

REF 2021 Code of Practice

Introduction

1. Strathclyde is a leading international technological university, inspired by our founder's vision of a 'place of useful learning', and ambitious to make a real difference to the lives of our students, the society we are part of, and the world we share. Research is a key component of our aims to solve key global challenges, and to support the development of innovative advances and productive economies and societies. We achieve this via internationally-leading research, teaching and translational expertise, whilst also working in close partnership with likeminded organisations.
2. Strathclyde's high standards and ambitions require that all our activities follow best practice, including in research. The requirements for Strathclyde and our researchers in relation to Research Excellence Framework (REF) 2021 are explained in this Code. This Code sets out how Strathclyde has interpreted the REF 2021 guidance to identify the staff who should be included in the submission and the outputs that will be submitted to each UOA.
3. The Research Excellence Framework (REF) is the system for assessing research in UK Higher Education Institutions (HEIs). REF 2021 will be the second iteration of the REF, following on from REF2014. The assessment of research made by REF 2021 is based on information submitted by Strathclyde in the three areas: research outputs, impact and environment. Success in the REF is important from the perspective of institutional reputation, both within the UK in comparative terms with other HEIs and internationally. Additionally, REF 2021 outcomes will determine the funding allocated to the University via the Research Excellence Grant from the Scottish Funding Council (SFC).
4. University of Strathclyde is committed to achieving and promoting equality of opportunity in our learning, teaching, research and working environments, and to ensuring these environments support positive relations between people, and a culture of respect. As a provider of employment and education, we value the diversity of our staff and students and are committed to encouraging everyone to realise their full potential.
5. Strathclyde's commitment to valuing all our people has been recognised through accreditation (including HR Excellence and Athena Swan) and external awards and recognition (including THE Workplace of the Year, Guardian award and Herald Diversity awards for our TransEDU research project, and a Guardian award for Strathclyde Cares). We take seriously our commitment to equality, diversity and inclusion and our approach to ensuring that this commitment is supported through preparations and processes for REF 2021 are detailed in this Code.
6. This Code will ensure that Strathclyde's REF procedures do not discriminate against staff due to their protected characteristics (as detailed in The Equality Act 2010) including: age, disability, gender identity, marriage and civil partnership, pregnancy and maternity, race, religion or belief, and sex or sexual orientation. The REF 2021 Guidance on Submissions gives full details of the legislation with which all HEIs must comply. The key legislation is reproduced from REF 2021 Guidance on Submissions in Appendix 1 for reference.
7. The procedures outlined in this Code will ensure that fixed-term and part-time workers will not be treated any less favourably than comparable employees on open contracts or full-time

workers as detailed in the Part-time Workers (Prevention of Less Favourable Treatment) Regulations 2000 and Fixed-term Employees (Prevention of Less Favourable Treatment) Regulations 2000.

8. Strathclyde will be guided by this Code in the decisions we take in preparing our submission to REF 2021, to ensure a transparent, consistent, accountable and inclusive approach. Strathclyde has a portfolio of equality policies including the Equality Policy, Disability Policy, Dignity & Respect Policy and LGBT+ Policy (all available on a [dedicated site](#)). This REF 2021 Code of Practice operates in addition to existing University policies of all kinds. All processes have been designed in order to minimise bias and to promote consistency and inclusivity. This includes careful consideration of the membership of decision making groups, including appeals committees.
9. Strathclyde supports the REF 2021 principles and will use this Code and the measures described within it to ensure that all processes and decisions reflect this commitment including in the following ways:
 - a. Transparency: All processes related to REF 2021 are documented in full in this Code which will be published in full on our website and shared with all those affected according to clauses 12-14.
 - b. Consistency: Strathclyde operates an annual research audit; the processes of which are also detailed in this Code. This allows research outputs and impact case studies to be subject to the same processes throughout the REF cycle and to have an equal opportunity to be recognised through this process. The research audit process also provides a consistent experience in preparing submissions.
 - c. Accountability: This Code details all of those individuals with responsibility for decision-making in relation to Strathclyde's REF 2021 submission. It also details the process for appealing decisions, and those involved in these processes.
 - d. Inclusivity: All of the processes required by the REF 2021 submission have been agreed through extensive consultation involving representatives of those involved in the submission.

The requirements for REF 2021 are defined by the REF team at Research England and are laid out in documents including the [Guidance on Submissions](#). This Code attempts to translate these requirements for Strathclyde staff.

10. Equality Impact Assessments undertaken as part of REF2014 demonstrated that (in a small number of UOAs) there was a slightly lower than average selection rate for certain age groups. This demonstrated a need to support staff to continue to actively research and publish in the later stages of their career, and action plans were implemented in relevant areas to address this need. As all academic staff will be submitted in REF 2021, analysis of output submissions by age will demonstrate the success of the approach taken.
11. In preparing for any exercise as complex and important as the REF, good and effective communications are essential. Communication plans have been designed to ensure that all those involved in the process know what their role is and the expectations that will be placed on them, and also to provide clear advice on the timing of various events throughout the

preparation process.

12. This Code will be made freely available online on the [Strathclyde website](#) and on the [RKES Portal REF 2021 site](#) and communicated to all potentially eligible members of staff. Information sessions were provided for staff during drafting in order to take the views of staff into account and enable staff to communicate their views to their staff representatives. Meetings were held with trade union representatives to discuss the sections related to identification of staff and the Code was not taken to committees for approval until this was concluded. This Code was formally approved by the following Committees which include representatives of all affected staff groups:

| | |
|---|---------------------------|
| Research & Knowledge Exchange Committee | 14 th May 2019 |
| Staff Committee | June 2019 |
| University Senate | 5 th June 2019 |

13. The University's preparations for REF 2021 will be guided in part by a timeline of actions and activities that have been endorsed by the University Executive Team. Any subsequent amendments to the timeline will be reported through the appropriate committee structure for discussion and approval as necessary. This information, together with a range of other data and information relevant to the preparation processes and procedures are available to members of the University community via the [RKES Portal REF 2021 site](#), which is regularly updated by the University's REF Team. Regular communications through existing formal channels, such as the Committee Structure (see appendix 4) and central communications (e.g. the Institution-wide Weekly Digest), will be implemented at appropriate points to ensure that all involved are fully aware of the University's preparations.
14. There may be staff who are not at work and who are therefore unlikely to receive communications by email, via the online locations named above, or through attendance at information sessions. In order to ensure that those staff are fully apprised of REF 2021 arrangements and understand who to speak to if they have any concerns, this Code and other relevant information (e.g. information on the circumstances process) will be sent in hardcopy to the correspondence addresses of individuals concerned by our Human Resources function.

Identifying Staff with Significant Responsibility for Research

15. REF 2021 guidance defines eligible staff as "academic staff with a contract of employment of 0.2 FTE or greater, on the payroll of the submitting institution on the census date, whose primary employment function is to undertake either 'research only' or 'teaching and research' ... Staff on 'research only' contracts should meet the definition of an independent researcher." REF 2021 indicate that staff must have both significant responsibility for research (Guidance on Submissions, paragraph 141) and be an independent researcher to be eligible. Clauses 16 -24, and Figure 1, set out our agreed approach at Strathclyde. This approach has been designed to ensure a clear and consistent approach within Strathclyde and to ensure our REF 2021 process is inclusive.
16. At Strathclyde, the following employment contracts may involve a person undertaking research:
 - Academic type contract: equivalent to 'teaching and research' in REF 2021, HESA Code ACEMPFUN 003
 - Research type contract: equivalent to 'research only' in REF 2021, HESA Coode ACEMPFUN002

Knowledge Exchange type contract: unique contract type to Strathclyde. Primary employment function is Knowledge Exchange. Staff members may undertake research in support of their KE remit. Returned to HESA with code: ACEMPFUN009

17. Any member of staff on an academic (i.e. 'teaching and research') contract of 0.2 FTE or greater on the payroll on the census date is understood to have significant responsibility for research and be an independent researcher. All academic staff will therefore be automatically included in the REF submission and expected to contribute accordingly unless exceptional circumstances apply (see clauses 39 - 51 for more information).
18. A member of staff on a 'research only' contract of 0.2 FTE or greater, on the payroll on the census date is understood to have significant responsibility for research, however this contract type does not necessarily denote independence of research. Therefore to be eligible for REF 2021 a person with this contract type must additionally meet the definition of an independent researcher described in clause 20 to be eligible for submission. REF 2021 guidance expressly states that Research Assistants or Research Associates do not meet the definition of independent researcher unless by exception.
19. In order to ensure that Strathclyde fulfils its responsibility to return all eligible staff, the question of whether some KE staff might be eligible was raised. Following extensive examination of the job level descriptors and further particulars of staff on the Knowledge Exchange contract type, it is evident that no staff on this contract type meet the definition of significant responsibility for research as described by REF 2021. Individuals who hold this contract type are not eligible for REF 2021.

Determining Research Independence

20. REF 2021 guidance provides a definition for use in identifying independent researchers as follows:

An individual "who undertakes self-directed research, rather than carrying out another individual's research programme."

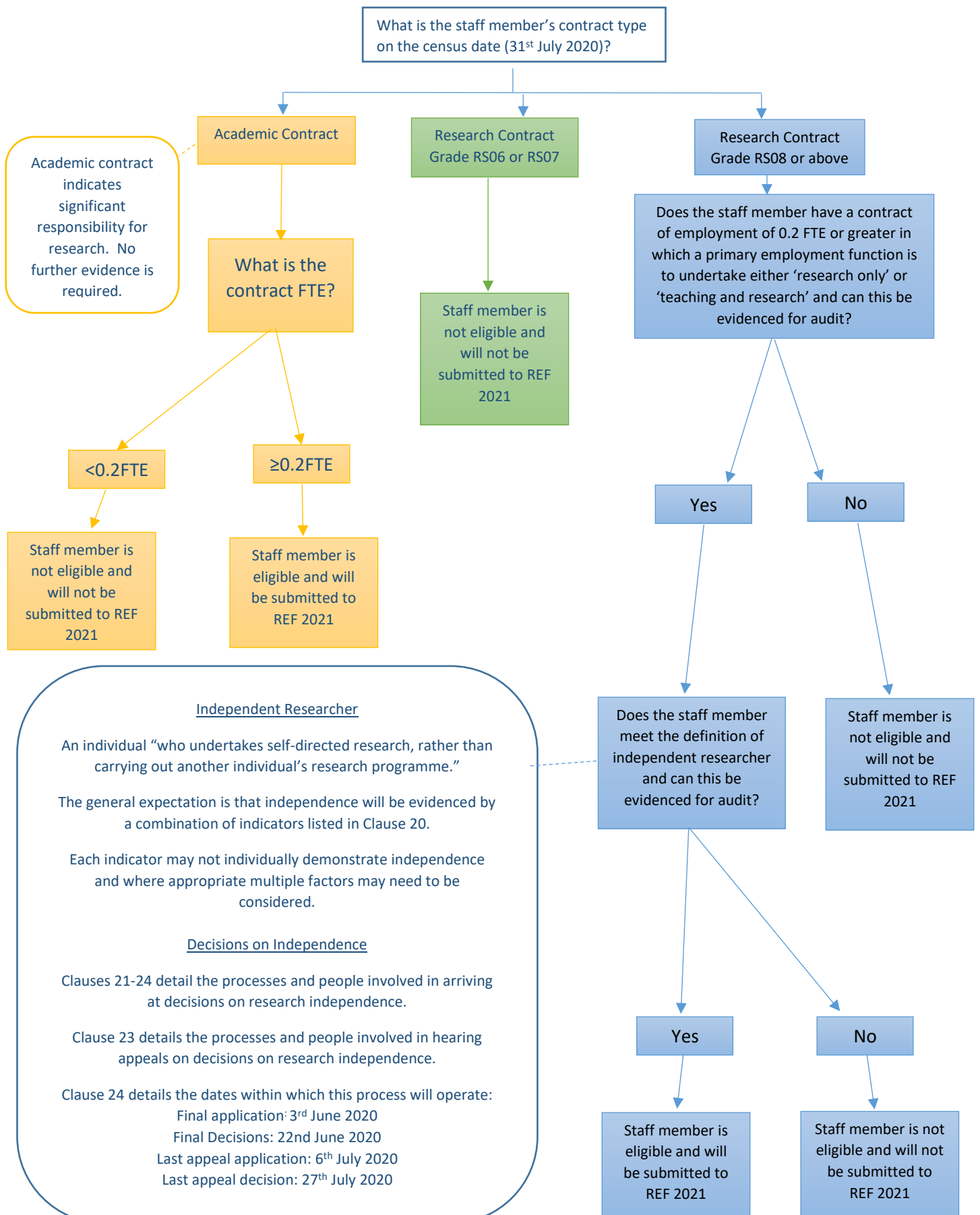
The general expectation is that independence will be evidenced by a combination of:

- leading or acting as principal investigator or equivalent on an externally funded research project
- holding an independently won, competitively awarded fellowship where research independence is a requirement. (An illustrative, but not exhaustive, list of independent fellowships can be found at <https://www.ref.ac.uk/guidance/additional-guidance/>)
- leading a research group or a substantial work package
- significant input into the design, conduct and interpretation of the research

Each indicator may not individually demonstrate independence and where appropriate multiple factors may need to be considered.

21. Following consultation with Heads of Departments and Schools, Research Directors, Vice Deans Research, Deputy Associate Principals and Associate Principals, it was agreed that the REF definitions of an independent researcher are appropriate to use to determine research independence for Strathclyde staff. The REF team will work with UOA Leads, Research Directors

Figure 1: Flowchart of Processes for Decisions on Inclusion of Staff



and Heads of Department/School to identify individuals who have clearly evidenced independence. In addition, if a staff member is on a research contract type and may meet the definition of an independent researcher as laid out in clause 20, an email can be sent by the staff member to their Head of Department/School copying in REF-eligibility@strath.ac.uk (This email account has been created solely for this purpose and access to this address will be strictly limited to the REF Administrator and the REF Manager). The email should be marked 'confidential' and should specify the evidence that the person meets the criteria for 'an independent researcher'. The staff member, Head of Department, Research Director and Unit of Assessment Leader may need to undertake further work to gather evidence prior to the next stage of the process.

22. The Head of Department/School, Unit of Assessment Leader (or nominee of the Dean), and Deputy Associate Principal with responsibility for REF 2021 (DAPR) will consider the information presented and determine whether the person can be added to the eligible staff list. This process will be overseen by the REF Administrator (to ensure that REF Guidance is adhered to) and the relevant HR Manager. The staff member concerned will be kept updated on progress by the REF Administrator until a decision is reached. This decision group reflects a mix of subject area staff for their subject specific expertise and knowledge, centrally based staff to ensure consistency and members of professional services teams to ensure REF rules and legislative requirements are adhered to and as a further measure to reduce the possibility of unconscious bias by decision group members. The composition of the group also helps to achieve gender balance. The decision will be communicated in person by the Head of Department/School and confirmed by email copying in REF-eligibility@strath.ac.uk.
23. If the staff member or their Department/School are not content with the outcome of the process, an appeal can be made to the relevant Vice Dean Research (or nominee of the Dean) who will consult with the Associate Principal Research. Again this process will be overseen by the REF Manager (to ensure that REF Guidance is adhered to), the Director of HR (or nominee), an Equality and Diversity team representative (for the reasons outlined in clause 22). The staff member concerned will be kept updated on progress by the REF Manager until a decision is reached. The appeal procedure has been created to ensure that fairness, inclusivity and consistency are maximised in decision making. The outcome of the appeal will be communicated in person by the Vice Dean Research and confirmed by email copying in REF-eligibility@strath.ac.uk.
24. This process will open immediately upon formal approval of this Code (See clauses 12 - 14 for details of how staff will be made aware of the Code and its contents). The final date on which a staff member who is not on an academic contract can apply to be considered an independent researcher is 3rd June 2020. All decisions on independence will be made by 22nd June 2020. The last date on which an appeal can be lodged is 6th July 2020. The last date on which an appeal decision can be notified is 27th July 2020. The final eligible staff list for REF 2021 will comprise all eligible staff on 31st July 2020.

Allocation of staff to Units of Assessment

25. Staff members will be allocated to the Unit of Assessment (UOA) by matching the Unit Descriptor to the research undertaken. In cases where a staff member's research may fit in more than one UOA, Strathclyde will determine the UOA of submission based on the course of action that will maximise the overall success of the submission for Strathclyde, informed by

internal and external review of outputs and discussion with UOA leads and the individuals concerned.

26. Where there is doubt about the UOA in which a staff member or group will be submitted, review of outputs from different UOA perspectives will be undertaken and decisions will be led by the views of the reviewers as to which UOA will be the best fit for the research. Authors may supply different outputs to these exercises when the content may be more suited to one audience or another.

Selection of Outputs

27. REF 2021 requirements state that an average of 2.5 outputs are returned per FTE in the submission made to a UOA. A submission must include a minimum of 1 and a maximum of 5 outputs for each individual submitted. There are circumstances in which a reduction in the number of outputs required is possible and where expectations of staff may be adjusted as a result of personal circumstances (see clauses 39 - 53 for more information).
28. Strathclyde academics should not take minimum REF volumes as indicators of acceptable research performance; individual academic staff are expected to produce a volume and quality of outputs which demonstrate research excellence with specific levels relevant to the discipline determined via normal management processes (see Clauses 36 and 37).
29. Output selections will be made on a strategic basis with a view to optimising the outcomes of the University's submission as a whole. Outputs will be selected based on output quality assessment for the relevant UOA taking account of the degree of confidence in this prediction where appropriate. In UOAs where citation data may be used by the panel, UOAs may make use of citation data in the same way as the panel in helping to apply predicted quality grades to outputs. Strathclyde supports responsible use of research metrics and will ensure that guidance and advice is given to promote responsible use of metrics throughout REF preparations.
30. Output quality assessment created through a combination of internal and external review by academics of the UOA subject area will be the signifier of quality. Membership of the internal and external review panels is detailed in clause 66.
31. Outputs are attributed to staff members only to demonstrate that the minimum and maximum requirements are met for the submitted group of staff. Attribution for this purpose does not indicate any view of the University about academic priority amongst staff members. REF will publish a list of outputs submitted to the process with a full author list and therefore with no indication of the staff member related to individual outputs in the submission.
32. Outputs have been proposed via the Pure system as part of internal research performance intelligence gathering since the completion of REF2014. Each year eligible staff members are encouraged to update and add to the information in Pure as part of a 'Research Audit' process that occurs between November and March each year. Outputs proposed in Pure are reviewed internally during February. External review is used to calibrate the quality assessment made internally and to provide supplementary specialist support when required.
33. The outputs in the pool for review, and therefore rating and selection, are determined by staff members volunteering their best eligible outputs for consideration. Multiple authors on the

same output can put an item forward for consideration and, if the publication is selected as part of the UOA portfolio, it will be allocated to a single staff member in order to meet the conditions of minimum and maximum requirement of outputs only.

34. Outputs in the pool for selection for REF 2021 must acknowledge the requirements of the REF open access policy (REF 2021 Guidance on Submissions Clauses 105-114) which states that journal articles and conference contributions (with an International Standard Serial Number (ISSN)), accepted for publication from 1 April 2016 and published on or before 31 December 2020 must be Open Access in order for those outputs to be eligible for submission in REF 2021.
35. UOAs may submit a maximum of 5% non-compliant outputs, or one non-compliant output, whichever is higher, per submission. As submission of non-compliant outputs in REF 2021 is undesirable and outputs that do not fulfil the open access requirements may need to be removed from any potential submission for REF 2021, staff members should not take the minimum set of requirements as an indicator of acceptable adherence to the Policy. Queries regarding the eligibility status of specific research outputs, or support surrounding compliance with the Policy, can be directed to the Scholarly Publications & Research Data team at openaccess@strath.ac.uk
36. The University of Strathclyde is a leading research University. Its reputation reflects the hard work and dedication of academic and research staff, whose individual contributions are each acknowledged and valued by the University. To optimise the outcomes of REF 2021 the University will make strategic decisions about the composition of submission to the UOAs entered. The exercise of the University's discretion in relation to these strategic decisions to include or not to include the outputs of a staff member or group in the REF submission will not be used as a factor by the University for other purposes relating to the researcher's employment including academic performance assessment or promotions.
37. Evaluation of research performance is carried out annually through Strathclyde's Accountability and Development Review (ADR) system, where goals for future performance are also agreed. Aspects of research performance, including volume and quality of publications, are defined via ADR and not by REF requirements.
38. REF 2021 permits the submission of outputs belonging to former staff that were published during the individual's time at Strathclyde. Strathclyde may therefore submit outputs produced by staff who have subsequently left our employ but will not submit outputs by individuals whose employment ended in redundancy.

Circumstances where reduced output expectations can apply

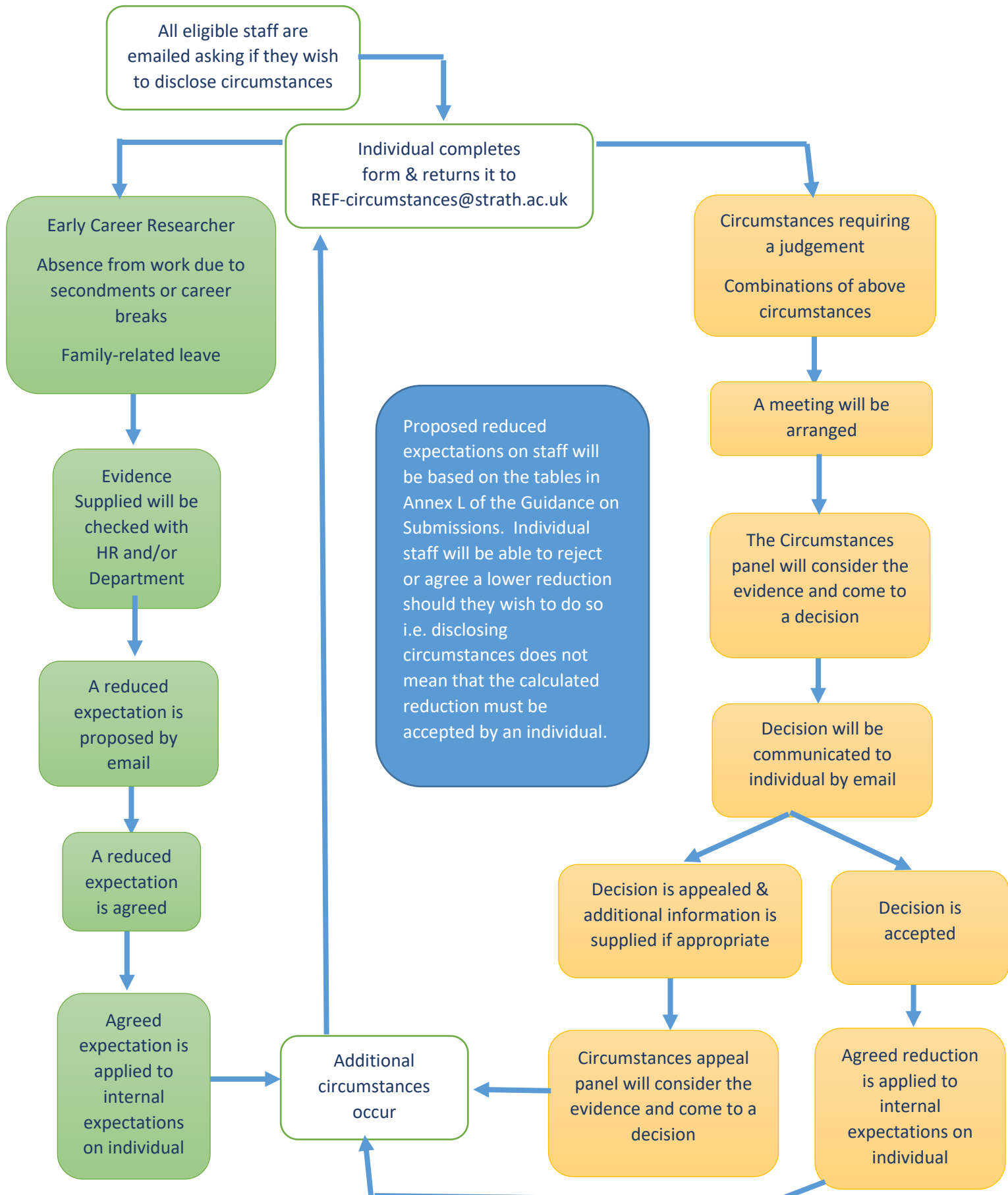
39. REF 2021 guidance clearly states "There are many reasons why an excellent researcher may have fewer or more outputs attributable to them in an assessment period. It is therefore not expected that all staff members would be returned with the same number of outputs attributed to them in the submission."
40. REF 2021 requirements allow reductions in the number of outputs required, at UOA level and, in extreme circumstances, the removal of the minimum requirement of one output for a staff member, where there are circumstances that affect a staff member's ability to undertake

research for a significant period of time. The following categories of circumstance are permitted:

- a. Being an Early Career Researcher
- b. Absence from work due to secondments or career breaks
- c. Family-related leave
- d. Circumstances requiring a judgement i.e. Circumstances with an equivalent effect to absence including:
 - Disability, ill health, injury, or mental health conditions.
 - Constraints additional to category (c) relating to pregnancy, maternity, paternity, adoption or childcare.
 - Other caring responsibilities (such as caring for an elderly or disabled family member).
 - Gender reassignment.
 - Other circumstances relating to the protected characteristics listed in the 'Guidance on codes of practice', Table 1, or relating to activities protected by employment legislation.
- e. Combinations of above circumstances

41. Circumstances requiring a judgement about reductions including combinations of categories (a), (b) and (c), and circumstances affecting ability to work over a significant period of time will require a reduction to be calculated by the University. ECRs must apply as part of the disclosure process; universities are not permitted to determine ECR status from data held centrally.
42. As per REF 2021 requirements, Strathclyde will gather information on circumstances that any eligible staff member wishes to disclose and, if the circumstance criteria are met, will propose an adjustment to the expectations on that staff member in relation to the volume of outputs expected to be available for REF 2021 inclusion as per the REF 2021 Guidance on Submission Annex L (reproduced in Appendix 2 for ease of reference). The staff member will be able to accept, partially accept or reject the reduction in expectations. In most cases, these reductions will be applied internally with the flexible output model used to manage the contribution of individuals within a UOA. Where the impact of reduced expectations disproportionately impacts on the ability of the UOA to produce research, Strathclyde may apply to the REF 2021 team for a reduction for the UOA as per clauses 52 and 53.
43. Strathclyde staff members in the eligible pool will be contacted by email and asked whether they have any circumstances they wish to disclose. Responses to the invitation to disclose will be captured in a form in electronic format (see Appendix 3) and stored in a secure and confidential location on Strathclyde's networked storage. All circumstances communications will be conducted via an email account set up for the specific purpose to which a strictly limited number of staff will have access. Members of staff have the right not to disclose individual circumstances but are encouraged to do so thus providing the University with the opportunity to resolve and/or accommodate these circumstances.

Figure 2: Flowchart of Staff Circumstances Processes



44. All eligible staff will be contacted via email providing a link to the appropriate page on the RKES Portal:

<https://moss.strath.ac.uk/rkesportal/Research/ref/SitePages/Circumstances.aspx>

This site will explain the purpose of the disclosure of circumstances, who will view the information provided, and links to further information. As per Clause 14, our Human Resources team will contact staff who are absent from work to draw their attention to the declaration form and provide hard copies of the form if necessary.

45. All eligible staff will be given the opportunity to declare circumstances in the categories detailed in clause 40. Staff who wish to declare circumstances will be asked to complete the circumstances form (shown in Appendix 3) and return it to the REF-circumstances@strath.ac.uk email address. Staff will be informed by email that they have completed their form but can amend the form at any stage. Staff will be informed that any declarations made prior to the 10th February 2020 will be included in any submission for UOA reductions in March 2020. This deadline applies to all declarations and is necessary to ensure sufficient time for any appeals process to be completed prior to the submission deadline of 1st March 2020. If circumstances have prevented the completion of the form prior to 10th February 2020, a staff member will be given a maximum of 10 working days (depending on the proximity to the submission deadline) to complete the form. Any applications subsequently received will be processed and the outcomes taken into account in the final submission.
46. Where a staff member discloses circumstances of type a, b or c (but not combinations thereof; see clause 40) the REF Team will inform the staff member and the relevant UOA Leader via email of any reduced output expectation that is permissible based on the information provided and the REF 2021 guidance. The staff member will be asked whether they wish to accept, accept part of or reject the reduced output expectation. Once agreed, any reduced expectation will be applied.
47. Staff members who disclose 'circumstances requiring a judgement' or 'combining circumstances' have the option to: 'disclose to Head of Department/School' or 'disclose to HR Manager'. Staff members will be contacted by either their Head of Department/School or HR Manager to arrange a meeting. The purpose of this meeting is to verify the circumstances prior to providing anonymised details to the Circumstances Panel for judgment on any output reduction permissible (this information is also provided on the disclosure form so staff members are fully aware of these details prior to completing their disclosure).
48. The Circumstances Panel will be guided by the REF 2021 Guidance on Submissions and any training materials including case studies supplied by REF 2021 (or other REF 2021 approved sources) in written and video format wherever available.
49. The decision will be communicated to the staff member by their Head of Department/School or HR Manager depending on the preference of the staff member. If the staff member accepts the panel's assessment of the appropriate reduction, the staff member will be asked whether they wish to accept, accept part of or reject the reduced output expectation. Once agreed, any reduced expectation will be applied. A staff member may appeal the panel decision on the level of reduced expectation (see clause 51).

50. Details of the Circumstances Panel composition for decisions requiring judgement and for appeals are contained in Clauses 63 and 64.
51. If a staff member disputes the output expectation reduction decision of the Circumstance Panel they will have the opportunity to have the decision reviewed by the Circumstance Appeals Panel. The decision reached by this Circumstance Appeals Panel will be final and will be communicated to the staff member confidentially.

Application to REF 2021 for Reductions in Total Output Requirement for a UOA

52. Where the number of equality-related circumstances in a UOA affects the ability of the UOA to perform to the extent that the flexible output model (i.e. each staff member can submit between 1 and 5 outputs) offers insufficient support, Strathclyde may apply to the REF 2021 team for a reduction in the total number of outputs the UOA is required to submit.
53. Strathclyde will consider a range of information when determining whether to apply for a reduction including:
- a. Where a very high proportion of staff in the unit have declared circumstances that have affected their productivity over the REF assessment period
 - b. the size of the available output pool (from which selection will be made) in terms of its proximity to the total number of outputs required
 - c. where there are multiple circumstance reductions combined with very small UOAs and/or where disciplinary publishing norms make smaller number of outputs likely in the publication period.

Staff, Committees & Training

54. A summary of all groups responsible for making decisions related to specific individuals or outputs is contained in Appendix 5 complementing Figures 1 and 2. In determining the composition of decision groups, diversity and equality needs were balanced with the need for the correct level of seniority. All group members will be given training as specified in clause 67.

The Principal and Executive Team

55. The University's preparations for, and final submission to, REF021 are ultimately the responsibility of the University Executive Team, acting on the advice of Senate and the University Court. The Principal is responsible on behalf of Court for all matters to do with the effective and efficient operation and management of the University. However, specific areas of responsibility are devolved to various Senior Officers of the University. One of these is a Deputy Associate Principal for Research (DAPR) with the responsibility for coordinating University-wide preparations for REF 2021.
56. The University Executive Team will make the final decision on the Units of Assessment to which the University will make a submission, acting on the advice and recommendation of the DAPR and the REF Team, who will have discussed the selection in detail with the Faculty and Department management teams.

Institutional REF 2021 Working Group (IRWG)

57. As part of the final preparations for REF 2021 there are key policy and information submission decisions that require senior Faculty and University input. The strategic decisions taken will maximise the potential for success in REF 2021. IRWG will:

- Identify key information, initiatives and content for the Institutional Environment statement, ensuring that it complements all Units of Assessment.
- Advise on the final selection of impact case studies for submission to REF 2021.
- Consider and provide input to the development of strategy related to areas including:
 - identification of staff for submission
 - selection and attribution of outputs
 - gathering of data on staff circumstances
 - approach to supporting staff circumstances
 - approach to application for reductions in outputs

The IRWG will be led by the Associate Principal (Research & Innovation) and membership will include the Executive Dean of each Faculty, the DAPR and all Deputy Associate Principals with a research related remit.

Deputy Associate Principal for Research and University REF Team

58. The DAPR has responsibility for the preparation and content of the University's submission and is supported by the University REF Team.

Equality, Diversity and Inclusion Strategy Committee

59. The role of the Equality Diversity and Inclusion Committee (EDIC) is to approve and review the University's Equality and Diversity strategic projects and associated policies and action plans and to ensure equality and diversity policies, outcomes and objectives are disseminated across the University and embedded by Faculties, Departments/Schools and Professional Services Directorates. EDIC also receives updates on and provides input to the University's Widening Access and Participation strategy and activities (for further information please visit <https://www.strath.ac.uk/committees/compliancecommittees/equalityanddiversitystrategycommittee/>).

60. EDIC will monitor and review the Equality Impact Assessment of the REF selection process outlined in this Code and provide feedback to inform any necessary changes to prevent discrimination and promote equality prior to the REF submission deadline (see Equality Impact Assessment of REF Selection Process in clauses 73 - 75).

UOA Leaders

61. The University has established a network of academic Unit of Assessment (UOA) Leaders also known as REF Co-ordinators. Often the UOA lead is also the Research Director particularly where only one Department or School occupies a UOA. The UOA Leaders (and their teams) perform a key supporting role for the academic development of submissions to individual Units of Assessment. UOA Leaders are responsible for co-ordination and management of activity within the UOA to ensure that all the information required for submission is available and is of sufficient quality in line with internal deadlines set by the DAPR. Each Unit of Assessment Leader was proposed by the management team of the relevant Faculty.

Staff Eligibility/Inclusion Decisions

62. As detailed in clause 7, all staff on academic (teaching and research) contracts will automatically be included in the REF 2021 submission. Staff on research contracts will be submitted if they meet the definitions specified in clauses 168 and 20. Where a decision is required on whether a person meets the definitions in these clauses a panel will be convened comprising the Head of Department/School, Unit of Assessment Leader (or nominee of the Dean), and DAPR. If the decision of this panel is appealed then an appeal panel constituting the Vice Dean Research (or nominee of the Dean), who will consult with the Associate Principal Research, will review the decision. Both panels will be overseen by the REF Team, an HR representative and an Equality and Diversity representative.

Circumstances Panels

63. The Circumstances panels' main responsibilities are to make output expectation reduction decisions for a member of staff where individual circumstances have significantly constrained his or her ability to produce the minimum number of outputs or to work productively throughout the assessment period. The panel will include the DAPR, Head of Department/School, Equality & Diversity Manager and relevant HR Manager. A representative from the University REF Team will attend to provide guidance on REF 2021 requirements.

Circumstances Appeals Panel

64. The Circumstances Appeals Panel is responsible for making a final decision in the event that a staff member disputes the decision of the Circumstances Panel. The Circumstances Appeals Panel will include the Vice-Principal or Associate Principal Research & Innovation, relevant Vice-Dean (Research), and Director of HR (or nominee). A representative from the University REF Team will attend to provide guidance on REF 2021 requirements.

Members of Staff

65. Members of staff are integral to both the content and management of the REF submission. It is the responsibility of each staff member, if requested, to provide any relevant research information within timescales that will be approved and widely communicated. Members of staff are also invited to indicate whether or not they have any individual circumstances that may have significantly constrained their ability to produce outputs or to work productively throughout the assessment period (see clauses 39 - 53). Members of staff have the right not to disclose individual circumstances but are encouraged to do so thus providing the University with the opportunity to resolve and/or accommodate these circumstances.

Internal & External Review Panels

66. Outputs will be reviewed internally by a minimum of two individuals with expertise in the relevant subject area. Should the quality ratings given by those individuals be significantly different a third individual with subject area expertise will review the output to help reach a decision on the predicted quality rating for the output. External experts, wherever possible external members, will review and assign a predicted quality rating to a proportion of outputs in each UOA in order to test for consistency with the internal quality ratings process. Should external review suggest a need for adjustment of internally applied grades, any changes would be discussed and agreed with UOA leads.

Training

67. All relevant staff, including the Principal, Vice Principal, Associate Principals, DAPR, Vice Deans (Research), Heads of Departments, Circumstances Panel members, Appeals Panel members, UOA Leaders, any departmental or school staff involved in identification of eligible staff or selection of outputs or impact cases, and administrative staff with involvement in REF 2021 planning, will be given training. The training will be appropriate to the role and may include:
- Equalities Legislation briefings
 - Online Unconscious Bias module
 - Training on REF guidance and how to calculate reductions in cases requiring judgement
 - Training on appropriate levels of privacy and confidentiality
 - Training on use of the Pure REF module

All training in relation to equality, diversity and inclusion and training to support decision making for staff identification and assessment of circumstances for reduction will be completed prior to the first meetings of these groups in Autumn 2019.

Data

68. Involvement in REF 2021 necessitates the collection of data/information on the research carried out at Strathclyde including information about staff undertaking research. A subset of this information will be transferred to Research England, who undertake the REF 2021 process on behalf of the four UK higher education funding bodies. Research England have stated that the data submitted will be held in accordance with the details laid out in the REF 2021 Guidance on Submissions section on Data Protection clauses 98-100, pages 23-24, and Clause 72 below.
69. The University of Strathclyde has legal and ethical responsibilities to those about whom it collects data. All data collected and handled at Strathclyde, including data collected for REF purposes, is so done in accordance with the University's Data Protection Policy.
70. Strathclyde recognises that there are sensitivities related to the data collected about individuals and, for this reason, our REF 2021 processes have been designed to protect individuals from disclosure of information relating to quality assessments of research outputs, staff information and staff circumstances.
71. Strathclyde also recognises that some data collected for REF 2021 will be sensitive personal data as described by the General Data Protection Regulations. This data will be subject to an enhanced level of protection as specified in the processes for staff circumstances in clauses 39-53.
72. The collection and processing of data for REF 2021 at Strathclyde and by Research England is detailed in the privacy notices of each which can be found in the following locations:

Research England REF 2021 Privacy Notice:

<https://www.ref.ac.uk/submission-system/privacy-notice/>

Strathclyde REF 2021 Privacy Notice for Staff: Appendix 7 and online:

<https://moss.strath.ac.uk/rkesportal/Research/ref/Pages/REF-2021-Code-of-Practice.aspx>

Strathclyde REF 2021 Privacy Notice for Non Staff: Appendix 8 and online
[https://moss.strath.ac.uk/rkesportal/Research/ref/Pages/REF 2021-Code-of-Practice.aspx](https://moss.strath.ac.uk/rkesportal/Research/ref/Pages/REF%2021-Code-of-Practice.aspx)

Equality Impact Assessments

73. Strathclyde requires that an Equality Impact Assessment (EIA) takes place when reviewing or developing new policies or where a change to practice may potentially positively or negatively discriminate people from a protected characteristic background. This Code has been equality impact assessed in its current form and the current EIA is contained in Appendix 6. As detailed in the EIA the assessment of the Code will be revisited whenever information arises that indicates an impact on anyone with a protected characteristic (positive or negative) or at staged points in the REF 2021 preparation process (whichever occurs sooner).
74. EIAs and the data gathered to inform EIAs created in relation to REF2014 demonstrated key benefits in ensuring clear communication of the Code and this has informed our approach to the construction and agreement of the Code for REF 2021. The final EIA demonstrated that a particular age range was not proportionately represented in our submission to REF2014. This information was communicated to affected areas in order that action could be taken to improve this situation and data gathered in REF 2021 will provide evidence as to whether this has been effectively remedied.
75. As in REF2014, data will be gathered and analysed to determine whether there is any relationship between a protected characteristic and inclusion/attribution in REF 2021. This information will be reported to REF 2021 as part of the Staff Circumstance report required following the submission deadline.

Appendix 1: Summary of equality legislation reproduced from REF 2021 Guidance on Codes of Practice

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| <p>Age</p> | <p>All employees within the HE sector are protected from unlawful age discrimination, harassment and victimisation in employment under the Equality Act 2010 and the Employment Equality (Age) Regulations (Northern Ireland) 2006. Individuals are also protected if they are perceived to be or if they are associated with a person of a particular age group.</p> <p>Age discrimination can occur when people of a particular age group are treated less favourably than people in other age groups. An age group could be, for example, people of the same age, the under 30s or people aged 45-50. A person can belong to a number of different age groups.</p> <p>Age discrimination will not be unlawful if it is a proportionate means of achieving a legitimate aim. However, in the context of the REF, the view of the funding bodies is that if a researcher produces excellent research an HEI will not be able to justify not selecting their outputs because of their age group.</p> <p>It is important to note that early career researchers (ECRs) are likely to come from a range of age groups. The definition of ECR used in the REF (see 'Guidance on submissions', paragraphs 148 to 149) is not limited to young people.</p> <p>HEIs should also note that, given developments in equalities law in the UK and Europe, the default retirement age has been abolished from 1 October 2011 in England, Scotland, Wales and Northern Ireland.</p> |
| <p>Disability</p> | <p>The Equality Act 2010, the Disability Discrimination Act (1995) (Northern Ireland only) and the Disability Discrimination (Northern Ireland) Order 2006 prevent unlawful discrimination, victimisation and harassment relating to disability. Individuals are also protected if they are perceived to have a disability or if they are associated with a person who has a disability (for example, if they are responsible for caring for a family member with a disability).</p> <p>A person is considered to have a disability if they have or have had a physical and/or mental impairment which has 'a substantial and long-term adverse effect on their ability to carry out normal day-to-day activities'. Long-term impairments include those that last or are likely to last for at least 12 months.</p> <p>Cancer, HIV, multiple sclerosis and progressive/degenerative conditions are disabilities too, even if they do not currently have an adverse effect on the carrying out of day-to-day activities. An impairment which is managed by medication or medical treatment, but which would have had a substantial and long-term adverse effect if not so managed, is also a disability.</p> <p>The definition of disability is different in Northern Ireland in that a list of day-to-day activities is referred to.</p> <p>There is no list of day-to-day activities for England, Scotland and Wales but day-to-day activities are taken to mean activities that people generally, not a specific individual, carry out on a daily or frequent basis.</p> |

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| | <p>While there is no definitive list of what is considered a disability, it covers a wide range of impairments including:</p> <ul style="list-style-type: none"> • sensory impairments • impairments with fluctuating or recurring effects such as rheumatoid arthritis, depression and epilepsy • progressive impairments, such as motor neurone disease, muscular dystrophy, HIV and cancer • organ specific impairments, including respiratory conditions and cardiovascular diseases • developmental impairments, such as autistic spectrum disorders and dyslexia • mental health conditions such as depression and eating disorders • impairments caused by injury to the body or brain. <p>It is important for HEIs to note that people who have had a past disability are also protected from discrimination, victimisation and harassment because of disability.</p> <p>Equality law requires HEIs to anticipate the needs of people with disabilities and make reasonable adjustments for them. Failure to make a reasonable adjustment constitutes discrimination. If a researcher's impairment has affected the quantity of their research outputs, the submitting unit may return a reduced number of outputs (see 'Guidance on submissions', Part 3, Section 1, 'Staff circumstances').</p> |
| <p>Gender reassignment</p> | <p>The Equality Act 2010 and the Sex Discrimination (Gender Reassignment) Regulations (Northern Ireland) 1999 protect from discrimination, harassment and victimisation of trans people who have proposed, started or completed a process to change their sex. Staff in HE do not have to be under medical supervision to be afforded protection because they are trans and staff are protected if they are perceived to be undergoing or have undergone related procedures. They are also protected if they are associated with someone who has proposed, is undergoing or has undergone gender reassignment.</p> <p>Trans people who undergo gender reassignment will need to take time off for appointments and, in some cases, for medical assistance. The transition process is lengthy, often taking several years, and it is likely to be a difficult period for the trans person as they seek recognition of their new gender from their family, friends, employer and society as a whole.</p> <p>The Gender Recognition Act 2004 gave enhanced privacy rights to trans people who undergo gender reassignment. A person acting in an official capacity who acquires information about a person's status as a transsexual may commit a criminal offence if they pass the information to a third party without consent.</p> <p>Consequently, staff within HEIs with responsibility for REF submissions must ensure that the information they receive about gender reassignment is treated with particular care.</p> |

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| | <p>If a staff member's ability to work productively throughout the REF assessment period has been constrained due to gender reassignment, the unit may return a reduced number of research outputs (see 'Guidance on submissions', Part 3, Section 1, 'Staff circumstances'). Information about the member of staff will be kept confidential as described in 'Guidance on submissions', paragraph 195.</p> <p>HEIs should note that the Scottish government recently consulted on, and the UK government is currently consulting on, reform of the Gender Recognition Act 2004, which may include streamlining the procedure to legally change gender.</p> |
| Marriage and civil partnership | <p>Under the Equality Act 2010 and the Sex Discrimination (Northern Ireland) Order 1976 as amended, individuals are protected from unlawful discrimination, harassment and victimisation on the grounds of marriage and civil partnership status. The protection from discrimination is to ensure that people who are married or in a civil partnership receive the same benefits and treatment in employment. The protection from discrimination does not apply to single people.</p> <p>HEIs must ensure that their procedures and decision-making processes in relation to REF 2021 do not inadvertently discriminate against staff who are married or in civil partnerships.</p> |
| Political opinion | <p>The Fair Employment and Treatment (Northern Ireland) Order 1998 protects staff from unlawful discrimination on the grounds of political opinion.</p> <p>HEIs must ensure that their procedures and decision-making processes in relation to REF 2021 do not inadvertently discriminate against staff based on their political opinion.</p> |
| Pregnancy and maternity | <p>Under the Equality Act 2010 and the Sex Discrimination (Northern Ireland) Order 1976 women are protected from unlawful discrimination, harassment and victimisation related to pregnancy and maternity.</p> <p>Consequently, where researchers have taken time out of work, or their ability to work productively throughout the assessment period has been affected, because of pregnancy and/or maternity, the submitting unit may return a reduced number of research outputs, as set out in 'Guidance on submissions', paragraphs 169 to 172.</p> <p>In addition, HEIs should ensure that female researchers who are pregnant or on maternity leave are kept informed about and included in their submissions process.</p> <p>For the purposes of this summary it is important to note that primary adopters have similar entitlements to women on maternity leave.</p> |
| Race | <p>The Equality Act 2010 and the Race Relations (Northern Ireland) Order 1997 protect HEI staff from unlawful discrimination, harassment and victimisation connected to race. The definition of race includes colour, ethnic or national</p> |

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| | <p>origins or nationality. Individuals are also protected if they are perceived to be or are associated with a person of a particular race.</p> <p>HEIs must ensure that their procedures and decision-making processes in relation to REF 2021 do not discriminate against staff based on their race or assumed race (for example, based on their name).</p> |
| <p>Religion and belief including non-belief</p> | <p>The Equality Act 2010 and the Fair Employment and Treatment (Northern Ireland) Order 1998 protect HEI staff from unlawful discrimination, harassment and victimisation related to religion or belief. Individuals are also protected if they are perceived to be or are associated with a person of a particular religion or belief.</p> <p>HEIs must ensure that their procedures and decision-making processes in relation to REF 2021 do not discriminate against staff based on their actual or perceived religion or belief, including non-belief. 'Belief' includes any structured philosophical belief with clear values that has an effect on how its adherents conduct their lives.</p> |
| <p>Sex (including breastfeeding and additional paternity and adoption leave)</p> | <p>The Equality Act 2010 and the Sex Discrimination (Northern Ireland) Order 1976 protect HEI staff from unlawful discrimination, harassment and victimisation related to sex. Employees are also protected because of their perceived sex or because of their association with someone of a particular sex.</p> <p>The sex discrimination provisions of the Equality Act explicitly protect women from less favourable treatment because they are breastfeeding. Consequently, the impact of breastfeeding on a woman's ability to work productively will be taken into account, as set out in 'Guidance on submissions', Part 3, Section 1, 'Staff circumstances'.</p> <p>If a mother who meets the continuity of employment test wishes to return to work early or shorten her maternity leave/pay, she will be entitled to shared parental leave with the father or her partner within the first year of the baby's birth. Partners may also be eligible for shared parental leave or pay.</p> <p>Fathers/partners who take additional paternity or adoption leave will have similar entitlements to women on maternity leave and barriers that exist to taking the leave, or as a result of having taken it, could constitute unlawful sex discrimination. Consequently, where researchers have taken additional paternity and adoption leave, the submitting unit may return a reduced number of outputs, as set out in 'Guidance on submissions', Annex L.</p> <p>HEIs need to be wary of implementing procedures and decision-making processes in relation to REF 2021 that would be easier for men to comply with than women, or vice versa. There are many cases where a requirement to work full-time (or less favourable treatment of people working part-time or flexibly) has been held to discriminate unlawfully against women.</p> <p>HEIs should note that there are now requirements under UK and Scottish legislation for public authorities (including HEIs) to report information on the</p> |

| | |
|---------------------------|--|
| | percentage difference amongst employees between men and women's average hourly pay (excluding overtime). |
| Sexual orientation | <p>The Equality Act 2010 and the Employment Equality (Sexual Orientation) Regulations (Northern Ireland) 2003 protect HEI staff from unlawful discrimination, harassment and victimisation related to sexual orientation. Individuals are also protected if they are perceived to be or are associated with a person who is of a particular sexual orientation.</p> <p>HEIs must ensure that their procedures and decision-making processes in relation to REF 2021 do not discriminate against staff based on their actual or perceived sexual orientation.</p> |
| Welsh language | <p>The Welsh Language Act 1993 places a duty on public bodies in Wales to treat Welsh and English on an equal basis. This is reinforced by the provisions of the Welsh Language (Wales) Measure 2011 and the Welsh Language Standards (No 6) Regulations 2017.</p> <p>The arrangements for the assessment of outputs in the medium of Welsh by the REF panels are set out in 'Guidance on submissions', paragraphs 284 and 285.</p> |

Appendix 2: Reductions for staff circumstances (reproduced from REF 2021 Guidance on Submissions Annex L)

1. Given the reduced output requirement for 2021, the tariffs for the defined reductions differ from those set in REF 2014. This is to ensure that a broadly equivalent reduction is given in the context of the submitted output pool, and to ensure that panels receive a sufficient selection of research outputs from each submitted unit upon which to base judgements about the quality of that unit's outputs.

Early career researchers

2. ECRs are defined in the 'Guidance on submissions' (paragraph **Error! Reference source not found.**). Table L1 sets out the permitted reduction in outputs without penalty in the assessment that HEIs may request for ECRs who meet this definition.

Table L1: 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

3. Table L2 sets out the permitted reduction in outputs without penalty in the assessment that HEIs may request for absence from work due to secondments or career breaks outside of the HE sector, and in which the individual did not undertake academic research.

Table L2: Secondments or career breaks: Permitted reduction in outputs

| 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 |

4. The allowances in Table L2 are based on the length of the individual's absence or time away from working in HE. They are defined in terms of total months absent from work.

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

Qualifying periods of family-related leave

6. 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 leave¹, or shared parental leave² lasting for four months or more, taken substantially during the period 1 January 2014 to 31 July 2020.

7. This approach to reductions for qualifying periods of family-related leave is based on the funding bodies' considered judgement following consultation in the previous REF exercise that the impact of such a period of leave and the arrival of a new child into a family is generally sufficiently disruptive of an individual's research work to justify the specified reduction.

8. While the above reduction of outputs due to additional paternity or adoption leave is subject to a minimum period of four months, shorter periods of such leave could be taken into account as follows:

- a. By applying a reduction in outputs where there are additional circumstances, for example where the period of leave had an impact in combination with other factors such as ongoing childcare responsibilities.
- b. By combining the number of months for shorter periods of such leave in combination with other circumstances, according to Table L2.

9. Any period of maternity, adoption, paternity or shared parental leave that qualifies for the reduction of an output under the provisions in paragraph 6 above may in individual cases be associated with prolonged constraints on work that justify more than the defined reduction set out. In such cases, the circumstances should be explained in the request.

Combining circumstances

10. 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

¹ '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'.

² '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.

circumstance, the relevant reduction should be applied and added together to calculate the total maximum reduction.

11. Where Table L1 is combined with Table L2, the period of time since 1 January 2014 up until the individual met the definition of an ECR should be calculated in months, and Table L2 should be applied.

12. When combining circumstances, only one circumstance should be taken into account for any period of time during which they took place simultaneously.

13. Where an individual has a combination of circumstances with a defined reduction in outputs **and** additional circumstances that require a judgement, the institution should explain this in the reduction request so that a single judgement can be made about the appropriate reduction in outputs, taking into account all the circumstances. The circumstances with a defined reduction in outputs to be requested should be calculated according to the guidance above (paragraphs 2 to 10).

Other circumstances that apply in UOAs 1–6

14. In UOAs 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.

15. This allowance is made on the basis that the staff concerned are normally significantly constrained in the time they have available to undertake research during the assessment period. Where the individual meets the criteria in paragraph 14, and has had significant additional circumstances – for any of the other reasons set out in the ‘Guidance on submissions’ in paragraph 160 – the institution can make a case for further reductions in the unit reduction request.

Circumstances requiring a judgement about reductions

16. Where staff have had other circumstances during the period (see paragraph 160e. in this ‘Guidance on submissions’ document) – including in combination with any circumstances with a defined reduction in outputs – the institution will need to make a judgement about the effect of the circumstances in terms of the equivalent period of time absent, apply the reductions as set out in Table L2 by analogy, and provide a brief rationale for this judgement.

Appendix 3: Circumstances Disclosure Form

Below is the REF 2021 template which will be sent to all eligible staff (as per clauses 36-48) alongside contextual information and instructions.

Name: Click here to insert text.

Department: Click here to insert text.

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

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

| | |
|---|----------------------------------|
| <p>Constraints relating to family leave that fall outside of standard allowance <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 <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 <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. <i>To include: brief explanation of reason, periods of absence from work, and periods at work when unable to research productively. Total duration in months.</i></p> | <p>Click here to enter text.</p> |

Please confirm, by ticking the box provided, that:

- The above information provided is a true and accurate description of my circumstances as of the date below
- I realise that the above information will be used for REF purposes only and will be seen by a strictly limited number of the Strathclyde REF team. Where it is necessary to share beyond those individuals this will only occur with your express permission.
- I realise it may be necessary to share the information with the REF 2021 team, the REF 2021 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.

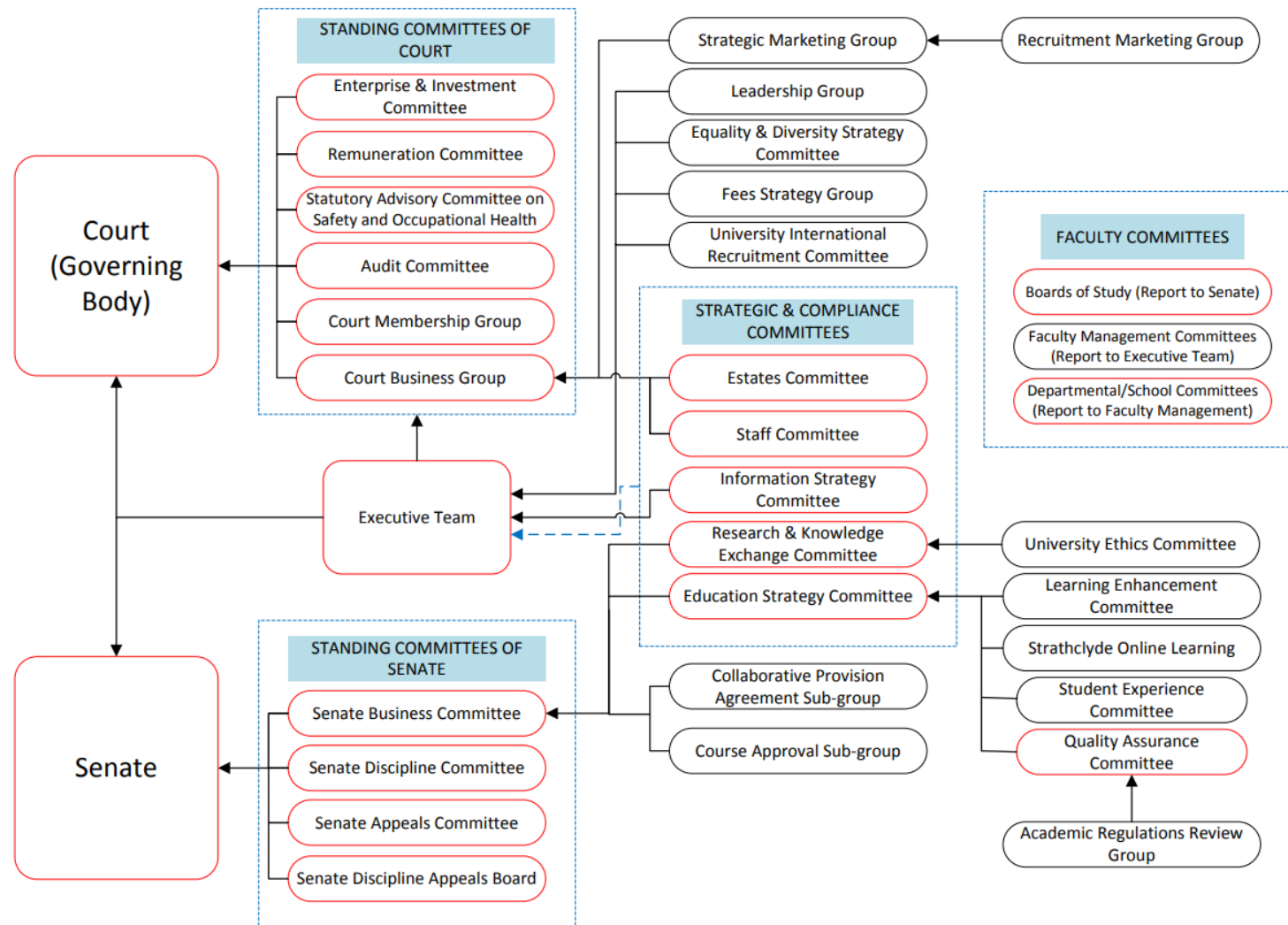
I give my permission for the details of this form to be passed on to the relevant contact within my department/faculty/centre. (Please note, if you do not give permission your department may be unable to adjust expectations and put in place appropriate support for you).

I would like to be contacted by:

Email Insert email address

Phone Insert contact telephone number

Appendix 4: University of Strathclyde Committee Structure



Appendix 5: Details of People Involved in Decision Making & Decision Flows

| Staff eligibility/inclusion decisions | |
|--|---|
| Decision Panel | HoD/S, UOA leader (or Dean's Nominee) and DAPR; overseen by REF Administrator, and relevant HR Manager. |
| Appeal Panel | VDR (or Dean's nominee) & AP; overseen by the REF Manager, Director of HR (or nominee) and an Equality & Diversity representative. |
| UOA selection | |
| Initial mapping of unit descriptors to research carried out in Depts/Schools | UOA Leaders, VDRs, DAPR |
| Ratification of mapping | Executive Team |
| Output Selection | |
| Outputs will be selected on the basis of quality ratings applied via external and internal review. | |
| ECR affirmation | |
| UOA Leader | |
| Internal & External Output Review Panels | |
| Internal review | Two senior academics from the subject area along with a third reviewer for cases where a rating cannot be reached after two reviews. Process co-ordinated and overseen by Research Directors. |
| External Review | Reviewers selected by Heads of Department/School |
| Circumstances | |
| Circumstance panel | DAPR, Head of Department/School (or UOA nominee), Equality & Diversity Manager, relevant HR Manager, REF Administrator and an Equality & Diversity representative. |
| Circumstance Appeals Panel | Vice- Principal, relevant Vice-Dean (Research), Director of HR (or nominee), REF Manager and an Equality & Diversity representative. |
| | |

Appendix 6: Equality Impact Assessment



Equality Impact Assessment Form

| |
|---|
| STEP 1 - Policy/ procedure/ practice / function |
| i. Name of policy/ procedure/ practice/ function |
| REF 2021 Code of Practice |
| ii. Is this policy/ procedure/ practice/ function (tick as app): Existing <input type="checkbox"/> New <input checked="" type="checkbox"/> Revised <input type="checkbox"/> |
| iii. Owner of policy/ procedure / practice/ function (Faculty, Department, School or Professional Service Directorate, Committee) |
| Research & Knowledge Exchange Services |
| iv. Date of policy/ procedure/ practice/ function approved or revised |
| 5 th June 2019 |
| v. Approved by? (Faculty, Department, School or Professional Service Directorate, Committee) |
| Senate |
| STEP 2 - Description of policy/ procedure/ practice/ function and any significant change |
| i. What are the aims? |
| To support: <input type="checkbox"/> Staff <input type="checkbox"/> Students <input type="checkbox"/> Student applicants <input type="checkbox"/> Alumni students <input type="checkbox"/> Visitors <input type="checkbox"/> Contractors/ Suppliers <input checked="" type="checkbox"/> Others – specify: Strathclyde staff with an academic contract of employment of 0.2 FTE or greater whose primary employment function is to undertake either ‘research only’ or ‘teaching and research’. Strathclyde staff on Research or KE contracts of 0.2FTE or greater. |
| ii. Who does it cover? |
| <input type="checkbox"/> Staff <input type="checkbox"/> Students <input type="checkbox"/> Student applicants <input type="checkbox"/> Alumni students <input type="checkbox"/> Visitors <input type="checkbox"/> Contractors/ Suppliers <input checked="" type="checkbox"/> Others – specify: Strathclyde staff with an academic contract of employment of 0.2 FTE or greater whose primary employment function is to undertake either ‘research only’ or ‘teaching and research’. Strathclyde staff on Research or KE contracts of 0.2FTE or greater. |
| iii. How often is this policy/ procedure/ practice/ function reviewed? |
| <input type="checkbox"/> Annual <input type="checkbox"/> Biennial <input type="checkbox"/> Triennial <input type="checkbox"/> No defined time period |

Other time period – specify: At key decision points in the REF submission cycle

iv. If the policy, procedure, practice or function is new provide brief info.
For revised policy, procedure, practice or function describe the ‘significant’ change(s) made.

This policy is created specifically to guide and govern the processes and decisions involved in preparing the submission information for REF 2021. The policy details how eligible staff are identified, how outputs are selected and attributed, how details of staff circumstances are gathered and how expectations for individual staff are adjusted as a result. The Code must meet our legal responsibilities. The Code must reflect our institutional commitment to equality, diversity and inclusion.

STEP 3 - Could there be any implications for a protected characteristic group (as defined by the Equality Act 2010) in revising an existing (or the development of new) policy/ procedure/ practice/ function?

If Yes go to Step 3a.

If No (neutral implications or shows no impact) go to Step 9.

STEP 3a - Yes, there is a potential implication or barrier for a protected characteristic group.

| Please tick all that are relevant | Notes | |
|-----------------------------------|-------|--|
| Age | x | Analysis from REF2014 demonstrated that particular age categories had lower rates of staff submission but this is not a factor in REF 2021 due to the return of 100% of academic contract staff. However, Strathclyde will undertake analysis of the patterns of output distribution to determine whether there is any bias inside or outside of the REF process resulting from age. |
| Disability | x | |
| Gender Reassignment | x | |
| Marriage and Civil partnership | x | |
| Pregnancy and maternity | x | |
| Race | x | |
| Religion or Belief | x | |
| Sex | x | |
| Sexual Orientation | x | |

Go to step 4

The processes created to support REF 2021 submission make no reference to or use of age, disability, gender, sex, sexual orientation, marital/civil partnership status, race, religion/belief or pregnancy/maternity related information and so there should be no opportunity for bias on the basis of any of these characteristics. However, Strathclyde is keen to put in place protective mechanisms to ensure that practice reflects policy. For this reason, representatives from the REF team, HR and the Equality and Diversity team have been included in all decision making panels. Strathclyde will also, where data is available, carry out analysis to understand whether REF preparations or general practices lead to patterns in the submission of staff with characteristics that suggest further work on Equality Diversity & Inclusion is required. We will also look at the impact of the staff circumstances process (in which all eligible staff will be invited to participate) on the submission and expectations of researchers.

| | |
|---|--|
| These analyses will be shared with REF 2021 and used by Strathclyde to improve our approach to ED&I and future exercises. | |
|---|--|

| | |
|--|---------------------|
| STEP 4 - What evidence (quantitative or qualitative) do you have for this conclusion (potential implication for a protected characteristic group)? Go to 4a or 4b. | |
| As detailed above, information at this stage is based on assessment of the processes being put into place but there is a need to collect evidence to test the assumptions in that assessment and the effectiveness of the processes and mechanisms in removing bias. Therefore this impact assessment will be reviewed and, where appropriate updated, at least every three months during preparations and at the point of submission to test and adjust the real impact taking place. | |
| STEP 4a - Does the evidence show a positive impact? (No further action to be carried out) Please provide an example and attach evidence: | Go to Step 5 |
| At this stage, as there is no relevant quantitative evidence that can be collected, our impression of the impact of the processes which have been put in place is gathered from consultation with staff representatives and staff as detailed in Step 6. When staff identification is complete, and when output selection and allocation is complete, data will be gathered and analysed to determine whether any positive (or negative impact) is in evidence. | |
| STEP 4b - Does the evidence show a negative impact (potential discrimination)? Stop and rethink. Consider making amendments or changes. You need to consult with relevant stakeholders-the EDO will assist with this process. Please provide brief details and attach evidence: | Go to Step 6 |
| The processes selected and the makeup of people involved in decision making have been carefully considered with impact on equality, diversity and inclusion in mind. At this stage, no concerns have been raised about negative impact on staff with protected characteristics in relation to REF 2021 preparations or specifically the Code. As stated above, data will be gathered to assess impact at the appropriate time. | |

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| STEP 5 - Does this policy/ procedure/ practice/ function meet the requirement to progress the Equality Duty (as required by the Equality Act 2010) (tick all that apply): | | |
| i) Advance equality of opportunity between people | x | Go to Step 8 |
| ii) Eliminate unlawful discrimination, harassment and victimisation | x | |
| iii) Foster good relations between protected characteristic groups | | |
| STEP 6 - Involve and consult stakeholders to address any negative impacts EDO will assist with this process. Please provide brief details of involvement and consultations (include dates): | | Go to Step 7 |

| | | |
|--|---------------------------|---------------------|
| <p>The content of the Code of Practice has been developed in consultation with the Associate Principal Research & Innovation, Deputy Associate Principals (with research remit), Deans, Vice Deans Research, and representatives from HR and the Equality, Diversity & Inclusion team. The content of the draft Code will be presented at open information sessions (17th & 24th April 2019) to which all potentially eligible staff and their representatives were invited. In addition, the Code will be discussed and once agreed, approved by the following committees on the given dates:</p> | | |
| Institutional REF Working Group | 9 th May 2019 | |
| Research & Knowledge Exchange Committee | 14 th May 2019 | |
| Executive Team | 21 st May 2019 | |
| Staff Committee | 23 rd May 2019 | |
| Senate | 5 th June 2019 | |
| <p>STEP 7 - Outline any changes made to the policy/ procedure/ practice/ function as a result of the consultation</p> | | Go to Step 8 |
| <p>Amendments were made to various sections of the Code in an attempt to improve the robustness of processes, clarity of wording and balance of decision making groups at various stages in development.</p> | | |
| <p>STEP 8 - Publish results (as required by law) in the University Annual Report</p> | | Go to Step 9 |
| <p>Completed EIAs will be returned to the ED&I Team on completion as per the timescale for reviews specified in Step 9.</p> | | |

| | |
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| <p>STEP 9 - Regular review - include any actions, time-scale and lead responsibility</p> | |
| <p>Regular reviews ensure that policy, procedure and practice is kept up to date and meets the requirements of current equality legislation. Where a negative impact has been identified and remedial actions are being implemented, the policy owner should define a timescale for review. Please give details of review process:</p> | |
| <p>The Code of Practice will be considered under continual review and wherever any matter arises to suggest that adjustment is necessary a review will take place. Additionally, the Code will be reviewed when staff identification is complete/where any appeals in relation to eligibility decisions are lodged (whichever first occurs), when output allocation is undertaken, and when staff circumstance reductions are agreed/appeals in relation to circumstance reductions are lodged (whichever first occurs). A final review will take place as the final submission is prepared.</p> | |

Appendix 7: University of Strathclyde Staff Data Collection Statement for the 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 to the REF.

If you are a researcher who has been included as part of a submission to the REF 2021, in 2020 University of Strathclyde, as your employer, will send some of the information we hold about you to UKRI for the purpose of the REF 2021. The information will not be in coded form and your name and details such as your date of birth, Open Researcher and Contributor ID (ORCID), research groups, and contract dates will be provided along with details of your research. If you have declared individual circumstances and a request is made to allow a reduction in the number of outputs submitted, without penalty, some details of your personal circumstances will be provided.

You can find further information about what data are being collected on the REF website, at www.ref.ac.uk 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 the 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 REF 2021. 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 judgements about the material contained in submissions and will not form quality judgements about individuals. All panel members are bound by confidentiality arrangements.

Publishing information about your part in the submission

The results of the assessment exercise will be published by UKRI, on behalf of the four UK higher education funding bodies, in April, 2022. The published results will not be based on individual performance nor identify individuals. UKRI will delete all the personal data that we hold about you within one month of publication of the results of the assessment exercise, other than information in impact case studies and environment statements (see below).

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 and environment statements, in which you may be referenced**. Your name, job title and periods of employment may be included in this textual information.

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 University of Strathclyde in each unit of assessment. The list will not be listed by author name.

Data about personal circumstances

You may voluntarily declare personal circumstances to your institution, which could permit University of Strathclyde to submit your information to the REF without the 'minimum of one' output requirement (without penalty), or to submit a reduced number of outputs without penalty. If (and only if) University of Strathclyde applies either form of reduction of outputs, we will need to provide UKRI with individual-level data that you have declared 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 2021 team, the Equalities and Diversity Advisory Panel, and main panel chairs. All these bodies are subject to confidentiality arrangements. The REF team will destroy the submitted data about individuals' circumstances on completion of the assessment phase, which will be no later than one month after publication of the results of the assessment exercise.

University of Strathclyde will send to REF 2021 a report that will include a summary of all voluntarily declared personal circumstances, whether or not they were used to reduce the output requirements. This report will only contain data in aggregated form and will not contain information that will identify individual members of staff.

Our lawful basis for processing your personal data is 'legal obligation' and 'task carried out in the public interest or in the exercise of official authority'. Where data about your individual circumstances are special category data (as defined in the Data Protection Act 2018 and the GDPR), the specific condition for processing is that 'processing is necessary for archiving purposes in the public interest, scientific or historical research purposes or statistical purposes'.

Accessing your personal data

Under the Data Protection Act 2018 and the GDPR, you have the right to request a copy of any personal information that UKRI holds about you. Further information about the Act and GDPR, and guidance on making a subject access request, can be found on the REF website 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 rights outlined above apply in relation to any information that University of Strathclyde holds about you. All processing in support of submission to the REF 2021 meets the Act and GDPR. Further information can be found in the University of Strathclyde Privacy Notice for Staff and Other Individuals who work with the University in a Paid or Unpaid Capacity which can be found at:

https://www.strath.ac.uk/professionalservices/media/ps/strategyandpolicy/Privacy_Note_Staff_and_Other_Categories.pdf

The relevant contact details if you have any questions or concerns related to the information being held about you in relation to REF 2021 by University of Strathclyde please contact:

Data Protection Officer
University of Strathclyde
Information Governance Unit
16 Richmond Street
Glasgow, G1 1XQ
Email: dataprotection@strath.ac.uk
Phone: 0141 548 3217

Appendix 8: University of Strathclyde Data Collection Statement for the REF 2021 – Non-Staff

About the REF

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 outcomes are used to calculate about £2 billion per year of public funding for universities' research, and affect their international reputations. The results also inform strategic decisions about national research priorities. The next REF will be undertaken in 2021.

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

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

Data collection

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

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

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

Sharing information about you

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

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

- Scottish Funding Council (SFC).

UKRI and the organisations listed above will use the information to analyse and monitor the REF 2021. This may result in information being released to other users including academic researchers or consultants (commissioned by the funding bodies), to carry out research or analysis, in accordance with the Data Protection Act 2018 and the General Data Protection Regulation (GDPR) (Regulation (EU) 2016/679). Where information not previously published is released to third parties, this will be anonymised where practicable.

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

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

Publishing information about your part in our submission

The results of the assessment exercise will be published by UKRI, on behalf of the four UK higher education funding bodies, in April 2022. UKRI will delete all the personal data that we hold about you within one month of publication of the results of the assessment exercise, other than information in impact case studies and environment statements (see below).

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 and environment statements, in which you may be referenced**. Your name and job title may be included in this textual information. Other personal details will normally be removed. Impact case studies and environment statements will have any additional personal information redacted prior to submission. The redaction will be scrutinised as part of a final approvals process for each narrative document at UOA level, at the central REF team level and by the Institutional REF Working Group. This scrutiny is aimed at minimising the risk of any unnecessary personal information being submitted to the REF 2021 system.

Accessing your personal data

Under the Data Protection Act 2018 and the GDPR, you have the right to request a copy of any personal information that UKRI holds about you. Further information about the Act and GDPR, 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 rights outlined above apply in relation to any information that University of Strathclyde holds about you. All processing in support of submission to the REF 2021 meets the Act and GDPR. Further information can be found in the University of Strathclyde Privacy Notice for Staff and Other Individuals who work with the University in a Paid or Unpaid Capacity which can be found at:

https://www.strath.ac.uk/professionalservices/media/ps/strategyandpolicy/Privacy_Note_Staff_and_Other_Categories.pdf

The relevant contact details if you have any questions or concerns related to the information being held about you in relation to REF 2021 by University of Strathclyde please contact:

Data Protection Officer
University of Strathclyde
Information Governance Unit
16 Richmond Street
Glasgow, G1 1XQ
Email: dataprotection@strath.ac.uk
Phone: 0141 548 3217