

Guidelines

Code of practice on selecting staff and preparing submissions to the Research Excellence Framework 2021

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Background

- 1 The REF is a single framework for assessment across all disciplines, with a common set of data required in all submissions, standard definitions and procedures and assessment by expert panels against broad generic criteria.
- 2 The REF will be a process of expert review. Expert sub-panels for each of 34 units of assessment (UOAs) will carry out the assessment, working under the leadership and guidance of four main panels.
- 3 In early 2020, the four UK higher education (HE) funding bodies will invite UK higher education institutions (HEIs) to make submissions to the REF 2021. Each submission in each UOA will contain a common set of data comprising:
 - a Information on all staff in post with significant responsibility for research on the census date, 31 July 2020; and information about former staff to whom submitted outputs are attributed.
 - b Details of assessable outputs produced in the submitted unit during the publication period (1 January 2014 to 31 December 2020).
 - c Case studies describing specific examples of impacts achieved during the assessment period (1 August 2013 to 31 December 2020), underpinned by research in the period 1 January 2000 to 31 December 2020.
 - d Data about research doctoral degrees awarded, research income and income-in-kind related to the period 1 August 2013 to 31 July 2020.
 - e An institutional-level environment statement and a completed template describing the submitted unit's research and impact environment, related to the period 1 August 2013 to 31 July 2020.
- 4 The deadline for submissions is 31 March 2021. Submissions will be assessed by the REF panels during the course of 2021. Results will be published in April 2022 and will be used by the HE funding bodies to inform research funding from the academic year 2022–23.
- 5 Each institution making a submission is required to develop, document and apply a code of practice on the fair and transparent identification of staff with significant responsibility for research (where an HEI is not submitting 100% of Category A eligible staff²); determining who is an independent researcher; and the selection of outputs.
- 6 Both as employers and public bodies, HEIs need to ensure that their REF procedures do not discriminate unlawfully against, or otherwise have the effect of harassing or victimising individuals because of age, disability, gender identity, marriage and civil partnership, race, religion or belief, sex or sexual orientation or because they are pregnant or have recently given birth.
- 7 The funding bodies require the code of practice to be submitted to the REF team by noon, 7 June 2019. The Equality and Diversity Advisory Panel (EDAP) will examine the codes and advise the UK funding bodies on their adherence to the guidance, prior to approval and publication. All submitted and approved codes of practice will be published before the submission deadline. The provisional publication date is December 2019.
- 8 Further information about the REF is available at www.ref.ac.uk.

² Category A eligible' staff are defined as academic staff with a contract of employment of 0.2 full-time equivalent or greater, on the payroll of the submitting institution on the census date, whose primary employment function is to undertake either 'research only' or 'teaching and research' and are returned as such to the Higher Education Statistics Agency.

Part 1: Introduction

Principles

Transparency

- 9 All processes for identifying staff with significant responsibility for research, determining research independence, and selecting outputs for inclusion in REF 2021 will be transparent. The final code of practice will be made available in an easily accessible format and publicised to all academic staff across the institution, including on the website and Virtual Learning Environment (Blackboard), and drawn to the attention of those absent from work. Dissemination events will be held at both the High Wycombe and Uxbridge campuses to explain the processes related to i) identifying staff with significant responsibility for research ii) determining research independence and iii) selecting outputs for submission.
- 10 In development of the code of practice, an initial draft was considered by the REF steering group prior to review and approval for wider consultation by the Research and Enterprise committee. This review included consideration by members of the University Executive Team and a staff representative of the union. The draft was then made available to all academic staff in January 2019 through Blackboard. Staff currently absent were sent a copy by email or post from their head of school. Staff were invited to comment through an anonymous on-line survey in February 2019. Dissemination events were held at both High Wycombe and Uxbridge campuses. Feedback was considered by the REF steering group, creating a final version for approval by the Research and Enterprise Committee and Senate.

Consistency

- 11 The policy will be consistent across the institution and the code of practice implemented uniformly. The principles documented in Parts 2, 3 and 4 will be applied to all aspects/stages of the process at all levels within the institution where decisions will be made.

Accountability

- 12 Responsibilities for all staff involved in the process will be clearly defined. Individuals and bodies involved in i) identifying staff with significant responsibility for research, ii) determining research independence and iii) selecting outputs for REF submissions will be identified by name or role. The training of those involved will be stated. The operating criteria and terms of reference for individuals, committees and any other bodies concerned with these processes will be made available to all individuals and groups concerned.

Inclusivity

- 13 The code will promote an inclusive environment, enabling Bucks to identify all staff who have significant responsibility for research, all staff who are independent researchers, and the excellent research produced by staff across all protected groups.

The legislative and institutional context

- 14 A summary of the equality legislation with which institutions have to comply generally, and which have to be taken into account when preparing the REF2021 submission is shown in Appendix 1, extracted from REF 2018/03 paragraph 30.
- 15 The University recognises the benefits a diverse workforce and student body can bring to the institution and is firmly committed to celebrating diversity and promoting equality of opportunity across all the legally 'protected characteristics' as defined by the Equality Act 2010. Equality is actively promoted,

valuing diversity and inclusivity; all individuals are to be treated with respect whoever they are, however they identify and whatever characteristics they feel are important to their identity. All objectives support the main theme of embedding equality and diversity into everything to positively impact on academic and commercial success.

- 16 All processes and procedures outlined in this code adhere to and follow guidelines and best practice recommendations in the following institutional policies and guides:
- a Staff Disability policy
 - b Transgender policy
 - c Maternity policy
 - d Paternity policy
 - e Equality analysis guide
 - f Special leave policy
 - g Shared parental leave policy
 - h Dignity at work – bullying and harassment
- 17 In addition to these policies, Bucks has annual Equality, Diversity and Inclusivity action plans, reviewed and proposed by the Equality, Diversity and Inclusivity working group and approved by the Governance Committee, which are publicly available on the university website.

Actions taken since REF2014

- 18 The institutional action from REF2014 was to ensure that academics with individual circumstances that may impact academic achievement have opportunities for inclusion in the REF submission. To ensure that REF processes are fair, the University is collecting data on individual circumstances from all staff with significant responsibility for research. The data will be used to identify which staff are eligible for a reduction in outputs (see Part 4).
- 19 The University now holds the 'disability confident employer' accreditation from Jobcentre Plus for having a positive approach to employing disabled people. The University is also a signatory on the MINDFUL EMPLOYER charter and has signed the Time to Change pledge in partnership with the Students' Union. Within the higher education sector, Bucks is a member of the HE Academy, which incorporates the former Equality Challenge Unit and is working towards applying for the Athena Swan charter.

Part 2: identifying staff with significant responsibility for research

Policies and procedures

- 20 The Bucks Academic Framework (BAF) was introduced in July 2018 to clarify the roles and expectations of permanent academic staff, all of whom are on teaching and research contracts. The framework places an expectation on academic staff that they will make a significant contribution to the University's educational priorities, but also contribute in one other area – research and enterprise or professional practice. One of four tracks (Figure 1) are selected through a self-assessment process and discussion with head or associate head of school within a Performance Development Review (PDR). Each track includes a number of core and developmental requirements which vary by role, with full details available to all staff on Blackboard. Requirements for research-related tracks are given in Appendix 2.

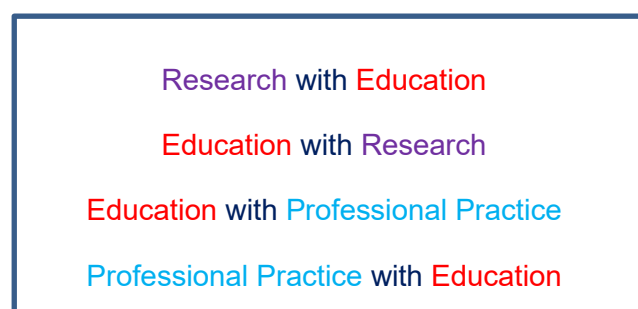


Figure 1. The four tracks of the Bucks Academic Framework.

- 21 Staff selecting either of the professional practice tracks do not have responsibility for research within their roles and so are excluded from the institutional REF submission.
- 22 The other two tracks within the framework include some responsibility for research and enterprise activity, 'Research with Education' and 'Education with Research'.
- 23 Staff on the 'Research with Education' track have significant responsibility for research. They have core requirements to conduct and lead research, to provide an original contribution to knowledge and to disseminate outcomes through peer-reviewed outputs. They will have evidence of meeting core research criteria for their role of the BAF. For example, a senior lecturer on this track would be expected to achieve "Significant contribution to knowledge through peer-reviewed outputs." and "Evidence of the academic or wider impact of research outputs." Undertaking independent research is an expectation of their job role and this will be reflected in their annual PDR objectives, with at least one objective aligned to a developmental research criterion of the BAF.
- 24 Staff on the 'Education with Research' track have lower expected responsibility for research as indicated in their core research requirements, but may have significant responsibility for research. Staff will be identified as having significant responsibility if they have achieved as a minimum requirement core quality and performance criteria (defined in the BAF) of:
- a "Developing contribution to knowledge through peer-reviewed (non-conference) output"
 - b "Developing contribution to knowledge through refereed conference outputs"
- In addition, they should have at least one specific PDR objective which aligns to the research criteria of the BAF (see Appendix 2).
- 25 An independent researcher undertakes self-directed research, rather than carrying out another individual's research programme. Possible indicators of independence are listed below but categorisation will involve consideration of multiple factors:
- a leading or acting as principal investigator or equivalent on an externally-funded research project
 - b holding an independently won, competitively awarded fellowship where research independence is a requirement.
 - c acting as a co-investigator on an externally-funded research project
 - d leading a research group or a substantial work package
 - e significant input into the design, conduct and interpretation of the research
 - f leading a research project or innovative creative practice

- 26 Details completed in the staff self-assessment forms (Appendix 3) will be analysed initially by heads of school. Advice regarding evidence denoting significant responsibility for research will be provided by

members of the REF steering group, though they will not have access to individual self-assessment and PDR data.

- 27 As staff develop their academic career and interests change, they have the option to change BAF tracks at annual PDR review.
- 28 A unified approach is adopted across the university, for all UOAs. The timeline for identifying staff with significant responsibility for research is given in Table 1.
- 29 Staff with individual circumstances may be deemed to have significant responsibility for research but may not fully meet the criteria (as defined in paragraphs 23 and 24). These staff can declare such circumstances (see paragraph 70) and if justified use these as the basis of an appeal. Individual circumstances will remain confidential to the reviewing panel and will only be disclosed to line managers if appropriate and agreed by the individual.

Date	Activity	Outcome
Jul-Sep 18	Self-assessment exercise	Preliminary BAF track identified
Oct-Nov 18	Performance Development Review	Objectives set for 18-19 with line manager
Mar-Apr 19	Interim PDR with a review of self-assessment and objectives	Recommend to REF steering group staff with SRR according to BAF research criteria. Option for appeal with regard to SRR
May-19	Consideration of appeals by panel nominated by Research and Enterprise Committee who are external to REF steering group	Outcomes relayed to staff and head of school
Jul-Sep 19	Self-assessment exercise	Includes review of whether role includes SRR
Sep-19	Declaration of individual circumstances	Presence of declared circumstances to enable appeal regarding SRR if not fully meeting the criteria
Oct-19	PDR for 19-20 and a review of self-assessment	Objectives set for 19-20 with line manager and confirmation to REF steering group regarding staff with SRR according to BAF research criteria.
by Oct-19	PDR and appeals complete	Pool of staff with SRR for REF submission identified
Apr-May 20	Interim PDR	Review objectives for 19-20 with line manager
31-Jul-20	Staff census date	Pool of staff for REF submission updated to incorporate new starters with SRR

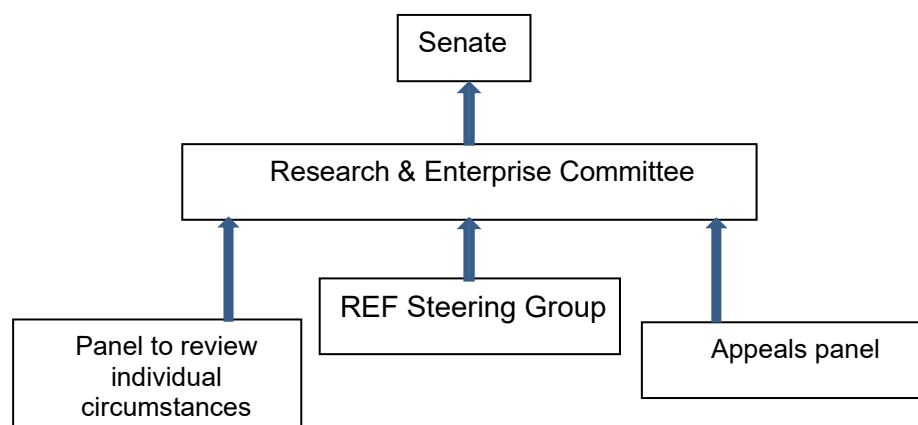
Table 1 Timeline for identifying staff with significant responsibility for research (SRR).

Development of processes

- 30 These processes have been shared with staff and relevant stakeholders and feedback sought as part of the code of practice development and consultation process, as indicated in Part 1 paragraphs 9 and 10.
- 31 Staff consultation identified the need for greater clarity regarding the identification of staff with significant responsibility for research across the university and the criteria which would be used to determine when explicit time and resources are made available to undertake research. The processes and guidance were amended to include reference to the specific core research requirements within the Bucks Academic Framework as a benchmark for identifying significant responsibility for research. These core criteria have also been listed explicitly in Appendix 2 for ease of reference and greater transparency. The REF steering group would ensure uniformity across the university regarding evidence of meeting core research requirements. All staff have the option to appeal against these decisions as detailed below (para 51 to 54), for an independent assessment of their evidence of significant responsibility for research.
- 32 Feedback from the UCU regional office on the draft Code of Practice was received and the Code was amended to enable inclusion of some staff on the Education with Research track as having significant responsibility for research.
- 33 The final processes for selecting staff with SRR were disseminated to all staff who were invited to discussion events offered at both campuses. The final process was approved by Senate, chaired by the Vice Chancellor with representatives from all schools and Directorates, including school heads plus teaching representatives, elected by their School colleagues to represent their views.

Staff, committees and training

- 34 The reporting and approval process is as follows:



- 35 The REF steering group and Research and Enterprise Committee have advisory roles with final decisions made by Senate.
- 36 Research and Enterprise Committee members are specified in the committee terms of reference and include sub-committee chairs along with nominated representatives from schools. The committee terms of reference are attached in Appendix 4. These meetings are formally minuted, with records available on the Bucks website.
- 37 The key committee is the REF Steering Group. Membership of the REF Steering Group comprises:

- Chair: Bucks REF institutional lead
- Secretariat: Research Development Unit Manager
- UOA Leads

- 38 UOA leads were nominated by the former pro vice chancellor for Research and Education in 2016 and were selected as an experienced researcher and an early career researcher within each of 9 possible UOAs. Nominations were approved by the Research and Enterprise Committee 18 November 2016. These UOA leads, along with the REF institutional and technical leads, form the REF steering group. Where new UOA leads have been required due to staff changes, these have been considered and approved by the Research and Enterprise Committee.
- 39 UOA leads terms of reference were discussed and approved at the first steering group meeting 28 March 2018. It was noted that all UOA Leads should be active in research in a field covered by that UOA and would have the following role outline:
- a Have oversight of all outputs being produced in the UOA subject area and ensure all are submitted to the Bucks repository
 - b Ensure full compliance with the Open Access Policy for all journal articles
 - c Identify potential impact case studies in the UOA and work with the Research Unit to capture details and evidence
 - d Prepare updates for the Research and Enterprise Committee
- 40 UOA leads will make recommendations to the REF institutional lead on the shape of each individual UOA submission (staff, outputs, impact case studies and environment). Reporting to them on tasks related to the role, UOA leads will be supported by the Research Unit, the REF institutional lead, the pro vice chancellor and other professional services as relevant.
- 41 Bucks New University actively promotes equality, valuing diversity and inclusivity with the aim that everyone is treated with respect whoever they are, however they identify and whatever characteristics they feel are important to their identity.
- 42 As part of this commitment, all existing and new staff are required to undertake introductory training on Equality and Diversity at and unconscious bias training.
- 43 Training regarding the REF and implications of BAF selection have taken place for the University Executive Team, heads of schools, academic staff at school meetings and at the staff development conference in 2018 and early 2019.
- 44 Training on equality and diversity issues tailored to the REF process will be provided in Spring/Summer 2019. The training will include the use of case studies from Advance HE to explore issues such as the implications of dealing with personal circumstances in the process of selecting staff for inclusion in the submission. All individuals with responsibility for selecting staff for the submission will be required to undertake the training including:
- a All members of the REF steering group
 - b Line managers responsible for identifying staff with significant responsibility for research
 - c The Research & Enterprise Committee
 - d Staff selected to decide appeals
 - e Staff considering declaration of individual circumstances
 - f Administrative staff who are supporting the REF submission

- 45 All decisions taken by the REF steering group are approved by the Research and Enterprise Committee, whose terms of reference include “To ensure that the University’s policies on equality, diversity and inclusion are taken into account in the fulfilment of these terms of reference.”
- 46 The REF steering group will have regular meetings from March 2018 until the date of submission. The purpose of the group is to ensure that the process for the submission to each UOA is transparent, equitable and available to all staff.
- 47 Feedback from each steering group meeting will take the form of notes and action points. The decisions made will be communicated to higher committees at the next available date for comment and/or approval.
- 48 When individual performance is discussed and the individual is absent, committees should be made fully aware of all the facts relating to the individual.
- 49 It will be the responsibility of the REF steering group to ensure a consistency of approach by all UOA leads and to verify that all decisions are in keeping with the University’s policy for selection.

Appeals

- 50 Once line managers have reviewed PDR objectives and self-assessments with advice from the REF steering group to identify staff with significant responsibility for research, outcomes will be fed back to staff through their interim PDR.
- 51 Staff will have an option to appeal against the decision regarding whether or not their role includes significant responsibility for research. The appeals process and timeline (as indicated in Table 1) will be given at consultation dissemination events and details reminded to staff at time of feedback.
- 52 Individuals should submit their case in writing to the Chair of the REF steering group, setting out clearly reasons why they think their role does or does not include significant responsibility for research. Their self-assessment with evidence of meeting core research criteria of the BAF and details of PDR objectives should also be included. Additional evidence may then be requested.
- 53 A panel of academic staff will be nominated by the Research and Enterprise committee to consider staff appeals transparently and consistently in line with university best practice. The appeals panel will be distinct from the REF steering group. The decision of the appeals panel is final.
- 54 As new staff join the university prior to the REF census date, whether or not their role includes significant responsibility for research will be determined through discussion with their line manager. Appeals for new staff will be reviewed by the panel on an *ad hoc* basis when required throughout the REF period.

Equality impact assessment

- 55 An equality impact assessment was conducted on the draft code of practice in January 2019 to feed into preparation of the final code.
- 56 Equality monitoring of all staff designated as having significant responsibility for research will be conducted in Summer 2019. Any concerns identified will feed back into the review process in Autumn 2019 and be used to update the equality impact assessment. Additional training will be provided if required for those involved in staff selection and feedback used to examine equality of access to staff development and support processes.

Part 3: Determining research independence.

- 57 Policies, procedures and associated committees for determining research independence (see para 21) are as indicated in Part 2 for identifying staff with significant responsibility for research. Leads on externally-funded projects will be asked to declare details of employees on research-only contracts, along with details of their role. These staff will fall outside of the BAF but their roles will be considered alongside decisions regarding significant responsibility for research on a case by case basis to determine researcher independence using the criteria specified in paragraph 21. Staff will have the option to appeal, in line with the process outlined above in Table 1 of Part 2.
- 58 As numbers are small (less than 5), these staff will be included in the overall staff equality impact assessment.

Part 4: Selection of outputs

Policies and procedures

- 59 Initially 9 potential units were examined as those most closely aligned to staff research activity. Outputs aligned to each unit were sent for external review between October and December 2018. Outputs will be selected in the following process:
- a List of all outputs on the repository which potentially align to the UOA are identified
 - b List sent to the UOA lead to select outputs which satisfy the REF criteria for research. Where an individual has more than 5 outputs, a subset is selected for which review would be most informative.
 - c Reviews were completed between October and December 2018. Some outputs were sent for more than one review as potentially aligned to different UOAs
 - d UOAs selected for submission on basis of reviews, potential impact case studies and environment
 - e Align staff with significant responsibility for research to a selected UOA
 - f Staff invited to identify which outputs considered of highest quality
 - g Additional reviews may be conducted to select highest quality outputs per UOA, including outputs produced since the initial review
 - h Outputs of former staff selected on basis of external reviews by UOA leads
 - i REF steering group select outputs on basis of staff view and external reviews
- 60 As a small university, there are some UOAs with few staff members. Discussion with the staff member and relevant UOA leads may result in submission in another unit with greater critical mass. In some instances, staff with significant responsibility for research may not be submitted where their UOA has fewer than 5 FTE. The REF steering group will make the final decisions regarding UOA selection.
- 61 All submitted staff will be given the opportunity to identify which of their outputs and impact case studies they consider to be of the highest quality. The final decision on which outputs and impact case studies will be included in the submission will, however, be made by the UOA leads who will take into consideration the cohesion of individual outputs in the UOA submission as a whole.
- 62 Outputs published during the contract period of former staff members will also be considered by UOA leads on the basis of external reviews. For outputs of equal rating, preference will be given to submitting outputs of current staff. Outputs of all former staff will be considered equally, including for staff whose post has been made redundant. Former staff will be notified of Bucks intention to submit their outputs to the REF.

- 63 External assessors will be utilised to give an independent view of the quality of an individual's research with a view to supporting selection of the highest quality outputs for REF submission. They may also be used to assess relative quality of impact case studies, to support decisions regarding selection for submission. External assessors will not be involved in the decision-making process with regard to which staff are designated as having significant responsibility for research, nor will they be given any information relating to individual staff circumstances.
- 64 There is no expectation that all staff with significant responsibility for research will contribute equally to the output pool for each UOA. Bucks recognises the quantity and quality of outputs will vary due to a number of circumstances, including research career stage, specific personal circumstances, part-time employment and wider role within the University.

Staff, committees and training

- 65 The selection of UOAs and outputs is primarily the responsibility of the REF steering group, with oversight by the Research and Enterprise Committee and University Executive Team. Details of these groups and their training is given in Part 2, paragraphs 34 to 49.

Disclosure of circumstances

- 66 The decoupling of staff and outputs in REF 2021 provides increased flexibility in building the portfolio of outputs for submission, with the requirement of 2.5 outputs per FTE within each UOA. There are many reasons why an excellent researcher may have fewer or more outputs attributable to them in an assessment period. It is therefore not expected that all staff members would be returned with the same number of outputs attributed to them in the submission.
- 67 As a relatively small university with a large number of staff early in their research careers and low staff numbers within each UOA, staff will be invited to submit details of equality-related circumstances that have affected their ability to research productively during the period. The REF Steering Group will review the cumulative effect of individual circumstances and consider whether this has disproportionately affected a unit's output pool. Reductions in total output requirements may then be requested to ensure inclusion of all eligible staff, irrespective of circumstances.
- 68 While there is no explicit required output contribution for staff, UOA leads will be notified of individuals with declared circumstances (though not details of the circumstances) so that reasonable adjustments can be made regarding any expectations. Where individuals with declared circumstances are deemed to have significant responsibility for research but have no REF-eligible outputs, a reduction to the total number of expected outputs in the UOA will be requested.
- 69 Individual staff will be consulted concerning the disclosure of their individual circumstances in the submission with an appropriate degree of confidentiality. Particular regard will be taken in respect of the disclosure of sensitive issues such as ongoing illness or mental health conditions. These disclosures will be reviewed by a panel nominated by the Research and Enterprise Committee who are distinct from the REF steering group. The REF steering group and higher committees will only receive details of numbers of staff in each UOA for whom a reduction in outputs has been requested and an overall summary report of circumstances. Decisions regarding justified declared circumstances will be communicated to individual staff members through the panel. Where appropriate, additional support will be offered to the staff member regarding individual workloads according to their circumstances, respecting confidentiality and sensitivity when liaising with line managers.

70 All staff will be invited to complete an individual staff circumstances disclosure form in Autumn 2019, enabling request for any reductions before the March 2020 deadline. Where circumstances are sensitive, declaration of a category for type of circumstance will be required (rather than specific details) along with confirmation from the line manager with regard to period of effect. The disclosure form will be emailed to all academics and will also be available on the website. The UOA output requirement could be reduced where staff within this remit indicate that one or more of the following circumstances significantly constrained their ability to produce research outputs or to work productively throughout the assessment period. In some circumstances, a staff member could be submitted with no outputs.

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72 Clearly defined circumstances include:

- a. Qualifying as an early career researcher. ECRs are defined as members of staff who meet the definition of Category A eligible on the census date, and who started their careers as independent researchers on or after 1 August 2016. For the purposes of the REF, 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. They undertook independent research, leading or acting as principal investigator or equivalent on a research grant or significant piece of research work. (A member of staff is not deemed to have undertaken independent research purely on the basis that they are named on one or more outputs.)
- b. Absence from work due to secondments or career breaks outside of the HE sector, and in which the individual did not undertake academic research.
- c. Qualifying periods of family-related leave
 - i. Statutory maternity leave or statutory adoption leave taken substantially during the period 1 January 2014 to 31 July 2020, regardless of the length of the leave.
 - ii. Additional paternity or adoption leave, or shared parental leave lasting for four months or more, taken substantially during the period 1 January 2014 to 31 July 2020.
- d. Circumstances equivalent to absence, that require a judgement about the appropriate reduction in outputs, which are:
 - i. Disability: this is defined in REF 2018/03, Table 1 under 'Disability'.
 - ii. Ill health, injury, or mental health conditions.
 - iii. Constraints relating to pregnancy, maternity, paternity, adoption or childcare that fall outside of – or justify the reduction of further outputs in addition to standard allowances.
 - 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 REF 2018/03, Table 1, or relating to activities protected by employment legislation.

73 As part-time working is accounted for within the calculation for the overall number of outputs required for the unit, a reduction request on this basis will only be made exceptionally. For example, where the FTE of a staff member late in the assessment period does not reflect their average FTE over the period as a whole.

74 For more complex circumstances, the REF EDAP will consider these cases on a consistent basis across all UOAs. Worked examples of complex scenarios indicating the appropriate reduction in outputs for a range of particular circumstances are available at www.ecu.ac.uk/our-projects/REF.

Equality impact assessment

- 75 Details of the code of practice equality impact assessment were given in paragraphs 55 to 56 of Part 2.
- 76 Equality monitoring will be conducted once outputs and impact case studies have been selected for submission by the REF steering group (early 2020). This will be considered by the Research and Enterprise Committee and any imbalances considered in approving the final submission selection. Equality monitoring will be completed for the final submission and a final equality impact assessment produced.

Part 5: Appendices

Appendix 1: Summary of equality legislation

Extracted from REF 2018/03 paragraph 30.

http://www.ref.ac.uk/media/1015/draft-guidance-on-codes-of-practice-ref-2018_03.pdf

<p>Age</p>	<p>All employees within the higher education sector are protected from unlawful age discrimination, harassment and victimisation in employment under the Equality Act 2010 and the Employment Equality (Age) Regulations (Northern Ireland) 2006. Individuals are also protected if they are perceived to be or if they are associated with a person of a particular age group.</p> <p>Age discrimination can occur when people of a particular age group are treated less favourably than people in other age groups. An age group could be for example, people of the same age, the under 30s or people aged 45-50. A person can belong to a number of different age groups.</p> <p>Age discrimination will not be unlawful if it is a proportionate means of achieving a legitimate aim. However, in the context of the REF, the view of the funding bodies is that if a researcher produces excellent research an HEI will not be able to justify not selecting their outputs because of their age group.</p> <p>It is important to note that early career researchers are likely to come from a range of age groups. The definition of early career researcher used in the REF (see 'Guidance on submissions', paragraphs 144 to 147) is not limited to young people.</p> <p>HEIs should also note that, given developments in equalities law in the UK and Europe, the default retirement age has been abolished from 1 October 2011 in England, Scotland, Wales and Northern Ireland.</p>
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<p>Disability</p>	<p>The Equality Act 2010, the Disability Discrimination Act (1995) (Northern Ireland only) and the Disability Discrimination (Northern Ireland) Order 2006 prevent unlawful discrimination, victimisation and harassment relating to disability. Individuals are also protected if they are perceived to have a disability or if they are associated with a person who is disabled (for example, if they are responsible for caring for a disabled family member).</p> <p>A person is considered to be disabled if they have or have had a physical and/or mental impairment which has 'a substantial and long-term adverse effect on their ability to carry out normal day-to-day activities'. Long-term impairments include those that last or are likely to last for at least 12 months.</p> <p>Cancer, HIV, multiple sclerosis and progressive/degenerative conditions are disabilities too, even if they do not currently have an adverse effect on the carrying out of day-to-day activities. An impairment which is managed by medication or medical treatment, but which would have had a substantial and long-term adverse effect if not so managed, is also a disability.</p> <p>The definition of disability is different in Northern Ireland in that a list of day- to-day activities is referred to.</p> <p>There is no list of day-to-day activities for England, Scotland and Wales but day-to-day activities are taken to mean activities that people, not individuals, carry out on a daily or frequent basis.</p> <p>While there is no definitive list of what is considered a disability, it covers a wide range of impairments including:</p> <ul style="list-style-type: none"> • sensory impairments • impairments with fluctuating or recurring effects such as rheumatoid arthritis, depression and epilepsy • progressive impairments, such as motor neurone disease, muscular dystrophy, HIV and cancer • organ specific impairments, including respiratory conditions and cardiovascular diseases • developmental impairments, such as autistic spectrum disorders and dyslexia • mental health conditions such as depression and eating disorders • impairments caused by injury to the body or brain. <p>It is important for HEIs to note that people who have had a past disability are also protected from discrimination, victimisation and harassment because of disability.</p> <p>Equality law requires HEIs to anticipate the needs of disabled people and make reasonable adjustments for them. Failure to make a reasonable</p>
	<p>adjustment constitutes discrimination. If a disabled researcher's impairment has affected the quantity of their research outputs, the submitting unit may return a reduced number of outputs (see 'Guidance on submissions', Part 3, Section 1, 'Staff circumstances').</p>

<p>Gender reassignment</p>	<p>The Equality Act 2010 and the Sex Discrimination (Gender Reassignment) Regulations (Northern Ireland) 1999 protect from discrimination, harassment and victimisation of trans people who have proposed, started or completed a process to change their sex. Staff in HE do not have to be under medical supervision to be afforded protection because they are trans and staff are protected if they are perceived to be undergoing or have undergone related procedures. They are also protected if they are associated with someone who has proposed, is undergoing or has undergone gender reassignment.</p> <p>Trans people who undergo gender reassignment will need to take time off for appointments and, in some cases, for medical assistance. The transition process is lengthy, often taking several years and it is likely to be a difficult period for the trans person as they seek recognition of their new gender from their family, friends, employer and society as a whole.</p> <p>The Gender Recognition Act 2004 gave enhanced privacy rights to trans people who undergo gender reassignment. A person acting in an official capacity who acquires information about a person's status as a transsexual may commit a criminal offence if they pass the information to a third party without consent.</p> <p>Consequently, staff within HEIs with responsibility for REF submissions must ensure that the information they receive about gender reassignment is treated with particular care.</p> <p>If a staff member's ability to work productively throughout the REF assessment period has been constrained due to gender reassignment, the unit may return a reduced number of research outputs (see 'Guidance on submissions', Part 3, Section 1, 'Staff circumstances'). Information about the member of staff will be kept confidential as described in 'Guidance on submissions', paragraph 191.</p> <p>HEIs should note that the Scottish government recently consulted on, and the UK government is currently consulting on, reform of the Gender Recognition Act 2004, which may include streamlining the procedure to legally change gender.</p>
<p>Marriage and civil partnership</p>	<p>Under the Equality Act 2010 and the Sex Discrimination (Northern Ireland) Order 1976 as amended, individuals are protected from unlawful discrimination, harassment and victimisation on the grounds of marriage and civil partnership status. The protection from discrimination is to ensure that people who are married or in a civil partnership receive the same benefits</p>
	<p>and treatment in employment. The protection from discrimination does not apply to single people.</p> <p>HEIs must ensure that their procedures and decision-making processes in relation to REF 2021 do not inadvertently discriminate against staff who are married or in civil partnerships.</p>
<p>Political opinion</p>	<p>The Fair Employment and Treatment (Northern Ireland) Order 1998 protects staff from unlawful discrimination on the grounds of political opinion.</p> <p>HEIs must ensure that their procedures and decision-making processes in relation to REF 2021 do not inadvertently discriminate against staff based on their political opinion.</p>

Pregnancy and maternity	<p>Under the Equality Act 2010 and the Sex Discrimination (Northern Ireland) Order 1976 women are protected from unlawful discrimination, harassment and victimisation related to pregnancy and maternity.</p> <p>Consequently, where researchers have taken time out of work, or their ability to work productively throughout the assessment period has been affected, because of pregnancy and/or maternity, the submitting unit may return a reduced number of research outputs, as set out in 'Guidance on submissions', paragraphs 169 to 172.</p> <p>In addition, HEIs should ensure that female researchers who are pregnant or on maternity leave are kept informed about and included in their submissions process.</p> <p>For the purposes of this summary it is important to note that primary adopters have similar entitlements to women on maternity leave.</p>
Race	<p>The Equality Act 2010 and the Race Relations (Northern Ireland) Order 1997 protect HEI staff from unlawful discrimination, harassment and victimisation connected to race. The definition of race includes colour, ethnic or national origins or nationality. Individuals are also protected if they are perceived to be or are associated with a person of a particular race.</p> <p>HEIs must ensure that their procedures and decision-making processes in relation to REF 2021 do not discriminate against staff based on their race or assumed race (for example, based on their name).</p>
Religion and belief including non- belief	<p>The Equality Act 2010 and the Fair Employment and Treatment (Northern Ireland) Order 1998 protect HEI staff from unlawful discrimination, harassment and victimisation related to religion or belief. Individuals are also protected if they are perceived to be or are associated with a person of a particular religion or belief.</p> <p>HEIs must ensure that their procedures and decision-making processes in relation to REF 2021 do not discriminate against staff based on their actual or perceived religion or belief, including non-belief. 'Belief' includes any structured philosophical belief with clear values that has an effect on how its adherents conduct their lives.</p>

<p>Sex (including breastfeeding and additional paternity and adoption leave)</p>	<p>The Equality Act 2010 and the Sex Discrimination (Northern Ireland) Order 1976 protect HEI staff from unlawful discrimination, harassment and victimisation related to sex. Employees are also protected because of their perceived sex or because of their association with someone of a particular sex.</p> <p>The sex discrimination provisions of the Equality Act explicitly protect women from less favourable treatment because they are breastfeeding.</p> <p>Consequently the impact of breastfeeding on a woman's ability to work productively will be taken into account, as set out in 'Guidance on submissions', Part 3, Section 1, 'Staff circumstances'.</p> <p>If a mother who meets the continuity of employment test wishes to return to work early or shorten her maternity leave/pay, she will be entitled to shared parental leave with the father or her partner within the first year of the baby's birth. Partners may also be eligible for shared parental leave or pay.</p> <p>Fathers/partners who take additional paternity or adoption leave will have similar entitlements to women on maternity leave and barriers that exist to taking the leave, or as a result of having taken it, could constitute unlawful sex discrimination. Consequently where researchers have taken additional paternity and adoption leave, the submitting unit may return a reduced number of outputs, as set out in 'Guidance on submissions', paragraphs 169 to 172.</p> <p>HEIs need to be wary of implementing procedures and decision-making processes in relation to REF 2021 that would be easier for men to comply with than women, or vice versa. There are many cases where a requirement to work full-time (or less favourable treatment of people working part-time or flexibly) has been held to discriminate unlawfully against women.</p> <p>HEIs should note that there are now requirements under UK and Scottish legislation for public authorities (including HEIs) to report information on the percentage difference amongst employees between men and women's average hourly pay (excluding overtime).</p>
<p>Sexual orientation</p>	<p>The Equality Act 2010 and the Employment Equality (Sexual Orientation) Regulations (Northern Ireland) 2003 protect HEI staff from unlawful discrimination, harassment and victimisation related to sexual orientation. Individuals are also protected if they are perceived to be or are associated with a person who is of a particular sexual orientation.</p> <p>HEIs must ensure that their procedures and decision-making processes in relation to REF 2021 do not discriminate against staff based on their actual or perceived sexual orientation.</p>
<p>Welsh Language</p>	<p>The Welsh Language Act 1993 places a duty on public bodies in Wales to treat Welsh and English on an equal basis. This is reinforced by the provisions of the Welsh Language (Wales) Measure 2011 and the Welsh Language Standards (No 6) Regulations 2017.</p> <p>The arrangements for the assessment of outputs in the medium of Welsh by the REF panels are set out in 'Guidance on submissions', paragraphs 278 and 279.</p>

Appendix 2: The Bucks Academic Framework

Research indicators from the Bucks Academic Framework are shown below for the Research with Education and Education with Research tracks, for staff with each role within the university as Professor, Associate Professor (Reader/Principal Lecturer), Senior Lecturer or Lecturer. The full Bucks Academic Framework is available to staff internally on Blackboard:

https://my.bucks.ac.uk/bbcswebdav/pid-2317936-dt-content-rid-3212741_1/orgs/ORG-BAF2017/2.%20Bucks%20Academic%20Framework%20v3.pdf

Research with...

High Quality Performance

DEVELOPMENTAL	PHD or equivalent Doctoral level qualification/ equivalent and appropriate, recognised teaching qualification	DEVELOPMENTAL	Refereed conference outputs Significant, substantial and sustained contribution to knowledge through refereed conference outputs	CORE	Peer-reviewed research outputs Significant, substantial and sustained contribution to knowledge through peer-reviewed (non-conference) outputs	CORE	Reviewer, Rapporteur, Advisor, Assessor Track record of effective development of the discipline's research base through work as a peer reviewer	DEVELOPMENTAL	Contributions to new knowledge Significant and substantial contributions to new discipline knowledge through the conduct of original research	CORE	Contribute to Research Networks Track record of participation in and collaboration with productive and effective research networks	DEVELOPMENTAL	Funding Applications Significant track record of successful funding applications, including as principal investigator	CORE	Supervision of research students and/or staff Track record of effective and successful supervision of research students, and research staff where relevant
CORE	Evidence of impact of research Significant and substantial evidence of the academic or wider impact of research outputs	DEVELOPMENTAL	Awards and Recognition Awards for and recognition of research contribution	DEVELOPMENTAL	Invitations Invitations to contribute to research/discipline meetings in the national or international sphere	DEVELOPMENTAL	Engagement with industry, professional bodies, agencies or organisations Support of the discipline's development through effective engagement with professional bodies or similar organisations	DEVELOPMENTAL	Contribution to research policy Effective and significant contributions to the development of research policy	CORE	Organisation of research events Effective contribution to the organisation of successful research events	CORE	Contribution to research-informed teaching Track record of effective and successful contribution to the embedding of research within the curriculum, with successful student outcomes	CORE	Contributions to impact Effective contributions to the development of research impact

DEVELOPMENTAL

Membership of National or International Research Committees
Enhancing the reputation of the University and its research capability through membership of national or international committees

Knowledge and Practice

Leadership and Management

CORE	Membership of research colleagues Track record of effective support to and development of research colleagues	DEVELOPMENTAL	Discipline or School Leadership Track record of effective leadership within the discipline or School	DEVELOPMENTAL	University Groups, Committees and Boards Track record of effective contribution to the University's committees	CORE	Effective Dissemination of Good Practice Effective dissemination of good practice in relation to research	DEVELOPMENTAL	Champion Effective championing of aspects of research practice	DEVELOPMENTAL	Policy Contributions Effective contributions to policy based on research outputs	DEVELOPMENTAL	Research Strategy Contributions Effective contributions to the University's research strategy	DEVELOPMENTAL	Research Partnerships Effective development of and contribution to research partnerships within and beyond the University
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Research with...

High Quality Performance

DEVELOPMENTAL	PHD or equivalent	Doctoral level qualification/ equivalent and appropriate, recognised teaching qualification
DEVELOPMENTAL	Refereed conference outputs	Significant and substantial contribution to knowledge through refereed conference outputs
DEVELOPMENTAL	Peer-reviewed research outputs	Significant and substantial contribution to knowledge through peer-reviewed (non-conference) outputs
DEVELOPMENTAL	Reviewer, Rapporteur, Advisor, Assessor	Track record of effective development of the discipline's research base through work as a peer reviewer
DEVELOPMENTAL	Contributions to new knowledge	Significant contributions to new discipline knowledge through the conduct of original research
DEVELOPMENTAL	Contribute to Research Networks	Track record of participation in and collaboration with productive and effective research networks
DEVELOPMENTAL	Funding Applications	Track record of successful funding applications, including as principal investigator
DEVELOPMENTAL	Supervision of research students and/or staff	Track record of effective and successful supervision of research students, and research staff where relevant
DEVELOPMENTAL	Evidence of impact of research	Significant evidence of the academic or wider impact of research outputs
DEVELOPMENTAL	Awards and Recognition	Awards for and recognition of research contribution
DEVELOPMENTAL	Invitations	Invitations to contribute to research/discipline meetings in the national or international sphere
DEVELOPMENTAL	Engagement with industry, professional bodies, agencies or organisations	Support of the discipline's development through effective engagement with professional bodies or similar organisations
DEVELOPMENTAL	Contribution to research policy	Effective contributions to the development of research policy
DEVELOPMENTAL	Organisation of research events	Effective contribution to the organisation of successful research events
DEVELOPMENTAL	Contribution to research-informed teaching	Track record of effective and successful contribution to the embedding of research within the curriculum, with successful student outcomes
DEVELOPMENTAL	Contributions to Impact	Effective contributions to the development of research impact

Knowledge and Practice

DEVELOPMENTAL	Membership of National or International Research Committees	Enhancing the reputation of the University and its research capability through membership of national or international committees
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Leadership and Management

DEVELOPMENTAL	Membership of research colleagues	Evidence of effective support to and development of research colleagues
DEVELOPMENTAL	Discipline or School Leadership	Evidence of effective leadership within the discipline or School
DEVELOPMENTAL	University Groups, Committees and Boards	Track record of effective contribution to the University's committees
DEVELOPMENTAL	Effective Dissemination of Good Practice	Effective dissemination of good practice in relation to research
DEVELOPMENTAL	Champion	Effective championing of aspects of research practice
DEVELOPMENTAL	Policy Contributions	Effective contributions to policy based on research outputs
DEVELOPMENTAL	Research Strategy Contributions	Effective contributions to the University's research strategy
DEVELOPMENTAL	Research Partnerships	Effective development of and contribution to research partnerships within and beyond the University

Research with...

High Quality Performance

DEVELOPMENTAL	PhD or equivalent Doctoral level qualification/ equivalent and appropriate, recognised teaching qualification	DEVELOPMENTAL	Referred conference outputs Significant contribution to knowledge through refereed conference outputs	DEVELOPMENTAL	Peer-reviewed research outputs Significant contribution to knowledge through peer-reviewed (non-conference) outputs	DEVELOPMENTAL	Reviewer, Rapporteur, Advisor, Assessor Evidence of effective development of the discipline's research base through work as a peer reviewer	DEVELOPMENTAL	Contributions to new knowledge Significant contributions to new discipline knowledge through the conduct of original research	DEVELOPMENTAL	Contribute to Research Networks Evidence of participation in and collaboration with productive and effective research networks	DEVELOPMENTAL	Funding Applications Developing record of successful funding applications	DEVELOPMENTAL	Supervision of research students and/or staff Evidence of effective and successful supervision of research students, and research staff where relevant
CORE	Evidence of impact of research Evidence of the academic or wider impact of research outputs	CORE	Awards and Recognition Awards for and recognition of research contribution	CORE	Invitations Invitations to contribute to research/discipline meetings in the national or international sphere	CORE	Engagement with industry, professional bodies, agencies or organisations Support of the discipline's development through effective engagement with professional bodies or similar organisations	CORE	Contribution to research policy Effective contributions to the development of research policy	CORE	Organisation of research events Effective contribution to the organisation of successful research events	CORE	Contribution to research-informed teaching Track record of effective and successful contribution to the embedding of research within the curriculum, with successful student outcomes	CORE	Contributions to impact Effective contributions to the development of research impact

Knowledge and Practice

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Research with...

High Quality Performance

PhD or equivalent Evidence of effective and appropriate, recognised teaching qualification	Refereed conference outputs Developing contribution to knowledge through refereed conference outputs	Peer-reviewed research outputs Developing contribution to knowledge through peer-reviewed (non-conference) outputs	Reviewer, Rapporteur, Advisor, Assessor Evidence of effective development of the discipline's research base through work as a peer reviewer	Contributions to new knowledge Developing contributions to new discipline knowledge through the conduct of original research	Contribute to Research Networks Evidence of participation in and collaboration with productive and effective research networks	Funding Applications Developing record of successful funding applications	Supervision of research students and/or staff Evidence of effective and successful supervision of research students, and research staff where relevant
Evidence of impact of research Evidence of the academic or wider impact of research outputs	Awards and Recognition Awards for and recognition of research contribution	Invitations Invitations to contribute to research/discipline meetings in the national or international sphere	Engagement with industry, professional bodies, agencies or organisations Support of the discipline's development through effective engagement with professional bodies or similar organisations	Contribution to research policy Effective contributions to the development of research policy	Organisation of research events Effective contribution to the organisation of successful research events	Contribution to research-informed teaching Evidence of effective and successful contribution to the embedding of research within the curriculum, with successful student outcomes	Contributions to Impact Effective contributions to the development of research impact

Membership of National or International Research Committees
Enhancing the reputation of the University and its research capability through membership of national or international committees

Knowledge and Practice

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Knowledge and Practice

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High Quality Performance

DEVELOPMENTAL	PhD or equivalent Doctoral level qualification/ equivalent and appropriate, recognised teaching qualification	DEVELOPMENTAL	Referred conference outputs Significant contribution to knowledge through refereed conference outputs	DEVELOPMENTAL	Peer-reviewed research outputs Significant contribution to knowledge through peer-reviewed (non-conference) outputs	DEVELOPMENTAL	Reviewer, Rapporteur, Advisor, Assessor Track record of effective development of the discipline's research base through work as a peer reviewer	DEVELOPMENTAL	Contributions to new knowledge Contributions to new discipline knowledge through the conduct of original research.	DEVELOPMENTAL	Contribute to Research Networks Evidence of participation in and collaboration with productive and effective research networks	DEVELOPMENTAL	Funding Applications Developing record of successful funding applications	DEVELOPMENTAL	Supervision of research students and/or staff Evidence of effective and successful supervision of research students, and research staff where relevant
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Knowledge and Practice

DEVELOPMENTAL	Membership of National or International Research Committees Enhancing the reputation of the University and its research capability through membership of national or international committees
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Leadership and Management

DEVELOPMENTAL	Membership of research colleagues Evidence of effective support to and development of research colleagues	DEVELOPMENTAL	Discipline or School Leadership Evidence of effective leadership within the discipline or School	DEVELOPMENTAL	University Groups, Committees and Boards Track record of effective contribution to the University's committees	DEVELOPMENTAL	Effective Dissemination of Good Practice Effective dissemination of good practice in relation to research	DEVELOPMENTAL	Champion Effective championing of aspects of research practice	DEVELOPMENTAL	Policy Contributions Effective contributions to policy based on research outputs	DEVELOPMENTAL	Research Strategy Contributions Effective contributions to the University's research strategy	DEVELOPMENTAL	Research Partnerships Effective development of and contribution to research partnerships within and beyond the University
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...with Research

High Quality Performance

<p>PhD or equivalent</p> <p>Doctoral level qualification/ equivalent and appropriate, recognised teaching qualification</p> <p>DEVELOPMENTAL</p>	<p>Refereed conference outputs</p> <p>Contribution to knowledge through refereed conference outputs</p> <p>CORE</p>	<p>Peer-reviewed research outputs</p> <p>Contribution to knowledge through peer-reviewed (non-conference) outputs</p> <p>CORE</p>	<p>Reviewer, Rapporteur, Advisor, Assessor</p> <p>Evidence of effective development of the discipline's research base through work as a peer reviewer</p> <p>CORE</p>	<p>Contributions to new knowledge</p> <p>Contributions to new discipline knowledge through the conduct of original research</p> <p>CORE</p>	<p>Contribute to Research Networks</p> <p>Evidence of participation in and collaboration with productive and effective research networks</p> <p>DEVELOPMENTAL</p>	<p>Funding Applications</p> <p>Developing record of successful funding applications</p> <p>DEVELOPMENTAL</p>	<p>Supervision of research students and/or staff</p> <p>Evidence of effective and successful supervision of research students, and research staff where relevant</p> <p>DEVELOPMENTAL</p>
<p>Evidence of impact of research</p> <p>Evidence of the academic or wider impact of research outputs</p> <p>DEVELOPMENTAL</p>	<p>Awards and Recognition</p> <p>Awards for and recognition of research contribution</p> <p>DEVELOPMENTAL</p>	<p>Invitations</p> <p>Invitations to contribute to research/discipline meetings in the national or international sphere</p> <p>DEVELOPMENTAL</p>	<p>Engagement with industry, professional bodies, agencies or organisations</p> <p>Support of the discipline's development through effective engagement with professional bodies or similar organisations</p> <p>DEVELOPMENTAL</p>	<p>Contribution to research policy</p> <p>Effective contributions to the development of research policy</p> <p>DEVELOPMENTAL</p>	<p>Organisation of research events</p> <p>Effective contribution to the organisation of successful research events</p> <p>DEVELOPMENTAL</p>	<p>Contribution to research-informed teaching</p> <p>Track record of effective and successful contribution to the embedding of research within the curriculum, with successful student outcomes</p> <p>CORE</p>	<p>Contributions to impact</p> <p>Contributions to new discipline knowledge through the conduct of original research</p> <p>CORE</p>

Knowledge and Practice

Membership of National or International Research Committees

Enhancing the reputation of the University and its research capability through membership of national or international committees

DEVELOPMENTAL

Leadership and Management

<p>Mentorship of research colleagues</p> <p>Evidence of effective support to and development of research colleagues</p> <p>DEVELOPMENTAL</p>	<p>Discipline or School Leadership</p> <p>Evidence of effective leadership within the discipline or School</p> <p>DEVELOPMENTAL</p>	<p>University Groups, Committees and Boards</p> <p>Track record of effective contribution to the University's committees</p> <p>DEVELOPMENTAL</p>	<p>Effective Dissemination of Good Practice</p> <p>Effective dissemination of good practice in relation to research</p> <p>DEVELOPMENTAL</p>	<p>Champion</p> <p>Effective championing of aspects of research practice</p> <p>DEVELOPMENTAL</p>	<p>Policy Contributions</p> <p>Effective contributions to policy based on research outputs</p> <p>DEVELOPMENTAL</p>	<p>Research Strategy Contributions</p> <p>Effective contributions to the University's research strategy</p> <p>DEVELOPMENTAL</p>	<p>Research Partnerships</p> <p>Effective development of and contribution to research partnerships within and beyond the University</p> <p>DEVELOPMENTAL</p>
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High Quality Performance

PhD or equivalent Evidence of effective and appropriate, recognised teaching qualification	Refereed conference outputs Developing contribution to knowledge through refereed conference outputs	Peer-reviewed research outputs Developing contribution to knowledge through peer-reviewed (non-conference) outputs	Reviewer, Rapporteur, Advisor, Assessor Evidence of effective development of the discipline's research base through work as a peer reviewer	Contributions to new knowledge Developing contributions to new discipline knowledge through the conduct of original research	Contribute to Research Networks Evidence of participation in and collaboration with productive and effective research networks	Funding Applications Developing record of successful funding applications	Supervision of research students and/or staff Evidence of effective and successful supervision of research students, and research staff where relevant
Evidence of impact of research Evidence of the academic or wider impact of research outputs	Awards and Recognition Awards for and recognition of research contribution	Invitations Invitations to contribute to research/discipline meetings in the national or international sphere	Engagement with industry, professional bodies, agencies or organisations Support of the discipline's development through effective engagement with professional bodies or similar organisations	Contribution to research policy Effective contributions to the development of research policy	Organisation of research events Effective contribution to the organisation of successful research events	Contribution to research-informed teaching Evidence of effective and successful contribution to the embedding of research within the curriculum, with successful student outcomes	Contributions to impact Effective contributions to the development of research impact

Knowledge and Practice

Membership of National or International Research Committees Enhancing the reputation of the University and its research capability through membership of national or international committees

Leadership and Management

Membership of research colleagues Evidence of effective support to and development of research colleagues	Discipline or School Leadership Evidence of effective leadership within the discipline or School	University Groups, Committees and Boards Track record of effective contribution to the University's committees	Effective Dissemination of Good Practice Effective dissemination of good practice in relation to research	Champion Effective championing of aspects of research practice	Policy Contributions Effective contributions to policy based on research outputs	Research Strategy Contributions Effective contributions to the University's research strategy	Research Partnerships Effective development of and contribution to research partnerships within and beyond the University
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Appendix 3: Staff self-assessment form

Bucks Academic Framework Self-assessment pro-forma v2 June 2018

Introduction

The Bucks Academic Framework (BAF) clarifies expectations for each academic role from Lecturer to Professor and the ways in which staff contribute to the University and its mission. It encodes key insights into the nature of academic work and the type, quality and extent of different academic contributions that Bucks expects of its staff.

The University recognises that academics contribute in a variety of ways to the success of the organisation. Aligned to the new strategy, the Bucks Academic staffing framework focusses on three key themes of academic activity: Education, Research & Enterprise and Professional Practice. The expectation that all academic staff will make a significant contribution to the University's educational priorities, and also contribute in one other area gives rise to 4 distinct tracks as follows:

1. Education with Research
2. Education with Professional Practice
3. Research with Education
4. Professional Practice with Education

1. Dimensions

In each theme and for each academic role from Lecturer to Professor, the framework sets out examples of the ways that academics contribute to the success of the organisation through their work in terms of activities and outputs. This iteration of the BAF proposes the following dimensions:

- High Quality Performance – summarised as evidence, referencing its sources and quality, which has or is likely to enhance the reputation of the University through its impact on others
- Knowledge & Practice – core activities within the theme.
- Leadership & Management – relationships with other key members of staff in bringing an activity to success.

2. Criteria

The following represents all the criteria used to assess the level of contribution of academic staff and whether these meet expectations for the relevant track and grade. Not all criteria are relevant to each combination of track and role, and they also differ in terms of centrality for each combination. The criteria are further categorised as core or developmental to indicate current and future expectations.

3. Steps to completing your self-assessment

3.1 Indicate your chosen track in part 1 below.

3.2 Use the table in part 2 to complete your self-assessment against the criteria. The draft framework is not an exhaustive check-list, rather a guide to the types of activity and outputs

expected from given staff operating at different grades. As part of your self-assessment, you should also provide an up-to-date CV.

- 3.3 You should then discuss your self-assessment with your line manager, agreeing an overall outcome for your chosen track in Part 3.
- 3.4 Identify learning & development required. The framework describes the range of contributions expected and can therefore be used to identify areas of development that may support or enhance attainment of the criteria. This should be a key outcome of the self-assessment process and should capture any new learning needs or modification of those captured in previous discussions.
- 3.5 Return your completed form to BucksLearn@bucks.ac.uk by end September 2018.



Part 1: Track identified:

1. Education with Research
2. Education with Professional Practice
3. Research with Education
4. Professional Practice with Education

Part 2: Outcomes of Self-Assessment against the draft Bucks Academic Framework.

This section should be used to list relevant, evidenced activities which meet the criteria, including benefits internal and external to the organisation. As a teaching and learning focused institution, all our academic staff will need to demonstrate attainment in Education plus **one** other theme.

Theme	Dimension: High Quality Performance	Dimension: Knowledge and Practice	Dimension: Leadership and Management
Education			
Research and Enterprise			

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Professional Practice			
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Part 3: Agreed outcome:

- | | | | |
|--|------------------------------------|--|--|
| <input type="checkbox"/> Employee fully meets expectations | Education <input type="checkbox"/> | Research & Enterprise <input type="checkbox"/> | Professional Practice <input type="checkbox"/> |
| <input type="checkbox"/> Employee has shortfalls in one area | Education <input type="checkbox"/> | Research & Enterprise <input type="checkbox"/> | Professional Practice <input type="checkbox"/> |
| <input type="checkbox"/> Development required in two areas to meet expectations | Education <input type="checkbox"/> | Research & Enterprise <input type="checkbox"/> | Professional Practice <input type="checkbox"/> |

Part 4: Learning & development needs

Learning & Development Needs Specify the knowledge, skill or experience required.	Learning & Development Activities Specify learning methods e.g. formal courses such as the Academic Professional Apprenticeship, private study, organised activity, peer observation, job shadowing, conferences or specific projects etc.	Timescales By when will you achieve this learning?	Transfer How will you put your learning into practice?

Appendix 4: Research and Enterprise Committee terms of reference

https://bucks.ac.uk/__data/assets/pdf_file/0021/12765/University-Committees-Constitutions.pdf

Research and Enterprise Committee

Reports to	Senate (University Executive Team – ToR [b])
Standing Committees	Research Ethics Panel
Minutes	Open minutes published on the University website
Frequency of meetings	Four per year
Updated/reviewed	August 2017

Membership:

Chair	Pro / Deputy Vice-Chancellor
Secretary	Appointed by the Research Development Unit Manager
Ex-officio Members	Director of Enterprise and Business Engagement Heads of Research / Institutes Chair of Research Ethics Panel Research Development Unit Manager
Other Members	Up to five staff per Institute nominated by the Head of Research / Institute to cover each of the following: <ul style="list-style-type: none"> • Researchers at different stages of their career • Enterprise practitioner at different stages of their career • Active research supervisors One member from and nominated by each of the University's validating partners for research degrees (<i>to</i>

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	<p><i>attend for items relating to research degree programmes only)</i></p> <p><i>Nominated members shall serve for a term of two years, renewable for a further two years.</i></p>
Student Members	<p>One student representative per Institute to serve for a period of one year.</p> <p>One representative from and appointed by the Students' Union to serve for a period of one year.</p>
Co-opted Members	By invitation of the Chair

Terms of Reference:

- a To promote research, enterprise and scholarship across the University, including:
- alignment to and compliance with the Concordat to Support Research Integrity
 - the identification of priority areas for effort
 - the development and monitoring of strategies, policies and practices to stimulate activities in the agreed areas, ensuring there is an appropriate framework in place for their oversight
 - recommending to Senate (and Senior Management where applicable) the establishment of institutes to support the University's strategies
 - setting and monitoring targets for income generation from such activities
 - ensuring that support mechanisms are appropriate and fit for purpose
 - monitoring the effective publication, dissemination and communication of research and enterprise activity, internally and externally.
- b To monitor on behalf of Senate the research student infrastructure and the strategy relating to the award of university postgraduate research, including:
- recommending to Senate the approval of Research Degree Programmes
 - ensuring that the regulations of the University and its validating partners are complied with in the delivery, assessment and awarding of research degrees (including Professional Doctorate programmes), especially in relation to:-
 - registration and enrolment, including transfer from MPhil to PhD registration
 - changes in supervisory arrangements
 - proposed examination arrangements, including the appointment of Examiners
 - formulating policy on matters relating to research degrees and students undertaking them in accordance with those regulations
 - providing appropriate training for students and supervisors

- reviewing student progression and achievement annually and undertaking analysis of internal and external student feedback, such as the Postgraduate Research Experience Survey (PRES)
 - providing an annual report to Senate and the University's validating partners on the progress of research degree students.
- c To maintain oversight of the requirements in relation to research and enterprise activity from external agencies such as UK Research and Innovation, the Office for Students and the Quality Assurance Agency.
- d To advise on activities to enable the University to prepare for and make submissions to the Research Excellence Framework.
- e To monitor the governance framework for research ethics.
- f To ensure that the University's policies on equality, diversity and inclusion are taken into account in the fulfilment of these terms of reference.

Notes:

- 1 Others may attend and speak to items at the invitation of the Chair. This will include members of the RED Unit and central service directorates to attend for items as appropriate
- 2 Student members will be required to withdraw from any part of a meeting where a named student, past, present or prospective, is being discussed.