

# University of Cambridge

## Research Excellence Framework 2021

### Code of Practice

#### Part One: Introduction & Context

1. The Code of Practice sets out the development and application of the processes that will govern the preparation of the REF2021 submission of the University of Cambridge. It has been developed in consultation with staff and staff group representatives across the collegiate University. The Code of Practice governs all decisions relating to REF2021 and is underpinned by the principles of transparency, consistency, inclusivity and accountability.

The Code of Practice details the fair and transparent processes for the identification of staff with significant responsibility for research; the determination of who is an independent researcher; and selection of the highest quality research outputs. The Code applies to all academic University staff and throughout this document, the phrase 'University staff' refers to eligible University employees and eligible College employees, on an equivalent basis.

2. The University submission to REF2021 is intended to be the optimal presentation of the University's overall research capabilities and is based on collective academic judgement. The University does not consider the REF to be an appropriate mechanism to assess the contribution of an individual member of staff. It follows therefore that the estimation of an individual's contribution to the University's research community is not determined or influenced by whether or not they meet the criteria for research independence for REF purposes.
3. The working methods of the Unit of Assessment Committees are set out in the relevant sections of Parts 2, 3 and 4 of this document and in detail in the document Unit of Assessment Working Methods (Appendix A).
4. The communication and dissemination of the Code of Practice and Unit of Assessment Working Methods included a broad campaign to inform staff about the background to REF2021, the funding bodies'<sup>1</sup> procedures for the operation of REF2021, the REF timetable and University preparations for the submission. Termly meetings with the Unit of Assessment Chairs and Unit of Assessment Administrators, chaired by the Pro-Vice-Chancellor for Research, were held throughout the REF preparation period starting in

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<sup>1</sup> The REF is undertaken by the four UK higher education funding bodies: Research England, the Scottish Funding Council, the Higher Education Funding Council for Wales and the Department for the Economy, Northern Ireland.

Michaelmas Term 2018. Information was disseminated through targeted briefings, regular updates of the University REF website and other relevant University websites, and email/digital communications, such as the regular REF2021 Newsletter. An email to all staff will ensure that staff are made aware of University guidance about REF2021 including the Code of Practice and the Mock Submission in July 2019. Specific additional provisions have also been put in place to ensure that information on the Code of Practice has been distributed to relevant staff on leave of absence.

5. Consultation on the Code of Practice was conducted through a combination of meetings, workshops and briefings, an online consultation with staff across the University, and with staff representative groups and bodies including the Trades Unions, Office of Postdoctoral Affairs and PdOC Society, and the University Gender Equality Steering Group. The final version of the Code of Practice has incorporated feedback received from the consultation process.

The Code of Practice will be tested during the 2019 Mock Submission where Units of Assessment will be required to apply the Code of Practice and the Unit of Assessment Working Methods. An equality analysis will be conducted to enable the review of the consistency of application across the submission, to modify processes where appropriate, and to refer issues that are beyond the scope of REF to the appropriate section of the University.

6. The Code of Practice was approved through the University governance channels in May 2019. The final version is published online on the University REF website with links to the Guidance on Submissions and to further guidance for University staff.

### *Equality and Diversity*

7. The Code of Practice has been drafted in partnership with the University's Equality and Diversity (E&D) Office and developed in accordance with the aims and objectives of the University's Equality and Diversity Strategy 2016 – 2021. Its development has been informed by the Equality Analysis of REF2014 conducted in 2015, recognising that the most significant issue identified in that analysis was the indication of a bias against the submission of female staff and early career research, and hence the actions taken subsequently have focused on addressing the career development needs of these groups of staff. The early involvement of the University's E&D Office and the staged process for monitoring compliance with University policies is in response to a key recommendation of the equality analysis.
8. The University's commitment to equality and diversity is based on strong foundations of institutional policy and resource commitment, legal compliance, specific objectives and senior engagement. This commitment is further evidenced by the University's Athena SWAN University Silver Award, its forthcoming application for a Race Equality Charter Award in 2019, and membership of diversity organisations such as the Stonewall Diversity

Champions and Business Disability Forum.

9. In accordance with University policy all staff with strategic and/or operational oversight of the University's REF2021 preparations, including those on committees listed under paragraph 11, must undergo mandatory training in equality and diversity and unconscious bias. Unit of Assessment Committee members should undergo additional training to identify and mitigate any unconscious bias that may be inherent in decision-making for REF2021 to support the process of staff identification and output selection. The bespoke 'Embedding equality and mitigating bias in REF 2021' training session aims to enable Chairs, E&D leads and REF administrators to consider and recognise the importance of ED&I issues throughout the REF process. Completion of this training will be monitored and reported in the equality analysis submitted as Appendix B. The Equality lead on each Unit of Assessment Committee will have a role in ensuring the application of equality principles in all Unit of Assessment-level decisionmaking.

10. The Equality Analysis for the REF2021 will be reviewed and updated at key stages of the REF process:

Stage 1: An initial Equality Impact Assessment (EIA) was undertaken as part of the development of the Code of Practice and the analysis of this is included as Appendix B. This assessed the process for creating the Unit of Assessment Committees and the analysis of the membership. The results of this assessment will feed into the development of the processes for staff identification and output selection in order to be better able to conduct equality assessment of the results in Stage 2. Analysis of staff identification outcomes will be made at Unit of Assessment level with reference to baseline data, and reviewed again at subsequent stages.

Stage 2: This will consist of a review of the outcomes of the University mock REF2021 submission in July 2019. Feedback will be presented to Units of Assessment at the Submission Review Meetings in autumn 2019 and appropriate action taken. A summary report will be provided to the REF Project Board at the Lent Term 2020 meeting with an action plan to govern final preparation of the submission.

Stage 3: An Equality Impact Assessment will be undertaken as part of the preparation for the final submission

### *Governance and Decision-Making*

11. The University is governed through central bodies, principally, in relation to REF, the Council and the General Board of the Faculties. Membership, which includes representatives from across the University, is listed in a special edition of the Reporter published in the Easter term. The specific arrangements for the governance of the

University's preparation and submission to REF2021 are outlined below.

- Pro-Vice-Chancellor for Research  
In accordance with Statute C, III, 7 of the University's *Statutes and Ordinances*, the Vice-Chancellor has delegated responsibility for the compilation and submission of REF2021 to the Pro-Vice-Chancellor for Research (PVC-Research). The PVC-Research in turn, is required to report to the General Board of the Faculties, which is chaired by the Vice-Chancellor.
- Research Policy Committee  
The Research Policy Committee (RPC) is a sub-committee of the General Board. It is responsible for research policy and cross-School initiatives and advises on strategic matters relating to the research activities of the University including REF. Its membership includes PVC-Research and the six Heads of School. The Head of the Research Office is an attending Officer.
- REF Project Board  
The Project Board ratifies REF policy and strategy for submission to the General Board for approval. It is an ad hoc committee, established by the General Board and chaired by the Pro-Vice-Chancellor for Academic Strategy and Planning. Members include senior academic and professional services staff of Collegiate Cambridge.
- REF Steering Group  
The REF Steering Group provides operational oversight of the REF processes and advises on key REF policies. Members include the PVC-Research, the six Heads of School and the Head of the Research Office.
- The Schools  
The Heads of School, supported by the Secretaries of School, provide academic and administrative oversight of the operation of Unit of Assessment Committees, liaising as required with the REF Office, the PVC-Research and the REF Steering Group.
- Units of Assessment Committees  
The University's operational plans for REF2021 require the establishment of a local Unit of Assessment Committee to support the nominated Unit of Assessment Chair in the preparation the Unit's REF submission. Unit of Assessment Committees are responsible for the preparation of all aspects of the Unit of Assessment submission as set out below in paragraphs 12 – 16 and in the Unit of Assessment Working Methods.
- REF Office  
The Head of the Research Office has delegated responsibility through the Registry to act as Head of the University REF Office and will oversee all administrative and support functions for REF2021, supported by the REF Manager and Deputy REF Managers who form the REF Management Team.

### **Unit of Assessment Committees**

12. The University's submission to REF2021 is developed primarily by Units of Assessment led by Unit of Assessment Chairs who were appointed following a process of nomination by the Heads of Schools in consultation with the PVC-Research.
13. Unit of Assessment Chairs will appoint members to the Committee, in consultation with the Head of the relevant School. Membership, responsibilities and conduct of business including details of each Unit's process for the review and selection of outputs are as set out in the Unit of Assessment Working Methods (Appendix A).
14. Each Unit of Assessment will ensure that the Code of Practice and the Unit of Assessment Working Methods are made available to all staff. In undertaking their duties, Unit of Assessment Committees will at all times adhere to their published working methods. These will be available online on the University's central REF website, and on relevant departmental websites. Hard copies and accessible copies will also be made available through the Central REF Office, through departmental and School offices, as appropriate and on request to [REF2021@admin.cam.ac.uk](mailto:REF2021@admin.cam.ac.uk) or by telephone 01223 332235
15. Unit of Assessment Committees are supported in the development of the submission by eight Academic Leads who have been appointed to advise primarily on the impact element of REF2021 and any other element of the relevant Unit of Assessment submission as appropriate. In addition, the work of the Unit of Assessment Committees will be supported by the REF Advisory Group, a large group of senior academics with REF experience.
16. The Unit of Assessment Chair, supported by the Unit of Assessment Committee, will be responsible for the preparation of all aspects of the Unit of Assessment REF submission, including:
  - i. **Staff:** The identification of eligible staff assigned to the Unit of Assessment, including those from Colleges and related institutes according to this Code of Practice (Part 2). Unit of Assessment Committees will confirm that eligible staff allocated to their Unit of Assessment have a connection to the Unit. Where there is a question, the final decision relating to the assignment of staff to Units of Assessment rests with the PVC-Research, in consultation with the relevant Unit of Assessment Committee(s) and/or Head(s) of School(s) (*paragraphs 18 – 35*).
  - ii. **Outputs:** The selection of research outputs according to the Code of Practice and Unit of Assessment Working Methods (*paragraphs 51 – 54*).

- iii. **Impact:** The development and selection of the impact case studies that will be included in the REF submission and the preparation of the impact template (REF 3b). It is for the Committee to determine the impact case studies which will be included in the REF submission and to prepare the impact template.
- iv. **Environment (REF 4a, b, c REF 5b):** The review and approval of all REF data provided by the REF Office, such as numbers of PhD students, research income, research income-in-kind and staff employment data. The completion of the Unit level Environment template (REF 5b)
- v. **Verification:** The provision and verification of the accuracy of all elements of the Unit of Assessment submission.

The final form of the return will be agreed in consultation with the Head of School and the Pro-Vice Chancellor for Research.

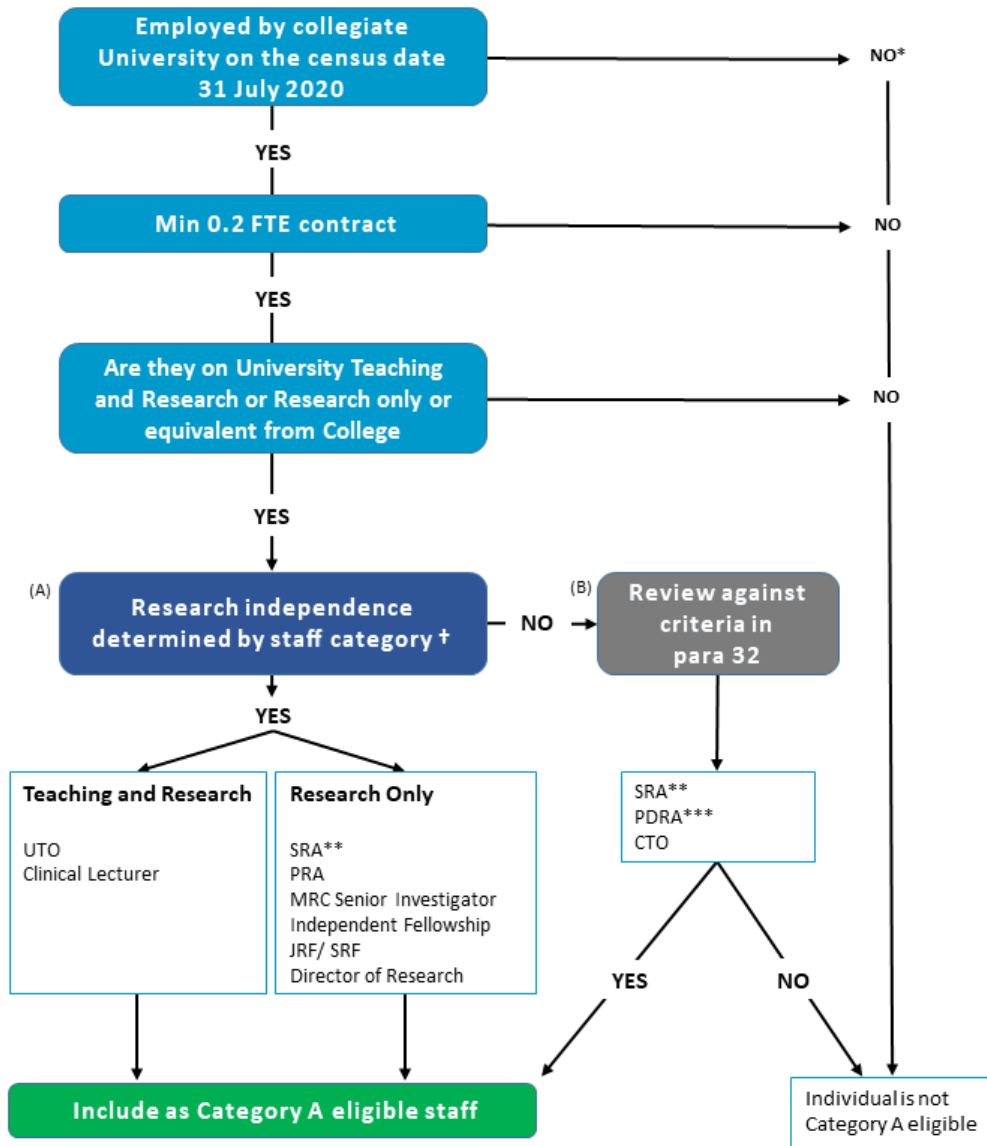
17. The protection of confidential staff data is paramount and members of Unit of Assessment Committees must make every effort to prevent unauthorized or accidental access to, or disclosure of, personal information. The *Guidance on Submissions* sets out the personal data that the University must supply in the submission. In the case of University-employed staff, this information will be extracted from the University's HR and payroll system and held within a secure University REF database to underpin each person's research output details. In the case of College staff, information will be provided by the Office of Intercollegiate Services and held within the same secure systems.
18. For the purposes of REF, staff with significant responsibility for research are those for whom explicit time and resources are made available to engage actively in independent research, and that is an expectation of their job role.
19. In the case of University-employed staff, individuals who are identified on the annual return to HESA<sup>2</sup> with the contractual function of 'Teaching and Research', at a minimum 0.2 FTE, on the census date with a verifiable connection to the University will be considered Category A eligible. Individuals identified on the annual return to HESA with contractual function of 'Research Only' must, in addition, meet the criteria to determine research independence for REF purposes to be considered Category A eligible. (Figure 1)
20. In the case of College-employed staff, individuals who are identified in the annual College survey or by Units of Assessment, are on a College payroll and, whose contracts of employment specify research or teaching and research as their primary function and who engage actively in independent research during the REF period will be considered Category A eligible. Such staff will be considered on the same basis as those paid through

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<sup>2</sup> HESA: Higher Education Statistical Authority: the University submits staff data to HESA annually and these records will be used by Research England to verify accuracy of staff included in submission.

Part 2: Identifying staff with significant responsibility for research

**Staff Eligibility in REF2021**



† see paras 22, 25, 26

\* outputs of former eligible staff may be eligible, see para 54

\*\* see para 26

\*\*\* see para 29

Figure 1 shows the process for the identification of all staff with significant responsibility for research across the collegiate University.

the University payroll and will be identified against the comparable HESA class of Teaching and Research or Research Only

21. Substantive connection to the collegiate University will be assumed for all members of staff on the University or College payroll with a contractual responsibility for research. Where there is a question, the indicators of substantive connection, as outlined below from the guidance on submissions, along with the Unit of Assessment descriptors will inform decisions made about allocation of staff to the Unit of Assessment.
  - a. evidence of participation in and contribution to the unit's research environment, such as involvement in research centres or clusters, research leadership activities, supervision of research staff, or supervision of postgraduate research (PGR) students
  - b. evidence of wider involvement in the collegiate University research community, for example through knowledge exchange, administrative, and/or governance roles and responsibilities
  - c. evidence of research activity focused in the institution (such as through publication affiliation, shared grant applications or grants held with the University)
  - d. period of time with the University (including prospective time, as indicated through length of contract).
22. University employees holding the posts of University Teaching Officer (UTO), MRC Senior Investigator, Clinical Lecturer, where job descriptions are consistent and reflect clear and specific contractual expectations and responsibility for research, will be considered to have significant responsibility for independent research for REF purposes and be included as Category A eligible staff.
23. In exceptional cases, which are expected to be extremely limited, the submitting Unit of Assessment Committee will review individual cases against the criteria (Figure 1, pathway B), taking into account any requirements of the role which may prevent a staff member who would otherwise be considered to have significant responsibility for independent research, such as: long-term and significant administrative responsibilities; primary responsibility for managing a significant departmental facility; primary responsibility for managing a research laboratory. The rationale and justification for the determination that a member of staff is not eligible must be fully documented.
24. Staff who hold joint University/NHS appointments are eligible for the FTE for which they are University employees.
25. College employees holding the post of Junior or Senior Research Fellow or Director of Research will normally be considered to have significant responsibility for independent research for REF purposes and will be included as Category A eligible staff.

For staff employed on Research Only contracts, University employees holding posts of



Principal Research Associate (PRA), MRC Senior Investigator Scientist will be considered to have significant responsibility for independent research and will be included as Category A eligible staff.

In exceptional cases, which are expected to be extremely limited, Unit of Assessment Committees will review individual cases against the criteria (Figure 1, pathway B) and the rationale and justification for the determination that a member of staff is not eligible must be fully documented.

26. Staff holding the post of Senior Research Associate (SRA) will normally be assumed to have significant responsibility for independent research. However, in Units of Assessment 1, 2, 4, 5, 9 and 12, where the role of SRA also includes individuals whose principal duties involve the support of knowledge transfer, project management (rather than project leadership), management of sponsor relationships, or the preparation of research proposals under the direction of an independent researcher, such staff will not normally be considered to be independent researchers for the purposes of REF. Unit of Assessment Committees will review individual cases against the criteria in paragraph 32 (below) for determining research independence for REF purposes.

#### *Development of Processes*

27. The identification of eligible staff will be undertaken by Unit of Assessment Committees at regular intervals corresponding to the annual progress reviews in July 2019 and continuing throughout 2020, in accordance with this Code of Practice and the Unit of Assessment Working Methods. Deadlines for receiving self-nominations will be set at regular intervals which will be published on the REF website and other appropriate websites (*see paragraph 31*). As recommended in the *Guidance on the Code of Practice*, the application of the Code of Practice will be tested during the University Mock Submission in July 2019. All staff whose eligibility is being considered will be alerted individually by Unit of Assessment Committees via a request to nominate publications. (*See CoP paragraphs 51 – 54; Appendix A section 7*).

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

#### *Policies and procedures*

28. For the purposes of REF2021, an independent researcher is defined as an individual who undertakes self-directed research as opposed to solely undertaking research under direction as part of others' research programmes. The University will use the broad indicators of research independence as published in the *Guidance on Submissions* and as outlined below in paragraph 32.
29. Staff holding the post of Postdoctoral Research Associate will only be considered independent researchers for the purposes of REF if they meet the criteria in paragraph 32

(below) for determining research independence.

30. Staff holding the post of MRC Investigator Scientist and College employees holding the post College Teaching Officers or Dean of Chapel will be assessed by Unit of Assessment Committees individually against the criteria for determining research independence.
31. Any member of academic staff will have the opportunity to self-nominate for consideration by the relevant Unit of Assessment Committee of their research independence against the criteria outlined in paragraph 32. Unit of Assessment Committees may also consider evidence from Line Managers and/or Principal Investigators to determine research independence against the criteria using the form downloadable from the REF website. Forms should be submitted to the relevant Unit of Assessment, copied to the REF Office by 28 May 2019 in order for their eligibility to be considered by the Mock Submission (deadline 12 July 2019). Future deadlines will be announced from the Michaelmas Term 2019.
32. The Indicators of research independence applied by all Units of Assessment are consistent with the general principles as set out in the *Guidance on Submission* as follows:

**All REF Panels**

- a. leading or acting as Principal Investigator or equivalent on an externally funded research project from a major funder.
- b. holding an independently won, competitively awarded fellowship where research independence is a requirement. A list of fellowships is included as Appendix C.
- c. leading a research group or a substantial or specialised work package.

**REF Panels C & D supplementary criteria**

- d. being named as a Co-I on an externally funded research project from a major funder.
- e. having significant input into the design, conduct and interpretation of the research.

In addition, Units of Assessment propose the following indicators which are consistent with the University's approach to inclusivity.

- f. acting as co-principal investigator on a significant externally funded research project from a major funder.

- g. Significant input into the design, conduct and interpretation of research through leadership of a major element of a research project or programme.
  - h. Primary supervision of other researchers.
  - i. Supervision of PhD students.
  - j. Independent research publications as corresponding author.
33. Unit of Assessment Committees recognise that each indicator may not individually demonstrate independence and where appropriate multiple factors may need to be considered. To ensure consistency of application, Unit of Assessment Committees will record their decisions against the criteria (*see paragraph 34 d*).
34. In order to ensure the fair, consistent and transparent application of the criteria with due consideration of the duty to prevent discrimination, eliminate bias and promote equality, all Unit of Assessment Committees will follow the procedures outlined below.
- a. Staff lists derived from HESA returns and the annual College Survey will be supplied to Unit of Assessment by the REF Office. The contractual position of College-employed staff identified as Category A eligible will be verified by the employing College.
  - b. Equality Impact Assessments of Unit of Assessment procedures for staff identification will be conducted using HR data based on initial and subsequent lists.
  - c. Unit of Assessment Committees will review staff lists according to the procedures described in paragraphs 18 - 35 and as published in the Unit of Assessment Working Methods. The committee will ensure that in all cases where the process is run for the determination of significant responsibility for research independence, that the committee member designated E&D lead is present and that decisions are minuted and sent to the REF Office.
  - d. All Category A eligible staff (see Figure 1) will be notified after the Submission Review meetings in the Michaelmas Term 2019 of their eligibility via a request from the Unit of Assessment to nominate outputs in Symplectic Elements. Staff using the self-nomination route will be informed of their eligibility by the Unit of Assessment Committee according to the published deadlines. The notification will provide the eligibility criteria and an explanation of the individual's right to request that the Unit of Assessment Committee review its decision in the first instance.
  - e. Where a review is requested by a member of staff of a decision taken by a Unit of Assessment Committee, the following procedure will be followed:

- i. the Unit of Assessment Chair will acknowledge receipt of the request within ten working days and convene a meeting of the Unit of Assessment Committee within one calendar month of the receipt of the request.
  - ii. The Chair will be responsible for ensuring that before the meeting the Committee receives all the information that they consider necessary to support the review.
  - iii. Unless there are exceptional reasons that prevent this, the Unit of Assessment Committee's decision must be conveyed to the individual staff member in writing within ten working days of the meeting at which the review is considered.
  - iv. Where language or any other barrier may affect communication, a staff member may nominate a representative to help them through the process.
  - v. The staff member may appeal further and finally to the central REF Appeals Committee as per paragraphs 36 - 45.
35. Copies of relevant minutes must be submitted to the REF Office for audit purposes and to provide the necessary information to support the Appeal process.

### *Appeals*

36. The following paragraphs document the process by which staff can appeal against a determination by a Unit of Assessment Committee that they do not meet the criteria for significant responsibility for independent research for REF purposes.
37. The processes followed by the University to identify eligible staff for the purposes of REF2021 will be made available to all staff through the consultation and online publication of the Code of Practice. Staff will be informed of decisions relating to their inclusion in a Unit of Assessment submission by the relevant Unit of Assessment Committee individually as per paragraph 34.
38. In the first instance, members of staff should request a review of a Unit of Assessment decision about their eligibility for inclusion in the REF2021 submission according to the review process outlined at paragraph 34.
39. The permissible grounds for appealing a decision reached by a Unit of Assessment Committee with regards to eligibility for inclusion in the REF2021 include:
  - a. Where the appellant considers that there has been discrimination against them on the grounds of one or more of the protected characteristics identified in the 2010 Equality Act or on the grounds of their working part-time or being employed on a fixed-term contract, or on other specific unfair grounds;
  - b. Where it can be demonstrated that a process or procedure detailed in this Code of Practice or Unit of Assessment Working Methods has not been followed correctly;

- c. Where a decision by a Unit of Assessment Committee can be demonstrated to have been taken without the availability of full information that they could reasonably have been expected to take into account in reaching that decision;
  - d. Where additional information is available and/or specific circumstances have occurred that fall outside the grounds listed above but demonstrate that the decision reached by the Unit of Assessment Committee is not consistent with the key REF2021 principles of transparency, consistency, accountability and inclusivity.
40. Staff will have the right to submit a written appeal (or an appeal in any other format if circumstances make this necessary) on any of the grounds stated in paragraph 39 against a decision made by a Unit of Assessment Committee. Appeals, together with any supporting evidence, should be submitted to the REF Office within ten working days of receiving notification of an unsuccessful review of a Unit of Assessment decision about eligibility as Category A staff, unless they are prevented from doing so by illness or any other serious cause. In such cases, the Head of the Research Office should be alerted, either by email [cambridgeREF2021Appeals@admin.cam.ac.uk](mailto:cambridgeREF2021Appeals@admin.cam.ac.uk), or by telephone (01223 766964).
41. The REF Appeals Committee will be convened from the Michaelmas Term 2019 with dates of meetings published in advance. The Committee, constituted to hear one or more appeals consists of the Pro-Vice Chancellor for Research, the Senior Pro-Vice Chancellor, the Director of the Human Resources Division, a Head of a School not involved in the decisions appealed against and the Head of the Research Office. A senior representative of the University's Equality and Diversity Office will be in attendance to ensure that all matters are considered in accordance with the Equality Act 2010 and the conditions set out in this Code of Practice. The role of the Pro-Vice Chancellor for Research in the appeals process will be solely advisory and will not involve decision-making with regards to individual cases. The decision of a REF Appeals Committee will be given, in writing, to the Chair of the Unit of Assessment Committee and to the appellant within ten working days of the meeting at which the appeal is considered.
42. During all stages of the appeals process, the appellant will have the right to be accompanied by one other person, who may, or may not, be a University staff member.

#### *Staff Circumstances*

43. The University of Cambridge is committed to supporting and promoting equality and diversity in research careers. This commitment is reflected in University policies and practices as detailed at paragraph 7.
44. The University does not consider the REF to be an assessment of individual staff members. Accordingly, collective academic judgement must determine the optimal presentation of the University's research capabilities for REF purposes. Nonetheless, the University recognises the effect that individuals' circumstances may have on research

productivity.

45. It is the University's view that requests to Research England for output reductions for special circumstances, including reduction for ECRs, should be limited to those Units of Assessment where the cumulative effect of any required reduction is greater than 20% of their required output profile.
46. In accordance with the *Guidance on Submissions*, the process for the voluntary declaration of individual circumstances will be managed by a senior University Committee comprising the Pro-Vice-Chancellor (Institutional Affairs), the Director of the HR Division, and the Head of the Research Office, with the Head of the University's Equality and Diversity Office in attendance. This Committee will seek professional advice where necessary. The Committee will meet as necessary, commencing in the Michaelmas Term 2019. The dates of Committee meetings will be circulated to the Schools, Unit of Assessment Committee Chairs and posted on the University REF website.
47. Declaration of individual circumstances will be via a confidential online form to which all eligible staff will be individually alerted. Guidance will be sent to all staff identified as Category A eligible staff and will be made available on the REF website and as hard copy on request from the REF Office.
48. The declaration of equality-related circumstances that have affected a researcher's productivity over the REF period is entirely an individual decision. No member of staff will be placed under pressure to declare the circumstances if they do not wish to do so. A confidential contact will be provided (Equality and Diversity member of the Staff Circumstances Committee) for staff to report any undue pressure to declare circumstances.
49. The process for declaring staff circumstances will be widely publicised from the Easter term 2019. The central University Committee overseeing this process (paragraph 46) will be convened early in the Michaelmas Term 2019 and prepared to accept declarations from then through to the final submission.
50. In all cases, personal information returned to the REF Office will be kept securely and treated as highly confidential and sensitive. Nothing will be released or discussed without the prior consent of the staff member concerned. At the end of the REF audit period, the information will be destroyed or returned, as determined by the individual staff member. Unit of Assessment Committees will be notified of any successful request of the removal of the requirement of one output so that this can be reflected in the attribution of outputs within the Unit's output portfolio.

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

### *Policies and procedures*

51. All Units of Assessment will follow the general principles for output selection as described below. Unit of Assessment Committees may operate local procedures in line with the requirements of the Code of Practice, taking care not to introduce any procedures or data collection processes that may introduce bias.
52. Each Unit of Assessment Committee will select outputs for submission in accordance with its published Working Methods. The selection of outputs is based on research quality and the output portfolio of the Unit of Assessment represents the unit's optimum research capabilities. Output eligibility for inclusion in REF2021 will be based on Research England published *Guidance on Submissions* and *Guidance on Revisions*.
53. The REF is not considered by the University to be an effective or appropriate mechanism for the assessment of the performance of individual staff members. There is therefore no expectation beyond the minimum requirements set by Research England of an individual's contribution to the Unit of Assessment submission. Accordingly, collective academic judgement must determine the optimal presentation of the University's research capabilities for REF purposes and no eligible staff member has an inherent right to determine their specific contribution to the Unit of Assessment submission. Equally, no eligible researcher has the right to refuse to be included in the University's return.
54. All Unit of Assessment Committees will operate a two-stage process for output selection which will include as the first stage an opportunity for eligible staff to nominate their best outputs and a second stage of peer review by the Committee, advised as required by expert colleagues.

#### **Stage 1: Nomination**

- All staff identified as Category A eligible will be invited to nominate publications for inclusion in the submission.
- In order to ensure compliance with the principles of equality and diversity, self-nomination of outputs should be conducted by each Unit of Assessment in the assessment module of Symplectic Elements.

#### **Stage 2: Review, Scoring, Attribution**

- All Committee members will participate in the review of the research outputs put forward for possible inclusion in the REF submission and the committee will score each output for its research excellence in accordance with the Research England scale (Annex A, Table A2, page 84 *Guidance on Submissions*) or based on a more granular scale as appropriate to the Unit.
- UoA Committees may also seek internal or external advice to provide quality assurance of (i) the rigour of the selection process and (ii) that the selection of

outputs is consistent with the key principles of transparency, consistency, accountability and inclusivity.

- In line with the *Guidance on Submissions*, Units of Assessment may include the eligible outputs of former staff in their submissions. These will be considered on the same basis as outputs of current staff. The University does not consider it appropriate to submit the outputs of former staff made redundant while holding permanent contracts, or part way into a fixed-term contract. It is therefore University policy that the outputs of this group of former staff will not be considered for submission to REF 2021.

However, the University does consider it appropriate to submit the outputs of former staff whose contracts ended as per a scheduled date.

- Unit of Assessment Committees must detail their review and selection process in their Working Methods including information on how outputs are scored and how and when staff will be provided with feedback. The outcome of the selection must be recorded in Symplectic Elements.
- Copies of relevant minutes must be submitted to the REF Office for audit purposes and to confirm adherence to the Code of Practice.



## Part 5: Appendices

- A. Unit of Assessment Working Methods
- B. Equality Impact Summary Analysis (to come)
- C. List of eligible fellowships (Provisional List)
- D. Letter confirming Agreement of processes established to identify staff with significant responsibility for research,

## Appendix A

### Unit of Assessment Working Methods

#### 1 *UoA Committees and Operations*

- 1.1 The work of UoA Committees collectively and the work undertaken by individual members of the Committee will be conducted in accordance with the University's REF Code of Practice.
- 1.2 All Committee members will familiarise themselves with the University's Code of Practice for the REF, which sets out the processes for the fair and transparent identification of staff across the collegiate University with significant responsibility for research; for determining who is an independent researcher; and for the selection of outputs.
- 1.3 The Code will apply to all University staff who are eligible for the REF (and throughout this document, the phrase 'University staff' will mean eligible University employees and eligible College employees, on an equal basis). The Code of Practice obliges Committee members to undergo training in equality and diversity before beginning the process of staff identification and output selection.

#### 2 *Role of the UoA Chair*

- 2.1 The UoA Chair will be responsible for preparing all aspects of the UoA REF return, including:
  - the identification of eligible staff, including those from Colleges and related institutes, to be submitted
  - the selection of research outputs
  - the development and completion of all UoA impact case studies
  - the review and approval of all REF data provided by the centre such as numbers of PhD students, research income, research income-in-kind and staff employment data
  - the provision and verification of the accuracy of all elements of the UoA submission
- 2.2 The final form of the return will be agreed in consultation with the Head of School and the Pro-Vice Chancellor for Research.
- 2.3 In fulfilling these responsibilities, the UoA Chair will report to the Head of the relevant School and work closely with the central REF Office to ensure the completeness, timeliness, accuracy and quality of the UoA submission. During the submission, the UoA Chair will ensure that the UoA complies with the University's REF Code of Practice.
- 2.4 The UoA Chair will be expected to provide (with the support of the UoA Administrator) frequent and timely information to the REF Office on the status of the UoA submission and on any issues that may affect the quality or timeliness of

the UoA submission. The requirement to provide this information will be driven by the University's REF timetable, by such regular reporting cycles as may be established and by factors outside these frameworks as required.

2.5 Schools, Faculties, Departments, Institutes, individual researchers and the University's REF Office will provide the UoA Chair with information that may reasonably be required for the REF return within a reasonable timescale. This information includes, for example, contractual information relevant to the REF eligibility of individual staff members, details of their research outputs and of impact created. The UoA Chair is entitled to seek the opinions of experts internal or external to the University on the quality of research outputs, in accordance with the Code of Practice.

### **3** *Role of the UoA Committee*

3.1 The role of the UoA Committee is to support the Chair in making the best possible REF submission in accordance with the University's REF Timetable, and to comply with the University's REF Code of Practice, including its equality and diversity aspects.

#### **3.2 Membership:**

- The Committee membership should include a nominated Deputy Chair who will lead meetings in the absence of the UoA chair and act as his/her formal Deputy as required.
- The size of the Committee should be appropriate to its workload, which in turn will depend on the size of the UoA. It is recommended that Committees should have between four and ten members, including the Chair and Deputy Chair, unless there are particular reasons (such as the unusual size of the UoA) which make it desirable to have a larger committee.
- Committee membership should reflect the subject diversity of the UoA concerned, for example reflecting the research group structure of the planned submission where it applies.
- A nominated Committee lead should be identified for (i) outputs & open access, (ii) research impact; (iii) research environment; (iv) equality & diversity. Where appropriate, the leadership for these responsibilities could rest with the UoA Chair or Deputy Chair.
- It is recommended that the membership of Committee should draw upon relevant members of the University's REF Advisory Group. Committee membership should also include cross-representation with the relevant School REF Working Group.
- One of the two Academic Leads for the relevant Main Panel should be invited to attend Committee meetings in an ex officio capacity. The relevant Head of School may also be invited to attend as required.
- The Committee will be supported by an identified UoA Administrator appointed by the relevant School. Members of the central REF team will also be available to support the work of the Committee for specific tasks (e.g. review of Impact Case Studies). It is suggested that a member of the REF Management

Team and/or the relevant REF Impact Coordinator are invited to attend Committee meetings as required.

- UoA committees wishing to appoint external members or advisors to their REF Committees must ensure that external members sign the University of Cambridge REF Confidential Disclosure Agreement (REF CDA). The REF CDA should then be countersigned by the authorised signatory. Authorised signatories are nominated by the School and given delegated authority by the REF team. The fully executed REF CDA should be kept locally and a copy sent to the REF2021 team.
- In order to meet the requirements of the REF Timetable, Committees should meet on at least a twice termly basis for the 2018/19 academic year.

3.3 The frequency of meetings in the period September 2019 – March 2021 should be set as required to ensure that internal deadlines for the completion of the UoA submission can be met.

3.4 It is recommended that meetings will typically require 1-2 hours but that sufficient time is set aside to complete the business of a particular meeting, for example review of outputs or impact case studies.

3.5 Where a UoA committee member is absent for at least three consecutive meetings, or is unable to attend for at least a term due to leave arrangements, the Chair shall consult the Chair of the Faculty Board or Head of Department concerned to identify a replacement member with the necessary expertise.

3.6 Questions about whether the work of an individual member of staff falls within this Unit of Assessment will be settled in accordance with the recommendations set out in the Code of Practice paragraph 16(i). In the first instance, the Chairs of the Unit of Assessment Committees concerned will discuss the matter, in consultation with the member of staff. If agreement cannot be reached, the matter will be referred to the Head(s) of School(s) concerned for guidance. The final decision rests with the PVC-Research.

#### **4**     *Data Protection*

The protection of staff data is paramount and members of UoA Committees must make every effort to prevent unauthorised or accidental access to, or disclosure of, personal information. Research England Guidance on Submissions sets out the personal data that the University must supply in the submission. In the case of University-employed staff, this information will be extracted from the University's HR and payroll system and held within a secure University REF database to underpin each person's research output details. In the case of College staff, information will be provided by the Office of Intercollegiate Services and held within the same secure systems.

#### **5**     *Conduct of business*

5.1 The quorum for the conduct of business at a meeting will be appropriate to the size of the Committee.

5.2 The Committee has discretion under the Code of Practice to conduct any item of business by circulation, with the exception of decisions on the eligibility of staff which may, where unavoidable be discussed by circulation and later formally discussed, ratified and minuted at a meeting of the committee. The Committee may delegate particular decisions to its Chair or another designated member, or to a sub-committee, but it may not delegate decisions on the eligibility of staff, the determination of the quality of an output, the selection of an output for inclusion of the pool of outputs, or the approval or amendment of the Unit of Assessment Working Methods.

## 6 *Conflicts of interest*

6.1 In the event that a member of a Committee believes that they might have a conflict of interest in the assessment of a particular output or the identification of a particular member of staff as an independent researcher, this must be declared immediately to the Chair of the Committee and they should take no further part in decisions relating to these matters.

6.2 If the Chair of a Committee believes that they have such a conflict of interest then they must declare it to the Committee and take no part in the decision. The Committee may appoint another member to act as Chair during the consideration of the matter in question.

6.3 The Chair (or UoA Administrator) will keep a confidential register of conflicts of interest declared and the action taken.

6.4 Examples of conflicts of interest include the consideration of an output of which the Committee member is a co-author, or where the selection process involves a member of staff with whom a Committee member has a personal relationship.

## 7 *Selection of Outputs*

All Units of Assessment will follow the general principles for output selection as detailed in paragraphs 51 – 54 of the Code of Practice. Unit of Assessment Committees may operate local procedures in line with the requirements of the Code of Practice, taking care not to introduce any procedures or data collection processes that may introduce bias.

### 7.1 **Assessment of research outputs**

Table A2: Outputs sub-profile: Criteria and definitions of starred levels  
The criteria for assessing the quality of outputs are ‘originality, significance and rigour’.

The criteria for assessing the quality of outputs are ‘originality, significance and rigour’.	
Four star	Quality that is world-leading in terms of originality, significance and rigour.

Three star	Quality that is internationally excellent in terms of originality, significance and rigour but which falls short of the highest standards of excellence.
Two star	Quality that is recognised internationally in terms of originality, significance and rigour.
One star	Quality that is recognised nationally in terms of originality, significance and rigour.
Unclassified	Quality that falls below the standard of nationally recognised work. Or work which does not meet the published definition of research for the purposes of this assessment.

## 8 *Impact*

8.1 It is for the Committee to determine the impact case studies which will be included in the REF submission and to prepare the impact template. The Committee will submit those research impact case studies which, in its opinion, are the strongest. The impact element of the submission covers the Unit of Assessment as a whole and attempting to submit a broad range of different impacts will not, in itself, strengthen the submission.

**Table A3: Impact sub-profile: Criteria and definitions of starred levels**

The criteria for assessing impacts are ‘reach’ and ‘significance’: In assessing the impact described within a case study, the panel will form an overall view about its ‘reach and significance’ taken as a whole, rather than assess ‘reach and significance’ separately.	
Four star	Outstanding impacts in terms of their reach and significance.
Three star	Very considerable impacts in terms of their reach and significance.
Two star	Considerable impacts in terms of their reach and significance.
One star	Recognised but modest impacts in terms of their reach and significance.
Unclassified	The impact is of little or no reach and significance; or the impact was not eligible; or the impact was not underpinned by excellent research produced by the submitted unit.

## 9 *Environment*

It is for the Committee to prepare the environment template. The required data on PhD completions and research grant expenditure will be prepared centrally and circulated to UoA according to the timetable.

## Appendix B

### Equality Impact Assessment Summary for Research Excellence Framework 2021 – Stage 1

#### *Introduction*

This paper summarises the University of Cambridge's Equality Impact Assessment (EIA) for the Research Excellence Framework 2021 (REF 2021) as required by higher education funding bodies.

#### **Information and Consultation**

The information and consultation methods used to inform the Equality Analysis are highlighted below:

- Equality Assurance Analysis Summary for Research Excellence Framework 2014
- Equal opportunities data on return rates in the Research Assessment Exercise 2008 (RAE 2008) and the REF 2014 (CHRIS - the University's HR system)
- *University of Cambridge Research Excellence Framework 2021 Code of Practice* – draft
- *Draft Guidance on Codes of Practice*, produced by UK funding bodies
- *Equality Impact Assessment for the Research Excellence Framework 2021*, produced by UK funding bodies
- *Research Excellence Framework: Codes of Practice on the selection of staff – a report on good practice* by the Equality and Diversity Advisory Panel (EDAP)

#### **Stages of the Equality Analysis**

The Equality Analysis for the REF 2021 will be reviewed and updated at key stages of the REF process:

1. this initial Equality Impact Assessment (EiA) undertaken as part of the development of the REF University of Cambridge Research Excellence Framework 2021 Code of Practice
2. identifying staff with a significant responsibility for research and when determining research independence
3. selecting outputs for submission
4. reviewing outcomes of the mock REF process
5. as part of the preparation the final submission.

#### **REF 2014 Summary Data Analysis**

In 2014 2,392 staff members were deemed eligible. Data were analysed for gender, age, disability and ethnicity.

- Of the staff eligible for return, 28% were female, whereas of the staff actually returned, 21% were female. The proportion of female Academics eligible for submission is lower than the proportion for male Academics. Sector-wide, the number of female Academics was lower than males which in turn reduces the number eligible for submission.
- 8.7% of staff who were eligible declared their ethnicity as BME, compared to 8.4% of those returned.

- The age analysis was completed for Category A staff only, as the University did not have data on age for Category C staff. Compared to those eligible, younger staff were slightly less likely to be returned and older staff slightly more likely.
- For disability, only 2.1% of those eligible for the REF in 2014 had declared a disability. Due to the small number of those who disclosed a disability, it was difficult to draw any conclusions about those returned versus those eligible.

An assessment of the 2014 REF was made in the national 'Equality and diversity in the REF' report by the E&D Advisory panel where the methods used were commended.

The key actions undertaken by the University since 2014 to address the issue raised in the analysis have, therefore, focused on the one hand of a number of initiatives addressing gender equality. This commitment is exemplified by;

- University's recent successful renewal of its Silver Athena SWAN award
- Targeted evidence-driven initiatives to address its gender pay gap including over £1.2 million being granted in last five years on the Returning Carers scheme supporting academic and research staff to build up their research profiles, prior to or when returning from a period away from work
- Ground breaking work in tackling the systemic sector-wider issues of bullying and harassment through our Breaking the Silence campaign.
- The Senior Academic Promotions CV scheme, encouraging and supporting academic women through the promotions process. We have seen an increase in the proportions of women professors, from 16.9% in 2015 to 21.3% in 2018

Recognition of gender on research productivity has led to the development of programme of activities to support the development of early career researchers, in particular the establishment of the Office of Postdoctoral Affairs. More recently, the University has also established dedicated programmes to support other protected characteristics, for example BAME staff.

### *EIA stage 1: REF University of Cambridge Research Excellence Framework 2021 Code of Practice*

#### **Background**

The University of Cambridge Research Excellence Framework 2021 Code of Practice was drafted with reference to the good practice guidance regarding equality and diversity matters contained within the *Draft Guidance on Codes of Practice*.

The Code of Practice was developed in accordance with the aims and objectives of the University's Equality and Diversity Strategy 2016 – 2021, which is underpinned by strong foundations of institutional policy and resource commitment, legal compliance, specific objectives and senior engagement secured over the last few years. The University's commitment is further evidenced by the University's Athena SWAN University Silver Award and its forthcoming application for a Race Quality Charter Award in 2019.

#### **Code of Practice Overview**

Equality and diversity has been core from the outset in the drafting of the Code of Practice. As an outcome the University has developed a robust Code that will govern all decisions relating to REF2021 and adhere to the University's core values of freedom of thought and expression and freedom from discrimination.



The Code has been drafted with in partnership with the University's Equality and Diversity section, and in consultation across the collegiate University with staff representative groups and bodies including the University's Gender Equality Steering Group and Race Equality networks, among others.

Action:

- It has been made mandatory for all staff to undergo training in equality and diversity, before beginning the process of staff identification and/or output selection. Completion of this training will be monitored and reported in future EIAs.

Key elements of the Code which reflect the University's commitment to E&D issues include:

- Governance and Decision Making

In line with the *Draft Guidance on Codes of Practice* the Code outlines a comprehensive structure for the governance and preparation of the University's REF2021 submission which should mitigate opportunities for bias.

- Staff, committees and training

- i. The role of Units of Assessment led by UoA Chairs is key in the REF2021 process given their responsibility for preparing of all aspects of the Unit's REF return, including ensuring that all decision-making is made in line with the University's key principles and opportunities for bias are mitigated. In line with the Draft Guidance, one member of the UoA panel has oversight of E&D matters for the panel and is responsible for ensuring the application of equality principles in all decision-making.
- ii. Panel chairs, E&D leads and administrators have attended in-house 90-minute unconscious bias training to support their roles. The bespoke 'Embedding equality and mitigating bias in REF 2021' training session aimed to enable Chairs, E&D leads and REF administrators to consider and recognise the importance of ED&I issues throughout the REF process. At the end of the training session course participants will understand the types and causes of bias, the impact that bias may have in REF decision making and how bias can be mitigated during critical stages of REF. The course highlights issues of under-representation within academia and uses practical scenarios to explore how to practically mitigate bias. Attendance will be recorded, with the expectation that Chairs of all UoA will have completed this training prior to submission. So far four sessions have been offered, with more rolled out after the University's mock submission process, and uptake will be monitored.
- iii. UoA committee membership by protected characteristic has been monitored to ensure inclusivity. On average 36% of members are women and 4% BAME. However, significant variation exists between UoAs, and identity and/or diversity information is currently unknown for up to 88% of UoA membership in some cases. Significant work will be undertaken over the next months to reduce these data gaps.

Action:

- Chairs of all UoA will have completed the face-to-face or online UB training prior to final submission date
- Diversity data gaps for UoA committee membership will be reduced.
- Advice and support will be provided to UoA where the committee membership may not reflect the diversity of the Units underlying discipline.
- Identifying staff with significant responsibility for research and research independence

- i. The pool of potentially eligible staff has been derived from the University's annual return to HESA and, in the case of College-employed staff, individuals identified in the annual College survey and confirmed by the Colleges to have contractual responsibility for research. In order to ensure inclusivity, potentially eligible research active staff are also able to self-nominate via a form, the availability of which has been widely publicized across all staff.
  - ii. The criteria for establishing research independence have been developed based on the broad indicators of research independence as published in Research England guidance and in consultation with staff in the Units of Assessment, E&D section input and staff group representatives including the trades unions, postdoctoral societies, the REF Office, and approved by the Pro-Vice-Chancellor for Research. All policies and procedures must align with the Code of Practice and demonstrate the principles of transparency, consistency, inclusivity, accountability.
- Reviews and Appeals  
 Developed in consultation with the Equality and Diversity section and following the suggested practice outlined in the *Draft Guidance*, the Code details the process by which a member of staff may in the first instance request a review at Unit of Assessment level of a decision about research independence. Staff members may appeal further and finally to a central Appeals committee, comprising senior, independent members of the University. The processes of review and appeal as outlined in the Code of Practice will be published online in time for the Mock Submission in July 2019 and reviewed as part of the feedback to Units of Assessment in autumn 2019 before going live in the Michaelmas term 2019.

Action:

- A full summary and equality impact assessment of appeals heard and decisions made will be provided in the final EAA document post submission.
- Staff Circumstances
    - i. The University has explicitly stated within the Code that 'it does not consider the REF to be an assessment of individual staff member's research performance'. The University supports the efforts to decouple staff and outputs in REF2021 and acknowledges the flexibility this allows to reflect the University's expectations of research productivity of individual staff in the period. However, 'the University recognises in its Code that individuals' circumstances may have an impact on research productivity'.
    - ii. Therefore, in accordance with Research England's REF Guidelines, a process for the voluntary declaration of individual circumstances has been developed. It will be managed by a senior University Committee comprising the Pro-Vice-Chancellor (Institutional Affairs), the Director of the HR Division, and the University REF Manager, with the Head of the University's Equality and Diversity Office in attendance to ensure decisions reached are in line with the University's commitment to fair and unbiased decision making.
    - iii. In accordance with Research England guidance it is the University's view that an individual staff member is best placed to determine whether circumstances have had an adverse impact on their research productivity. No member of staff will be placed under pressure to declare their circumstances if they do not wish to do so.
    - iv. The process for staff circumstances has been publicised from Easter term 2019 and formed part of the consultation on the Code of Practice. Feedback and recommendations from the consultation was incorporated into the final document.

Action:

- A summary of the declarations of individual circumstances made to the Committee will be presented in the last stage of the EAA.
- Selection of outputs

In accordance with the draft Code, each UoA Committee has published online its Unit of Assessment Working Methods in which they detail any local procedures to do with their selection of outputs. These local procedures will be reviewed during the process of the Mock submission to ensure that they are in line with the requirements of the Code of Practice, with a particular focus to ensure Units have not outlined any procedures or data collection processes that may introduce bias. Output selection will be based solely on research quality. Unit of Assessment processes for the selection of outputs will be reviewed for the submission review meetings and any adjustments required will be made for the final submission.

**Stage 1 data analysis**

Action:

- Actual distribution of outputs will be analysed against expected output distribution by protected characteristic after the mock submission in July 2019. Notable differences or evidence of bias will be investigated further with the UoA in question

Data on research active staff, determined by contract type, were compiled from the University staff database and provided by Colleges. The University currently collects diversity information on these characteristics as well as age, sexual orientation, religion or belief and gender identity. However, analysis by protected characteristic has been limited to gender, ethnicity and disability due to limited data for other characteristics (Table 1). Analysis conducted after the mock submission will investigate possible impacts in regards to other diversity characteristics to establish whether any evidence of bias or discrimination may be evident.

The under representation of women, BAME and disabled staff within the research active population are being addressed through the University's commitments and initiatives as outlined in its recent Silver Athena SWAN Award, forthcoming Race Equality Charter Award application and through its membership of the Business Disability Forum.

*Table 1 Research active staff as at December 2018.*

<b>Protected Characteristic</b>	<b>Research active staff</b>
<b>Women</b>	1,156
<b>% Women</b>	31.4%
<b>Men</b>	2,095
<b>Unknown</b>	427
<b>BAME</b>	383
<b>% BAME</b>	10.4%
<b>White</b>	2,147
<b>Unknown</b>	1,148
<b>EU</b>	754
<b>Non EU</b>	604

<b>UK</b>	1,714
<b>% UK</b>	48.4%
<b>Unknown</b>	467
<b>Disabled</b>	58
<b>% Disabled</b>	1.6%
<b>Not Disabled</b>	2,281
<b>Unknown</b>	1,339
<b>Total</b>	<b>3,678</b>

**Action:**

- To address the current high proportion of unknowns in the data set, diversity data is being collected from each of the 31 College HR systems and collated within the University staff audit system developed specifically for REF2021. This system will be live for the mock submission in July 2019.
- At the conclusion of the mock REF an analysis will be conducted to assess whether some diversity groups were more likely to be identified as having ‘significant responsibility for research’ than others. We will also determine whether some diversity groups are more likely to be considered as ‘independent’ researchers or have more outputs attributed to them than others. The analysis will therefore involve comparing:
  - the characteristics of staff considered to meet the criteria for having significant responsibility for research with those for all staff who are eligible for submission;
  - the characteristics of staff considered to meet the criteria for being independent researchers with those for all staff who are eligible for submission;
  - the characteristics of authors of outputs provisionally selected for submission with those for all outputs considered to be eligible for submission.
  - Summaries of all selection decisions will be analysed to ensure that no evidence of bias is apparent in the application the processes outlined in the Code.

**Summary of predicted Equality Impacts**

- Age - The REF provides clear guidance on the treatment of Early Career Researchers which will be applied through our Code.
- Disability - Disabled staff may have had multiple or extended periods of absence due to their health conditions, impacting their research careers. Staff have the opportunity to declare, voluntarily, any circumstances which may have affected their ability to work productively during the assessment period, including whether the requirement for a minimum of one output for each staff member submitted can be waived.
- Gender – Issues regarding the under-representation of women have been clearly identified previously, with clear actions committed to within the University’s Silver Athena SWAN action plan.
- Trans and non-binary people - Some trans staff may have had extended periods of absence due to transition. This may have impacted their research careers. Staff have the opportunity to declare, voluntarily, any circumstances which may have affected their ability to work productively during the assessment period, including whether the requirement for a minimum of one output for each staff member submitted can be waived.

- Pregnancy and/or maternity, including adoption – Periods of leave may have impacted research careers, however, these circumstances can be declared.
- Religion and/or belief, including those without religion and/or belief – no potential impacts identified
- Sexual orientation - no potential impacts identified
- Overall - Review outcome of EA on Mock REF to direct further actions.

In conclusion, there is no evidence currently that the processes outlined in the Code of Practice will lead to instances of potential discrimination. However, if over the course of the REF process such discrimination is identified, appropriate amendments to the processes will be made and outlined in our final stage Equality Impact Analysis.

The final stage of the EIA will be undertaken on the final submission in November 2020 to inform the University's understanding of the impact of equality and diversity on access to opportunities for research progression and productivity. A post-REF 2021 EA document will set out actions to address any disparities identified.

#### *Next Steps:*

**Completion of Stage 1:** When UoAs have completed the process of determining staff eligibility, full analysis of staff identification outcomes will be made at Unit of Assessment level with reference to baseline data, and reviewed again at subsequent stages.

**Stage 2:** This will consist of a review of the outcomes of the University mock REF2021 submission in July 2019. Feedback will be presented to Units of Assessment at the Submission Review Meetings in autumn 2019 and appropriate action taken. A summary report will be provided to the REF Project Board at the Lent Term 2020 meeting with an action plan to govern final preparation of the submission.

**Stage 3:** A final Equality Impact Assessment will be undertaken as part of the preparation for the final submission.

## Appendix C

### Research Fellowships

Appendix C is a list of Research Fellowships commonly understood to include research independence as identified by the funding bodies and by the University. The list is intended as a guide and is not intended to be exhaustive. In cases where there is a question as to whether holders of a specific fellowship, whether internally or externally funded, meet the criteria for research independence, Units of Assessment are advised to individually assess the member of staff against the criteria in the Code of Practice and to justify and record their decisions in the appropriate manner.

*Table 1*

<b>Funder</b>	<b>Fellowship scheme</b>
AHRC	AHRC Leadership Fellowships - Early Career Researchers
AHRC	AHRC Leadership Fellowships
BBSRC	BBSRC David Phillips Fellowships
BBSRC	BBSRC Future Leader Fellowships (from 2018 known as BBSRC Discovery Fellowships)
British Academy	BA/Leverhulme Senior Research Fellowships
British Academy	British Academy Postdoctoral Fellowships
British Academy	JSPS Postdoctoral Fellowships
British Academy	Mid-Career Fellowships
British Academy	Newton Advanced Fellowships
British Academy	Newton International Fellowships
British Academy	Wolfson Research Professorships
British Heart Foundation	Career Re-entry Research Fellowships
British Heart Foundation	Clinical Research Leave Fellowships
British Heart Foundation	BHF-Fulbright Commission Scholar Awards
British Heart Foundation	Intermediate Basic Science Research Fellowships
British Heart Foundation	Intermediate Clinical Research Fellowships
British Heart Foundation	Senior Basic Science Research Fellowships
British Heart Foundation	Senior Clinical Research Fellowships
British Heart Foundation	Springboard Award for Biomedical Researchers
British Heart Foundation	Starter Grants for Clinical Lecturers
Cancer Research UK	Advanced Clinician Scientist Fellowship
Cancer Research UK	Career Development Fellowship
Cancer Research UK	Career Establishment Award

Cancer Research UK	Senior Cancer Research Fellowship
EPSRC	EPSRC Early Career Fellowship
EPSRC	EPSRC Established Career Fellowship
EPSRC	EPSRC Postdoctoral Fellowship* <sup>1</sup>
ESRC	ESRC Future Cities Catapult Fellowship
ESRC	ESRC Future Leaders Grant
ESRC	ESRC/Turing Fellowships
ESRC/URKI	Early Career Researcher Innovation Fellowships
European Research Council	ERC Advanced Grants
European Research Council	ERC Consolidator Grants
European Research Council	ERC Starting Grants
Health Education England	ICA Clinical Lectureship
Health Education England	ICA Senior Clinical Lectureship
Herchel Smith Fund	Herchel Smith Postdoctoral Fellowship
Kavli Institute for Cosmology, Cambridge	Kavli Institute Fellowship
Leverhulme Trust	Early Career Fellowship
Leverhulme Trust	Research Fellowship
Leverhulme Trust	Emeritus Fellowship
Leverhulme Trust	Major Research Fellowship
Leverhulme Trust	International Academic Fellowship
MRC	MRC Career Development Awards*
MRC	MRC New Investigator Research Grants (Non-clinical)*
MRC	MRC New Investigator Research Grants (Clinical)*
MRC	MRC Clinician Scientist Fellowships*
MRC	Senior Non-Clinical Fellowships
MRC	Senior Clinical Fellowships
NC3R	David Sainsbury Fellowship
NC3R	Training fellowship
NERC	Independent Research Fellowships
NERC/UKRI	Industrial Innovation Fellowships
NERC/UKRI	Industrial Mobility Fellowships
NIHR	Advanced Fellowship

NIHR	Career Development Fellowship
NIHR	Clinical Lectureships
NIHR	Clinical Trials Fellowship
NIHR	Clinician Scientist
NIHR	Development and Skills Enhancement Award
NIHR	Knowledge Mobilisation Research Fellowship
NIHR	Post-Doctoral Fellowship
NIHR	Research Professorship
NIHR	School for Primary Care Post-Doctoral Fellowships
NIHR	Senior Research Fellowship
Royal Academy of Engineering	RAEng Engineering for Development Research Fellowship
Royal Academy of Engineering	Industrial Fellowships
Royal Academy of Engineering	RAEng Research Fellowship
Royal Academy of Engineering	RAEng Senior Research Fellowship
Royal Academy of Engineering	UK Intelligence Community (IC) Postdoctoral Research Fellowship
Royal Society	Royal Society Wolfson Fellowship
Royal Society	Dorothy Hodgkin Fellowship*
Royal Society	JSPS Postdoctoral Fellowship
Royal Society	Newton Advanced Fellowship
Royal Society	Newton International Fellowships
Royal Society	Royal Society/Leverhulme Trust Senior Research Fellowship
Royal Society	University Research Fellowship*
Royal Society and Wellcome Trust	Sir Henry Dale Fellowship*
Royal Society of Edinburgh	RSE Arts & Humanities Awards (for permanent staff)
Royal Society of Edinburgh	RSE Personal Research Fellowship
Royal Society of Edinburgh	RSE Sabbatical Research Grants (for permanent staff)
Sêr Cymru	Research Chairs
Sêr Cymru	Rising Stars
Sêr Cymru	Recapturing Talent*
Sêr Cymru	Research fellowships for 3 -5 year postdocs
STFC	CERN Fellowships
STFC	Ernest Rutherford Fellowship
STFC	ESA Fellowships
STFC	Innovations Partnership Scheme Fellowships
STFC	Returner Fellowships



STFC	RSE/STFC Enterprise Fellowships
STFC	Rutherford International Fellowship Programme
UKRI	UKRI Future Leaders Fellowships
UKRI	UKRI Innovation Fellowships
Wellcome Trust	Intermediate Fellowship in Public Health and Tropical Medicine
Wellcome Trust	Principal Research Fellowships
Wellcome Trust	Research Award for Health Professionals
Wellcome Trust	Research Career Development Fellowship
Wellcome Trust	Research Fellowship in Humanities and Social Science
Wellcome Trust	Senior Research Fellowship

<sup>1</sup> Those asterisked support the transition to independence. Applicants should demonstrate readiness to become independent and the award enables them to become so. It could be argued those at the start of an award are not 'independent' yet, but those well in the award may be.

## Appendix D

### Letter confirming staff agreement for the processes established to identify staff with significant responsibility for research

Dr Steven Hill  
Director of Research  
Research England  
Nicholson House  
Lime Kiln Close  
Bristol  
BS34 8SR

17th September 2019

Dear Steven,

#### **RE: CONFIRMATION OF STAFF AGREEMENT FOR PROCESSES ESTABLISHED TO IDENTIFY STAFF WITH SIGNIFICANT RESPONSIBILITY FOR RESEARCH**

I am writing to confirm that the University has sought and obtained staff agreement for the provisions of the Code of Practice for the processes established to identify staff with significant responsibility for research.

This was obtained through (i) consultation with representative groups, including Trade Unions and the Office for Postdoctoral Affairs, in accordance with the University's standard staff consultation processes; (ii) in parallel, a consultation was held with all staff via an on-line survey that was communicated widely to all relevant employees via e-mail and the University Reporter; (iii) final approval of the Code by the General Board of the Faculties and the University Council. The effective date of staff agreement to the provisions is, therefore, 20th May 2019, the date of the University Council meeting that approved the draft Code of Practice.

Yours sincerely

Professor Chris Abell  
Pro-Vice Chancellor for Research