

**Code of Practice
Research Excellence Framework 2021
(REF2021)**

Policy owner	Deputy Vice Chancellor (Research)
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Approved by	Academic Board
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Approval date	June 2019
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Part 1 Introduction

.1

This Code of Practice sets out the approach that Coventry University will take for the fair and transparent identification of staff with significant responsibility for research, the identification of independent researchers and the selection of outputs for the Research Excellence Framework 2021 (REF2021).

.2

Staff will be eligible to be returned to the REF2021 if they are employed by the university on a minimum contract of 0.2FTE, are a core or associate member of a research centre and are:

- a) an academic member of staff and can demonstrate significant responsibility for research (see Part 2 for the indicators, eligibility criteria and more information); or
- b) a research member of staff and can demonstrate research independence (see Part 3 for the indicators, eligibility criteria and additional information).

A visual representation of the eligibility criteria is provided in [Appendix 1](#).

.3

We are committed to ensuring that all of our academics are treated fairly in the preparation processes for the REF2021. This Code, based on the REF2021's '[Guidance on submissions](#)' and '[Guidance on codes of practice](#)', will be used to ensure that decisions about the eligibility of staff and the selection of outputs are carried out with transparency, consistency, accountability and inclusivity and without discrimination. We understand that some staff who are eligible to be returned to the REF2021 may be unable to meet the requirements to submit the minimum of one output due to their particular circumstances. These members of staff will be treated fairly and in line with the processes outlined in [Part 4](#) of this Code of Practice.

.4

We will ensure transparency by consulting with staff on this Code and in ensuring it is disseminated appropriately. We will apply the processes consistently and adhere to the identification and appeal processes to ensure accountability.

.5

The Code of Practice will be communicated with staff across the institution, including those on leave of absence, in Autumn 2019, following Research England's approval, through:

- a) written communication (emails and/or letters as appropriate);
- b) staff briefings;
- c) the external website; and
- d) the staff portal.

.6

The university recognises that a diverse workforce is beneficial to its role as a provider of high-quality teaching and research in a modern and ever-changing society. The university is firmly committed to the promotion of equality and will not unlawfully discriminate, or tolerate discrimination (direct or indirect, harassment or victimisation), on grounds of age, disability, ethnicity, gender identity, marriage or civil partnership, pregnancy or maternity, religion or belief, sex and sexual orientation. This includes discrimination by association or due to perception.

.7

The university's overarching 'Excellence with Impact' research strategy will be achieved, in part, through our commitment to ensuring that we capitalise on the strengths, skills and expertise of our diverse researchers.

.8

The university is committed to promoting equality and diversity and is proud of providing and promoting an inclusive environment for our community. We support a range of staff networks, a Spirituality and Faith Centre and are proud of being recognised as a Disability Confident Employer and Stonewall Diversity Champion. The university's Equality, Diversity and Inclusion Policy was revised in 2019 as per the three-year review cycle. In 2016, we successfully renewed our Bronze institutional Athena SWAN accreditation, which included new methodology that covered all academic areas of the university, including research centres. The university was awarded the HR Excellence in Research Award by the European Commission in 2013 and successfully completed their six year review in 2019. We have also recently developed new processes and guidance for disabled staff to request reasonable adjustments to support them in their roles.

.9

The university has a range of policies in place to ensure employees with protected characteristics are treated equitably. The university has an overarching policy statement of Commitment to Equality, Diversity and Inclusion and, as such, includes age, disability, marriage and civil partnership, pregnancy and maternity, race, religion or belief, sex, sexual orientation and trans gender. Its key driver is the belief that equality, freedom and being treated with dignity and respect are fundamental human rights. This goes beyond a more minimalist approach of non-discrimination on the basis of legally protected personal characteristics. It states what staff, students and other groups can expect from the university, as well as their responsibilities. Within the policy statement, and of relevance to research and the REF2021, is that:

'As an employee, you are working for an organisation whose commitment to the promotion of equality and diversity is furthered by a range of policies and procedures, enhanced by Employee Support Groups, to ensure that the university is benefiting from best practice in this area'.

.10

The university's Dignity and Respect Policy details this commitment and how it is operationalised. It states duties and rights, and gives information on the network of advisors who can assist staff to resolve issues at an informal stage. As this Policy covers both staff and students, the formal stages are owned by the People Team and Registry respectively.

.11

Additionally, the university has a wide range of family-friendly policies, including Flexible Working, Adoption Leave, Maternity, Paternity, Shared Parental Leave and Career Break Scheme. These, along with all other policies, are located in the university's People Gateway, a central internal online repository that staff can access directly. For new starters, awareness of these policies is supported by a comprehensive corporate induction programme that promotes the policies and procedures and other benefits available within the university, including learning and development opportunities. Local inductions complement the corporate programme and offer a range of information, providing guidance on a range of activities and policies advice and support. All staff are expected to complete mandatory on-line training (Coventry Essentials) and these courses cover a range of subjects from Data Protection (GDPR), Health and Safety, Diversity in the Workplace to Inclusive, Safe and Cohesive Campuses.

.12

A primary aim of this Code is to outline how these characteristics are protected and, where necessary, taken into account as part of the processes for returning outputs for the university's submission to the REF2021. As part of our commitment to ensuring that staff with protected characteristics are treated equitably in all the processes set out within this Code.

.13

The university will ensure that it adheres to Equality Legislation. It is important that all staff involved in the university's submission to the REF2021 (staff who are returned and those involved in the decision and identification processes) understand the Equality Act 2010 and, in particular, their duties and rights. Specific information on the training given to key staff is outlined in [Part 2.15 – 2.18](#).

.14

The Equality Act 2010 gives nine 'protected characteristics':

- a) age;
- b) disability (including long term health conditions and mental ill-health);
- c) ethnicity (including nationality);
- d) gender reassignment (Trans);
- e) marriage or civil partnership;
- f) pregnancy and maternity;
- g) religion or belief (including none);
- h) sex; and
- i) sexual orientation.

.15

People are protected from discrimination (direct and indirect), harassment and victimisation on these grounds. Further information on how this specifically relates to the REF2021 can be found in the Research England's 'Guidance on Codes of Practice' which will be covered in the training that supports this Code. See [Part 2.15 – 2.18](#) for more information about the training.

.16

The university has carried out qualitative Equality Impact Assessments (EIA) on the processes outlined in this Code of Practice to ensure that no protected group would be disadvantaged by the processes. The university's staff networks (see [Part 2.13](#)) were invited to review and comment on the processes and these comments were considered as part of the EIA.

.17

At key points in the development of the submission, the university will undertake quantitative EIAs, in relation to eligible staff and the selection of outputs, to enable us to assess the impact on equality of these decisions and take action if required and if appropriate. More detail about these EIAs can be found in Parts [2.29 – 2.31](#), [3.28 – 3.30](#) and [4.52 – 4.54](#).

.18

Upon completion of our submission we will conduct, publish and submit to Research England, a longitudinal summative EIA. This will be focused on age, disability, gender, ethnicity, religion, sexual orientation, early career research status and those on part time and fixed term contracts, where the data is available, appropriate and does not enable to the identification of individuals due to sample size. This will enable us to assess the impact on equality and indicate any required actions in relation to the staff who have been returned and the outputs which have been selected.

.19

The university is mindful of the Fixed-term worker and Part-time worker Regulations and will ensure it does not discriminate against staff on grounds of their contractual status. Therefore, employees whose contract is either fixed-term or part-time will have equality of opportunity and access to the same facilities and training programmes as full-time, permanent members of staff. The university is aware of the part-time profile of some areas of the university's research activity.

.20

The development and preparation of the university's REF2021 submission is overseen by the University Research Committee. Membership of the Research Committee is drawn from across the university and comprises senior academic staff, including the Deputy Vice Chancellor (Research), early career researchers, professional services staff and postgraduate research students. It makes recommendations to the Academic Board for approval of relevant policy documents (including this Code of Practice and associated documents). See [Appendix 4](#) for the Research Committee and Academic Board Terms of Reference.

.21

The University Research Committee has established a REF Working Group to undertake the detailed and operational preparation for the university's REF2021 submission and ensure that university processes operate effectively and consistently across the university. See [Appendix 4](#) for the REF Working Group Terms of Reference.

.22

The final decisions concerning the eligibility of staff and the Units of Assessment (UoA) to be submitted to will be taken by University Research Committee, on the advice of the REF Working Group, and a recommendation will be made to the Vice Chancellor for final institutional approval. All decisions about the eligibility of staff and the selection of outputs will be made using the framework established by this Code of Practice.

Part 2 Identifying academic staff with significant responsibility for research

Policies and procedures

.1

In line with the university's Research Strategy, research at Coventry University is focused on a number of niche research areas, which are organised into independent research centres. These are managed either at:

- a) university level (university research centres (URCs)); or
- b) faculty level (faculty research centres (FRCs)).

.2

There are two types of membership of the research centres:

- a) Core membership - members spend 50%, or more, of their time in the research centre;
- b) Associate membership - members spend between 20% and 49% of their time in the research centre.

.3

Research centres develop and support the research careers of their staff. These are reflected and monitored through the targets set for staff. Investment and support for research is concentrated on the research centres, enabling staff with significant responsibility for research to be supported by Research Services.

.4

Staff may join research centres as core members through formally advertised external opportunities.

.5

Staff can apply to be an associate member of a research centre. This formal process is set out in the 'Principles of Associated Membership of Research Centres' guideline, which is managed by the People Team in conjunction with Associate Deans for Research for each of the four Faculties. This guideline is available to staff via the internal staff 'People Gateway' and is disseminated to staff via Academic Deans. Where associate membership is agreed, it is on the basis of a formal secondment, for a minimum period of three years.

.6

These processes are applied across the four Faculties, the university research centres and the Unit of Assessment (UoA), regardless of disciplinary area.

.7

Academic staff with research centre membership are considered to have significant responsibility for research if they meet the following criteria:

Criteria	Additional information
Their research aligns to the university strategy	All research centres advance the strategic research priorities of the university.
Explicit time and resources are made available to them to engage actively in research	A minimum of 20% time allocated for research through core or associate membership of a research centre(s).
That research is an expectation of their job role	<p>The member of academic staff has current research responsibilities in line with the university Research Strategy as stated in objectives.</p> <p>There are expectations of research according to their role as indicated in, for example, job descriptions and appraisals.</p>

.8
For academic staff who are core or associate members of a research centre, the expectations of their job role and research responsibilities are indicated in the job description (for core members) or in the signed and approved associate membership application form (for associate members).

.9
Whilst all academic staff are expected to engage in scholarly activity in order to inform the development and delivery of excellent teaching, academic staff who are not members of research centres, either as core members or associate members, are not allocated explicit time to conduct their own research and research is not an expectation of their job role. They are not deemed to have significant responsibility for research and therefore will not be returned as part of the university's REF2021 submission.

.10
A member of academic staff's eligibility for the REF2021, in terms of significant responsibility for research, will therefore be based on their role within a research centre on the census date of 31 July 2020 and Research England's requirement for them to hold a minimum 0.2FTE contract with the university.

.11
Staff will be informed of the university's approach for identifying significant responsibility for research through the publication and communication of this Code of Practice. At the same time, staff will be provided with information about the appeals process (see [Part 2.20 – 2.28](#) for information about the appeals process).

.12
In addition to providing opportunities for academic staff to apply to join research centres as core or associate members, the university supports staff in developing their research experience and capabilities. As part of this support, the university has an Academic Support Programme in Research Excellence (ASPiRE) programme to support the development of academic staff working outside research centres, who have research promise, and who wish to work towards independent research status.

Development of processes and consultation

.13
We have used our established staff representation mechanisms, within the university, to consult with the union on the development of this code. In addition, we have also engaged with the wider staff body for their comments on the proposed Code of Practice. Furthermore, we have engaged with the following groups and networks for their comments on the proposed Code of Practice and it how it may impact on those represented by these groups and networks.

- a) BME Staff Network

- b) Disabled Employees Network
- c) LGBT Staff Network
- d) Mental Health Staff Support Forum
- e) Gender Leadership and Development Group

.14

The final agreed processes were communicated to staff via the methods outlined in [Part 1.5](#).

Staff, committees and training

.15

All university staff are required to successfully complete the university's online training on Equality, Diversity and Inclusion, which provides a general overview of the Equality Act 2010 and contains links to university policies and further guidance. Compliance with this training requirement is centrally monitored.

.16

A number of identical sessions demonstrating the importance of the Equality Act to the REF2021 will be delivered by the Equality, Diversity and Inclusion Manager, in conjunction with staff from the Research Excellence Unit, for staff who have specific roles within developing the university's REF2021 submission. The training will be delivered in Autumn 2019 and will focus on:

- a) the Code's processes and criteria to ensure consistency in decision making;
- b) ensuring fairness and inclusion;
- c) assessing decisions, on all processes included in the Code of Practice, for impact on equality;
- d) the grounds and process for staff to seek a reduction in outputs required by the UoA;
- e) security and disclosure of information on personal circumstances;
- f) unconscious bias;
- g) case studies; and
- h) the Equality Impact Assessment process.

.17

The staff who are required to attend a training session in addition to completing the online module are:

- a) Vice Chancellor
- b) Provost
- c) Deputy Vice Chancellor (DVC) (Research)
- d) Deputy Vice Chancellor (DVC) (Strategic Alignment and External Relations)
- e) Pro Vice Chancellor (PVC) (Strategic Development, Business Transformation)
- f) Main Panel Leads
- g) Centre Executive Directors
- h) Research Centre Operations Managers
- i) UoA Leads
- j) Academic Impact Leads
- k) Director Research Services
- l) Head of Research Excellence
- m) Research Excellence Officers
- n) Senior Impact Officer
- o) Impact Officers
- p) Research Information System Manager
- q) Deputy Group Director People Team
- r) Equality, Diversity and Inclusion Officer
- s) People Partner (Research)
- t) University staff who are REF2021 panel members
- u) Members of local REF panels within Faculties and/or research centres.

.18

The Equality Diversity and Inclusion Manager will also attend a meeting of the university's Academic Board to provide briefings about the importance of the Equality Act 2010 in relation to the REF2021, due to their involvement in developing the REF2021 submission.

.19

The job descriptions for the key roles involved in the REF2021 are included in [Appendix 3](#):

- a) Main Panel Lead (Associate Dean (Research))
- b) UoA Lead
- c) Academic Impact Lead

Appeals (significant responsibility for research)

.20

The appeals process has been communicated to staff as part of the dissemination of this Code. See [Part 1.5](#) for information on the process and timescales of this communication.

.21

Individuals wishing to appeal must submit their application by emailing the PVC (Strategic Developments, Business Transformation) at REF2021appeals@coventry.ac.uk and include the following information:

- a) their name;
- b) a summary of how they are able to demonstrate the criteria for significant responsibility as listed in [Part 2.7](#) above; and
- c) any relevant and independent supporting evidence.

.22

The member of staff must submit their appeal within 15 working days of the date they were formally informed of the university's approach for identifying significant responsibility for research as outlined in this Code of Practice. Specific dates and time frames for the appeals process are outlined in [Appendix 2](#).

.23

A specifically convened university panel will review these appeals. This panel will comprise:

- a) the PVC (Strategic Developments, Business Transformation) (Chair).
- b) an Associate Dean (Research) who is one of the university's Main Panel Leads but not for the UoA associated with the member of staff's research area.
- c) the Director of Research Services.
- d) the Senior People Team Partner (Research).

.24

These roles are independent from earlier stages of the process and related REF processes and an outline of why they are involved in this decision-making process is provided in [Appendix 6](#).

.25

To help ensure consistency across the processes for staff eligibility, the same staff roles will form the appeal panels for decisions made for significant responsibility for research and research independence.

.26

The panel may request additional information and/or evidence as part of the consideration of the appeal. The panel may meet to discuss the appeal or, to expedite the process, may consider the evidence and discuss remotely.

.27

The Chair will inform the individual (and, if appropriate, the UoA and/or Main Panel Lead) of the outcome within 15 working days of receiving the appeal. The outcome of the appeal will be recorded in writing, detailing the rationale for the decision, and sent by email.

.28

The decision of this panel is final.

Equality Impact Assessment (EIA)

.29

The university will carry out quantitative Equality Impact Assessments (EIAs), in relation to significant responsibility for research, at interim points in the review of staff eligibility and when the final submission has been compiled. These EIAs will compare the members of staff who have been identified as having significant responsibility for research and those who do not against the following characteristics and categories: age, gender, ethnicity, disability, religion, sexual orientation, early career research status and those on part time and fixed term contracts, where the data is available, appropriate and does not enable the identification of individuals due to sample size. This will enable us to assess the impact of equality on these decisions and take action if required and if appropriate.

.30

During the development of the Code of Practice, the university has undertaken qualitative EIAs to review the processes associated with identifying significant responsibility for research against the characteristics and categories listed above.

.31

The university will use the EIAs to reflect on any impact on particular groups of staff, review approaches, where appropriate, and to identify good practice used to support particular staff groups, in relation to significant responsibility for research.

Part 3

Determining research independence of research staff

Policies and procedures

.1

Research England stipulates that a research member of staff must be on a minimum contract of 0.2FTE and be an independent researcher in order to be returned to the REF2021. At Coventry University, independent researchers, who meet one or more of Research England's criteria, are employed in a research centre, usually as Grade 8 and above, and their research aligns with the university's strategy.

.2

In some cases, research staff on Grade 7 may have obtained research independence and therefore may be eligible for submission to the REF2021.

Role title	Grade
Research Fellow	Grade 7
Assistant Professor (previously referred to as Research Fellow)	Grade 8
Associate Professor (previously referred to as Senior Research Fellow)	Grade 9

.3

In addition to these categories of grades, staff who are employed by the university on a research fellowship, which has been identified by the funder as demonstrating research independence, will be considered to have research independence.

.4

Research staff are normally considered to be independent researchers if their job description gives responsibility to undertake self-directed research rather than carrying out another individual's research programme. The university has based its indicators of research independence on Research England's criteria:

- a) leading or acting as a principal investigator on an externally-funded research project or substantial work package; or
- b) holding an independently won and competitively awarded fellowship, where research independence is a requirement of the award.

.5

For researchers allied to Main Panels C and D, there are additional attributes which may indicate research independence:

- a) being named as a Co-I on an externally funded research grant/award; or
- b) having significant input into the design, conduct and interpretation of the research.

.6

Staff will be notified of the university's approach to identifying staff with research independence through the publication and communication of this Code of Practice. At the same time, staff will be provided with information about the appeals process. Information about the appeals process is outlined in [Part 3.16 – 3.26](#).

.7

Research staff employed on Grade 8 or above will be deemed to have research independence and will be automatically eligible to be returned to the REF2021.

.8

The independent researcher status of research staff employed on Grade 7 will be considered on a case by case basis and will follow one of two processes. Where the Main Panel Lead and UoA Lead have documented evidence of the member of staff's research independence, (for example evidence that the individual holds a fellowship covered in Research England's published list of independent research fellowships), they will make the decision that the member of staff has research independence and is therefore eligible to be returned to the REF2021.

.9

Where the Main Panel Lead and UoA Lead do not have documented evidence of the member of staff's research independence or the available evidence does not clearly demonstrate research independence, the case will be discussed on an individual basis in a meeting involving the:

- a) individual member of staff;
- b) UoA Lead for the UoA the individual would be submitted to;
- c) Main Panel Lead for the relevant panel; and
- d) individual's line manager.

.10

The UoA Lead and Main Panel Lead will make the decision about the individual's research independence. The line manager will not form part of that decision-making process. Their role is to provide additional information for discussion, if applicable, and to contribute to discussions about the individual's development.

.11

The individual's independent researcher status will be assessed against the criteria outlined in [Part 3.4 – 3.5](#). To ensure parity, the identification of this group of staff will be based on the data held on the university's HR system and provided to the Main Panel Leads and UoA Leads by the Research Excellence Unit.

.12

The university has taken this proactive approach to identifying those who may, exceptionally, hold research independence, rather than asking them to nominate themselves at the initial stage of the process. This is to reduce the potential for a member of staff being disadvantaged by the requirement for self-nomination at this stage in the process.

.13

The meeting, outlined in [Part 3.9](#) above, has two main purposes:

- a) to review each member of staff against the research independence criteria and to determine whether or not they hold research independence. A member of staff will need to be able to demonstrate and evidence one of the criteria listed in [Part 3.4 – 3.5](#); and

- b) to provide the opportunity for developmental discussions. The discussions may identify how an individual could move towards having research independence and the steps they need to take, in conjunction with input and support from their line manager.

.14

Staff may be told during this meeting as to whether or not they demonstrate research independence, and therefore whether or not they will be returned to the REF2021. All Grade 7 research staff will receive written confirmation, by email, of the decision by 12 November 2019. They will also be provided with the reason for the decision, in line with the criteria, and provided with information about the appeals process, if relevant.

.15

For the purposes of consistency and transparency, the outcome of the meeting will be recorded on a standardised form and will be stored securely and centrally until December 2021. Where a member of research staff is deemed to have research independence, it will be recorded on Pure (the university's research information management system).

Appeals (research independence)

.16

The appeals process has been communicated to staff as part of the dissemination of this Code. See [Part 1.5](#) for information on the process and timescales of this communication.

.17

A member of staff may appeal against the decision that they are not deemed to have research independence. Specific dates and time frames for this appeals process are outlined in [Appendix 2](#).

.18

The member of staff must submit their application by emailing the PVC ((Strategic Developments, Business Transformation) at REF2021appeals@coventry.ac.uk and include the following information:

- a) their name;
- b) the Unit of Assessment their work most closely aligns to;
- c) the research centre they are either an associate or core member of (if applicable);
- d) a summary of how they do meet one or more of Research England's criteria about being an independent researcher (see 3.4.); and
- e) any relevant and independent supporting evidence that could not have been made available the time of their initial meeting.

.19

The appeal must be submitted within 15 working days of the date of the communication which outlined that they do not have research independence.

.20

A specifically convened university panel will review these requests. This panel will comprise:

- a) the PVC (Strategic Developments, Business Transformation) (Chair);
- b) an Associate Dean (Research) who is not the Main Panel Lead for that UoA;
- c) the Director of Research Services.

.21

To help ensure consistency across the processes relating to staff eligibility, the same staff roles will form the appeal panels for decisions made for significant responsibility for research and research independence.

.22

These roles are independent from earlier stages of the process and related REF processes and an outline of why they are involved in this decision-making process is outlined in [Appendix 6](#).

.23

The panel may request additional information and/or evidence as part of the review process.

.24

All submitted requests and supporting information will only be seen by those on the panel.

.25

The Chair will inform the member of staff of the outcome within 15 working days of receiving the appeal by email.

.26

The decision of this panel is final.

Staff, committees and training

.27

For information about the training given to staff involved in the process, please see [Part 2.15 – 2.18](#), above.

Equality Impact Assessment (EIA)

.28

The university will carry out quantitative EIAs, in relation to research independence, at interim points in the review of staff eligibility and when the final submission has been compiled. These EIAs will compare the members of staff who have been identified as having research independence and those who do not against the following characteristics and categories: age, gender, ethnicity, disability, religion, sexual orientation, early career research status and those on part time and fixed term contracts, where the data is available, appropriate and does not enable the identification of individuals due to sample size. This will enable us to assess the impact of equality on these decisions and take action if required and is appropriate.

.29

During the development of the Code of Practice, the university has undertaken qualitative EIAs to review the processes associated with identifying research independence against the characteristics and categories listed above.

.30

The university will use the EIAs to reflect on any impact on particular groups of staff to review approaches, where appropriate, and to identify good practice used to support particular staff groups, in relation to research independence,

Part 4

Selection of outputs

Policies and procedures

.1

In line with the REF2021 guidelines, the outputs that will be considered for selection to the REF2021 need to have been published, or have been first in the public domain, from 1 January 2014 – 31 December 2020. Additionally, outputs which were pre-published in the 2013 calendar year e.g. an online first article and not submitted by the same institution to the REF2014, are also eligible for submission.

.2

In adherence with Research England's '[Guidance on submissions](#)', an average of 2.5 outputs will be returned for each full-time equivalent member of staff submitted to the REF2021. This average would be lowered if a reduction, due to personal circumstances, is applied.

.3

The full-time equivalent (FTE) value attached to each member of staff is based on a member of staff's overall contract with the university and not the amount of time they are contracted to a research

centre. Any member of staff returned to the REF2021 must hold a minimum 0.2FTE contract with the university.

The process for selection of outputs across all UoAs

.4

The university expects staff to record bibliographic details of all research outputs in Pure (the university's research information management system) and deposit the correct version of that output in Pure, where appropriate, for example, journal articles and conference proceedings. The university will form its REF2021 submission based on the output records in Pure.

.5

The university carries out regular reviews of outputs. Staff propose outputs, on Pure, which are reviewed through a process of internal and/or external expert peer review. Each output is graded, using the REF star rating criteria, and given qualitative feedback. Staff are provided with feedback on the assessment of their output(s) and have the opportunity to meet with a senior colleague to discuss the feedback (usually their line manager or the UoA Lead).

.6

The following additional criteria, in line with Research England's guidelines, will also be used to inform the selection of outputs:

- a) Reductions applied to overall pool of outputs due to personal circumstances.
- b) Each member of staff to only be returned to one UoA;
- c) Consideration of open access requirements; the possible application of exceptions and the tolerance allowance for non-compliance.
- d) Decisions on which outputs will form part of the university's REF2021 submission will be made on an ongoing basis, as outputs are continually being produced, proposed, assessed and updated. Final decisions will be made in September 2020.

.7

In accordance with Research England's requirements, the total number of outputs required (FTE x 2.5) will be calculated whilst taking into account the need for each member of staff being returned to the REF2021 to submit a minimum of one output and a maximum of five.

.8

The university will adhere to Research England's requirements that each eligible member of staff is returned with the minimum of one output and the maximum of five. If an eligible member of staff does not have the minimum of one output, they will be returned with no outputs. The highest quality output, for each member of staff, will be a paramount factor in the output selection process. To fulfil the required number of outputs for each UoA, the remaining outputs will also be selected based on quality.

.9

The university's selection of outputs will be informed by scores given by expert peer review carried out internally and externally and, where appropriate, in accordance with Research England's use of metrics.

.10

Current staff will be informed which of their outputs were returned as part of the university's REF submission.

Outputs from former staff

.11

The university is able to return outputs from former staff for research that was conducted whilst they were at Coventry University. The decision about which outputs from former staff will be used, if at all, will be informed by the processes outlined in [Parts 4.8 and 4.9](#) above and through alignment with the UoA's overarching narrative and research themes.

.12

The university will not return outputs from any former members of staff who were made redundant, unless they give their express permission for their outputs to be included in the university's REF2021 submission.

Additional training

.13

Following publication of this Code of Practice, the university will hold briefing sessions open to all staff involved in or who aspire to be included in the REF2021 submission. These sessions will provide an overview of the key points of the Code of Practice and will also cover the process staff are to follow to request a reduction in outputs due to personal circumstances.

.14

In addition, the Equality, Diversity and Inclusion Manager will run a series of 'open drop-in sessions' for staff to discuss the reduction process.

Reduction of outputs

.15

The impact of an individual's personal circumstances, listed in [4.18](#), on the university's submission, can be taken into account through two approaches.

.16

The university can request a reduction, without penalty, for:

- a) any UoA to be returned with fewer than the 2.5 outputs per FTE, without penalty, where the cumulative effect of circumstances has disproportionately affected the unit's potential output pool; and/or
- b) the removal of the requirement for a member of staff to be returned with a minimum of one output, where the nature of the individual's circumstances has had an exceptional effect on their ability to work productively through the period and therefore they have been unable to produce the minimum one eligible output required.

.17

A member of staff may be eligible to apply for a reduction in the requirement to be returned to the REF2021 with a minimum of one output where they meet one of the circumstances; where it has had a significant constraint on their ability to produce outputs or work productively throughout the assessment period and where they have had:

- a) circumstances that have resulted in an overall period of 46 months or more absence from research during the assessment period, due to equality-related circumstances (see below);
- b) circumstances equivalent to 46 months or more absence from research due to equality-related circumstances; or
- c) two or more qualifying periods of family-related leave.

.18

Research England have determined the personal circumstances which can be considered as:

- a) Qualifying as an early career researcher – on or after 1 August 2016. For the purposes of the REF2021, and as stated by Research England, an individual is deemed to have started their career as an independent researcher from the point at which:
 - i. they held a contract of employment of 0.2 FTE or greater, which included a primary employment function of undertaking 'research' or 'teaching and research', with any HEI or other organisation, whether in the UK or overseas; and
 - ii. they first met the definition of an independent researcher.
- a) Absence from work due to secondments or career breaks outside the HE sector.
- b) Qualifying periods of family-related leave.
- c) Circumstances equivalent to absence that require a judgement about the appropriate reduction:
 - i. Disability.
 - ii. Ill health, injury or mental health conditions.

- iii. Constraints relating to pregnancy, maternity, paternity, adoption or child care that fall outside of – or justify the reduction of further outputs in addition to – the allowances set out in Annex L of the [‘Guidance on submissions’](#).
- iv. Other caring responsibilities (such as caring for an elderly or disabled family member).
- v. Gender reassignment.
- vi. Other circumstances relating to the protected characteristics listed in table 1 of the [‘Guidance on codes of practice’](#).

.19

A member of staff may wish to declare their circumstances, even if they have been able to produce the minimum of one eligible output during the assessment period. They may wish to make the university aware of the effect that their equality-related circumstances have had on their ability to research productively and to discuss potential support.

.20

Research England’s guidelines have clear formulae for calculating the reduction for staff circumstances which the university will use to calculate reductions for any approved requests in terms of:

- a) recognising the effect of a member of staff’s circumstances on their ability to contribute to the output pool at the same rate as other staff and therefore determining whether a reduction should be sought to the total number of outputs required for submitting units; and
- b) removing the minimum requirement of one output, to zero, if a member of staff’s circumstances have affected their ability produce one eligible output during the assessment period.

.21

The university is required to submit requests to reduce a UoA’s total required outputs with sufficient details about the effect of the individual(s)’ circumstances to Research England, to show that the criteria has been applied correctly with verifiable evidence available if requested. These requests and information must be undertaken and submitted to Research England by March 2020. Information submitted will be kept confidential by the REF team, the Equality and Diversity Advisory Panel (EDAP) and the Main Panel Chairs; REF sub-panels will only be informed of the total of a UoA’s permitted reductions. Research England will destroy this information on completion of the REF2021 in December 2021.

.22

The university is required to submit a report to Research England, following the submission of our REF2021 return, on the number and type of circumstances which were declared regardless of whether or not any reductions were applied.

Disclosure of Personal Circumstances

.23

The university will support staff to disclose personal circumstances and will disseminate information about the process. However, we will ensure no pressure is placed on an individual to seek a reduction if they do not wish to disclose.

.24

The university takes a proactive approach to supporting and enabling individual members of staff to voluntarily declare the individual circumstances which they believe have impacted on their ability to contribute to the output pool at the same rate as other staff.

.25

A member of staff may make an application for multiple reductions if more than one of the criteria, listed in [Part 4.18](#) above, is met. These may be accumulated up to a maximum reduction of 1.5 outputs. When circumstances are combined, only one will be taken into account for any period of time during which they took place simultaneously.

.26

A member of staff can discuss their circumstances, in confidence, before submitting their application, with the Equality, Diversity and Inclusion Manager (sarah.lewis@coventry.ac.uk).

.27

The university may send additional communications to all staff to inform them of additional opportunities to apply for any personal circumstances to be considered.

.28

The university will, if possible and if the member of staff wishes, consider whether any additional forms of support are required for the member of staff who declared a personal circumstance.

Disclosure of Personal Circumstances - Process

.29

To ensure that all staff are made aware of the opportunity to disclose personal circumstances, all staff who meet the criteria to be returned to the REF2021 will be provided with a form and given the opportunity to return the form with one of the following responses:

- a) they do have personal circumstances which they wish to declare;
- b) they do have personal circumstances but do not want to declare or request a reduction;
- c) they do not have personal circumstances to declare; or
- d) they prefer not to say.

.30

A member of staff must submit their disclosure of personal circumstances by completing a form ([Appendix 7](#)) and emailing it to REF2021staffcircs@coventry.ac.uk by 16 January 2020. The process will be centrally managed to ensure confidentiality.

.31

Due to external REF time frames, it will not normally be possible for the university to consider late applications.

.32

Disclosures of personal circumstances made by staff will be reviewed by specifically convened Staff Circumstances Panel (SCP) who will review these requests and decide on any reductions to be applied.

.33

The SCP will comprise:

- a) the Pro Vice Chancellor (Strategic Developments, Business Transformation);
- b) an Associate Dean (Research) who is not the Main Panel Lead for that UoA;
- c) the Head of Research Excellence;
- d) the Equality, Diversity and Inclusion Manager;
- e) the Senior People Partner (Research).

.34

The roles involved in the SCP are independent from earlier stages of the process and/or related REF processes and an outline of why they are involved in this decision-making process is outlined in [Appendix 6](#).

.35

In addition to the staff involved in the SCP, the information provided by members of staff about special circumstances will also be seen by the Research Excellence Unit for the purposes of receiving and processing the requests and coordinating the SCP meetings.

.36

The panel may request additional information and/or evidence as part of the review process.

.37

All submitted requests and supporting information will only be seen by those roles outlined in Parts [4.33](#) and [4.35](#).

.38

The panel will normally make a decision within 15 working days of the deadline for submitting the requests (6 February 2020) and the member of staff will be informed of the outcome by email. They will also be provided with the reason for the decision and provided with information about the appeals process, if relevant.

.39

Following the initial decision and any subsequent appeals, the UoA Lead and Main Panel Lead may consider the cumulative effect of staff circumstances on the UoA's overall output pool. The UoA Lead and Main Panel Lead will consider whether a reduction to the UoA's overall pool needs to be applied for. This decision will be based on whether the cumulative effect of staff circumstances has had a disproportionate impact on the size of the output pool. This may include consideration of the size of the unit and the proportion of staff claiming special circumstances, which cannot be addressed through the flexibility offered by the decoupling of staff from outputs and results in the unit being significantly disadvantaged in its ability to reflect the quality and quantity of its research.

.40

In cases where a member of staff's request for the removal of the requirement for a minimum of one output is approved, and for the purposes of collating outputs for submission, the SCP will inform the UoA Lead and Main Panel Lead of the name of the member of staff that the reduction has been applied to but not the reason(s) why.

.41

If an individual member of staff's request for the removal of the requirement for a minimum of one output is not approved, at either the initial or appeal stage, they will be returned to the REF2021 with no outputs and therefore an unclassified score will be given.

.42

All approved reductions (pre- and post-appeal stage) will be recorded on Pure with restricted access.

Appeals (Disclosure of Personal Circumstances)

.43

The appeals process has been communicated to staff as part of the dissemination of this Code. See [Part 1.5](#) for information on the process and timescales of this communication.

.44

If a member of staff's request for a reduction of outputs has not been approved by the university panel, they are able to appeal the decision.

.45

To appeal, the member of staff will be required to make a written submission, with additional supporting evidence, within 15 working days of the date the original decision was communicated to them.

.46

The appeal panel will comprise:

- a) the Deputy Vice Chancellor (Strategic Alignment and External Relations)
- b) an Academic Dean (for a Faculty not connected to the Research Centre/UoA);
- c) the Director of Research Services;
- d) the Group Deputy Director of People.

.47

These roles are independent from earlier stages of the 'disclosure for personal circumstances' process and an outline of why they are involved in this decision-making process is provided in [Appendix 6](#).

.48

The panel may meet to discuss the appeal or, to expedite the process, may consider the evidence and discuss remotely.

.49

The appeal panel may make enquiries of the original panel or the Executive Director of the relevant research centre to seek corroboration of any evidence presented by the member of staff.

.50

The panel will consider all of the available evidence and the Chair will inform the individual and the original panel, if appropriate, of the outcome normally within 15 working days of the date of the appeal was submitted.

.51

The decision of the appeal panel is final.

Equality Impact Assessments (EIA)

.52

The university will carry out quantitative EIAs, in relation to the selection of outputs, at interim points in the development of the university's REF2021 submission and when the final submission has been compiled. These EIAs will analyse the selected outputs against the following characteristics and categories: age, gender, ethnicity, disability, religion, sexual orientation, early career research status and those on part time and fixed term contracts, where the data is available, appropriate and does not enable the identification of individuals due to sample size. This will enable us to assess the impact of equality on these decisions and take action if required and if appropriate.

.53

During the development of the Code of Practice, the university has undertaken qualitative EIAs to review the processes associated with the selection of outputs against the characteristics and categories listed above. In addition, the university will carry out a thematic review of the research areas represented by the outputs selected for submission to assess the Equality, Diversity and Inclusion nature of our research interests.

.54

The university will use the EIAs to reflect on any impact on particular groups of staff and to review approaches, where appropriate, and to identify good practice used to support particular staff groups, in relation to the selection of outputs.

Part 5 Data Protection

.1

Staff personal data will be processed in accordance with the provisions of the Data Protection Act 2018 and the General Data Protection Regulation 2016. Further information about how the university handles personal data can be found in the university's Privacy Notice for the REF2021. This is available on the [university's website](#) and in [Appendix 8](#).

.2

All information provided by any member of staff for the purposes of declaring personal circumstances (as detailed in [Part 4.23 – 4.51](#)) will be treated in accordance with the university's Data Protection Policy and GDPR. All information will be kept securely and destroyed on completion of the REF2021 in December 2021, in line with Research England's retention timeframes.

Appendix 1

Decision flow chart to outline staff eligibility for the REF2021 (significant responsibility for research and research independence)

To be returned for the REF2021 you need to:

- be employed by the University on an academic contract of 0.2FTE contract or higher;
- demonstrate significant responsibility for research (SRR), if you are an academic member of staff;
- demonstrate research independence (RI) if you are a research member of staff.

1	Are you employed by Coventry University on an academic or research contract of 0.2FTE or greater?	Yes: you may be eligible for submission to the REF2021. Please go to question 2.			
		No: you will not be eligible for submission to the REF2021.			
2	Are you a core or associate member of a research centre?	Yes	2a. Are you an academic member of staff?	Yes: You are considered to have SRR and will be returned to the REF2021.	
				No: If you a research member of staff please go to 2b.	
			2b. Are you a research member of staff?	Yes: If yes, are you employed at grade 8 or higher?	Yes: You are automatically eligible to be returned to the REF2021.
				No: If you are a professional services member of staff please go to 2c.	No: You will not be automatically eligible to be returned. But, if you are grade 7, your eligibility will be considered individually. If it is decided you do not demonstrate RI, you will have the right to appeal. Please see Part 3.16 – 3.26 .
			2c. Are you a professional services member of staff?	Yes: You are not eligible to be returned to the REF2021 according to Research England's rules.	
	No: You are not automatically eligible to be returned to the REF2021. You have the right to appeal this decision and will be required to demonstrate that you do have SRR. Please see Part 2.20 – 2.28 .				

Appendix 2

REF2021 Code of Practice timeframes

Area	Dates and timeframes	Details
Significant Responsibility for Research (SRR) Research Independence (RI) Special circumstances	Autumn 2019	The university publishes its approved Code of Practice. This informs staff of the university's approach to RI and SRR and therefore whether or not they are considered eligible for the REF2021. The publication of the code also outlines the process for staff to declare special circumstances.
Significant Responsibility for Research (SRR)	29 October 2019	Deadline for staff to submit appeal to be considered for SRR.
Significant Responsibility for Research (SRR)	14 November 2019	Staff informed of outcome for SRR appeal.
Research Independence (RI)	12 November 2019	Deadline for research staff on Grade 7 to be informed as to whether or not they have research independence.
Research Independence (RI)	3 December 2019	Deadline for research staff on Grade 7 to appeal against the decision that they do not have research independence.
Research Independence (RI)	18 December 2019	Deadline for staff to be informed of outcome of research independence appeal.
Special circumstances	16 January 2020	Deadline for staff to submit a request for special circumstances to be considered.
Special circumstances	29 January 2020	University informs staff of the outcome of the initial consideration of the special circumstances claim.
Special circumstances	19 February 2020	Deadline for staff to submit appeal against special circumstances decision.
Special circumstances	28 February 2020	University informs staff of the outcome of their special circumstances appeal.

Appendix 3

MAIN PANEL LEADS: a brief role description

Main Panel Leads represent each REF Main Panel (A, B, C and D) for the 2021 submission.

Overall purpose: To have oversight of the REF2021 submission for the Unit of Assessments (UoAs) which sit within the relevant Main Panel, ensuring the best possible outcome for the University, in collaboration with the Deputy Vice-Chancellor (DVC) (Research), Associate Pro-Vice-Chancellor (APVC) (Research), other Panel Leads, UoA Leads and the Research Excellence Unit (REU) within the Research Services.

Responsible to

DVC (Research) or APVC (Research)

Key contacts

Unit of Assessment (UoA)/Impact Lead(s); Research Excellence Unit (REU) staff; relevant academic and professional service staff.

Key activities

- **Collaborate with and report to** the Deputy Vice-Chancellor (Research)/ APVC (Research) to develop, co-ordinate and (where necessary) refine strategy for the university's REF2021 submission with reference to a specific panel.
- **Provide leadership, advice and support** on all issues relating to research planning, impact, performance metrics and published guidance relating to the relevant REF Main Panel.
- **Take ownership and responsibility** for a specific Main Panel with regard to **making the final decisions** about the selection of outputs and impact case studies before these are submitted to the DVC and APVC (Research) as well as REU within Research Services. Make final decisions on the development/enhancement of the impact case studies, based on the recommendations from the UoA/Academic Impact Leads and Impact Officers.
- **Ensure that the widest available staff pool for the UoAs**, beyond a specific research centre/institute/faculty, **are included** into the submission in line with the university's REF2021 Code of Practice.
- Where appropriate, **present options and represent the panel** at the relevant working groups, boards and committees.
- Together with the UoA Leads and the REU **oversee the robustness of the assessment of outputs** being submitted.
- **Work closely with the Research Excellence Officers and UoA Leads** to ensure that REF communications and updates are circulated as relevant.
- **Oversee both internal and external review exercises**, ensuring that fair and rigorous processes are undertaken and feedback of these is circulated and followed-up effectively and efficiently.
- **Champion the use of Pure** as outlined in the Coventry University Open Access Policy and in line with the future REF submission, use Pure as the tool for any mock reviews.
- **Make decisions**, together with the UoA Leads, Academic Impact Leads and Impact Officers, **on which case studies are to be submitted** and support the development of these.
- Work closely with UoA Leads to **support the development of the environment narrative**.
- **Liaise with the other Main Panel Leads** to see if outputs/impact case studies could be used by other panels.

Appendix 3

UNIT OF ASSESSMENT LEADS: a brief role description

Unit of Assessment Leads (UoA Leads) represent each UoA that the university is intending to submit to for the REF2021.

Overall purpose: To provide academic leadership, guidance and support to the overall REF submission for a relevant UoA, in collaboration with the Deputy Vice-Chancellor (DVC)(Research), Associate Pro-Vice-Chancellor (APVC) (Research), Panel Leads and the Research Excellence Unit (REU).

Responsible to

Main Panel Lead (as appropriate to UoA)

Key contacts

DVC (Research), APVC (Research), Academic Impact Lead(s); REU staff; relevant academic staff

Key activities

- **Collaborate with and report to** the relevant Main Panel Lead to develop, co-ordinate and (where necessary) refine strategy for the university's REF submission with reference to a specific UoA.
- **Provide leadership, advice and support** on all issues relating to research planning, impact, performance metrics and published guidance relating to the UoA.
- **Take ownership and responsibility** for a specific UoA in relation to the selection of outputs and impact case studies, making recommendations to the Main Panel Lead on the submission of these as relevant. Liaise closely with Academic Impact Leads and Impact Officers about the development and enhancement of impact case studies. Make recommendations to the Main Panel Lead about value for money in terms of the relationship between funding that might be sought and the significance and quality of the projected outcomes for the impact case study.
- **Consider the widest available staff pool** for the UoA, beyond a specific research centre/institute/faculty in line with the university's REF2021 Code of Practice.
- **Optimise the UoA submission** by drawing on the strengths across all aspects of the UoA, whilst addressing weaknesses and working to mitigate these with the relevant staff to reach the required standard.
- Where appropriate, **present options and represent UoA** at the relevant working groups, boards and committees.
- **Work closely with the Research Excellence Officers** on REF communications and updates, sharing knowledge of requirements within the UoA; **acting as a local expert** on REF requirements and university preparations in collaboration with the REU.
- **Ensure that outputs undergo rigorous review**, internally and externally, in order to assess quality prior to inclusion for the REF in collaboration with the relevant Research Excellence Officer.
- Within the UoA, **identify potential outputs for double-weighting** and have a **sound understanding of compliance with Open Access requirements**.
- **Liaise with other UoA Leads** to see if outputs/Impact case studies could be used by other UoAs.
- **Liaise with REU and the People Team** to identify staff who left the university after January 2014, but whose outputs could be submitted to the UoA.
- **Understand the potential implications of co-authorship** within and between UoAs.
- **Work closely with the relevant Research Excellence Officer to co-ordinate review processes**, to record reviewer feedback and scores, and to share results with the relevant staff.
- **Ensure that all relevant information regarding outputs is recorded on Pure**, to comply with the Coventry University Open Access Policy and in line with the future REF submission, use Pure as the tool for any mock reviews.

- **Work with the Impact Officers and Academic Impact Leads** to understand the inter-relationship of case study quality, selection, placement and staff numbers for the UoA.
- The UoA Leads will **have an overview of the impact case studies** in their UoA and are expected to refine these prior to submission, but will not be responsible for drafting them (this will be undertaken by the case study lead and supported by the Impact Officers).
- **Take responsibility for the development of a coherent narrative for the UoA section of the environment statement**, and collect, capture and check data required for the environment element of the submission in collaboration with REU.

Appendix 3

ACADEMIC IMPACT LEADS: a brief role description

Impact Leads may represent a whole Research Centre/Institute, or a theme/sub-group within the Centre. In this document, 'Centre' is used as the unit which the individual represents, but please adjust accordingly if you are representing a theme or sub-group.

Overall purpose: To play a leading role in supporting the development of impact case studies within the Centre as well as championing the creation of impact from research as 'business as usual', in collaboration with the relevant Research Impact Officer (RIO), Unit of Assessment (UoA) Lead and relevant Centre colleagues.

Responsible to

UoA Lead(s)

Key contacts

Research Excellence Unit staff; Panel Lead(s); relevant academic staff

Key activities

- 1) **Provide a point of contact between the RIO and the Centre**, e.g. to direct the RIO towards relevant colleagues/projects within the Centre which may contribute to impact case studies for the REF.
- 2) Working with the RIO and relevant Centre colleagues where appropriate to:
 - **develop and maintain a sound level of knowledge and understanding about impact within the context of the REF** and in particular what makes a 3* or 4* impact case study (e.g. by engaging with relevant sources of information, undertaking relevant training and development activities);
 - **build knowledge and understanding with Centre colleagues as appropriate**, (e.g. by disseminating relevant information, identifying/contributing to training and development activities).
- 3) **Develop and maintain a broad overview of research-related activity within the Centre** (e.g. current and forthcoming projects, fellow researchers and their interests, Centre research priorities and narratives).
- 4) **Contribute to impact-related events/meetings** (e.g. impact and REF working group meetings and training workshops).
- 5) **Liaise with and provide information**, pertinent to the development of case studies or the enhancement of impact, to the RIO and other colleagues involved in REF preparations as required; this includes, but is not limited to UoA Lead(s) and Panel Leads.
- 6) **Be an active member of any university-wide impact working group** and provide reports/feedback on REF/impact related activities to the relevant people.
- 7) **Advise on the distribution of university Impact Acceleration resources**, as these come online.
- 8) **Assist in the drafting and editing, and review of case studies**, in collaboration with the relevant case study lead(s) and the RIO.
- 9) **Working with the RIO, contribute to a dashboard or pipeline of research impact**, which includes prospective case studies, readiness level for the REF, current and required evidence and potential quality level.
- 10) **Coordinate the collecting of evidence** related to impact and ensure link to research excellence.
- 11) **Champion impact within the Centre** in order for this activity to become 'business as usual' together with the RIO (e.g. training workshops, impact development activities pertinent to the Centre).

Appendix 4

University Research Committee: Constitution and Terms of Reference

1 Purpose and scope

.1 The function of the University Research Committee is to establish strategy and policy, monitor, manage, quality assure and report to the Academic Board all aspects of research within the University. Specifically, it has delegated authority from the Academic Board with respect to:

(a) the organisation, award and quality assurance of postgraduate research and professional doctorate degrees;

(b) oversee the research activities in the research centres and receive annual reports on activities;

(c) promote, develop and sustain research of international standing in alignment with the University's Corporate Plan and Research Strategy;

(d) monitor developments and trends in research within the University and externally - including analysis of challenges and opportunities in research funding - and will develop strategy and policy within the context of continual improvement;

(e) monitor, and report to the Academic Board and Board of Governors on all aspects of research within the University, including resource implications.

.2 The Research Committee has delegated authority from the Board of Governors to monitor the performance of all University and Faculty Research Centres against key performance indicators.

2 Terms of reference

.1 To advise the Academic Board, the Board of Governors and the Vice-Chancellor (as appropriate) on all matters relating to research and the resources and structures necessary to support such activity.

.2 To ensure that all research meets the University's ethical standards and governance guidelines.

.3 To identify and manage appropriately any risk in matters relevant to the purpose and scope of the Research Committee.

.4 To support the development and monitor the implementation of the University's Research Strategy and achievement of the corporate targets relating to research.

.5 To monitor the research performance of the institution through its research centres, financial sustainability (generation of research income), impact and research integrity drawing on national and international benchmarking data.

.6 To champion and promote research excellence, and to develop, promote and monitor policies and practices to stimulate outstanding research in existing and nascent research centres.

.7 To take a view on developments within the University that impact upon research and researchers (from PGR to professor), and to make recommendations to relevant committees, the group leadership team and the Vice-Chancellor as appropriate.

.8 To endorse the establishment of University and Faculty/School Research Centres having regard to the business, research and HR development plans which shall include key milestones and key performance indicators.

.9 To set internal policy and monitor progress against both internal key performance indicators and external requirements (e.g. external research assessment, Concordat for Engaging the Public with

Research, Concordat to Support the Career Development of Researchers and Concordat for Supporting Research Integrity).

.10 To support the University in its engagement with key external stakeholders relating to research, including business, industry, the government and funding agencies.

.11 To oversee and monitor the quality of postgraduate research and professional degree provision as defined by the University's Academic Regulations, QAA Quality Code research degree provision and national and international policy and benchmarks.

.12 To have oversight of regulations and policies relating to research degrees, including to recommend for approval to Academic Board new programmes, collaborative agreements and joint research degree programmes.

.13 To consider and make recommendations on Research Degree fees to the University leadership Team.

.14 To oversee and monitor the quality of the University's training and development offer for researchers.

.15 To receive quarterly reports from the Chair, Associate Deans (Research), Associate Pro-Vice Chancellor, Research and the Director of the Doctoral College and Centre for Research Capability and Development, the University Research Centres and the Vice Chancellor's Envoy for International Research Partnerships, and an annual report on facilities from the Group Chief Operating Officer - in order to advise the Deputy Vice-Chancellor for Research on areas where improvements could be made, where there are significant risks and/or where new opportunities may be pursued.

.16 To monitor and influence the development of research policy and strategy of key national and international agencies in the interests of the University (eg HEFCE, Research Councils, European Union).

.17 To establish such formal sub-committees as are necessary for effective discharge of its responsibilities and to report on these arrangements to Academic Board; to establish such working or advisory groups as are necessary.

3 Constitution

.1 The constitution of the University Research Committee is:

- (a) An independent Chair appointed by the Registrar & Secretary in consultation with the Vice-Chancellor;
- (b) Deputy Vice-Chancellor for Research (ex officio);
- (c) Director of the Doctoral College and Centre for Research Capability and Development (ex officio);
- (d) Associate Pro-Vice-Chancellor for Research (ex officio);
- (e) Director of Research Services (ex officio);
- (f) Academic Deans of Faculty (ex officio);
- (g) Faculty Associate Deans (Research) (ex officio);
- (h) Institutional lead on Research Strategy and Policy (ex officio);
- (i) Director of Enterprise and Innovation (ex officio);
- (j) University Research Centre Directors (ex officio);
- (k) Two postgraduate researcher representatives (appointed for each year);
- (l) Two Early-career researcher representative - alumnus of the ECR programme (appointed for 3 years);
- (m) Vice Chancellor's Envoy for International Research Partnerships (ex officio);
- (n) University Librarian and Group Director of Learning Resources or nominee.

.2 Attendance: The Vice-Chancellor, the Group Secretary and Registrar and a Governor with a sound understanding of high quality research with impact, nominated by the Board of Governors, have the right to receive papers, to attend and speak.

.3 The Committee shall have the power to co-opt up to two other persons either internal or external to the University, having particular expertise or experience, to participate in the work of the Committee, either on an ad hoc basis or as formal members.

.4 The Committee will strive to maintain a membership that reflects a rich diversity, taking positive action to achieve this where necessary. In meeting this objective the Committee shall have the power to co-opt additional members, including the co-option of research students as appropriate.

.5 The quorum shall be half of the stated membership.

4 Administrative arrangements and notes

.1 Conduct of Meetings and Minutes will be in accordance with the procedures and notes for guidance promulgated by the Group Registrar & Secretary.

.2 Meetings are normally expected to take place four times per academic year (typically during October, February, May and early July), in accordance with the Committee calendar.

.3 The Secretary is designated by the Group Registrar & Secretary from members amongst the Research Office.

.4 Sub-committees that will report to the University Research Committee are:

- Faculty Research Committees (FaRCs)
- Research Ethics Committee
- Doctoral College and Centre for Research Capability and Development Steering Committee
- Research Excellence Framework Working Group

.5 Formal reports and minutes will be received on a regular basis as follows:

- Reports from the Associate Deans (Research);
- Report from the Associate Pro-Vice Chancellor, Research (Research Ethics and developments within the Research Office);
- Report from the Director of the Doctoral College and Centre for Research Capability and Development;
- Report from the University Research Centres;
- Report from the Vice Chancellor's Envoy for International Research Partnerships;
- Minutes of the meeting of the Faculty Research Committees (FaRCs);
- Minutes of the meeting of the Doctoral College Steering Committee;
- Minutes of the Ethics Committee;
- An annual report on facilities from the Group Chief Operating Officer.

.6 Circulation of Paper Vice-Chancellor All Members of the Committee Group Registrar and Secretary

Appendix 4

Academic Board Constitution and Terms of Reference

1 Purpose and scope

The Academic Board is responsible, within the framework of the Articles of Government of the University and the overall responsibilities of the Board of Governors and the Vice-Chancellor, for the development and oversight of the academic work of the University Group.

2 Terms of reference

.1

To advise the Board of Governors on the educational character and mission of the University.

.2

To advise the Vice-Chancellor on the academic organisation of the University, including the establishment of Faculty/School Boards.

.3

To be responsible for academic standards and oversee all matters of quality in relation to teaching, learning and assessment across the University Group.

.4

To ensure that course development and review, teaching and learning and research align with the University's strategic plans approved by the Board of Governors.

.5

To determine academic policy and to monitor the implementation and effectiveness of such policies.

.6

To co-ordinate and regulate the work of Faculty/School Boards, and to delegate responsibilities thereto as appropriate.

.7

To keep under review the development of the academic work of the University, including academic support services, general student services, and those services which impact on the student experience, making determinations or recommendations as appropriate.

.8

To oversee the development of new courses and other academic activities in consultation with Faculty/School Boards and to advise the Vice-Chancellor and where relevant the Board of Governors thereon, including on the resource implications.

.9

To exercise responsibility for academic standards and the validation and review of courses and of programmes leading to research degrees, where appropriate by delegation, subject to the requirements of validating and accrediting bodies.

.10

To make arrangements for the exercise of responsibility for the admission of students, teaching, curriculum content, timetabling and semesterisation, completion, assessment and examination of the academic performance of students, procedures for the award of qualifications, (subject to the requirements of any external bodies where appropriate) and for the expulsion of students for academic reasons.

.11

To consider reports and recommendations referred from Committees and equivalent Academic Boards/Committees of subsidiary companies within the University Group in respect of academic policy, the enhancement of teaching, learning and assessment and other matters affecting the student experience.

.12

To determine the University's Academic Regulations, and to make recommendations to the Board of Governors in respect of amendments to the General Regulations as appropriate.

.13

To determine the regulations relating to the definition of University awards and the implementation thereof.

.14

To appoint or remove examiners or, where relevant, recommend the appointment or removal of examiners to external validating bodies, for taught courses and research degrees across the University Group.

.15

To advise the Board of Governors on rules concerning the conduct of students, including procedures for suspension and expulsion.

.16

To advise the Board of Governors on arrangements to ensure that students have an appropriate opportunity to raise matters of proper concern to them at all levels in the University, and on procedures to be followed to that end.

.17

To oversee the quality of Further Education (FE) provision across the University Group and determine matters relating thereto.

.18

To keep under review the development of the research activities of the University, including the resources to support them and to advise the Vice-Chancellor and Board of Governors thereon.

.19

To determine University policy for the development of research in line with the University's Research Strategy approved by the Board of Governors.

.20

To consider reports and recommendations referred from the Research Committee, Vice-Chancellor and Board of Governors as appropriate.

.21

To establish such Committees as it considers necessary for purposes enabling it to carry out its responsibilities providing that each establishment is first approved by the Vice-Chancellor and the Board of Governors.

.22

To determine the number of members of its approved committees, and the terms on which members are to hold and vacate office.

.23

To establish 'task and finish' groups as it considers necessary to advise it on matters within its purview and to consider and determine recommendations relating thereto. The membership of such groups shall be determined by Academic Board.

.24

To advise on such other matters as the Board of Governors or the Vice-Chancellor may refer to the Academic Board.

3 Constitution

.1 The constitution of Academic Board is

- (a) Vice-Chancellor, ex officio
- (b) Provost, ex officio
- (c) Deputy-Vice Chancellors with Academic Portfolios, ex officio
- (d) Academic Deans and CEOs of Academic Subsidiaries, ex officio
- (e) Four Senior Academic Members of Staff nominated by Academic Deans (one per Faculty)
- (f) Librarian, ex officio
- (g) Group Registrar & Secretary, ex officio
- (h) Two students nominated by Coventry University Students' Union

4 Administrative arrangements and notes

.1

Conduct of Meetings and Minutes will be in accordance with the procedures and notes for guidance promulgated by the Registrar & Secretary.

.2

Meetings are normally expected to take place four times per year in accordance with the Committee calendar.

.3

The Secretary is designated by the Group Registrar & Secretary.

Approved by the Board of Governors February 2018

Appendix 4

Coventry University REF Working Group: Terms of Reference

1 Scope

.1

The overarching aim of the Group is to develop, promote and maintain a streamlined approach to the REF preparations, which optimises the University submission and, thus, produces a successful REF submission.

.2

REF preparation includes all elements which are part of the submission:

- Outputs (e.g. publications, performances and exhibitions)
- Impact beyond academia
- Environment that supports, facilitates and develops the research

.3

Report to the University Research Committee on all aspects of the REF preparations, including strategy and monitoring and highlighting best practice and risks.

2 Objectives

.1

Develop the **Institutional Code of Practice** for selection of Staff and Outputs, and identification of independent researchers.

.2

Share knowledge and best practice across Faculties and URCs and identify and implement mechanisms so that colleagues involved in REF preparations can continuously benefit from good practice and therefore optimise their submission.

.3

Interpret Research England guidance, based on the Research Excellence Unit's recommendations and provide a steer for its implementation across the institution.

.4

Develop and promote an institution-wide **understanding of the REF and all its related activities**.

.5

Consider the Equality and Diversity implications of the Research England guidance, including Equality Impact Assessment monitoring.

.6

Ensure that all research identified for **submission meets the REF's standards, guidelines and the university's REF2021 Code of Practice**. This includes technical compliance (e.g. with open access rules) and adherence to the University's quality standards.

.7

Oversee the biannual REF Reviews, analysing the submissions against the University's REF Strategy (outputs and impact case studies) and report the findings to the University Research Committee.

.8

Be responsible for **making recommendations to the University Research Committee**, following review and scrutiny of UoA recommendations for output selection, impact and environment.

.9

Agree content for those sections **of the environment narratives** which are common across the institution, and share best practice across all narratives.

.10

Contribute to the **review of REF Impact Case studies and environment narratives**, and provide detailed feedback to authors to enable these narratives to be developed to the highest possible quality.

.11

Working with the REU to develop and publish a **Coventry University REF Timetable**, indicating the key dates leading up to submission.

.12

Act as a conduit of communication for addressing staff concerns.

.13

Agree and develop internal funding sources for impact acceleration activities to support the development of impact case studies.

.14

Ensure the use of Pure across the institution for the preparation of the REF submission.

.15

Identify training needs in relation to outputs and impact for relevant staff.

Membership & Meetings

.1

The Group will meet every two months, commencing November 2018.

.2

The Chair will decide on a meeting by meeting basis whether to circulate the minutes to other interested parties, e.g. member of the University Leadership Team (ULT). Furthermore, the Group is responsible to the University Research Committee and will, as such, report formally after each meeting.

- Associate Pro-Vice-Chancellor (Research) – Chair
- Director of Research Services
- Head of Research Excellence Unit
- Senior Impact Officer
- Research Excellence Officer
- REF Panel Leads
- Representation from the People Team
- An Early Career Researcher Representative
- Equality, Diversity and Inclusion Manager
- Coventry University staff who are official REF2021 Panel members
- Attendance from Unit of Assessment Leads and Academic Impact Leads when relevant to the agenda
- Secretary (Member of staff from Research Excellence Unit)

Appendix 5

PRINCIPLES OF ASSOCIATED MEMBERSHIP OF RESEARCH CENTRES



1.0 INTRODUCTION AND BACKGROUND

- 1.1 Coventry University's Research Strategy to 2021 "Excellence with Impact" has recently been updated and clearly focuses on the development and growth of University and Faculty Research Centres.
- 1.2 "Excellence" is defined as a combination of originality, significance and rigour and assessed through measures which include, but not limited to, the number of research outputs (publications) and citations. "Impact" is auditable economic, social, cultural, policy-influencing or practice-enhancing depending on the discipline(s) involved.
- 1.3 Delivering a research agenda which focuses on research excellence with impact will dramatically improve the key metrics used to evaluate research activity, both in the Research Excellence Framework (REF) and the national and international league tables.
- 1.4 At a strategic level, Research Centres will form the focus of the University's submission to REF2021 and staff with a significant research focus will be embedded within a Research Centre to achieve this.
- 1.5 Research Centres should seek to engage and support staff who are new to the University and have a strong research profile, alongside current staff who may be looking to return to research after a period of time being teaching focused, or away from research due to family or other commitments.
- 1.6 An increase in the number of staff within a Research Centre increases the pool of members who may be able to submit to the REF. This helps develop critical mass around research at the operational level within FRCs, Faculty and ultimately the University as a whole; which in turn helps generate research excellence and impact.

2.0 WORKFORCE IMPLICATIONS

- 2.1 There are 4 key principles of the research strategy that have implications for the academic workforce. These are:
 - 2.1.1 All research focussed academics (>50% allocated to research) will be employed in the Research Centre.
 - 2.1.2 All research focussed academics will be expected to spend a minimum of 20% of their time on teaching activities to enrich the learning experience of our students and deliver 'research informed teaching'.
 - 2.1.3 All academic staff will be expected to spend a minimum of 20% of their time on scholarship, including, but not limited to, research, discipline based scholarship, creative professional practice, enterprise and commercial projects, and non-award bearing CPD (as agreed with their line managers) imparting to them the 'authority to teach'.

- 2.1.4 All teaching focussed academics (>50% allocated to teaching) may have the opportunity to be fractionally seconded as an associated member of one of the Research Centres, subject to meeting the criteria set out in section 4.0.
- 2.1.5 The above process will be implemented on a rolling basis.

3.0 ASSOCIATED MEMBERSHIP OF RESEARCH CENTRES – GENERAL PRINCIPLES

- 3.0 All teaching focused academics may apply to have between 20% - 49% of time allocated to them for scholarly activities which could include research as an Associate member of a Research Centre. Ideally this time should be contiguous i.e. a day a week. Whilst the ideal time allocation is 30% -40%, should an individual wish to spend more than 50% time on research, then they must seek to join a Research Centre as a core member through approved and advertised opportunities.
- 3.1 Affiliation to a Research Centre needs to be with the agreement and support of the individual's line manager. An Expression of Interest form must be completed and submitted which, if approved, will be submitted to the ADR who will arrange a meeting with the Head of School and the Centre Director to discuss how the individual's research aligns to the themes of the Centre, the individual's aspirations, and the potential outputs that may be generated. The people plan for the respective area and any requirement for backfill must also be considered. There must be no negative impact on the Centre's salary costs as a result of Associate membership of a Research Centre. The ADR is the final arbiter.
- 3.2 Decisions regarding staff development and funding will remain the responsibility of the line manager.

4.0 CRITERIA

- 4.1 The individual's research must align with the research remit of the Centre and must be able to demonstrate impact.
- 4.2 The individual needs to be in possession of a Research Degree or equivalent professional standing, or be in the process of studying for one.
- 4.3 The individual needs to demonstrate a clear evidenced research track record, documented through the University's CORE system. Additionally, the individual must fully engage with the PURE system.
- 4.4 The individual needs to demonstrate a clear plan for grant income. The Research Centre will hold any grant won by an Associate member, but any School staff time recovered from the grant will be returned to the School.
- 4.5 The Associate membership will be time bound (minimum of 3 years) with a clear set of research objectives jointly agreed with the line manager and the Centre for continued involvement in the Research Centre. The objectives should be uploaded to the CORE system and will be reviewed regularly as part of an on-going performance management process which will incorporate feedback on research performance from the Centre.

4.6 Continued association with the Research Centre is based on the satisfactory achievement of and engagement with the agreed CORE objectives and outputs. Should an individual fail to meet these requirements, the concerns will be discussed with the individual and appropriate support will be provided. If there continues to be insufficient improvement, the ADR, Head of School and Centre Director will decide on the most appropriate action to be taken and this will be communicated to the individual. Action taken could include the implementation of a performance improvement plan, or the termination of the Associate membership which will result in the individual being reverted back to their substantive role on a date to be agreed by all parties.

5.0 IMPLEMENTATION

5.1 Association is voluntary by expression of interest. All teaching focussed academics will be given the opportunity to express an interest by completing an Expression of Interest form (Appendix 1).

5.2 The application process is on a continuing basis. However, the actual date of commencing membership into the Centre will be agreed on an individual basis.

5.3 If the Associated membership is agreed, this will be on the basis of a part time secondment to the Centre. It is the line managers' responsibility to complete and upload a Secondment form, attaching the completed Expression of Interest form onto the People Gateway. Where there are five or more Associates to be confirmed at any one time, the line manager should complete the Associates spreadsheet and attach each of the individual's Expression of Interest forms for uploading onto the People Gateway. Copies of the forms and templates can be found on the Associates area of the People Gateway.

5.4 A letter will be sent to the Associate member from the People Customer Service Centre confirming the start and end dates of the secondment, the job title of Associate and the number of days to be spent in the Centre. All other terms and conditions will remain unchanged. The changes will be recorded on the CHRIS system, which will detail two records; the individual's substantive role and the secondment. Annual leave will be recorded in hours and allocated to the appropriate position according to the working pattern.

5.5 There will be no change to cost centres and no transfer of budget, unless it is appropriate to allocate the Associate to a specific funded research project where it is necessary to charge the individual's time to the project.

5.6 Should an individual chose to end their secondment early, they must notify their line manager who will inform the ADR, Head of School and Centre Director to discuss and agree an end date for the Associate membership.

6.0 **PROCEDURE**

STEP 1 - CRITERIA FOR APPLICATION

Prior to submitting an Expression of Interest form, the individual should consider how they are able to meet the criteria as detailed in Section 4. Consideration should also be given to any local criteria implemented within the Faculty.

STEP 2 – GAINING AGREEMENT

Before an Expression of Interest form is submitted, the individual should consider how the requirements of becoming an Associate member of a Research Centre may impact on their current role. A discussion should take place with the line manager and the Centre Director to determine the impact on the business and to enable the individual to identify clearly how they meet the criteria in Step 1. Where appropriate, the individual may wish to consult with the relevant Unit of Assessment lead.

STEP 3 – COMPLETING THE EXPRESSION OF INTEREST FORM

Following agreement, the individual should complete the 'Expression of Interest' Form (Appendix 1) attaching accompanying evidence from the PURE system, where appropriate. The completed documentation should be submitted to the line manager for approval. Once approved, the line manager should sign the form and forward this to the ADR who will review the documentation to ensure that the individual meets the criteria, including local Faculty requirements.

If the application is unsuccessful at this point, the ADR should notify the line manager to provide feedback and the line manager should subsequently meet with the individual to discuss a research development plan.

STEP 4 – DECISION MAKING PROCESS

If the application is successful at Stage 3, the ADR will forward the Expression of Interest to the Head of School and the Research Centre Director for their consideration and a meeting will be arranged for all parties to jointly review the application in further detail, taking into consideration the individual's research profile, aspirations, outputs and contribution to the Centre. The ADR is the final arbiter.

At the point of agreement, the Associate arrangements should be discussed and documented on the Expression of Interest form. The detail should include the date of commencement, time allocated to the Centre and working pattern, proposed objectives and required outputs. The outcome of the meeting and details of the arrangements will be communicated to the individual's line manager.

STEP 5 – COMMUNICATING THE OUTCOME

As soon as is reasonably practicable, the line manager should communicate the outcome of the meeting to the individual. If successfully appointed as an Associate member, the arrangements will be discussed with the individual. The research objectives should be agreed and input onto the CORE system which will be used as an on-going framework for measuring performance.

If the application is unsuccessful, the line manager will meet with the individual to provide feedback and support the individual in developing a research plan. Should an individual wish to appeal against the decision taken, they should submit this in writing to the relevant discipline PVC, outlining the reasons.

STEP 6 – PROCESSING THE APPLICATION

The line manager of the individual should submit a Secondment form, attaching the authorised Expression of Interest form onto the People Gateway. A link can be found [here](#).

The line manager should notify the Research Centre Director and the ADR upon completion of the submission process.

The People Customer Service Centre will amend the individual's profile on the CHRIS system to show both the substantive role and the Associate secondment. The CHRIS system will automatically annualise annual leave. A secondment letter will also be issued to the individual, confirming the arrangements.

STEP 7 – ROLE AND RESPONSIBILITIES

	Role and responsibilities of the School	Role and responsibilities of the Associate
To work jointly with the School to set performance objectives, providing regular feedback to the individual line manager for uploading into the CORE system	<p>The ADR ensures that Associate membership applications meet the criteria, including local Faculty requirements</p> <p>To work jointly with the Centre to set Research performance objectives.</p> <p>To seek regular feedback from the Centre and ensure that performance is managed on an on-going basis through CORE</p> <p>ADR ensures Associate membership applications meet the relevant criteria</p>	<p>To manage dual responsibilities to the School and the Centre.</p> <p>To diligently work towards successfully achieving objectives set in both the School and the Research Centre.</p>
Access should be given to training and development workshops relating to developing the skills necessary to achieve the research objectives.	To support development opportunities	To seek out learning opportunities.
To support working arrangements that have been locally agreed between the Research Centre Director and the HOS.	To support working arrangements that have been locally agreed between the Research Centre Director and the HOS. To manage day to day processes such as holiday requests etc.	To actively work towards the research objectives, actively engaging with the Centre.
<p>Support for internal and external bids will be provided.</p> <p>Grants submitted by the Centre that include Associate time must be agreed in advance with the HoS.</p>		Contributing to new and existing research projects, supervising PhDs, attending meetings, seminars and events as required.
The Research Centre should provide a research mentor from within the Centre.		

ASSOCIATED MEMBERSHIP OF RESEARCH CENTRES

EXPRESSION OF INTEREST FORM FOR TEACHING FOCUSED ACADEMICS

You are invited to express an interest in joining a Research Centre as an Associate Member. Joining a Research Centre as an Associate is voluntary and you should read the attached document “Principles of Associated Membership of Research Centres” before expressing an interest. If your expression of interest is approved, you will be seconded to the Research Centre for at least 20% of contiguous time for a 3 year period and there will be no change to your grade/salary.

If you are already informally associated with a Research Centre you should complete and submit this form to formalise the arrangements.

Once you have completed this form please forward to your Line Manager.

Name:

Job Title:

Grade:

School/Faculty:

ORCID ID:

Please state the name of the Research Centre that you would like to be associated with:

Meeting the Criteria:

- Do you hold a Research Degree or have equivalent experience, or are you in the process of studying for a Research Degree? Yes/No

If studying, please state the anticipated completion date:

If you have equivalent experience, please provide further detail:

- Amount of time requested (in days) to spend as an Associate Member in the Research Centre (minimum of 20% of contiguous time):
- Please provide a brief overview of your research area (no more than 400 words), including details and evidence to demonstrate how your research aligns to the themes of the Research Centre and to the Unit of Assessment that you will be supporting.
- Please outline details of the outputs you are planning to publish. Please also outline details of outputs that you have already produced, including evidence downloaded from Pure.
- Please outline below your plans for research grant income (no more than 400 words):

- Please detail the research grants you have won since 1st August 2013 as either a Principal Investigator or Co- Investigator.
- Please detail your Research Supervision track record, including name, thesis title, funder and year awarded for all PhDs supervised in the last five years.
- Please outline your future career aspirations and identify how your association with a Research Centre can support you with this (no more than 400 words). Please detail how you would contribute to the Research Centre and identify how the Centre could support you as an Associate Member.
- For staff who have participated in the ASPIRE programme, please provide evidence of your successful completion of this programme including examples of your key achievements.

I confirm that I have read and understood the attached “Principles of Associated Membership of Research Centres”.

Signed:

Date:

Note: Please forward the completed form electronically to your Line Manager.

For Line Manager Use

I support/do not support this expression of interest (please delete as appropriate).

If you do not support the application, please ensure that you feedback to the individual directly.

Signed:

Date:

For Associate Dean (Research) Use

I support/do not support this expression of interest (please delete as appropriate).

Progress to next stage: Yes/No

Comments:

Signed:

Date:

For Head of School and Centre Director Use

Please record your comments and decision below.

Final Decision: Proceed as Associate Member **YES/NO**

Date to Commence Membership:

Agreed days to be allocated to the Centre (please details working pattern):

Objectives/Comments/Required outputs:

Signed by Head of School:

Date:

Signed by Centre Director:

Date:

Please return the completed form to the line manager who will communicate the decision to the individual and will ensure that the authorised document is uploaded onto the People Gateway, for processing.

Appendix 6

Explanations for the involvement of specific staff roles in REF-related decisions.

Significant responsibility for research: Appeal

Role	Explanation
Pro Vice Chancellor (PVC) (Strategic Developments, Business Transformation) (Chair)	A member of the university's senior leadership team who is independent of previous stages of the process.
Associate Dean (Research) who is one of the university's Main Panel Leads but not for the UoA associated with the member of staff's research area	They have experience and knowledge of the REF and internal processes but are separate from the individual's research area and can therefore provide an impartial view.
Director of Research Services	Their remit includes oversight and responsibility for the development of the university's REF submission.

Research independence: Decision

Role	Explanation
Associate Dean (Research)	As the Main Panel Lead for the relevant UoA, ADRs have the relevant knowledge and oversight to ensure consistency of decisions, for their panel, in relation to Research Independence.
UoA Lead for the relevant area	As the Lead for the relevant UoA, they have the required detailed knowledge of their UoA and staff, and can apply the indicators in relation to that area.

Research independence: Appeal

Role	Explanation
Pro Vice Chancellor (PVC) (Strategic Developments, Business Transformation) (Chair)	A member of the university's senior management team who is independent of previous stages of the process.
Associate Dean (Research) who is one of the university's Main Panel Leads but not for the UoA associated with the member of staff's research area	ADRs have experience and knowledge of the REF and internal processes but are separate from the individual's research area and can therefore provide an impartial view.
Director of Research Services	The remit of this role includes oversight and responsibility for the development of the university's REF submission.

Staff circumstances: Decision

Role	Explanation
Pro Vice Chancellor (PVC) (Strategic Developments, Business Transformation) (Chair)	A member of the university's senior management team who is independent of previous stages of the process
Associate Dean (Research) (ADR)	ADRs have an oversight of the university's REF process and an understanding of the REF rules and requirements. Depending on the purpose of the meeting, the ADR will either be involved because of their knowledge about the process/panel or to oversee for an alternative panel to ensure/add impartiality and consistency.
Head of Research Excellence	The remit of this role includes oversight and responsibility for the development of the university's REF submission.
Equality, Diversity and Inclusion Manager	To advise on the university's duties under the Equality Act 2010.
Senior People Partner (Research)	To provide information and guidance on the university's policies and procedures.

Staff circumstances: Appeal

Role	Explanation
Deputy Vice Chancellor (Strategic Alignment and External Relations)	A member of the senior management team with no prior involvement at any stages of the process.
Academic Dean	A senior member of staff who is outside of the REF process and therefore can offer an impartial view.
Director of Research Services	The remit of this role includes oversight and responsibility for the development of the university's REF submission.
Group Deputy Director of People	To provide information and guidance on the university's policies and procedures.

Appendix 7

Declaration of Individual Staff Circumstances (REF2021)

This form has been sent to all Category A staff whose outputs are eligible for submission to the REF2021. For more information about how this form will be used and the process that will be followed please see [Part 4](#) of the Code of Practice.

As part of our commitment to supporting equality and diversity in the REF, we have put in place safe and supportive structures for you to declare information about any equality-related circumstances that may have affected your ability to research productively during the assessment period (1 January 2014 – 31 July 2020), and particularly your ability to produce research outputs at the same rate as staff not affected by circumstances.

There are three purposes for collecting this information:

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

Applicable circumstances

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

If your ability to research productively during the assessment period has been constrained due to one or more of these circumstances, you are requested to complete this form.

Further information can be found in paragraph 160 of the '[Guidance on submissions](#)' (REF 2019/01). Completion and return of the form is voluntary, and if choose not to return it, you will not be put under any pressure to declare information if you do not wish to do so.

This form is the only means by which the university will be gathering this information. We will not be consulting HR records, contract start dates, etc. for this process. You should therefore complete and return the form if any of the above circumstances apply and you are willing to provide the associated information. Please note that Research England require verifiable evidence for any such cases that the university includes in its submission.

Ensuring Confidentiality

We respect the confidentiality of our staff and the sensitive nature of the information that may be returned as part of this process. All information you provide will be treated in accordance with the university's Data Protection Policy and GDPR. All information will be kept securely and destroyed on completion of the REF2021 in December 2021, in line with Research England's retention timeframes.

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

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

Changes in circumstances

We recognise that staff circumstances may change between completion of this form and the census date (31 July 2020). If this is the case, please contact REF2021staffcircs@coventry.ac.uk to provide the updated information.

Declaration of Individual Staff Circumstances form (REF2021)

To submit this form, please email it to REF2021staffcircs@coventry.ac.uk

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

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

Part A

Please select one of the following options:

- I have personal circumstances which I wish to declare. *Please complete parts B, C and D of this form.*
- I have personal circumstances but do not want to declare or request a reduction. *Please complete parts B, C and D of this form.*
- I do not have any personal circumstances to declare. *Please complete part D of this form.*
- I prefer not to say. *Please complete part D of this form.*

Part B

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

Yes

No

Part C

Please provide requested information in the relevant box(es).

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

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

Part D

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 the purposes of the REF and to inform whether additional support can be provided and will be seen by:
 - the Pro Vice Chancellor (Strategic Development, Business Transformation).
 - an Associate Dean (Research) who is not the Panel Lead for my UoA.
 - the Equality, Diversity and Inclusion Manager.
 - the Senior People Partner (Research).
 - Research Excellence Unit staff; and
- I realise that, if my request is heard by appeal, the above information will also be seen by:
 - the Deputy Vice Chancellor (Group Development and Resources).
 - an Academic Dean (for a Faculty not connected to my Research Centre/UoA).
 - the Director of Research Services.
 - the Group Deputy Director of People.
- I realise it may be necessary to share the information with the REF team at Research England, the REF Equality and Diversity Advisory Panel, and Main Panel chairs.

I agree

I give my permission for a People Team partner to contact me to discuss my circumstances, and my requirements in relation to this.

I give my permission for the details of this form to be passed on to the relevant contact within my school/faculty/centre. (Please note, if you do not give permission your school/faculty/centre 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

Name: Print name here

Signed: Sign or initial here

Date: Insert date here

Additional support

The university provides a range of services and support. More information about the support available can be accessed by staff at the following links:

- [Information for staff with a disability and/or health condition.](#)
- [University Counselling Service.](#)
- [Equality and Diversity Advisers.](#)
- [Staff Equality Groups.](#)

Appendix 8

Privacy Notice

Coventry University REF2021 Data Collection Statement and Privacy Notice

Who the REF2021 Privacy Notice is relevant to

Current Coventry university employees (employed during the REF assessment period of 01 August 2013 – 31 July 2020) who are considered to be REF-eligible (Category A eligible). See Parts 2 and 3 of the Code of Practice for more information about eligibility. (see Table 1).

Former Coventry university employees (employed during the REF assessment period) who were REF-eligible at the time of ceasing employment and who have research outputs that were generated while they were employed at the university during the REF assessment period (see Table 2).

Individuals who are not employed by the university but who have provided testimonials concerning the development of impact case studies in relation to the university's preparations for the REF2021 exercise (see Table 3)

About REF2021

The purpose of the Research Excellence Framework (REF) 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 (REF2021).

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. The purpose of the Research Excellence Framework 2021 (REF2021) is to:

- provide accountability for public investment in research and produce evidence of the benefits of this investment.
- provide benchmarking information and establish reputational yardsticks, for use within the HE sector and for public information.
- inform the selective allocation of funding for research.

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/>.

How and why the university uses data in relation to REF2021

The REF2021 Privacy Notice explains what personal information we hold about in you in relation to the REF2021 and outlines:

- why we hold it;

- what we do with it;
- how long we keep it for; and
- if and how we share it.

We collect and use your personal information, for the purposes of the REF2021, to ensure that we adhere to the validation and audit requirements for submission to the REF2021.

We use personal information to carry out Equality Impact Assessments to help us understand the characteristics and needs of our population of research active staff.

Data collection

Research England 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 REF2021.

If you are a researcher who has been included as part of the university's submission to the REF2021, or have contributed to impact case studies, we will send some of the information we hold about you to UKRI, in 2020 for the purpose of the REF2021.

You may have provided information for one or more impact case studies or environment statements as part of our submission to the REF2021. In 2020 we will send information about impact case studies and environment statements to UKRI for the purpose of the REF2021. The information will not be in coded form and your name - and details such as your job title and organisational affiliation - may be provided in these narrative statements. We refer to this information about you as 'your data'. You can find further information about what data are being collected on the REF website, at www.ref.ac.uk 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.

We will collect data from you; university documents and university systems for information you have previously provided.

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:

For current or former staff, some of your data (Unit of Assessment (UoA), HESA staff identifier code and date of birth) will be passed to the Higher Education Statistics Agency (HESA) to enable it to verify coded data returned to it as part of our HESA staff return (see www.hesa.ac.uk).

Data returned to the REF2021 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 will use the information to analyse and monitor the REF2021. This may result in information being released to other users including academic researchers or consultants (commissioned by the funding bodies), to carry out research or analysis, in accordance with the Data Protection Act 2018 and the General Data Protection Regulation (GDPR) (Regulation (EU) 2016/679). Where information not previously published is released to third parties, this will be anonymised where practicable. UKRI will require that anyone who has access to your data, held in UKRI's records, paper or electronic, will respect its confidentiality and will only process it in accordance with instructions issued for the purposes specified by UKRI.

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

We only share your data if we are required to do so by law, you ask us to do so, or we are contractually obliged to do so.

Publishing information about your part in our submission

The results of the assessment exercise will be published by UKRI, on behalf of the four UK higher education funding bodies, in December 2021. The published results will not be based on individual performance and will not identify individuals.

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

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

Data about personal circumstances (for current or former staff)

You may voluntarily disclose personal circumstances to your UoA, which could permit us to submit your information to the REF2021 without the 'minimum of one' requirement (without penalty), or to submit a reduced number of outputs without penalty. If (and only if) we apply either form of reduction of outputs, we will need to provide UKRI with data that you have disclosed about your individual circumstances, to show that the criteria have been met for reducing the number of outputs. Please see Part 4 of the university's Code of Practice and the 'Guidance on submissions' document (paragraphs 151-201) for more detail about reductions in outputs and what information needs to be submitted.

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

Retention and destruction of data

We will keep your personal data only for as long as we need to in order to fulfil the purposes we collected it for; including for the purposes of developing the university's REF2021 submission and satisfying any legal, accounting, or reporting requirements.

We consider a number of factors in deciding how long to keep your information: the amount, nature, and sensitivity of the personal data, the potential risk of harm from unauthorised use or disclosure of your personal data, the purposes for which we process your personal data and whether we can achieve

those purposes through other means, and the applicable legal requirements (i.e. whether particular laws mean we have to keep certain types of document for a certain length of time).

The university's Research Excellence Unit oversee the coordination of making the submission to the REF2021. They will obtain the required personal data of staff from the central People Team.

The retention periods for these data are determined by how long the individual is in the employment of the university. However, the Research Excellence Unit will dispose of all personal data for current and former staff, as well as for individuals who have provided testimonials, no later than the end of December 2021 as they will need to be retained for audit purposes. Therefore, for former staff this may be longer than the standard 6 year retention period for personal data

Accessing your personal data

Under the Data Protection Act 2018 and the GDPR, you have the right to see and receive a copy of any personal information that UKRI holds about you. Further information about the Act and GRPR, and guidance on making a subject access request, can be found on the Research England 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

Coventry university has appointed a Data Protection Officer to oversee compliance with this Privacy Notice.

If you would like to exercise any of your rights under the Data Protection Act 2018 and the GDPR or if you have questions how Coventry university handle your personal information, please send written request to Information Governance Unit, Coventry University, Coventry, CV1 5FB or email enquiry.igu@coventry.ac.uk

Table 1: Personal data of current Category A Eligible/Submitted staff

The information the university holds	What the university needs it for	Why the university processes it (the legal basis and specific condition if relevant)
HESA staff identifier and/or staff number.	To assist with the university's REF2021 preparations. Data required by the REF2021 for all Category A Submitted staff on form REF1a. Data will be submitted to the REF as part of the university's submission, November 2020.	Processing is carried out in public interest** or for the university's legitimate interest.
Name (initials and surname)	To assist with the university's REF2021 preparations. Data required for all Category A submitted staff on form REF1a form (REF2021 "Information on Category A Submitted staff in post on the census date (31 July 2020)"). Data will be submitted to the REF as part of the university's submission, November 2020.	Processing is carried out in public interest** or for the university's legitimate interest.
Open researcher and contributor ID (ORCID) (where held).	To assist with the university's REF2021 preparations. Data required by the REF2021 for all Category A Submitted staff on form REF1a. Data will be submitted to the REF as part of the university's submission, November 2020.	Processing is carried out in public interest** or for the university's legitimate interest.
Job title/position	To assist with the university's REF2021 preparations. Data required to assist in the determination and proof of Category A Eligible staff for inclusion in the REF2021 exercise. Data will only be shared with the REF if required to do so on auditing.	Processing is carried out in public interest** or for the university's legitimate interest.
Grade	To assist with the university's REF2021 preparations. Data required to assist in the determination and proof of Category A Eligible staff for inclusion in the REF2021 exercise. Data will only be shared with the REF if required to do so on auditing.	Processing is carried out in public interest** or for the university's legitimate interest.

Contracted hours/FTE.	<p>To assist with the university's REF2021 preparations. Data required by the REF2021 for all Category A submitted staff on form REF1a. Data will be submitted to the REF as part of the university's submission, November 2020.</p> <p>Data about Part-time and Fixed-term contracts may be used to facilitate equality impact assessments (EIA) to be undertaken at key points during the REF2021 exercise, including, but not limited to internal REF reviews and preparation of codes of practice. Following data processing for the EIA, data will be anonymised. The EIA we provide to Research England on submission to the REF2021 will be published</p>	Processing is carried out in public interest** or for the university's legitimate interest.
Information about contract type and any secondments/periods of unpaid leave, including dates.	To assist with the university's REF2021 preparations. Data required by the REF2021 for all Category A submitted staff on form REF1a. Data will be submitted to the REF as part of the university's submission, November 2020.	Processing is carried out in public interest** or for the university's legitimate interest.
Whether any personal data should be omitted from the published data for specific reasons, such as commercial sensitivity or security.	To assist with the university's REF2021 preparations. Data required by the REF2021 for all Category A submitted staff on form REF1a. Data will be submitted to the REF as part of the university's submission, November 2020.	Processing is carried out in public interest** or for the university's legitimate interest.
If ECR (started career as an independent researcher on/after 1 August 2016), date of commencement of ECR status.	<p>To identify occurrence of special circumstances to facilitate associated reduction of outputs to a submitting unit of assessment. This data will only be processed for purposes relating to the REF if the individual member of staff chooses to make a disclosure. Data will only be shared with the REF if required to do so on auditing.</p> <p>To facilitate equality impact assessments (EIA) to be undertaken at key points during the REF2021 exercise, including, but not limited to internal REF</p>	Processing is carried out in public interest** or for the university's legitimate interest.

	<p>reviews and preparation of codes of practice. Following data processing for the EIA, data will be anonymised prior to being shared. The EIA we provide to Research England on submission to the REF2021 will be published</p>	
<p>Information about maternity leave, adoption/surrogacy leave, paternity leave, shared parental leave, time off for dependants within the assessment period, including dates.</p>	<p>To identify occurrence of special circumstances to facilitate associated reduction of outputs to a submitting unit of assessment. This data will only be processed for purposes relating to the REF if the individual member of staff chooses to make a disclosure. Data will only be shared with the REF if required to do so on auditing.</p>	<p>Processing is carried out in public interest** or for the university's legitimate interest.</p>
<p>Details of sick leave within the assessment period*.</p>	<p>To identify occurrence of special circumstances to facilitate associated reduction of outputs to a submitting unit of assessment. This data will only be processed for purposes relating to the REF if the individual member of staff chooses to make a disclosure. Data will only be shared with the REF if required to do so on auditing.</p>	<p>Processing is carried out in public interest** or for the university's legitimate interest.</p> <p>Special category: substantial public interest; and archive, statistical and research purposes (monitoring equal opportunities).</p>
<p>Information about any medical or health conditions you have or have had within the assessment period*.</p>	<p>To identify occurrence of special circumstances to facilitate associated reduction of outputs to a submitting unit of assessment. This data will only be processed for purposes relating to the REF if the individual member of staff chooses to make a disclosure. Data will only be shared with the REF if required to do so on auditing.</p>	<p>Processing is carried out in public interest** or for the university's legitimate interest.</p> <p>Special category: substantial public interest; and archive, statistical and research purposes (monitoring equal opportunities).</p>
<p>Your disability status*.</p>	<p>To facilitate equality impact assessments (EIA) to be undertaken at key points during the REF2021 exercise, including, but not limited to internal REF reviews and preparation of codes of practice. Following data processing for the EIA, data will be anonymised prior to being shared. The EIA we provide to Research England on submission to the REF2021 will be published.</p>	<p>Processing is carried out in public interest** or for the university's legitimate interest.</p> <p>Special category: substantial public interest; and archive, statistical and research purposes (monitoring equal opportunities).</p>

	To identify occurrence of special circumstances to facilitate associated reduction of outputs to a submitting unit of assessment. This data will only be processed for purposes relating to the REF if the individual member of staff chooses to make a disclosure.	
Information about protected characteristics including: age, sex/gender, gender reassignment*, marriage and civil partnership#, pregnancy* and maternity#, race*, ethnic origin*, religion or religious beliefs*, and sexual orientation*.	<p>To facilitate equality impact assessments to be undertaken at key points during the REF2021 exercise, including, but not limited to internal REF reviews and preparation of codes of practice. Following data processing for the EIA, data will be anonymised (where possible) prior to being shared and analysis will only be carried out where the data is available and the sample size would not allow for the identification of staff. The EIA we provide to Research England on submission to the REF2021 will be published. Where used to identify special circumstances, data will only be shared with the REF if required to do so on auditing.</p> <p>To identify occurrence of special circumstances to facilitate associated reduction of outputs to a submitting unit of assessment. This data will only be processed for purposes relating to the REF if the individual member of staff chooses to make a disclosure.</p>	<p>Processing is carried out in public interest** or for the university's legitimate interest.</p> <p>Special category: substantial public interest; and archive, statistical and research purposes (monitoring equal opportunities).</p>

* Denotes data that is classed as a “special category” of personal information.

Denotes data that might disclose a “special category”. The University must have both a legal basis and a specific condition to process “special category” personal information. Special Category is defined as personal data which is more sensitive and so needs more protection. In order to lawfully process special category data both a legal basis (under GDPR Article 6) and a separate condition (under GDPR Article 9) must be identified.

** Public Task or Public Interest is a lawful basis for processing personal data. Article 6(1)(e) “processing is necessary for the performance of a task carried out in the public interest in the exercise of official authority vested in the controller” This can apply if you are either: 1) carrying out a specific task in the public interest which is laid down by law; or 2) exercising official authority (for example, a public body’s tasks, functions, duties or powers) which is laid down by law.

Table 2: Personal data of former staff

The information the university holds	What the university needs it for	Why the university process it (i.e. the legal basis)
HESA staff identifier and/or staff number.	Data required by the REF2021 to be submitted on the REF1b form. Data will be submitted to the REF as part of the university's submission, November 2020.	Processing is carried out in public interest** or for the university's legitimate interest.
Name (initials and surname).	Data required by the REF2021 to be submitted on the REF1b form (REF 2021 "Information about former staff to whom submitted outputs are attributed"). Data will be submitted to the REF as part of the university's submission, November 2020.	Processing is carried out in public interest** or for the university's legitimate interest.
Open researcher and contributor ID (ORCID) (where held)	Data required by the REF 2021 to be submitted on the REF1b form. Data will be submitted to the REF as part of the university's submission, November 2020.	Processing is carried out in public interest** or for the university's legitimate interest.
Contracted hours (FTE of REF-eligible contract(s)).	Data required by the REF2021 to be submitted on the REF1b form. Data will be submitted to the REF as part of the university's submission, November 2020.	Processing is carried out in public interest** or for the university's legitimate interest.
Job title/position when at the university.	Data required to assist in the determination and proof of eligibility for inclusion in the REF2021 exercise. Data will only be shared with the REF if required to do so on auditing.	Processing is carried out in public interest** or for the university's legitimate interest.
Grade when at the university.	Data required to assist in the determination and proof of eligibility for inclusion in the RE2021 exercise. Data will only be shared with the REF if required to do so on auditing.	Processing is carried out in public interest** or for the university's legitimate interest.
Employment dates (on REF-eligible contract) at the university and as a researcher.	Data required by the REF 2021 to be submitted on the REF1b form. Data will be submitted to the REF as part of the university's submission in November 2020.	Processing is carried out in public interest** or for the university's legitimate interest.

Early career researcher status.	Data required by REF 2021 to be submitted on the REF1b form. Data will be submitted to the REF as part of the university's submission in, November 2020.	Processing is carried out in public interest** or for the university's legitimate interest.
Whether any personal data should be omitted from the published data for specific reasons, such as commercial sensitivity or security.	Data required by the REF2021 to be submitted on the REF1b form. Data will be submitted to the REF as part of the university's submission in November 2020.	Processing is carried out in public interest** or for the university's legitimate interest.

Table 3: Personal data of Witnesses/Testimonial providers

The information the University holds	What the University needs it for	Why the University process it (i.e. the legal basis)
Organisation	Data required by the REF2021 to be submitted on the REF3 form: "Case studies describing specific examples of impacts achieved during the assessment period (1 August 2013 to 31 July 2020), underpinned by excellent research in the period 1 January 2000 to 31 December 2020". Data will be submitted to the REF as part of the university's submission in November 2020.	Processing is carried in public interest** or for the university's legitimate interest
Position (where appropriate)	Data required by the REF2021 to be submitted on the REF3 form. Data will be submitted to the REF as part of the university's submission in November 2020.	Processing is carried in public interest** or for the university's legitimate interest
Name	Data required to be available to the REF2021 for audit purposes (corroboration of key claims made by the university in the REF3 form). Data will only be shared with the REF if required to do so on auditing.	Processing is carried in public interest** or for the university's legitimate interest
Contact details	Data required to be available to the REF2021 for audit purposes (corroboration of key claims made by the university in the REF3 form). Data will only be shared with the REF if required to do so on auditing.	Processing is carried in public interest** or for the university's legitimate interest

Table 4: Third parties the University may share your data with

Higher Education Statistics Agency HESA (http://www.hesa.ac.uk/collection-notices).
Research Councils, and other prospective and actual funders of research.
Government bodies that run Research Excellence Framework (REF2021), including the UK higher education funding bodies such as Research England. https://www.ref.ac.uk/submission-system/privacy-notice/ .

Appendix 9

Glossary

CoP	Code of Practice
ECR	Early Career Researcher
EIA	Equality Impact Assessment
FTE	Full Time Equivalent
GDPR	General Data Protection Regulation
SCP	Special Circumstances Panel
UoA	Unit of Assessment