

# RESEARCH EXCELLENCE FRAMEWORK 2021

## CODE OF PRACTICE

### UNIVERSITY OF GLOUCESTERSHIRE

#### Part 1: Introduction

1.1. This Code of Practice<sup>1</sup> sets out the University of Gloucestershire's (UoG) approach to the determination of eligible staff and selection of outputs for submission to the Research Excellence Framework 2021. Specifically, it sets out how the University fairly, and in a transparent, consistent, accountable and inclusive way, goes about:

- Determining eligible staff (i.e. those with significant responsibility for research);
- Determining who is an independent researcher;
- Selecting research outputs.

1.2. The UoG approach is consistent with, and framed by, our current Strategic Plan for 2017-2022. One of the four strategic goals within that plan is to undertake research and professional practice which enriches students' learning and creates impact and benefit for others. Our Academic Strategy details our approach to achieving that goal, with corresponding actions in each year's operating plan and School Business Plans.

1.3. The University is fully committed to promoting equality and diversity in all we do, including research. We have a well-established equality and diversity policy, which was approved by the University's Council in December 2016. The University's Equality and Diversity Committee is responsible for oversight, monitoring and updating of the policy, reporting as necessary to the University Executive Committee and the Council.

1.4. The University's commitment to equality and diversity is embedded in our values and in our People and Culture Strategy. We track progress through a regular staff survey, which includes a range of questions on staff experience of equality and diversity. Our annual people report includes analysis of the data we hold on the protected characteristics of staff, and includes analysis of staff recruitment, promotion and turnover by those characteristics. In 2017 we made our first submission to the Stonewall Workplace Equality Index (WEI), and we continue to progress our work against the WEI. We have registered our commitment to the Athena SWAN programme, and are recognised as Disability Confident, having achieved Level 2 of the Disability Confident Standard. We have supported 30 female members of staff to participate in the Advance HE Aurora programme.

1.5. Our REF2014 Code of Practice described our approach to equality and diversity as it relates to research. Since then we have:

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<sup>1</sup> The University of Gloucestershire Code of Practice was approved by EDAP on 16<sup>th</sup> August 2019. In the current version, the dates for the *Appeals Process* have been updated following the announcement of the revised REF submission deadline.

- Developed a new corporate Strategic Plan for 2017-2022, underpinned by a new Academic Strategy and a new People and Culture Strategy.
- Put in place a new framework for the direction and management of research across the University, overseen by a new Research Committee chaired by the Vice Chancellor.
- Reviewed the pipeline to Professor and Reader, and taken steps to improve the diversity of our Professors and Readers.
- Launched an Early Career Research Network for early career academic staff and postgraduate research students.
- Prepared a revised and updated statement of Academic Career Pathways, to give clarity to the expectations of academic staff at each level.
- Our female professors have formed a group to review issues of gender in relation to research at the University.

1.6. The Equality Impact Assessment that accompanies our Code (see Appendix 1) suggests that we have made good progress in addressing the equality challenges we faced in 2014. In terms of eligible staff, independent researcher, and output selection, we are seeing no significant difference in the proportion of UoG academic staff within each of those categories compared to the remainder of the population of UoG academic staff. Working hours (whether full-time or not) is however an area to focus on. And although the datasets need to be interpreted with care because in some instances numbers are extremely small, we want to do further work to understand patterns of inclusion/exclusion for some black and minority ethnic (BME) groups.

1.7. The University has sought fully to embed the principles of fairness, transparency, consistency, accountability and inclusivity, across our research programme and our preparations for REF2021, as follows.

1.8. We have prepared a revised and updated set of Academic Career Pathways, to make transparent and explicit for all academic staff our three academic career pathways (namely, teaching and scholarship; teaching and research; and research) and the responsibilities expected of staff in each grade within each pathway. This is to ensure that the University's expectations of staff are clear at every level, as a basis for ensuring that staff understand their opportunities for developing their own careers, specifically including research.

1.9. All academic staff are required to take part in the University's annual Staff Review and Development (SRD) scheme. The aim is to ensure that each member of staff has objectives agreed with their manager for the year ahead, and has an annual performance appraisal discussion with their manager. As part of these SRD discussions and through ongoing discussions during the year between staff, their managers, Research Priority Area (RPA) Convenors and Unit of Assessment (UoA) Coordinators, the University expects that members of academic staff would agree with their manager their aspirations and plans to be research active and therefore whether their role should include a significant responsibility for research. In cases where staff have a significant responsibility for research, the SRD scheme provides the opportunity for setting research objectives and appraising research performance, with ongoing discussion about the development of research plans and outputs between staff, managers, RPA Convenors and UoA Coordinators. This ensures that all academic staff have the same opportunity to agree their research objectives with their managers. Those

academic staff with a significant responsibility for research are expected to be categorised within either the teaching and research pathway or the research pathway and returned to HESA with the corresponding Academic Employment Function.

1.10. In 2014 the University confirmed a new framework for identifying and pursuing our research priorities. We identified six thematic “Research Priority Areas” namely:

- Environmental Dynamics and Governance
- Sport, Exercise, Health and Wellbeing
- Creative Practice as Research
- Applied Business and Technology
- Being Human - Past, Present and Future
- Learning and Professional Contexts.

1.11. Each RPA has an appointed Convenor, who works with colleagues to scope the research programme to be undertaken in that Priority Area and to identify which academic colleagues will contribute to that programme based on their research activity and interests. The RPA Convenors form the majority of the membership of Research Committee. The RPA is the means of distributing internal Quality Related (QR) funding on the basis of annual plans agreed through Research Committee. We have mapped each Unit of Assessment in which the University is active onto the relevant RPAs to ensure colleagues are clear how UoAs align to the RPAs. Each UoA has an appointed Coordinator, who works with colleagues to plan and support the development of research outputs and impact case studies for that Unit. This provides a transparent and consistent framework for identifying where the University will invest resources in achieving research excellence, so that all staff with a significant responsibility for research can identify which RPA and UoA they can best align to, and then work with the relevant Convenor and Coordinator in pursuing their research objectives, working towards agreed outputs. Progress reports for each RPA and UoA are submitted to each meeting of the Research Committee, including monitoring of progress in relation to equality and diversity.

1.12. The framework for line management and policy direction of research is illustrated in Appendix 2. Line managers are accountable for the operation of the SRD scheme in relation to those they manage, while RPA Convenors and UoA Coordinators are responsible for the direction of research programmes and supporting the development of research outputs, impact case studies, and the environment in their respective Areas and Units.

1.13. This Code was submitted in first draft, and then also subsequently as a revised draft to, and approved by, the University’s Research Committee and Academic Board. It was made available as a first draft to all members of staff through publication in the Vice-Chancellor’s monthly newsletter for November 2018, with an invitation to all staff to submit comments and views. A revised draft with the Equality Impact Assessment (EIA) was made available to all staff through the Vice-Chancellor’s newsletter of April 2019, with a further invitation to comment. Following those discussions and consultations, the final version as submitted to the REF team in June 2019 is being published on the University’s intranet. Staff on leave of absence continue to hold their email addresses, and therefore all receive the Vice-Chancellor’s newsletter with its invitations to comment on the Code.

## Part 2: Identifying staff with significant responsibility for research

### Policies and procedures

2.1. The University of Gloucestershire is a teaching-led, student-centred University. All academic staff, regardless of Academic Career Pathway, make a valued contribution to the work of the university. There is no presumption that all academic staff will have a significant responsibility for research. Those that do have a significant responsibility for research will also meet the criteria for REF eligibility, and therefore eligibility for REF and significant responsibility for research are aligned at the University of Gloucestershire. However, we also believe it is important to explain clearly how we determine those with significant responsibility for research, that we have assured ourselves that our approach is transparent, and that we examine carefully the impacts on protected characteristics and equality and diversity more broadly.

2.2. For many years, the University has applied a presumption of appointing new academic staff to the “teaching and scholarship” job family. This reflects our teaching-led, student-centred mission. Only selectively and rarely have we appointed to the “teaching and research” or “research only” job family. Job families align to the three Academic Career Pathways (and JNCHES Job Families) and HESA Academic Employment Function.

2.3. In preparation for REF2021, we have reviewed all employment contracts of all our academic staff to confirm the job family stated in their employment contract. This has confirmed that the majority of our academic staff are on teaching and scholarship contracts. We do not consider the staff on those contracts to have a significant responsibility for research, since their contributions are in teaching, learning, scholarship, student support, professional networks, and business development. For those staff on teaching and research or research only contracts, we apply a presumption that they will have significant responsibility for research. Our HESA staff return records those staff who are on research or teaching and research contracts versus those who are on teaching and scholarship contracts.

2.4. As outlined in Part 1 of this form, the University operates an annual Staff Review and Development (SRD) programme. It is primarily through that process that members of academic staff agree with their manager their objectives for the year, including any objectives relating to research. Every member of academic staff has the same opportunity to discuss and agree with their manager whether their annual objectives will include research objectives.

2.5. Where a member of staff and their manager agree that objectives should include research outcomes, that is shared with the Convenor of the relevant Research Priority Area (RPA) and the Coordinator of the relevant Unit of Assessment (UoA), so that the individual’s research plan can be logged as part of the intended research programme for that RPA and UoA, with support for the individual in developing their intended research outputs and involvement in the collective activities of that RPA and UoA. RPAs and UoAs provide reports to each meeting of the Research Committee on progress towards their targets for the quality and volume of outputs. The quality of every accepted/published output is externally reviewed to give an independent assessment. This approach applies consistently across the whole

University. It gives complete transparency of those individuals who have significant responsibility for research.

2.6. In cases where an individual's contract specifies "teaching and scholarship" as their job family, but they develop their research engagement to the point where they are properly seen as having a significant responsibility for research, the University expects to amend their contract to re-categorise them within the "teaching and research" job family. This is done by negotiation and agreement between the individual and the University's HR Department.

2.7. The main criteria for decisions about whether an individual has a significant responsibility for research are: whether the individual has a track record of research outcomes; the credibility of their objectives and plans if they have no track record; and whether their proposed research meets a business need of the University and aligns with one of our RPAs and UoAs. Specifically, the process for determining a significant responsibility for research is:

- All eligible staff in the "Teaching and Research" or "Research only" pathways are assumed to have a significant responsibility for research;
- Other academic staff have the opportunity to raise through the SRD discussion their research aspirations and plans and where relevant existing research outputs;
- Where it is agreed through discussion between the member of staff, their manager, the relevant RPA Convenor and UoA Coordinator that there will be a future ongoing significant responsibility for research, the Academic Career Pathway can be amended from "Teaching and Scholarship" to "Teaching and Research". The University expects that, as a consequence, a significant proportion of the Research and Scholarly activity time will be allocated to development of research outputs for REF;
- Where agreement is not reached, it is expected that the general grievance process in place would be followed. As we approach REF2021, staff may opt to follow the appeals process in place for this specific exercise (see 2.13 -2.16 below for details).

This framework applies across the University and does not vary by UoA.

### **Development of process(es)**

2.8 The University's approach to developing this Code is summarised above in Part 1: Introduction. Specifically, two successive drafts of the Code have been published to all staff through the Vice-Chancellor's monthly newsletter, the second draft with the associated EIA. The drafts have also been submitted to, and approved by, the University Research Committee and Academic Board.

Some components have been the subject of separate discussion and consultation with groups of staff, including the development of the Academic Strategy, the People and Culture Strategy, Academic Career Pathways, and the operation of the SRD programme.

### **Staff, committees and training**

2.9. The RPA Convenors and UoA Coordinators are roles, not posts, and the roles are filled by inviting suitably qualified and senior people who have a significant responsibility for research in a relevant discipline to take on the role. Since the RPA framework was introduced, the RPA Convenors have been selected from amongst our Professors or Readers.

2.10. The membership and terms of reference of the Research Committee are provided in Appendix 3. The Committee's papers and minutes are available on the University's intranet for colleagues internally, except those that need to be kept confidential. The Research Committee reports to the University's Academic Board, which receives regular papers on progress of the Academic Strategy, including the research ambition (see Appendix 4 - Overall Committee structure). Relevant research developments are reported in the Vice-Chancellor's monthly newsletter and in all staff briefings once a term. They are also reported to the University's Council.

2.11. Each RPA has a steering group, meeting once each term as a minimum; membership includes RPA Convenors, UoA Coordinators, Heads of School and subject community representatives; with action-focused notes for each meeting. The RPA Convenor Role, as well as the remits of the RPA Steering group are detailed in Appendix 5. A role description for UoA Coordinators is provided in Appendix 6.

2.12. The University offers management training for all line managers, including in the use of the SRD framework. First line management for all academic staff is undertaken by the University's Grade 9 Academic Subject Leaders (ASLs) who report to Heads of School (HoS). The University runs a leadership and management development programme for all ASLs. The University also provides specific training in equality and diversity for all staff. Training in Equality and Diversity is being provided for all RPA Convenors and all UoA Coordinators and specifically through a REF-focussed training event for all Convenors and Coordinators on 18th June 2019.

## **Appeals**

2.13. As explained above, the core mechanism for the University in identifying staff with significant responsibility for research is through the annual SRD programme, with ongoing discussion between staff, managers, RPA Convenors and UoA Coordinators. If any member of staff wished to make a complaint or appeal against decisions made by their manager in relation to the setting of objectives or the review of performance, it would be in accordance with well-established and thorough procedures set out in the University's staff handbook, for raising a grievance against managers.

2.14. The staff handbook details each stage of the grievance process, including how those examining the grievance are appointed, with a view to ensuring full impartiality and transparency. All staff are told, as part of their induction on appointment to the University, where to find the staff handbook on the intranet and its scope. Staff can seek support and representation from their Union in any grievance.

2.15. If a member of staff had concerns about other aspects of the University's management of research, including the identification of planned research outputs by individual members of

staff, the support available through RPAs and UoAs, or the judgements of external reviewers, those concerns would also be pursued through the University's normal grievance procedures. Again, these are detailed in the University's staff handbook.

2.16. As mentioned above in 2.1, there is no presumption that all academic staff will have a significant responsibility for research, and those who do have a significant responsibility for research, are considered eligible for the REF. Although we are not running processes to determine significant responsibility for research or researcher independence (as distinct from 'eligibility'), staff will nonetheless have the opportunity to submit an appeal.

2.17. For appeals about the decisions on Significant Responsibility for Research, Researcher Independence, and Selection of Outputs, the following applies:

- The individual making the appeal case must complete the REF2021 Appeal form (see Appendix 7), **between between 1<sup>st</sup> November 2019 and 22 January 2021**, or between 1<sup>st</sup> November 2019 and 31<sup>st</sup> January 2020 if the grounds for appeal are against the determination of significant responsibility for research or researcher independence;
- The Appeal form is initially received by the Research Development Support Officer (Academic Development Unit);
- The Appeal is considered by an RPA Convenor of a different RPA to the appellant, and will be completed where reasonably possible within 20 working days from receipt of the form.
- The Review of Appeal is considered by the Dean of Academic Development, and will be completed within 10 working days from receipt of the notification of review request.

### **Equality impact assessment**

2.18. The Equality Impact Assessment that underpins this Code is attached (see Appendix 1). We have compiled and reviewed all of the data we hold relating to the protected characteristics for our academic staff, distinguishing in each case between:

- Staff with, and without, significant responsibility for research;
- Staff who are, and are not, independent researchers;
- Staff by reference to assessed quality of outputs.

2.19. Where the data sizes are large enough to form a robust judgement, our conclusion is that there is no evidence of substantial imbalances indicating a pattern of inequality relating to a given protected characteristic. However, there are small numbers in many areas, reflecting the relatively small size of the University's academic staff cohort, the relatively small number of those eligible for submission to the REF, an overall lack of diversity on some protected characteristics (notably BME) relative to our student community in Gloucestershire, and some small numbers self-declaring against some protected characteristics. So although we do not overall see significant equality impacts that we need to address specifically in relation to the REF, we will continue with our long term strategy for promoting equality and diversity across the University.

2.20. Although it is not a protected characteristic, there are disproportionate impacts in terms of staff categorised by working hours, with those working part time significantly less likely to

be eligible than those working full time. Those working part time are approximately a third of our total academic staff. We are undertaking further work to understand what may be causing this apparent imbalance and the mitigating action we can take. Although the numbers are extremely small, we will also consider the pattern of eligibility within the different BME groups, as part of wider work within the University to understand and address BME issues across our community. For Disability, we note that output quality profile is positive, but that we must continue to ensure we remove any real or perceived barriers for those who would like to become Eligible for REF. We will continue to monitor the equality impact assessment as we prepare for REF.

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

#### **Policies and procedures**

3.1. The University's approach to identifying who is an independent researcher is consistent with the guidance in REF2018/01. The University's Academic Career Pathways state expectations that are consistent with independence as a researcher for all staff at Grade 7 and above in the "teaching and research" and "research" pathways. The pathways have been published to all staff.

3.2. The University has integrated within our academic grade structure expectations of research independence at relevant grades. Decisions on who is an independent researcher are therefore not taken independently and in isolation. They are a consequence of wider decisions about the appointment and promotion of academic staff to grades; and staff in those grades are then expected to demonstrate that they meet the criteria as independent researchers as described above.

3.3. The University would not consider anyone appointed to Research Assistant posts to be an independent researcher.

3.4. In relation to the Early Career Research Network, the University organises regular seminars and events for all staff and students interested in research, regardless of grade, including events to help participants understand how to develop their research careers, the expectations of researchers at each level, and what constitutes high quality research. Through these means we are regularly ensuring that there is a strong shared understanding of good research practice.

#### **Staff, committees and training**

3.5. The staff, committees and training are the same as detailed in Part 2.

#### **Appeals**

3.6. The appeals process is the same as detailed in Part 2.

#### **Equality impact assessment**



3.7. See Part 2.

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

### **Policies and procedures**

4.1. The selection of outputs is undertaken at Unit of Assessment (UoA) level.

4.2. The context for the production of outputs is that, within the framework of the University's annual SRD process described above, the individual academic member of staff discusses with their manager, their research objectives and plans for each year. Where that includes work towards a research output potentially eligible for submission to the REF, the Coordinator of the relevant UoA would discuss with the academic in more detail the nature and timing of the intended output and any further support that can be provided (e.g. attendance at relevant conferences, involvement in writing retreats, or sabbaticals). The intended output would be noted as part of the UoA's log of potential outputs. Progress towards completion of the output will be monitored by the UoA Coordinator, with initial assessment of its likely quality.

4.3. Once the output has been completed/accepted/published it is sent to the UoA External Adviser who has been appointed to review the quality of all outputs within that UoA. A central record is held of all indicative quality scores for each output as a result of External Review, and is regularly reported to the Research Committee.

4.4. Decisions as to which outputs are submitted to the REF for each UoA are taken by the UoA Coordinator, in consultation with the relevant RPA Convenor, taking account of:

- a) the quality ratings provided by external reviewers for each output;
- b) the minimum and maximum outputs required for each eligible member of staff with a significant responsibility for research;
- c) equality and diversity considerations, including the disclosure of circumstances.

4.5. Where two or more outputs have the same quality rating based on the externally provided rating, the judgement of the UoA Coordinator will be exercised as to which output represents the higher quality.

4.6. Where staff are dissatisfied with the decisions of the UoA Coordinator, they can make a case for an alternative output to be selected (see Appeals process for Part 2).

4.7. The University has logged outputs on our institutional research repository as they have been completed. In cases where the staff responsible for those outputs have subsequently left the University, including through redundancy, we intend to include such outputs within our submission where they otherwise meet our selection criteria. We believe this is consistent with the REF guidance, on the basis that the outputs were created while the staff were in the employment of the University, and as such, the University has a well-established right to claim those outputs.

### **Staff, committees and training**

4.8. The staff, committees and training are the same as detailed in Part 2.

#### **Staff circumstances**

4.9. As described above, all of the University's procedures for the identification of staff and outputs to be submitted to the REF are rooted in the well-established Staff Review and Development (SRD) scheme and the ongoing review of progress by the RPA Convenors and UoA coordinators. This means that every member of academic staff has the same opportunity to discuss on a one-to-one basis with their manager their research aspirations, and to agree each year their objectives for research as appropriate. As part of those discussions, any member of staff can make known their personal circumstances and any implications for their agreed research objectives. It is part of the role and responsibility of UoA Coordinators, where they are notified of relevant staff circumstances, to take these into account in shaping their plans for the overall UoA submission.

4.10. In addition, we are providing all members of staff the opportunity to voluntarily declare individual circumstances that may have affected their ability to research productively (whether or not they are currently considered eligible for REF). This information will allow us 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 (including submitting staff with zero outputs).

4.11. This will also allow us to establish whether there are any members of staff who currently do not have significant responsibility for research to declare circumstances that may have affected their ability to pursue their research ambitions as discussed in their SRD.

4.12. Voluntary declarations of circumstances are invited from all members of staff from 1<sup>st</sup> November 2019, using the respective form (see Appendix 8). Once completed the form should be submitted via the following email address ([HrRef2021@glos.ac.uk](mailto:HrRef2021@glos.ac.uk)). Access to this inbox is restricted to selected staff within the HR team (Strategic HR Business Partner, Equality and Diversity Manager, and a Senior HR and Change Advisor). This information will not automatically be shared with the relevant UoA Coordinator. Only if it is considered that this information will impact on the overall UoA submission, the UoA Coordinator be informed about the potential impact, but not the circumstances themselves.

4.13. Voluntary declarations of circumstances will be considered by a UoG REF2021 Equality & Diversity Panel comprising:

- Director of HR (chair)
- Strategic HR Business Partner (vice-chair)
- Equality and Diversity Manager
- Senior HR and Change Advisor
- Advised by Dean of Academic Development
- Officered by Research Development Support Officer

4.14. The Panel also provides advice and guidance to Research Committee regarding the reporting of outcomes, and the further action required.

### **Equality impact assessment**

4.15. See Part 2.

## **Part 5: Appendices**

Appendix 1: Equality Impact Assessment

Appendix 2: Framework for line management and policy direction of research

Appendix 3: Research Committee: membership and terms of reference

Appendix 4: Overall Committee structure

Appendix 5: Role Description for RPA Convenor

Appendix 6: Role Description for UoA Coordinator

Appendix 7: REF2021 Appeal form

Appendix 8: REF2021 Voluntary Declaration of Circumstances

**REF 2021 - Equality Impact Assessment**

**University of Gloucestershire**

This Equality Impact Assessment is an improvement tool. It will assist us in ensuring that we have thought about the needs and impacts as we prepare for REF2021 in relation to the protected characteristics, while ensuring that all staff are treated fairly. It provides documented evidence that we have paid due regard to the protected characteristics in relation to the Public Sector Equality Duty (PSED):

- 1) Eliminate unlawful discrimination, harassment and victimisation prohibited by the Equality Act 2010;
- 2) Advance equality of opportunity between people who share a protected characteristic and those who do not;
- 3) Foster (promote) good relations between people who share a protected characteristic and those who do not.

The key staff data are attached as an appendix. These data are drawn from the HR database and the analysis also draws on data on externally rated accepted/published output quality.

<b>1.</b>	<b>Department/School/Team</b>	University (all academic staff)
<b>2.</b>	<b>Name of policy, project service/function, contract or strategy being analysed</b>	<b>Research Excellence Framework 2021 exercise</b>
<b>3.</b>	<b>Name and contact details of staff completing the assessment</b>	Professor David James, Dean of Academic Development
<b>4.</b>	<b>Date</b>	31.05.19
<b>5.</b>	<b>People involved in the assessment</b>	Research Development Support Officer HR Business Partner Equality & Diversity lead

6.	<b>Brief Description of project/policy being assessed</b>	<p>The Equality Impact Assessment underpins the development of the Code of Practice for staff for REF2021. In particular, it informs decisions about:</p> <ul style="list-style-type: none"> <li>• Eligibility (significant responsibility)</li> <li>• Researcher Independence</li> <li>• Output Selection</li> </ul> <p>In order to provide a complete analysis of our data, for each protected characteristic, we have undertaken three analyses as follows (see Appendix for analysis outcomes):</p> <ul style="list-style-type: none"> <li>• For Eligibility (significant responsibility), since our policy is to submit all academic staff who are eligible (i.e., considering those eligible to have a significant responsibility), we have compared those eligible with those not eligible, from our total academic staff population.</li> <li>• For Researcher Independence, we currently only have eight staff at grade 6 in the teaching &amp; research or research only pathway, with the remainder at grade 7 or above. However, for completeness, we have compared those considered independent (grade 7 and above) with those not considered independent (grade 6). It is impossible to draw inferences from such small numbers in the sample of ‘not independent’, so we will be exploring those eight on a case by case basis to ensure their position in relation to the REF reflects the criteria for independent researcher. Some of these staff are on fixed term contracts that conclude prior to July 2020.</li> </ul>

		<ul style="list-style-type: none"> <li>For Output Selection, since we are only considering those eligible independent researchers, we have used a split of those with external ratings of 3*/4*, versus those with only 2* or less, versus those with none, as a profiling for the quality of outputs. This provides a split based on quality (i.e., 3*/4*), and allows us to determine how quality judgements, and therefore output selection decisions, might have disproportionate impacts within the Category A staff.</li> </ul>		
7.	<b>Is this a new policy/project or a review of an existing one?</b>	This is a new policy, although it builds on the Code of Practice from REF2014, and the accompanying EIA. The REF requirements are different in 2021 compared with 2014, with a strengthened expectation that all eligible staff will be submitted to the REF. The new concerns revolve around the impacts on each protected characteristic of determining eligibility (significant responsibility for research), researcher independence, and output selection & consideration of special circumstances.		
8.	<b>Data &amp; Engagement – what information did you gather and use and who have you consulted?</b>	Data drawn from HR database, but with a connection to the University's separate database of output ratings for the analysis for output selection. Engagement with the research leadership, Human Resources, Equality & Diversity lead, Heads of School and Union representatives. The University consulted all staff about the first draft of the Code of Practice in 2018, and consulted further with all staff on revised drafts of the Code and this EIA in 2019. That consultation also included discussion with Research Committee and Academic Board.		
9.	<b>Public Sector Equality Duty (PSED). Findings – Did you discover any adverse or positive impact(s) on any of the 9 protected characteristics?</b>	It is pleasing to note that with the exception of part time working, none of the other characteristics showed any adverse impact.	<b>Not Known</b>	<b>Evidence</b>

	<p><b>Sex and sexual orientation; gender reassignment; age; disability; race; religion or belief; pregnancy and maternity; marriage and civil partnership.</b></p> <p>Also consider part time working and fixed term contracts</p>	<p>It should be noted that the size of the sample of those who are not deemed independent researchers is very small (n=9), so impossible to do anything other than explore case by case. With regard to the protected characteristics, it should be noted that the size of the sample of the following were either very small or zero, again making inferences impossible: Sexual Orientation; Gender Identity; Declared Disability; Ethnicity; Pregnancy &amp; Maternity; Contract Type. For Sexual Orientation and Gender Identity this may be a reflection of non-disclosure, so we will work to increase disclosure. For Ethnicity, the data are complete, so we will continue to address the lack of diversity as a whole.</p> <p>For part time workers, there is an adverse impact where part time workers are significantly (approx. 2x) less likely to be eligible. Part time workers account for approximately one third of our academic staff.</p>		
	<p><b>i) Eliminating unlawful discrimination, harassment or victimisation</b></p> <p>Is the policy likely to treat anyone less favourably or disadvantage them because of a protected characteristic?</p>	<p>Although the data suggest that none of the three areas (eligibility; independence; output selection) have an adverse impact on the</p>		

	<p>Could it lead to different outcomes for different groups?</p>	<p>protected characteristics, there are some points to note and always be mindful of:</p> <p>Sexual Orientation and Ethnicity show that diversity is limited, and therefore the data as a whole are limited in terms of drawing inferences.</p> <p>In some of the above categories (e.g., sexual orientation), the data are incomplete since staff have refused to provide the data. This often further reduces the sizes of the sample, and the ability to make inferences.</p> <p>In other categories (e.g., ethnicity), we have good data, but overall diversity is lacking compared with our student population.</p> <p>Finally, in some protected areas, we do not hold any data (e.g., paternity).</p>		
	<p><b>ii) Advancing equality of opportunity</b></p> <p>Will the needs of staff with different protected characteristics be met?</p> <p>Could the policy lead to increased take-up/participation by protected groups?</p> <p>Are there opportunities to proactively advance equality for specific protected groups and/or between protected groups?</p>	<p>See Code of Practice for an explanation of the approach the University is taking to ensure fairness and equality in identifying staff and outputs for submission to the REF. In particular, care will be taken to ensure that the submitted outputs draw from the pool of potential outputs in a way that fully takes account of equality and diversity, and treats all staff fairly.</p>		



	E.g. visual imagery and language in text; positive action; flexible working; inclusive facilities	For Disability, we note that output quality profile is positive, but that we must continue to ensure we remove any real or perceived barriers for those who would like to become Eligible for REF.		
	<b>iii) Fostering/promoting good relations</b> Have steps been taken to tackle prejudice and promote understanding? E.g. Be aware of unconscious bias; reflecting student profile, providing role models	See Code of Practice		
<b>10.</b>	<b>What changes are you making/action are you taking to address negative/positive impact in meeting the needs of the PSED for all protected characteristics? Include gaps in evidence</b>			
	Demonstrate how any unlawful discrimination, harassment or victimisation is/ will be eliminated. Include: Action to reduce a negative impact; Action to monitor and review where no impact is identified; Justification of any proportionate negative or positive impact for different protected characteristics.	See Code of Practice		
	How is/will equality of opportunity be advanced? What changes will be made/action taken?	Given the lack of any adverse impacts, we will continue to promote equality and diversity, ensuring our workforce as a whole is representative of our community and the student population.		

	How are/will good relations be fostered? What changes will be made/action taken?	This is all part of our wider University approach to promoting equality and diversity	
11.	<b>How does the policy fit with the University's wider objectives and priorities?</b>	The REF Code of Practice is aligned with the University's third strategic goal as stated in the Strategic Plan for 2017-2022. That goal is: "To undertake research and professional practice which enriches students' learning and creates impact and benefit for others." That goal is then picked up within the University's Academic Strategy covering the same time period, which sets out in more detail how the corporate goals are being pursued within the academic domains of teaching, learning and research.	
12.	<b>How and when will you monitor whether the adverse impact has been eliminated or reduced?</b>	We will review the data in: <ul style="list-style-type: none"> <li>• November 2019</li> <li>• April 2020</li> <li>• and immediately prior to submission in November 2020.</li> </ul>	

Summary of Equality Impact Assessment Outcome: **We will proceed with awareness of the potential for adverse impacts in the future.**

Signed:



Head of Department/School (Name): Professor David James, Dean of Academic Development

Date: 31<sup>st</sup> May 2019

## APPENDIX: DATA (April 2019)

### DATA:

- **Sex and sexual orientation;**
- **gender reassignment;**
- **age;**
- **disability;**
- **race;**
- **religion or belief;**
- **pregnancy and maternity;**
- **marriage and civil partnership;**
- part time working;
- fixed term contracts.

APPENDIX: DATA (April 2019)

7.1 Sex - Staff with Significant Responsibility for Research				
Count of Employee Number				
Column Labels				
Row Labels	Y	N	Grand Total	
Female	60	142	202	
Male	83	150	233	
<b>Grand Total</b>	<b>143</b>	<b>292</b>	<b>435</b>	
7.2 Sex - Independent Researchers				
Count of Employee Number				
Column Labels				
Row Labels	Y	N	Grand Total	
Female	56	4	60	
Male	79	4	83	
<b>Grand Total</b>	<b>135</b>	<b>8</b>	<b>143</b>	
7.3 Sex - Output profile for Category A Eligible Staff				
Count of Employee Number				
Column Labels				
Row Labels	3* & 4* outputs	2* or lower outputs	No Outputs	Grand Total
Female	31	13	12	56
Male	44	23	12	79
<b>Grand Total</b>	<b>75</b>	<b>36</b>	<b>24</b>	<b>135</b>

APPENDIX: DATA (April 2019)

8.1 Sexual Orientation - Staff with Significant Responsibility for Research					
Count of Employee Number	Column Labels				
Row Labels	Y	N	Grand Total		
Bisexual		2	4	6	
Gay man		2	2	4	
Gay woman/lesbian		5	2	7	
Heterosexual		54	155	209	
Other		1	1	2	
Information refused		8	14	22	
(blank)		71	114	185	
<b>Grand Total</b>		<b>143</b>	<b>292</b>	<b>435</b>	
8.2 Sexual Orientation - Independent Researchers					
Count of Employee Number	Column Labels				
Row Labels	Y	N	Grand Total		
Bisexual		2	0	2	
Gay man		2	0	2	
Gay woman/lesbian		5	0	5	
Heterosexual		51	3	54	
Other		1	0	1	
Information refused		7	1	8	
(blank)		67	4	71	
<b>Grand Total</b>		<b>135</b>	<b>8</b>	<b>143</b>	
8.3 Sexual Orientation - Output profile for Category A Eligible Staff					
Count of Employee Number	Column Labels				
Row Labels	3* & 4* outputs	2* or lower outputs	No Outputs	Grand Total	
Bisexual	0	1	1	2	
Gay man	2	0	0	2	
Gay woman/lesbian	2	1	2	5	
Heterosexual	27	14	10	51	
Other	1	0	0	1	
Information refused	3	1	3	7	
(blank)	40	19	8	67	
<b>Grand Total</b>	<b>75</b>	<b>36</b>	<b>24</b>	<b>135</b>	

APPENDIX: DATA (April 2019)

<b>3.1 Gender Identity - Staff with Significant Responsibility for Research</b>				
Count of Employee Number	Column Labels			
Row Labels	Y	N	Grand Total	
Yes - Gender matches sex reg at birth	89	162	251	
No - Gender does not match sex at birth		1	1	
Information refused	2	5	7	
(blank)	52	124	176	
<b>Grand Total</b>	<b>143</b>	<b>292</b>	<b>435</b>	
<b>3.2 Gender Identity - Independent Researchers</b>				
Count of Employee Number	Column Labels			
Row Labels	Y	N	Grand Total	
Yes - Gender matches sex reg at birth	83	6	89	
Information refused	2	0	2	
(blank)	50	2	52	
<b>Grand Total</b>	<b>135</b>	<b>8</b>	<b>143</b>	
<b>3.3 Gender Identity - Output profile for Category A Eligible Staff</b>				
Count of Employee Number	Column Labels			
Row Labels	3* & 4* outputs	2* or lower outputs	No Outputs	Grand Total
Yes - Gender matches sex reg at birth	45	22	16	83
Information refused	1	1	0	2
(blank)	29	13	8	50
<b>Grand Total</b>	<b>75</b>	<b>36</b>	<b>24</b>	<b>135</b>
** NOTE: The Gender Reassignment category is based on the question: Does your gender identity match your sex as registered at birth?				

APPENDIX: DATA (April 2019)

<b>1.1 Age - Staff with Significant Responsibility for Research</b>				
Count of Employee Number	Column Labels			
Row Labels	Y	N	Grand Total	
21-30		5	8	13
31-40		30	68	98
41-50		41	85	126
51-60		47	104	151
61-65		11	17	28
Over 65		9	10	19
<b>Grand Total</b>		<b>143</b>	<b>292</b>	<b>435</b>
<b>1.2 Age - Independent Researchers</b>				
Count of Employee Number	Column Labels			
Row Labels	Y	N	Grand Total	
21-30		3	2	5
31-40		28	2	30
41-50		40	1	41
51-60		44	3	47
61-65		11	0	11
Over 65		9	0	9
<b>Grand Total</b>		<b>135</b>	<b>8</b>	<b>143</b>
<b>1.3 Age - Output profile for Category A Eligible Staff</b>				
Count of Employee Number	Column Labels			
Row Labels	3* & 4* outputs	2* or lower outputs	No Outputs	Grand Total
21-30	2		1	3
31-40	12	12	4	28
41-50	22	11	7	40
51-60	30	5	9	44
61-65	4	4	3	11
Over 65	5	4		9
<b>Grand Total</b>	<b>75</b>	<b>36</b>	<b>24</b>	<b>135</b>

APPENDIX: DATA (April 2019)

<b>2.1 Disability - Staff with Significant Responsibility for Research</b>				
Count of Employee Number	Column Labels			
Row Labels	Y	N	Grand Total	
Disability Declared	6	20	26	
No Known Disability	137	272	409	
<b>Grand Total</b>	<b>143</b>	<b>292</b>	<b>435</b>	
<b>2.2 Disability - Independent Researchers</b>				
Count of Employee Number	Column Labels			
Row Labels	Y	N	Grand Total	
Disability Declared	6	0	6	
No Known Disability	129	8	137	
<b>Grand Total</b>	<b>135</b>	<b>8</b>	<b>143</b>	
<b>2.3 Disability - Output profile for Category A Eligible Staff</b>				
Count of Employee Number	Column Labels			
Row Labels	3* & 4* outputs	2* or lower outputs	No Outputs	Grand Total
Disability Declared	4	2		6
No Known Disability	71	34	24	129
<b>Grand Total</b>	<b>75</b>	<b>36</b>	<b>24.00</b>	<b>135</b>



APPENDIX: DATA (April 2019)

<b>5.1 Ethnicity - Staff with Significant Responsibility for Research</b>				
Count of Employee Number	Significant Respo			
BME Grp	Y	N	Grand Total	
Asian or Asian British	6	5	11	
Black or Black British	0	4	4	
Chinese or other ethnic group	5	9	14	
Mixed	2	3	5	
White	130	266	396	
Not known	0	1	1	
Information refused	0	4	4	
<b>Grand Total</b>	<b>143</b>	<b>292</b>	<b>435</b>	
<b>5.2 Ethnicity - Independent Researchers</b>				
Count of Employee Number	Column Labels			
Row Labels	Y	N	Grand Total	
Asian or Asian British	6	0	6	
Black or Black British	0	0	0	
Chinese or other ethnic group	5	0	5	
Mixed	1	1	2	
White	123	7	130	
Not known	0	0	0	
Information refused	0	0	0	
<b>Grand Total</b>	<b>135</b>	<b>8</b>	<b>143</b>	
<b>5.3 Ethnicity - Output profile for Category A Eligible Staff</b>				
Count of Employee Number	Column Labels			
Row Labels	3* & 4* outputs	2* or lower outputs	No Outputs	Grand Total
Asian or Asian British	3	3	0	6
Black or Black British	0	0	0	0
Chinese or other ethnic group	3	0	2	5
Mixed	0	0	1	1
White	69	33	21	123
Not known	0	0	0	0
Information refused	0	0	0	0
<b>Grand Total</b>	<b>75</b>	<b>36</b>	<b>24</b>	<b>135</b>

APPENDIX: DATA (April 2019)

6.1 Religion and Belief - Staff with Significant Responsibility for Research				
Count of Employee Number	Significant Responsibility for Research			
RelBlf Grp	Y	N	Grand Total	
Christian	26	59	85	
Other religion or belief	8	15	23	
No religion	34	100	134	
Information refused	5	9	14	
Not known	70	109	179	
<b>Grand Total</b>	<b>143</b>	<b>292</b>	<b>435</b>	
6.2 Religion and Belief - Independent Researchers				
Count of Employee Number	Column Labels			
Row Labels	Y	N	Grand Total	
Christian	24	2	26	
Other religion or belief	8	0	8	
No religion	33	1	34	
Information refused	4	1	5	
Not known	66	4	70	
<b>Grand Total</b>	<b>135</b>	<b>8</b>	<b>143</b>	
6.3 Religion and Belief - Output profile for Category A Eligible Staff				
Count of Employee Number	Column Labels			
Row Labels	3* & 4* outputs	2* or lower outputs	No Outputs	Grand Total
Christian	13	6	5	24
Other religion or belief	3	4	1	8
No religion	17	8	8	33
Information refused	2		2	4
Not known	40	18	8	66
<b>Grand Total</b>	<b>75</b>	<b>36</b>	<b>24</b>	<b>135</b>

APPENDIX: DATA (April 2019)

4.1 Pregnancy and Maternity - Staff with Significant Responsibility for Research					
Count of Employee Number					
Row Labels	Column Labels	Y	N	Grand Total	
Y		3	1	4	
N		140	291	431	
<b>Grand Total</b>		<b>143</b>	<b>292</b>	<b>435</b>	
4.2 Pregnancy and Maternity - Independent Researchers					
Count of Employee Number					
Row Labels	Column Labels	Y	N	Grand Total	
Y		3	0	3	
N		132	8	140	
<b>Grand Total</b>		<b>135</b>	<b>8</b>	<b>143</b>	
4.3 Pregnancy and Maternity - Output profile for Category A Eligible Staff					
Count of Employee Number					
Row Labels	Column Labels	3* & 4* outputs	2* or lower outputs	No Outputs	Grand Total
Y		1	1	1	3
N		74	35	23	132
<b>Grand Total</b>		<b>75</b>	<b>36</b>	<b>24</b>	<b>135</b>

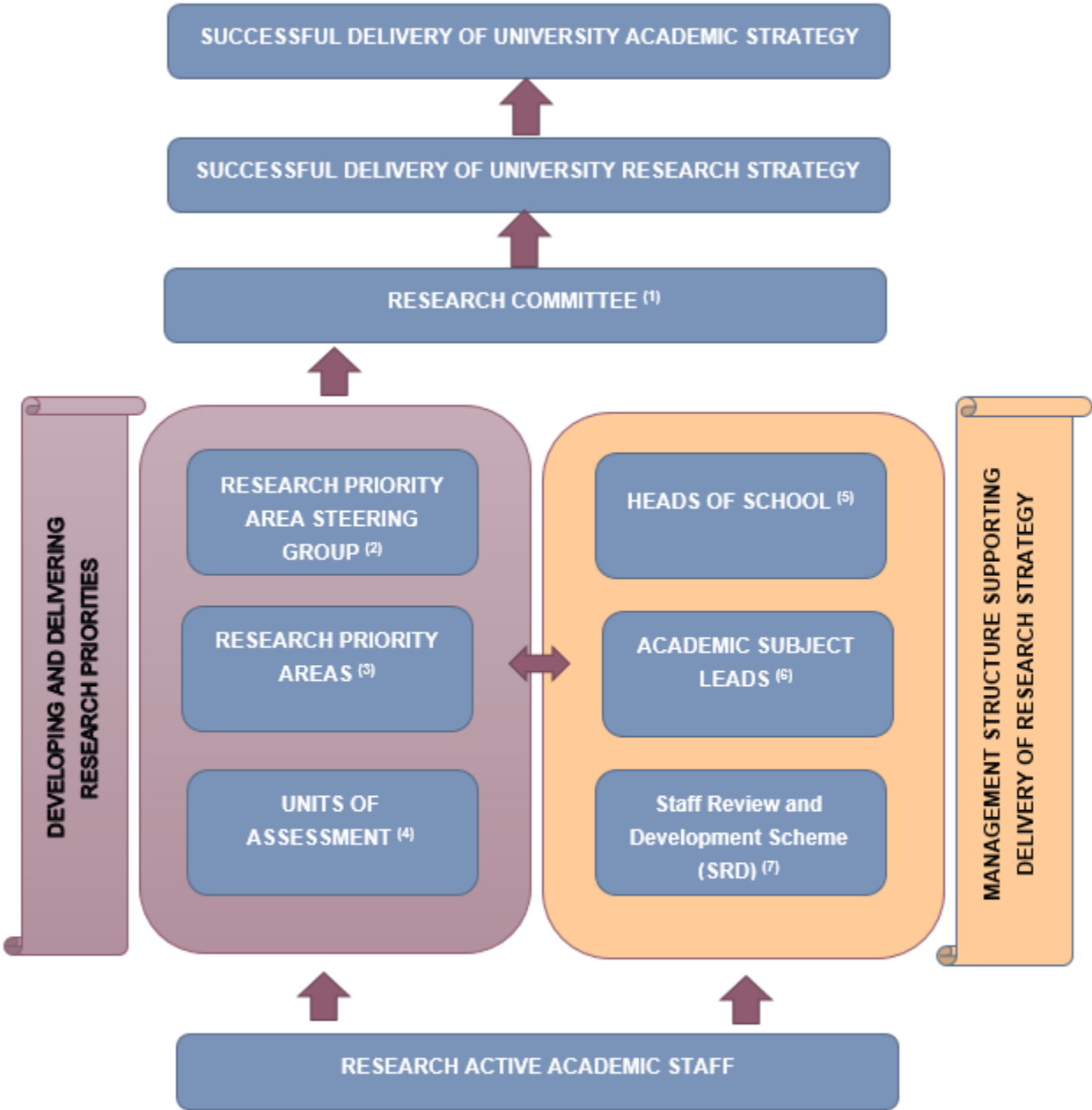
APPENDIX: DATA (April 2019)

9.1 Working Hours - Staff with Significant Responsibility for Research				
Count of Employee Number				
Column Labels				
Row Labels	Y	N	Grand Total	
Full-Time	113	183	296	
Part-Time	30	109	139	
<b>Grand Total</b>	<b>143</b>	<b>292</b>	<b>435</b>	
9.2 Working Hours - Independent Researchers				
Count of Employee Number				
Column Labels				
Row Labels	Y	N	Grand Total	
Full-Time	108	5	113	
Part-Time	27	3	30	
<b>Grand Total</b>	<b>135</b>	<b>8</b>	<b>143</b>	
9.3 Working Hours - Output profile for Category A Eligible Staff				
Count of Employee Number				
Column Labels				
Row Labels	3* & 4* outputs	2* or lower outputs	No Outputs	Grand Total
Full-Time	60	27	21	108
Part-Time	15	9	3	27
<b>Grand Total</b>	<b>75</b>	<b>36</b>	<b>24</b>	<b>135</b>

APPENDIX: DATA (April 2019)

10.1 Contract Type - Staff with Significant Responsibility for Research				
Count of Employee Number		Column Labels		
Row Labels	Y	N	Grand Total	
FIXTER	21	50	71	
INDEF	122	242	364	
<b>Grand Total</b>	<b>143</b>	<b>292</b>	<b>435</b>	
10.2 Contract Type - Independent Researchers				
Count of Employee Number		Column Labels		
Row Labels	Y	N	Grand Total	
FIXTER	17	4	21	
INDEF	118	4	122	
<b>Grand Total</b>	<b>135</b>	<b>8</b>	<b>143</b>	
10.3 Contract Type - Output profile for Category A Eligible Staff				
Count of Employee Number		Column Labels		
Row Labels	3* & 4* outputs	2* or lower outputs	No Outputs	Grand Total
FIXTER	7	5	5	17
INDEF	68	31	19	118
<b>Grand Total</b>	<b>75</b>	<b>36</b>	<b>24</b>	<b>135</b>

### Research: Leadership & Management



Numbering below relates to numbering in the above figure.

1. Research Committee brings together the Convenors of the Research Priority Areas. The remit of the Committee is to drive the delivery of the Research Strategy, which forms an Ambition within the overall Academic Strategy. Research Committee reports to Academic Board.
2. The Convenors of each Research Priority Area (RPA), representing the interests of the RPA steering group, are members of the Research Committee, providing updates on RPA progress and the progress of the underpinning Units of Assessment (UoAs).
3. The RPAs have aligned UoAs, ensuring the preparations for the forthcoming REF exercise are in line with the overall RPA plans, and those UoAs in turn map across to Academic Subjects.
4. Each UoA has a Coordinator to work closely with the aligned RPA Convenor and the contributing academic staff to ensure outputs, impact case studies and the environment for research are developed in line with the definition of the UoA and the ambitions of the respective academic subjects it maps across to.
5. Heads of School work closely with RPA Convenors, ensuring that those delivering research priorities are doing so in a supportive environment with particular attention to the resourcing of the RPAs (each RPA is formally aligned to at least one School).
6. Academic Subject Leaders have responsibility for the development of the academic subject, including research, in line with ambition three in the Academic Strategy. The Academic Subject Leaders work closely with the respective Head of School and the UoA Convenors of the UoAs that map across to their Subject.
7. Staff Review and Development (SRD) scheme is where individual academic staff agree their objective (including research objectives) on an annual basis in line with the requirements of the UoA that maps across to their subject and the broader plans for the development of the RPA. The UoA coordinator inputs prior to the SRD to ensure the Academic Subject Leader or Head of School is able to agree priorities and targets in line with the plans to deliver the research strategy.

## RESEARCH COMMITTEE

### Terms of Reference

**Purpose:** To undertake the regular management and oversight of the University's research provision on behalf of Academic Board.

1. To advise Academic Board on research policy and practice.
2. To develop and implement the Research priority within the overall University Strategy and the Research ambition within the Academic Strategy.
3. To ensure the development of Research Priority Areas, and agree funding against their plans.
4. To have oversight of the preparation for the University's submission to government quality-related research exercises (e.g., REF).
5. To consider and approve proposals for the creation of Research Centres and periodically review them.
6. To maintain oversight of Postgraduate Research through Research Degrees Committee.
7. To maintain oversight of Research Ethics through Research Ethics Committee.
8. To maintain oversight of Open Access arrangements, including the review of data from the Research Repository.
9. To consider funding opportunities for research.
10. To consider the research-teaching interface, and the potential benefits for student learning opportunities.
11. To consider research policy and practice in relation to equal opportunities.
12. To consider aspects of risk to the University in relation to research activity.

**Mode of Operation:**

**Chair:** Vice Chancellor

**Vice Chair:** Dean of Academic Development

**Officer:** Governance & Secretariat Services

**Quorum:**

One half of the total membership (excluding co-options) which must include either the designated Chair or Vice-Chair.

**Co-options:** Up to three per year

**Frequency of Meetings:**

Six times per year

**Reporting Line:**

Academic Board

**Current Sub-Committees:** Research Degrees Committee  
Research Ethics Committee

**Submission / Availability of Minutes:**

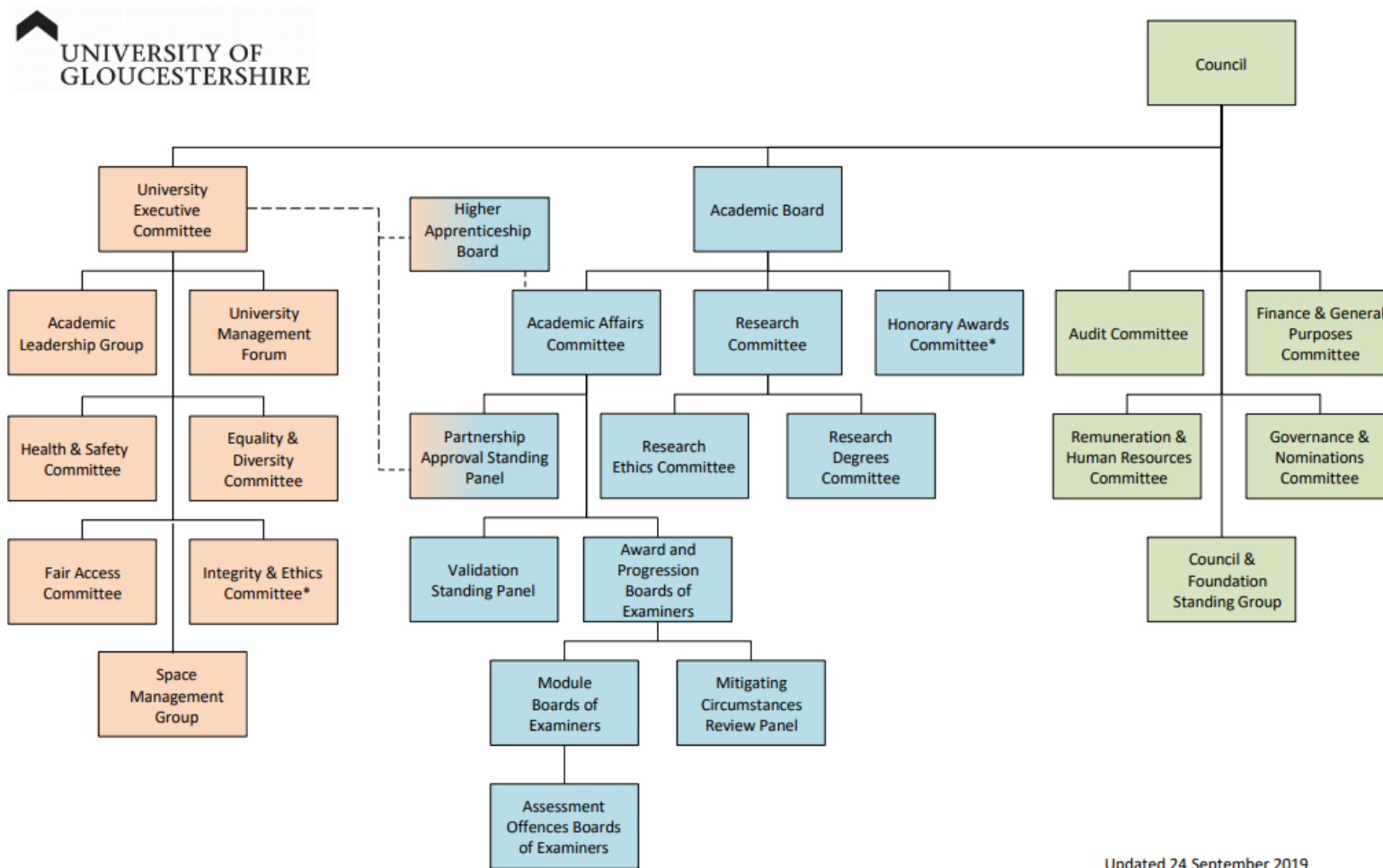
Copies of all minutes will be forwarded to Academic Board. Minutes are also held by the Registrar's Directorate, and will be published on the committee webpage.



## RESEARCH COMMITTEE

<b>Membership</b>	
Vice Chancellor ( <i>Chair</i> )	Stephen Marston
Deputy Vice Chancellor	<i>Vacancy</i>
Dean of Academic Development ( <i>Vice Chair</i> )	Prof David James
Head of Postgraduate Research & Chair of Research Degrees Committee	Prof Ros Jennings
Chair of Research Ethics Committee	Dr Emily Ryall
Research Priority Area Convenors	Dr Emily Ryall ( <i>Sport, Exercise, Health and Wellbeing</i> ) Chris Short ( <i>Environmental Dynamics and Governance</i> ) Prof Neil Towers ( <i>Applied Business &amp; Technology</i> ) Prof Nigel McLoughlin ( <i>Being Human: Past, Present and Future</i> ) Angus Pryor ( <i>Creative Practice as Research</i> ) Dr Adeela Shafi and Dr Paul Vare ( <i>Learning and Professional Contexts</i> )
Head of Library & Information Services or senior delegate	James Hodgkin
<b>Co-opted members:</b>	James Seymor (Director of CMSR) Sue Wassel (Strategic HR Business Partner)

## University Committee structure



Updated 24 September 2019

In addition to Council committees, committees marked \* include a Council Member in the membership

From: <https://connectglosac.sharepoint.com/sites/UniversityCommittees/Committee%20Structures/Committee%20Structure.pdf>

## Research Priority Areas: Leadership & Terms of Reference

The establishment of the six Research Priority Areas is a University-wide initiative, and a key component of the implementation of the Research Ambition within the Academic Strategy. In recognising current areas of excellence in research, and potential areas for the future, the following six Research Priority Areas form the basis of our arrangements for research leadership and delivery of the Research ambition:

- Environmental Dynamics & Governance (EDG)
- Sport, Exercise, Health & Wellbeing (SEHW)
- Being Human: Past, Present & Future (BH)
- Creative Practice as Research (CPR)
- Applied Business & Technology (ABT)
- Learning and Professional Contexts (LPC)

It is well acknowledged that the precise drivers for each Research Priority Area vary, with some looking to consolidate and build on a strong track record and existing profile, whilst others are attempting to drive research development in strategically important areas for the University with great potential. Each Research Priority Area operates within 'Terms of Reference' and has an appointed Convenor and a Steering Group.

Convenor Remit (*normally* Professor or Reader, located in one of the aligned Subject Communities):

1. Single point of contact (with admin support);
2. Coordinate the promotion of Area (web; social media, events);
3. Management of Area (group meetings; external partners; bidding oversight);
4. Responsibility for annual plan for Area (priorities, targets) & reporting;
5. Inform Heads of School of 'needs' of Area (e.g., human & physical resource, non-pay), and identify proposals for allocated REF QR funding;
6. Identification and coordination of support for 'talent pipeline';
7. Close working with structural managers (time allocation, staff development);
8. Work closely with budget holder for Area.

Steering Group Remit:

1. Define Area to ensure focus and excellence;
2. Advise on formation of annual plan for Area;
3. Promote Area internally & externally;
4. Inform Convenor of 'needs' of Area (e.g., human & physical resource, non-pay);
5. Ensure engagement in Area activity to optimise the development of the Area;
6. Provide support to the 'talent pipeline'.

The Research Priority Areas were initially formed in early 2014, following our submission to REF2014. This document is based on a version presented to Research Committee in February 2014.

Professor David James  
Dean of Academic Development

## **Unit of Assessment Coordinator**

### **Role Description**

The role of the UoA Coordinator is:

1. To provide research leadership (mentoring & guidance);
2. To work with the aligned Research Priority Area and also the mapped subject communities;
3. To identify and support staff who have objectives for research as a result of their annual Staff Review and Development (SRD);
4. To assess output quality, making internal assessments prior to external advisor review;
5. To develop impact case studies, working closely with the impact generators;
6. To have oversight of the environment for research, including research degrees, research income, impact strategy, and equality & diversity considerations;
7. To mainstream the UoA within relevant subject communities in line with wider School Business Plans.

Although UoA Coordinators were in place for REF2014, at the start of the preparation cycle for REF2021 the role of the UoA Coordinator was clarified and presented to a meeting of coordinators in September 2015. This document is based on that clarification provided in 2015. It was important to provide clarity at that time, since the arrangements for governance and research had changed, including the development of a new Strategic Plan, a new Academic Strategy, and a new research Ambition within that Strategy. An important aspect of the implementation of the research ambition was the formation of six Research Priority Areas and the formation of subject communities.

Prof David James

Dean of Academic Development

31<sup>st</sup> May 2019

## REF2021 Appeal Form

### 1. Personal details

Name: \_\_\_\_\_  
 Staff number: \_\_\_\_\_  
 School/Department: \_\_\_\_\_  
 Unit of Assessment: \_\_\_\_\_  
 Date: \_\_\_\_\_

### 2. About your appeal

Have you attempted to resolve informally the matter over which you are appealing, by discussing the case with the respective Unit of Assessment Coordinator?

*[Delete as applicable]*

**Yes.** Please provide further information below.

**No.** Please indicate below why you have not attempted to resolve the matter informally.

### 3. Grounds for appeal

Please indicate under which category you are making your appeal. You may tick more than one category:

The criteria for selection of academic staff with <i>significant responsibility for research</i> were not applied in accordance with the University's REF Code of Practice in respect of my eligibility for inclusion in the University's REF submission.	
The criteria for decisions on <i>research independence</i> were not applied in accordance with the University's REF Code of Practice in respect of my eligibility for inclusion in the University's REF submission.	
The criteria for <i>selection of research outputs</i> were not applied in accordance with the University's REF Code of Practice, or there was a material error in the data used by the UoA Coordinator to reach a decision as to which research outputs are submitted to the REF.	

#### 4. Details of grounds for appeal

Please provide full details of the grounds for your appeal, attaching further sheets if necessary.

#### 5. Evidence

Your appeal may be supported by relevant documentary evidence. It is your responsibility to provide supporting evidence, and to decide what should be included.

#### 6. Declaration

I confirm that the information given in this form and in supporting documents is true to the best of my knowledge and belief.

Signature: \_\_\_\_\_

Date: \_\_\_\_\_

**Following completion, please submit this form with any supporting evidence via email to [REF2021@glos.ac.uk](mailto:REF2021@glos.ac.uk)**

#### ***What happens next?***

- The individual making the appeal case must complete the REF2021 Appeal form between 1<sup>st</sup> November 2019 and 22 January 2021. or between 1<sup>st</sup> November 2019 and 31<sup>st</sup> January 2020 if the grounds for appeal are against Significant Responsibility for Research or Researcher Independence;
- The Appeal form is initially received by the Research Development Support Officer (Academic Development Unit);
- The Appeal is considered by an RPA Convenor of a different RPA to the appellant, and will be completed where reasonably possible within 20 working days from receipt of the form;
- The Review of Appeal is considered by the Dean of Academic Development, and will be completed within 10 working days from receipt of the notification of review request.

## Appendix 8: REF2021 Voluntary Declaration of Circumstances

### Declaration of Individual Staff Circumstances

As part of the university's commitment to supporting equality and diversity in Research, and as we prepare for REF2021, we have put in place safe and supportive arrangements for all staff to declare information about any equality-related circumstances that may have affected their ability to research productively during the assessment period (1 January 2014 – 31 July 2020), and particularly their ability to produce research outputs at the same rate as staff not affected by such circumstances.

As described in our Code of Practice for Staff, the University's procedures for the identification of staff and outputs to be submitted to the REF are rooted in the well-established Staff Review and Development (SRD) scheme and the ongoing review of progress by the RPA Convenors and UoA Coordinators. This means that every member of academic staff has the same opportunity to discuss on a one-to-one basis with their manager their research aspirations, and to agree each year their objectives for research as appropriate. As part of those discussions, any member of staff can make known their personal circumstances and any implications for their agreed research objectives. It is part of the role and responsibility of UoA Coordinators, where they are notified of relevant staff circumstances, to take these into account in shaping their plans for the overall UoA submission.

In addition, we are now providing all members of staff the opportunity to voluntarily declare individual circumstances that may have affected their ability to research productively, whether or not they are currently considered eligible for REF (i.e. have significant responsibility for research and are an independent researcher).

This information will allow us 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 (including submitting staff with zero outputs).

Our policy is that we are not distinguishing between Eligibility and Significant Responsibility for Research. Therefore, this form is split into a Part A and Part B. An individual declaring circumstances will complete either Part A or Part B (not both Parts) – submissions from 1<sup>st</sup> November 2019 to 31<sup>st</sup> January 2020:

- **Part A** – to only be completed by those whose job family is Teaching & Scholarship;
- **Part B** – to only be completed by those whose job family is Teaching & Research or Research;

Once completed the form should be submitted to the following email address:

[HrRef2021@glos.ac.uk](mailto:HrRef2021@glos.ac.uk)

Access to this inbox is restricted to select staff within the HR team (Strategic HR Business Partner, Equality and Diversity Manager, and a Senior HR and Change Advisor).

## **PART A [staff in Teaching & Scholarship Job Family]**

### **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
- 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 pursue your research aspirations during the assessment period has been constrained due to one or more of the following circumstances, you are requested to complete the attached form.

Completion and return of the form is voluntary, and individuals who do not choose to return it will not be put under any pressure to declare information if they do not wish to do so. This form is the only means by which the University will be gathering this information; we will not be consulting HR records. You should therefore complete and return the form if any of the above circumstances apply and you are willing to provide the associated information.

### **Ensuring Confidentiality**

Once completed, the form should be submitted to the following inbox: [HrRef2021@glos.ac.uk](mailto:HrRef2021@glos.ac.uk). Access to this inbox is restricted to select staff within the HR team (Strategic HR Business Partner, Equality and Diversity Manager, and a Senior HR and Change Advisor). The form will not automatically be shared with the relevant UoA Coordinator. If it is considered that this information will impact on the overall UoA submission then the impact (but not the circumstances themselves) will be shared with the respective UoA Coordinator to ascertain whether the impact is sufficiently high to warrant a request to the higher education funding bodies for a reduced required number of outputs to be submitted (including submitting staff with zero outputs).



**PART A [staff in Teaching & Scholarship Job Family]**

**Name:** Click here to insert text.

**School/Department:** Click here to insert text.

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

Yes

No

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

Circumstance	Time period affected
<p><b>Early Career Researcher (started career as an independent researcher on or after 1 August 2016).</b></p> <p><i>Date you became an early career researcher.</i></p>	<p>Click here to enter a date.</p>
<p><b>Career break or secondment outside of the HE sector.</b></p> <p><i>Dates and durations in months.</i></p>	<p>Click here to enter dates and durations.</p>
<p><b>Family-related leave;</b></p> <ul style="list-style-type: none"> <li>• statutory maternity leave</li> <li>• statutory adoption leave</li> <li>• Additional paternity or adoption leave or shared parental leave lasting for four months or more.</li> </ul> <p><i>For each period of leave, state the nature of the leave taken and the dates and durations in months.</i></p>	<p>Click here to enter dates and durations.</p>
<p><b>Disability (including chronic conditions)</b></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><b>Mental health condition</b></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><b>Ill health or injury</b></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><b>Constraints relating to family leave that fall outside of standard allowance</b></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><b>Caring responsibilities</b></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><b>Gender reassignment</b></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><b>Any other exceptional reasons e.g. bereavement.</b></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>

By signing and submitting this form:

- I confirm that the above information provided is a true and accurate description of my circumstances as of the date below.

- I accept that the above information will be used for REF purposes only and will be seen by named members of the HR team.
- I accept that it may be necessary to share the information with the REF team, the REF Equality and Diversity Advisory Panel, and main panel chairs.

**Name:** Print name here

**Signed:** Sign or initial here

**Date:** Insert date here

I give my permission for a member of the HR team to contact me to discuss my circumstances, and my requirements in relation this these.

I would like to be contacted by:

Email  Insert email address

Phone  Insert contact telephone number

## **PART B [staff in Teaching & Research or Research Job Family]**

### **Applicable circumstances**

- Disability (including chronic conditions)
- Ill health, injury or mental health conditions
- Constraints relating to family leave that fall outside of the standard allowances
- Caring responsibilities
- Gender reassignment

If your ability to research productively during the assessment period has been constrained due to one or more of the above circumstances, you are requested to complete the attached form. Further information can be found at paragraph 160 of the Guidance on Submissions (REF 2019/01). Completion and return of the form is voluntary, and individuals who do not choose to return it will not be put under any pressure to declare information if they do not wish to do so. You should therefore complete and return the form if any of the above circumstances apply and you are willing to provide the associated information.

### **Ensuring Confidentiality**

Once completed, the form should be submitted to the following inbox: [HrRef2021@glos.ac.uk](mailto:HrRef2021@glos.ac.uk). Access to this inbox is restricted to select staff within the HR team (Strategic HR Business Partner, Equality and Diversity Manager, and a Senior HR and Change Advisor). It will not automatically be shared with the relevant UoA coordinator. If it is considered that this information will impact on the overall UoA submission then the impact (but not the circumstances themselves) will be shared with the respective UoA Coordinator to ascertain whether the impact is sufficiently high to warrant a request to the higher education funding bodies for a reduced required number of outputs to be submitted (including submitting staff with zero outputs).

If the institution subsequently decides to apply to the funding bodies for either form of reduction of outputs (removal of 'minimum of one' requirement or unit circumstances), we will need to provide 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**

The university recognises that staff circumstances may change between completion of the declaration form and the census date (31 July 2020). If this is the case, then staff should contact a member of the HR team as detailed above to provide the updated information.

Once completed, please submit this form to the following Confidential HR inbox: [HrRef2021@glos.ac.uk](mailto:HrRef2021@glos.ac.uk)

**PART B [staff in Teaching & Research or Research Job Family]**

**Name:** Click here to insert text.

**School/Department:** Click here to insert text.

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

Yes

No

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

Circumstance	Time period affected
<p><b>Disability (including chronic conditions)</b></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><b>Mental health condition</b></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><b>Ill health or injury</b></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><b>Constraints relating to family leave that fall outside of standard allowance</b></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><b>Caring responsibilities</b></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><b>Gender reassignment</b></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><b>Any other exceptional reasons e.g. bereavement.</b></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>

By signing and submitting this form:

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- I accept that the above information will be used for REF purposes only and will be seen by named members of the HR team.
- I accept that it may be necessary to share the information with the REF team, the REF Equality and Diversity Advisory Panel, and main panel chairs.

**Name:** Print name here

**Signed:** Sign or initial here

**Date:** Insert date here

I give my permission for a member of the HR team to contact me to discuss my circumstances, and my requirements in relation this these.

I would like to be contacted by:

Email  Insert email address

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