of one output but details of the circumstances will not be shared.

- 3.4.11 The above processes will run prior to the REF 2021 circumstances deadline in March 2020 in accordance with the timetable in Annex 10. For any changes between March 2020 and the 31st July 2020 census date, the process will run again to allow for changes in circumstance to be captured and to ensure equality for staff who join the institution after applications for reductions have been initially made.
- 3.4.12 Records will be held for submission to REF 2021 and in case of audit. All records of reductions and any associated documentation will be destroyed in early 2022 after the results of REF 2021 have been announced.
- 3.4.13 The information gathered through this process will not be used as part of any other internal processes. Where individuals disclose an impact, and seek advice on further support, they will be advised to speak to their manager or Human Resources.
- 3.4.14 A Staff Circumstances Report will be submitted to REF after the REF 2021 submission deadline as described in the Guidance on Codes of Practice¹³. This report will include an anonymous breakdown of the circumstances that were declared and how decisions on reductions were made. This report will be made available to all staff after submission.

3.5 Staff training

- 3.5.1 Staff involved in the processes for selecting outputs and determining allowable reductions will undertake equality and diversity and unconscious bias training as outlined in section 2.5.

3.6 Equality impact assessment

- 3.6.1 The Equality Impact Assessment (EIA) will be an iterative process that will review every stage of the REF procedure. A series of equality impact assessments will be undertaken periodically throughout the decisions making processes on outputs selection.
- 3.6.2 A thorough EIA will be undertaken in November 2019, March 2020, August 2020 and after REF submission to review whether the distribution and selection of outputs is different between specific groups. These reviews will take place as the understanding of who is eligible for REF develops and the outputs required by each UOA is fully understood. These assessments will be undertaken using data on protected characteristics and on intersectionality. Where enough data are available, these reviews will be conducted at Unit of Assessment level.
- 3.6.3 Where any discrepancies are found, the underlying reasons will be explored and actions will be recommended to prevent discrimination and advance equality.

¹³ https://www.ref.ac.uk/media/1086/c-users-daislha-desktop-ref-2019_03-guidance-on-codes-of-practice.pdf

Annex 1 REF Steering Group Terms of Reference and Membership

In preparation for the 2021 Research Excellence Framework (REF), the University of Hull must have robust plans in place to ensure that the University makes the best possible submission. An important part of the University's REF preparations is the formation of a group to provide oversight of these preparations, including advice on the Units of Assessment (UoA) that will be submitted and their composition. This group will meet four times per year. The Terms of Reference will be updated as details of the exercise are announced.

Membership

The membership of the group shall be:

1. Dr David Richards (Chair) - Pro-Vice-Chancellor (Research & Enterprise)
2. Dr Andrew Taylor - Research Excellence Manager
3. Dr Maggie McGowan – Director of Research
4. Roddy Gray – Human Resources
5. Prof Brad Gibson – Department of Physics and Mathematics
6. Prof John Greenman – Department of Biomedical Sciences – REF 2014 Assessor
7. Prof Steph Haywood – Department of Engineering – REF 2014 Panel Member
8. Prof John Oldfield – Director, Wilberforce Institute
9. Prof Joy Porter – Department of History – REF 2021 Panel Member
10. Prof Colin Tyler – Department of Politics
11. Prof Roger Watson – Department of Nursing – REF 2014 Panel Member
12. Prof Terry Williams – Director, Risk Institute – REF 2014 and REF 2021 Panel Member

Other members of staff will be invited to attend meetings when required. This will include, but is not limited to, staff from the University Library.

Terms of Reference

The group will have responsibility for:

- Overseeing the University's REF submission and advising on the University's REF submission strategy
 - This will include advising on the Units of Assessment to be submitted including which staff will be submitted to which unit.
- Proposing, monitoring and advising on plans for the submission including regular reviews of the project plan and timescales. This will include ensuring that University Research Institutes are represented in Faculty and Unit of Assessment planning.
- Advising on procedure and policy in relation to the University of Hull's REF submission and ensuring that this is applied consistently across the institution.
 - This includes the REF Code of Practice and ensuring that all eligible members of staff are fully informed of the REF policies and procedures
- Providing feedback to Units of Assessment on draft submissions

- Members of this group will assist in reviewing the REF submissions. All submissions should be reviewed by members of the REF steering group prior to submission.
- Monitoring and advising on the use of external assessors including resourcing and timing
 - The external assessors will be suggested by the individual Units of Assessment in collaboration with the Faculty Dean and Associate Dean for Research along with a description of their suitability. The REF steering group will approve the appointment these assessors.
- Oversight of the mock REF exercises
 - In the run up to REF 2021, mock exercises will take place to identify areas of strength and weakness, as well as identifying the research outputs and impacts likely to be submitted. The REF Steering Group will approve the timetable for these exercises and be involved in the broad oversight and assessment of each Unit of Assessment. This will include advising on the final scores for outputs (where appropriate and where there is no consensus) and providing advice on the tactics for individual submissions to ensure optimal outcomes.
- Identifying, highlighting and advising on the potential mitigation of any risks
 - The REF steering group will assist in the identification of the potential risks and, in collaboration with the Research Excellence Manager, inform University Leadership Team of these risks and highlight any potential mitigating actions.

Annex 2 Staff Data Protection Statement for REF 2021

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

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

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

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). Data returned to the REF will be linked to that held on the HESA staff record to allow UKRI and the organisations listed above to conduct additional analysis into the REF and fulfil their statutory duties under the Equality Act 2010 (England, Wales and Scotland) or the Northern Ireland Act 1998 (Northern Ireland).

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

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

Parts of your data will be passed to the REF expert panels and the Equality and Diversity Advisory Panel (whose members are independent of UKRI) for the purpose of conducting a systematic

evaluation of submissions, in accordance with predetermined criteria and methods. Panels will make judgments about the material contained in submissions and will not form quality judgments about individuals. All panel members are bound by confidentiality arrangements.

Publishing information about your part in our submission

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

Those parts of submissions that contain factual data and textual information about research activity will also be published by UKRI, on behalf of the four UK higher education funding bodies, and will be made available online. Published information is likely to include **textual information including impact case studies in which you may be referenced**. Your name and job title may be included in this textual information. Other personal and contractual details, including your date of birth and all information about individual staff circumstances will be removed. The University of Hull may submit other personal information in the case studies to be assessed by the panels. Redacted case studies will be submitted for publication on the REF 2021 website and any personal information will be removed for these case studies.

UKRI will also publish a list of the outputs submitted by us in each UOA. This list will not be listed by author name.

Data about personal circumstances

You may voluntarily disclose personal circumstances to your submitting unit, which could permit us to submit your information to the REF without the 'minimum of one' requirement (without penalty), or to submit a reduced number of outputs without penalty. If (and only if) we apply either form of reduction of outputs, we will need to provide UKRI with data that you have disclosed about your individual circumstances, to show that the criteria have been met for reducing the number of outputs. Please see the 'Guidance on submissions' document (paragraphs 151-201) for more detail about reductions in outputs and what information needs to be submitted. The University of Hull's policy and process for disclosing circumstances is outlined in section 3.4 of the Code of Practice.

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. In submitting information to REF 2021, the University of Hull will ensure statements requesting a reduction are anonymised by removing any identifying information that is not required in making decisions about circumstances. The REF team will destroy the submitted data about individuals' circumstances on completion of the assessment phase.

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

Accessing your personal data

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

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

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

Email: dataprotection@ukri.org

The University of Hull's Privacy notice can be found at <https://www.hull.ac.uk/choose-hull/university-and-region/key-documents/data-protection.aspx>.

For any questions and comments about this notice and REF 2021, please contact the University of Hull REF team at REF2021@hull.ac.uk.

Annex 3 REF Eligibility Committee Terms of Reference

In preparation for the 2021 Research Excellence Framework (REF), the University of Hull must ensure that the decisions regarding the eligibility of staff are made in a fair, transparent and consistent manner.

The REF Eligibility Committee will be responsible for making decisions on all staff potentially eligible for REF 2021 as defined in the University's REF 2021 Code of Practice (Part 2).

Membership

1. Pro-Vice-Chancellor (International)
2. Research Excellence Manager
3. Senior Academic – Faculty of Arts, Cultures and Education
4. Senior Academic – Faculty of Business, Law and Politics
5. Senior Academic – Faculty of Health Sciences
6. Senior Academic – Faculty of Science and Engineering
7. Senior Representative – Human Resources
8. Head of Equality, Diversity and Inclusion
9. REF Support Officer - Secretary

Academic members of the Committee will be nominated by the relevant Dean and agreed in discussion with the Chair and the Research Excellence Manager. To ensure that the processes for determining eligibility are not biased by the REF submission or line management processes, the Chair and Academic members of the Committee will be independent of other REF process and academic line management within the University of Hull. This therefore excludes Associate Deans for Research, Directors of Research (or equivalent), Heads of School, Heads of Department and Directors of Research Institutes from sitting on this Committee.

Terms of Reference

The REF Eligibility Committee will have responsibility for:

1. Making decisions on the eligibility of staff for REF 2021.
2. Determining independence for individuals with an Academic Employment Function of "Research Only".
3. Determining whether an individual with an FTE between 0.2 and up to 0.5 has a substantive research connection to the University of Hull.
 - a. For staff requiring a statement outlining the connection, the committee will review the statement and determine eligibility.
 - b. For staff where a statement is not required, the group will approve this automatically.

The REF Eligibility Committee will be authorised to make the following decisions:

1. That a member of staff is eligible for submission to REF 2021
2. That a member of staff is ineligible for submission to REF 2021
3. Delay the decision and request further information.

The REF Eligibility Committee will meet at least six times prior to REF 2021 in line with the timetable outlined in Annex 5 of the University's Code of Practice.

The REF Eligibility Committee will be quorate with the presence of the Chair, the Research Excellence Manager and three academic members of the committee. In the absence of the Chair the Deputy Chair will stand-in. The Deputy Chair will be elected at the first meeting of the Committee. In the absence of the Research Excellence Manager, the REF Support Officer will stand-in and a secretary will be co-opted from the University's Research and Innovation team.

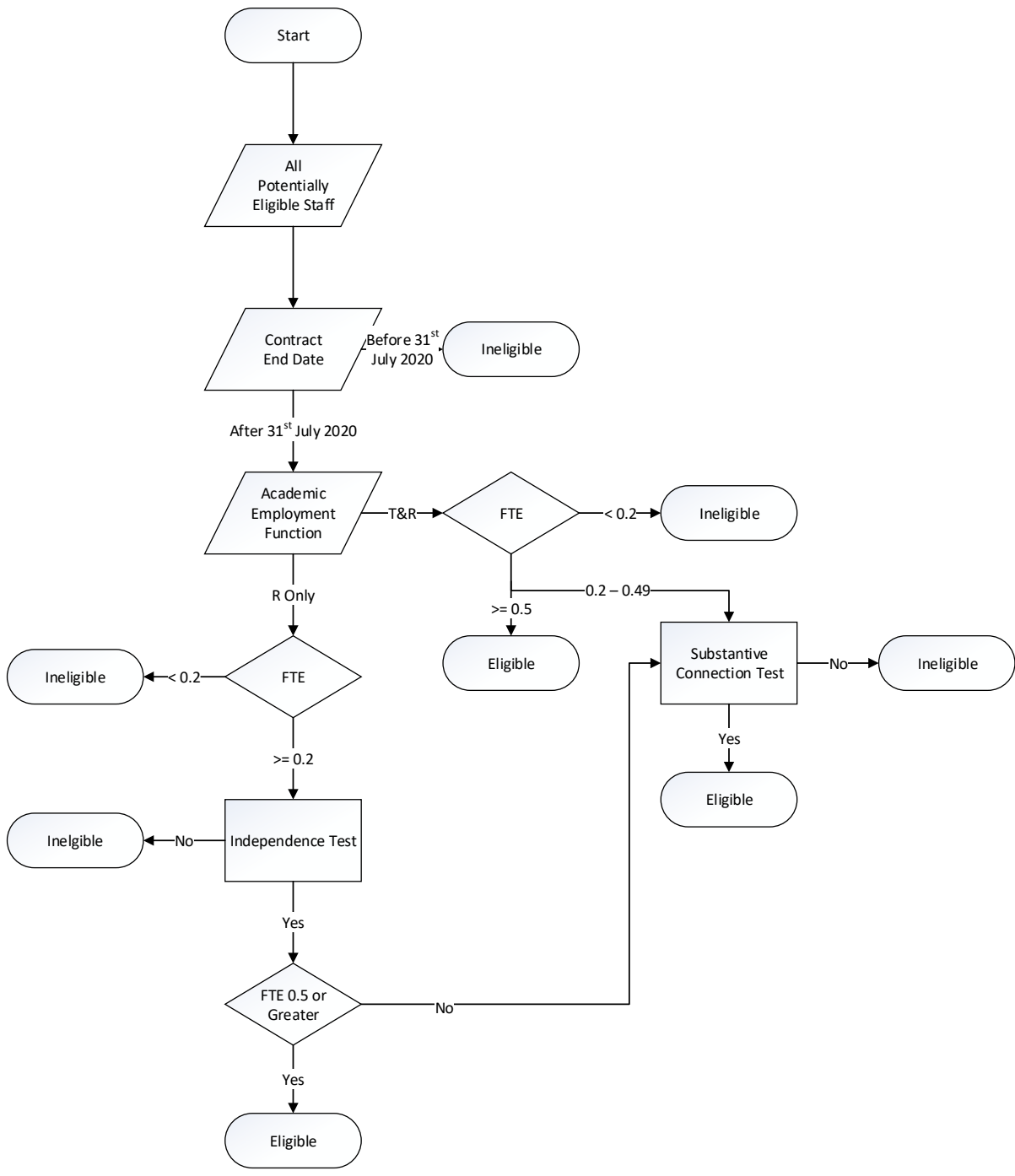
All data and statements will be reviewed anonymously. Where members are able to identify individuals, they will be excluded from the meeting during those discussions.

Decisions will be made through discussion. If consensus cannot be found then the Committee will vote. Decisions will be passed with a majority of members in agreement. Tied votes will be decided by the Chair.

Where the Committee determines that more information is required, it will request, through the Research Excellence Manager, additional information from the individual concerned.

Members of the Committee will have unconscious bias and equality and diversity training as outlined in section 2.5 of the Code of Practice.

Annex 4 REF Eligibility Decision Making Process



Annex 5 Timetable for Eligibility Decisions

The table below indicates the planned timeline for assessing staff eligibility.

7 th June 2019	Code of Practice Submission Deadline
June-July 2019	Initial data collection period
July 2019	First REF Eligibility Committee Meeting
August 2019 onwards	Survey of independence and substantive research connection
September 2019	Second REF Eligibility Committee Meeting
November 2019	Third REF Eligibility Committee Meeting
March 2020	Fourth REF Eligibility Committee Meeting
June 2020	Fifth REF Eligibility Committee Meeting
July 31 st 2020	REF Census Date
August 2020	Sixth REF Eligibility Committee Meeting
October 2020	Final confirmation of staff eligibility
31 st March 2021	REF Submission

Notes:

Each meeting will be preceded by data collection and analysis of changes.

Each meeting will be followed by decision making communications and time for appeals.

Annex 6 Substantive Connection Reporting Form

As outlined in the University of Hull's REF 2021 Code of Practice (section 2.3), staff with an FTE (Full Time Equivalent) between 0.2 and up to 0.5 must submit a statement outlining their "substantive research connection" to the University of Hull. For clarity, staff with an FTE of 0.5 or above do not need to submit a statement.

This form should be used to provide a statement to the University of Hull. Statements should be a maximum of 200 words and concisely outline the research connection to the University. Please write in the anonymous first person.

The following are potential indicators of a connection and should be used where possible:

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

Where any of the following apply, please indicate this:

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

If you have caring responsibilities or other personal circumstances, you may voluntarily note this in this form and through the individual staff circumstances process. Please do not include any further information on this form.

All data provided will be securely stored and will be destroyed after the results of REF 2021 are published in line with the REF 2021 Code of Practice.

If you have any questions, please email REF2021@hull.ac.uk.

Name: Click here to insert text.

Department, School or University Research Institute: Click here to insert text.

Statement outlining "substantive research connection" to the University of Hull (Max 200 words)

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Name of person completing form: Click here to insert text.

Date: Insert date here

Please return a word version of this form to REF2021@hull.ac.uk

Office use only:

Reference:	
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Annex 7 Independence Reporting Form

As outlined in the University's Code of Practice (section 2.4), the University needs to determine whether individuals on Research Only contracts are independent researchers and therefore eligible for submission to REF 2021.

This form is intended to be used by Heads of Department, Heads of School and Directors of Research Institutes to record discussions with researchers in their areas.

The following criteria will indicate that an individual is independent (Guidance on Submissions paragraph 132 and Panel Criteria and Working Methods paragraphs 187 to 189). Numbers (1) to (3) are applicable to staff that fit in all Units of Assessment, numbers (4) and (5) are applicable in Main Panels C and D only.

- (1) leading or acting as principal investigator or equivalent on an externally funded research project
- (2) employed on a competitively won external fellowship as outlined in the list on the REF 2021 website¹⁴. This list is not exhaustive and for external fellowships not included in the list a description of independence will also be required.
- (3) leading a research group or a substantial work package
- (4) acting as a co-investigator on an externally funded research project. This may include where an individual is a co-investigator on a work package that would be equivalent to a principal investigator role on a small grant.
- (5) significant input into the design, conduct and interpretation of the research

These forms will be anonymised and reviewed by REF Eligibility Committee to determine independence.

All data provided will be securely stored and will be destroyed after the results of REF 2021 are published in line with the REF 2021 Code of Practice.

If you have any questions, please email REF2021@hull.ac.uk.

¹⁴ <https://www.ref.ac.uk/media/1030/list-of-independent-research-fellowships.pdf>

Name: [Click here to insert text.](#)

Department, School or University Research Institute: [Click here to insert text.](#)

Is the member of staff employed as a research assistant to carry out another individual's research programme?	Yes <input type="checkbox"/> No <input type="checkbox"/>
Is the member of staff leading or acting as a principal investigator or equivalent on an externally funded research project?	Yes <input type="checkbox"/> No <input type="checkbox"/> If "yes", include details of the grant or project – including Worktribe ID.
Is the member of staff employed on a competitively won external fellowship?	Yes <input type="checkbox"/> No <input type="checkbox"/> If "yes", include details of the fellowship.
Is the member of staff employed on an internal fellowship?	Yes <input type="checkbox"/> No <input type="checkbox"/> If "yes", include details of the fellowship including a description of whether their research is directed by another PI.
Main Panels C&D only – are they leading a research group or a substantial work package	Yes <input type="checkbox"/> No <input type="checkbox"/> If "yes", include details of the grants or project – including Worktribe ID.
Main Panels C&D only – are they acting as a co-investigator on an externally funded research project. This may include where an individual is a co-investigator on a work package that would be equivalent to a principal investigator role on a small grant?	Yes <input type="checkbox"/> No <input type="checkbox"/> If "yes", include details of the grants or project – including Worktribe ID.
Main Panels C&D only – do they have significant input into the design, conduct and interpretation of the research?	Yes <input type="checkbox"/> No <input type="checkbox"/> If "yes", include details of the grants or project – including Worktribe ID.
Any other relevant information that might be useful?	Include any other useful details. Do not include details of research outputs.

Name of person completing form: [Click here to insert text.](#)

Date: Insert date here

Please return a Word version of this form to REF2021@hull.ac.uk

Office use only:

Reference:	
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Annex 8 REF Eligibility Appeals Panel Procedures

1. Where a researcher wishes to formally appeal against a decision regarding their eligibility for REF 2021, they may do this through the REF Appeals Panel.
2. The Appeals Panel will not revisit the academic judgements of the REF Eligibility Committee but will seek to ensure that all decisions have been made in a way consistent with the principles and processes within the Code of Practice.
3. The REF Eligibility Appeals Panel will not assess decisions made within the Academic Careers Framework and such appeals should be made through the Academic Careers Framework Policy and Procedure and must clearly set out the grounds for appeal (see point 9b below)
4. The appellant will write to the Research Excellence Manager (REF2021@hull.ac.uk) requesting that that formal appeals process is launched to explore their case. This must be done within ten working days of notification of eligibility.
5. The Research Excellence Manager will respond within ten working days, notifying the appellant of the date of the appeal and the membership of the Panel. The Panel will meet within 15 working days of the notification of the date.
6. The REF Appeals Panel will be chaired by a member of University Leadership Team who does not have oversight of REF preparations in the relevant Unit of Assessment. Panel members will be appointed by the Chair and will include appropriate senior and expert individuals. Members of the panel will not have been involved in any of the decision making surrounding the appellant. The Research Excellence Manager and a senior representative from the Human Resources Directorate will be in attendance at all Appeals Panel meetings.
7. The appellant may bring a union representative or colleague, who is not acting in a legal capacity, to the meeting.
8. The Panel Chair may call any relevant individuals who were involved in the decision making process to attend the meeting as required.
9. All relevant documentation must be circulated to the attendees at least five working days before the meeting. Documentation must include:
 - a. The formal decision or eligibility or ineligibility
 - b. The grounds of the appeal. These must include:
 - i. Evidence that the decision was not consistent with the principles and processes of the Code of Practice; and/or
 - ii. Evidence of new information which was not available to the REF Eligibility Panel when the initial decision was made.
10. The Panel has the authority to make the following decisions:
 - a. To accept the appeal on the basis that the original decision made was not consistent with the principles and processes of the Code of Practice, and to amend the appellant's eligibility status
 - b. To accept the appeal on the basis of new information and to amend the appellant's eligibility status
 - c. To reject the appeal and uphold the appellant's original eligibility status
 - d. To delay a decision and request further information
11. If the Panel is unable to make a decision due to lack of information they must reconvene within 10 working days to review the additional information and make a final decision.
12. The appellant will receive formal confirmation of the Panel's decision within five working days after the Panel has met.

13. All Appeals must be heard by 30th September 2020 to ensure there is appropriate time for submission compositions to be amended.

Annex 9 Tariffs for Reductions in Circumstances

For further details see Guidance on Submissions (Annex L, Page 114).

Early career researchers: Permitted reduction in outputs

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

Absence from work due to secondments or career breaks

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

Qualifying periods of family-related leave

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

- a. Statutory maternity leave or statutory adoption leave taken substantially during the period 1 January 2014 to 31 July 2020, regardless of the length of the leave.
- b. Additional paternity or adoption leave¹⁵, or shared parental leave¹⁶ lasting for four months or more, taken substantially during the period 1 January 2014 to 31 July 2020.

¹⁵ 'Additional paternity or adoption leave' refers to leave of up to 26 weeks which is taken to care for a child where the person's spouse, partner or civil partner was entitled to statutory maternity leave or statutory adoption leave, and has since returned to work. The term 'additional paternity leave' is often used to describe this type of leave although it may be taken by parents of either gender. For the purposes of the REF, we refer to this leave as 'additional paternity or adoption leave'.

¹⁶ 'Shared parental leave' refers to leave of up to 50 weeks which can be shared by parents having a baby or adopting a child. This can be taken in blocks, or all in one go.

Combining circumstances

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

Other circumstances that apply in Units of Assessment 1–6

In Units of Assessment 1–6, the number of outputs may be reduced by up to one, without penalty in the assessment, for Category A submitted staff who are junior clinical academics. These are defined as clinically qualified academics who are still completing their clinical training in medicine or dentistry and have not gained a Certificate of Completion of Training (CCT) or its equivalent prior to 31 July 2020.

Circumstances requiring a judgement about reductions

Where staff have had other circumstances during the period (see paragraph 160e. in the ‘Guidance on Submissions’ document) – including in combination with any circumstances with a defined reduction in outputs – the institution will make a judgement about the effect of the circumstances in terms of the equivalent period of time absent and apply the reductions as set out in the table for “Absence from work due to secondments or career breaks” as outlined above.

Annex 10 Individual Circumstances Timetable

The table below indicates the planned timeline for disclosing and assessing individual staff circumstances.

7 th June 2019	Code of Practice Submission Deadline
Late August 2019	Circumstances Survey Opens
Start November 2019	First REF Individual Circumstances Committee Meeting
December 2019	Survey Reminder
Mid-January 2020	Second REF Individual Circumstances Committee Meeting
Late February 2020	Third Individual Circumstances Committee Meeting
Late February/Early March 2020	Decisions on application for unit level reductions
March 2020	Applications for reductions to REF submitted
May 2020 Onwards	Survey of changes and new starters
July 31 st 2020	REF Census Date
August 2020	Fourth REF Individual Circumstances Committee Meeting
October 2020	Final reduction request decisions
31 st March 2021	REF Submission

Annex 11 Circumstances Disclosure Form

This document is being sent to all Category A staff whose outputs are eligible for submission to REF2021 (see [‘Guidance on Submissions’](#), paragraphs 117-122). As part of the University of Hull’s commitment to supporting equality and diversity in REF 2021, we have put in place safe and supportive structures for staff to declare information about any equality-related circumstances that may have affected their ability to research productively during the assessment period (1 January 2014 – 31 July 2020), and particularly their ability to produce research outputs at the same rate as staff not affected by 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, and to adjust expectations in terms of expected workload or production of research outputs.
- To establish whether there are any Units of Assessment where the proportion of declared circumstances is sufficiently high to warrant a request to the higher education funding bodies for a reduced required number of outputs to be submitted.

Applicable circumstances

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

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

contract start dates, etc. You should therefore complete and return the form if any of the above circumstances apply and you are willing to provide the associated information.

Ensuring Confidentiality

The University of Hull's process and policy for disclosure and assessment of individual staff circumstances is described in the University's Code of Practice (section 3.4). Where staff disclose individual circumstances they will be reviewed, in the first instance, by the Research Excellence Manager. These circumstances will be discussed with the relevant HR Partner and if further information is required, the HR Partner will discuss the circumstances with the individual. All circumstances will be reviewed by the University of Hull's REF Individual Circumstances Committee. These circumstances will be anonymised by the Research Excellence Manager and the HR Partner prior to review by the Committee. Members of the Committee will keep any information confidential and if members can identify the individuals, they will leave the room for that part of the discussion. Decisions on circumstances will be communicated to the individuals concerned. The numbers of allowable reductions will be communicated with REF Leads and others involved in preparing REF submissions, but the reasons for reductions will not be communicated.

If the University decides to apply to the funding bodies for either form of reduction of outputs (removal of 'minimum of one' requirement or unit circumstances), we will need to provide United Kingdom Research and Innovation (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 Research England 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 of Hull 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 submit an updated form with their updated information to REFcircumstances@hull.ac.uk.

Circumstances Disclosure Form

To submit this form you should email a copy to REFcircumstances@hull.ac.uk.

For decisions to be made before the University is to submit requests to REF 2021, circumstances must be disclosed before **10th February 2020**. Any circumstances disclosed after this date will not be considered when the University is making decisions on requesting reductions but may be considered for the final REF 2021 submission. Additional circumstances (or changes to circumstances) must therefore be made before **7th August 2020** in order for the University to finalise submissions.

Name: Click here to insert text.

Department, School or University Research Institute: Click here to insert text.

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

Yes

No

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

Circumstance	Time period affected
Early Career Researcher (started career as an independent researcher on or after 1 August 2016). <i>Date you became an early career researcher.</i>	Click here to enter a date.
Junior clinical academic who has not gained Certificate of completion of Training by 31 July 2020.	Tick here <input type="checkbox"/>
Career break or secondment outside of the HE sector. <i>Dates and durations in months.</i>	Click here to enter dates and durations.
Family-related leave; <ul style="list-style-type: none">• statutory maternity leave• statutory adoption leave• Additional paternity or adoption leave or shared parental leave lasting for four months or more.	Click here to enter dates and durations.

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

To include: brief explanation of reason, periods of absence from work, and periods at work when unable to research productively. Total duration in months.

Please confirm, by ticking the box provided, that:

- The above information provided is a true and accurate description of my circumstances as of the date below
- I realise that the above information will be used for REF purposes only and will be seen by the Research Excellence Manager and the relevant HR Partner. Anonymised information will be seen by the REF Individual Circumstances Committee. REF Leads will be informed of allowable reductions, but will not be informed of any details.
- I realise it may be necessary to share the information with the REF team, the REF Equality and Diversity Advisory Panel, and main panel chairs.

I agree

Name: Print name here

Signed: Sign or initial here

Date: Insert date here

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

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

I would like to be contacted by:

Email Insert email address

Phone Insert contact telephone number

Annex 12 REF Individual Circumstances Committee

Terms of Reference and Membership

In preparation for the 2021 Research Excellence Framework (REF), the University of Hull must ensure that the decisions regarding the circumstances of individual eligible staff are made in a fair, transparent and consistent manner.

The REF Individual Circumstances Committee will be responsible for making decisions regarding the potential reductions in research outputs that can be assigned to individual staff for all reasons, and not always reasons aligned with the protected characteristics such as long term illness, bereavement and other personal circumstances. Decisions on whether a reduction of outputs at Unit of Assessment level will not be made by the REF Eligibility Committee.

Membership

1. Pro-Vice-Chancellor (Education)
2. Research Excellence Manager
3. Senior Academic – Faculty of Arts, Cultures and Education
4. Senior Academic – Faculty of Business, Law and Politics
5. Senior Academic – Faculty of Health Sciences
6. Senior Academic – Faculty of Science and Engineering
7. Senior Representative – Human Resources
8. Head of Equality, Diversity and Inclusion
9. REF Support Officer - Secretary

Academic members of the Committee will be nominated by the relevant Dean and agreed in discussion with the Chair and the Research Excellence Manager. To ensure that the processes for determining eligibility are not biased by the REF submission or line management processes, the Chair and Academic members of the Committee be independent of other REF process and academic line management within the University of Hull. This therefore excludes Associate Deans for Research, Directors of Research (or equivalent), Heads of School, Heads of Department and Directors of Research Institutes from sitting on this Committee.

Terms of Reference

The REF Individual Circumstances Committee will have responsibility for:

1. Confirming allowable reductions for individuals who may be eligible for a reduction as outlined in paragraph 160 a-d of the Guidance on Submissions and section 3.4 of the Code of Practice.
2. Making decisions on whether a reduction is allowable for individuals who have been significantly impacted in the REF period so that they have been unable to produce an eligible output as outlined in paragraph 160 e of the Guidance on Submissions and section 3.4 of the Code of Practice.

All data and statements will be anonymised prior to review by the Committee. Where members are able to identify individuals, they will be excluded from the meeting during those discussions.

Decisions will be made through discussion. If consensus cannot be found then the Committee will vote. Decisions will be passed with a majority of members in agreement. Tied votes will be decided by the chair.

Where the Committee determines that more information is required, it will request, through the Research Excellence Manager, additional information from the individual concerned.

The REF Individual Circumstances Committee will meet at least four times in the run up to REF 2021 in line with the timetable outlined in the University's Code of Practice.

The REF Individual Circumstances Committee will be quorate with the presence of the Chair, the Research Excellence Manager and three academic members of the committee. In the absence of the Chair the Deputy Chair will stand-in. The Deputy Chair will be elected at the first meeting of the Committee. In the absence of the Research Excellence Manager, the REF Support Officer will stand-in and a secretary will be co-opted from the University's Research and Innovation team.

Members of the Committee will have unconscious bias and equality and diversity training as outlined in section 2.5 of the Code of Practice.