

Executive summary

In November 2020 the University will submit its research for national assessment via the Research Excellence Framework (REF) 2021. As part of this process, all universities are required to develop a Code of Practice to guide their REF submission and ensure that all policies and processes are transparent, consistent, and inclusive.

The Code of Practice outlines Loughborough's approaches to the fair and transparent identification of staff and selection of outputs for REF submission. Despite the inevitable emphasis in this Code on the contributions associated with individual staff, the University is very clear that its REF 2021 submission constitutes a statement of the quality of the collective research endeavour of the institution as a whole and it does not serve as any form of assessment of performance at the level of individual staff.

The key elements of this Code are as follows.

Identification of RTE staff with significant responsibility for research

Loughborough University expects all staff on Research, Teaching and Enterprise (RTE) contracts to have a significant responsibility for research and to be submitted to REF.

Determining researcher independence

The expectation is that all research staff on Specialist and Supporting Academic Research (SSAR) or Other Academic Related (OT) contracts at Loughborough will not be submitted to REF. Exceptionally, however, some SSAR and OT staff on 0.2FTE contracts or above may be deemed as independent researchers in REF terms, and returned to REF. The criteria, based on Loughborough University's existing and formal approach to determining research independence, are:

Either:

- a) They are leading or acting as principal investigator (or equivalent) on one or more significant externally funded research projects
- OR

- b) They hold an independently won, competitively awarded fellowship where research independence is a requirement
OR
- c) They lead a formal research group or have responsibility for a substantial or specialised work package within a larger research programme (on which they might be Co-I)
AND, if one or more of a or b or c is met,
- d) They have a research outputs track record that is comparable with disciplinary norms for RTE staff on the same grade.

All research staff will be notified by email by the Research Policy Team by 31 August 2019 as to whether or not they have been deemed to meet the criteria. All researchers will then be provided with information as to how to appeal this decision as outlined in Part 4 below.

Selecting outputs

For REF 2021, the total number of outputs submitted by each UoA Submission Team must equal 2.5 times the summed full-time equivalent (FTE) of the unit's submitted staff, with a minimum of one and a maximum of five outputs per person.

To ensure the fair and transparent selection of outputs, each UoA Submission Team has been tasked with identifying the outputs which represent the most original, significant and rigorous work produced by current or former staff associated with that UoA. It is these criteria which will guide the UoA Submission Team's initial selection. The Submission Team's final recommendation will be presented at the Summer 2020 LUSTRE (Loughborough University Submission To REF) meeting. Ultimately, responsibility for the selection of outputs lies with the PVCs' REF Working Group, comprising PVC(E), Associate PVC(REF) and chaired by the PVC(R).

Process for volunteering individual staff circumstances

Staff whose circumstances have affected their ability to research productively throughout the period are able to voluntarily declare these circumstances in confidence. A list of the circumstances that may be taken into consideration are listed in section 5b(ii). This may result in an adjustment to the expectations on that individual's contribution to the output pool, including the removal of the requirement to submit a minimum of one output.

It is expected that in most cases, any such reduction will be absorbed by the UoA under the flexibility provided by the REF regarding the minimum of one and maximum

of five outputs per person. Where the volume of individual staff circumstances has had a significant impact on an individual unit's ability to meet the total output requirement, the University may exceptionally request a reduction in the outputs they have to submit for that unit. The decision as to whether to request a reduction lies with the PVCs' REF Working Group.

A dedicated online form has been designed through which staff may safely declare in confidence their individual circumstances.

Please note that, under REF guidance, individual circumstances of which the University may already be aware, such as periods of maternity leave or early career status, will still need to be voluntarily declared in order for a reduction in outputs to be considered.

Glossary of acronyms and terms

ADE - Associate Dean for Enterprise

ADR – Associate Dean for Research

APVC(REF) – Associate Pro-Vice Chancellor for REF submission

Category A Staff - Category A eligible staff are defined by REF as academic staff with a contract of employment of 0.2 FTE or greater, on the payroll of the submitting institution on the census date, whose primary employment function is to undertake either 'research only' or 'teaching and research'. Staff should have a substantive research connection with the submitting unit. Staff on 'research only' contracts should meet the definition of an independent researcher.

CoP WG – Code of Practice Working Group

EIA – Equality Impact Assessment

FTE – Full-Time Equivalent

HEI – Higher Education Institutions

HR – Human Resources

HRC – Human Resources Committee

ISC – Individual Staff Circumstances

LUSTRE – Loughborough University Submissions to REF Working Groups

OT - Other Academic Related staff.

PDR – Performance Development Review

PVC(E) – Pro-Vice Chancellor for Enterprise

PVC(R) – Pro-Vice Chancellor for Research

PVCs' REF Working Group – A Working Group consisting of PVC(R), PVC(E) and APVC(REF) and convened specifically for final decision making on elements of REF submission as set out in this Code of Practice.

REF – Research Excellence Framework

RTE – Research, Teaching and Enterprise job family

SSAR - Specialist and Supporting Academic Research job family

VC - Vice Chancellor

UCU - University and Colleges Union

UoA – Unit of Assessment

Part 1: Introduction

In November 2020 the University will submit its research for national assessment via the Research Excellence Framework (REF) 2021. As part of this process, all universities are required to develop a Code of Practice to guide their REF submission and ensure that all policies and processes are transparent, consistent, and inclusive.

Loughborough University's Code of Practice has been developed in line with its inclusive and people-centred institutional policy and strategic framework. It seeks to comply with relevant legislation and ensure fair processes for the identification of staff with significant responsibility for research, for determining research independence and for the selection of outputs.

Despite the inevitable emphasis in this Code on the contributions associated with individual staff, the University wishes to make absolutely clear that its REF 2021 submission constitutes a statement of the quality of the collective research endeavour of the institution as a whole and it does not serve as any form of assessment of performance at the level of individual staff. To this end, with the exception of those with individual circumstances, it will be submitting 100% of staff on Research, Teaching and Enterprise (RTE) contracts, along with a number of independent researchers on Specialist and Supporting Academic Research (SSAR) or Other Academic Related (OT) contracts. This fully adheres to the spirit of the Stern *Research Excellence Framework (REF) review: building on success and learning from experience*, within an overall long-term strategy of maximising the reputation of the University for its research intensity.

Code of Practice overview

Section 1a outlines the existing institutional policy and strategy environment at Loughborough which supports equality and diversity and provides a framework for this Code of Practice.

Section 1b describes how we plan to consult on and communicate this Code of Practice throughout the period up to the REF submission date.

Section 1c describes the groups and individuals involved in the REF submission and the training they have received.

Section 2 confirms Loughborough's decision to submit 100% of RTE staff.

Section 3 outlines the process by which the University will identify research-only staff who qualify as an independent researcher and, as such, will be submitted to REF; and how individuals may appeal the decisions made.

Section 4 describes the appeals process by which individuals can challenge whether they are considered a Category A member of staff and thus submitted to REF.

Section 5 outlines the processes by which Loughborough will select outputs for submission, and how individuals may volunteer any circumstances which have affected their ability to contribute to the output pool.

Section 6 describes the nature and frequency of Equality Impact Assessments conducted on the processes by which staff and outputs are selected for submission to the REF.

Appendices A-W contain supporting material

1a) Existing institutional policies and strategies that support equality and diversity

University Strategic Plan

Since REF 2014, Loughborough University has developed its distinctive 'Building Excellence' Strategic Plan (see Appendix A), with equality and diversity embedded in our Mission and Values (see Appendix B). It states that the way we will work will:

- *Respect each other and celebrate our diversity*
- *Recognise and reward excellence in our staff for their contribution and commitment*
- *Be inclusive and value the views of our staff, students, alumni and partners*
- *Respect the communities and environments in which we operate*
- *Work together as a team with professionalism and integrity*
- *Take pride in being the very best we can be*

University strategy themes

Loughborough University seeks to put people front and centre in its vision, mission and strategy. 'Investing in our staff' is the first of the four themes of the 'Building Excellence' Strategy. It states:

'We will be an outstanding employer supporting our staff to achieve their full potential through development opportunities. We will recognise excellence and achievement through performance and reward mechanisms and ensure that all staff are empowered to operate at their highest levels.'

University Research Framework

'Investing in staff' is also a principal theme in Loughborough's 'CALIBRE' (Collective Ambition at Loughborough for Building Research Excellence) Framework (see Appendix C) introduced in 2016. The CALIBRE framework sits within the context of the University strategy and sets out the programmes through which we will reach our collective ambition to deliver impactful world-class research across all disciplines. CALIBRE's Research Leaders programme is aimed at all staff but particularly at the next

generation, including Post-Doctoral Research Assistants (PDRAs) and early career academics, so that Loughborough is recognised as a destination of choice for the best early career talent.

In 2016, with Senate approval, the University became one of the first in the UK to adopt a **Responsible Metrics Policy** which is reproduced in Appendix F. This ensures that the use of bibliometrics is performed fairly, consistently and transparently across the institution.

University People Strategy

Building on Loughborough's existing strong EDI-focus, the University introduced a dedicated, 'People Strategy' in March 2019 (See Appendix D) which seeks to "lead the University in creating a culture that inspires excellence through delivering innovative and tailored policies, support and initiatives that underpin the University's success, and benefit the communities in which we work". The five 'people priorities' include "a diverse, respectful and inclusive culture" and "a focus on workload, well-being and resilience". Indeed, the University is also introducing a revised Equality, Diversity and Inclusion Strategy (Appendix E) along with an Action Plan for 2019/20 which is currently progressing through Senate and Council. This is in addition to its Equal Opportunities Code of Practice (Appendix F)

This people-focussed policy environment has naturally led to addressing the main issue raised by Loughborough's post-REF 2014 Equality Impact Assessment, namely, the under-representation of females in the 56-65 age group. This resulted in an action plan to "review protected characteristics, in particular those areas where slight variances existed in REF 2014 in preparation for REF 2020". Initiatives to improve diversity of staff include:

- Revising our academic recruitment processes and practices and using targeted adverts and social media to attract more diverse candidates. This initiative has been successful in identifying female professorial candidates
- Revising our academic promotion criteria and processes so that a more balanced portfolio of work can be used as evidence for promotion. In addition, staff with personal circumstances can provide further information to demonstrate why their application might follow a non-standard profile.
- The Deputy Vice Chancellor now discusses staff pay gaps and gender and ethnicity pipeline data with Deans on an annual basis
- Human Resources Committee and Council have a comprehensive set of KPIs to raise the profile of staff diversity issues within the institution
- Implementing a PDR system so that all staff have the opportunity to discuss their performance and development once a year

- Revising our reward arrangements and linking them more closely to performance to ensure that the distribution of reward is more even and consistent across staff groups and protected characteristics
- Introducing personal title briefing sessions run by the Deputy Vice Chancellor and Pro Vice Chancellor (Research) to assist with applications
- Continuing our commitment to Athena Swan and supporting schools to submit applications
- Requiring all school senior leadership teams to attend unconscious bias training and mandating an online unconscious bias course for all staff
- Signing up to the Race Equality Charter in April 2018

It should be noted that our EDI initiatives are not driven by REF but are embedded in our everyday practices as evidence of our commitment to embracing and celebrating diversity in all aspects of our work.

Equality and Diversity policies and awards

In line with the University's people-centred commitments, it has adopted a number of equality and diversity-related policies and received accreditation for its commitment to equality and diversity as follows:

- **Athena Swan Award**

Loughborough University has held the Bronze Institutional Award since 2009. The School of Sport, Exercise and Health Sciences has maintained a Silver Award since 2013 and Loughborough Design School has maintained a Bronze Award since April 2014. The School of Architecture, Building and Civil Engineering received a Bronze Award in 2017. The School of Social Sciences was awarded Bronze in 2019. The School of Science submitted for a Bronze Award in April 2019 having received a Silver Award for Mathematics in 2015. All other Schools are active on the institutional Athena SWAN self-assessment team with a programme of award submissions in place.

- **Disability Confident Scheme Award**

The University was awarded a Level 2 Disability Confident Employer certificate in February 2019 for the second time. The University had self-assessed and gathered evidence against a set of statements grouped into two themes: *'Getting the right people for the University'* and *'keeping and developing our staff'*. The University took all the core actions set out in the scheme for level two and also evidenced a number of actions on activity lists under these themes.

- **Race Equality Charter signatory**

Loughborough University is one of the first ten UK HEIs to adopt the Race Equality Charter. This was signed in April 2018 and it demonstrates Loughborough's commitment to improve the representation, progression and success of minority ethnic staff and students.

Loughborough University has policies relating to equality and diversity that seek to support and include all staff groups and those with protected characteristics. Policies cover equal opportunities, equal pay, inclusive language, access to work and dyslexia/specific learning difficulties, civil partnership registration, disability, and the employment of ex-offenders. Details of all these policies are available to staff on the HR web pages and include the following:

- Equality, diversity and inclusive working
- Access to Work & dyslexia/SpLDs
- Athena Swan
- Civil partnership registration information
- Disability statement
- Employment of Ex-Offenders
- Equal opportunities: code of practice
- Equal Pay Policy
- Equality & diversity - statement
- Harassment and bullying policy
- Inclusive language
- Respecting diversity training
- Transgender

The University also supports a wide range of staff groups as follows:

- Loughborough University Research Staff Association (LURSA)
- Staff Age Group
- Staff Black and Minority Ethnic (BME) Network
- Disability Group
- Part-time Staff Group
- Staff Religion or Belief Group
- Staff Lesbian, Gay, Bisexual and Trans Group + (LGBT+)
- Staff Women's Group
- Armed Forces Network
- International Staff Group
- Working Parent's Network

Equality and Diversity training

Respecting Diversity is a mandatory course for all staff. All those involved with the recruitment and selection of staff must also attend the University's 'Recruitment and Selection' course. Since March 2018 all staff now have to pass an online **Unconscious Bias** course and all Senior Management Teams have to attend a 90-minute face to face

bespoke Unconscious Bias course. Furthermore, those staff involved in making decisions regarding REF submissions and forming REF Appeal Panels will be required to attend a two-hour bespoke **REF-specific Equality and Diversity** course, the details for which are outlined in 1c(ii).

Support for fixed-term and part-time staff including early career researchers

Loughborough is committed to the support and development of early career researchers. The University has a strategy and plan for the implementation of the 2008 **Concordat to Support the Career Development of Researchers** and has held the European Commission's **HR Excellence in Research** award since 2010. We are currently going through a further renewal process and the University is confident this will be awarded by Summer 2019.

The local implementation of this includes; a **Code of Practice for the Employment of University Research Staff** which is regularly reviewed and sets out the expectations on managers of researchers and researchers themselves; an active Research Staff Association which gives a voice to early career research staff leading to new initiatives such as the AHRC-funded 'Design and the Digital World' project and the establishment of Fellowship Inaugural Lectures to raise the visibility of ECRs; dedicated professional development opportunities and careers support for Research Staff including access to mobility funding and careers and Fellowship support; and regular participation in the Careers in Research Online Survey (CROS) and the Principal Investigators and Research Leaders Survey (PIRLS), both of which ran in 2019. These surveys, and the University Staff Survey, inform our strategy for the development of researchers. Taken together, these activities contribute to the development of the community of researchers, a culture that values their contribution and their capability in their current roles and for the future.

The University is also committed to creating and maintaining a positive working environment for **part time workers**. Recent academic recruitment campaign advertisements have explicitly encouraged applications from people who would like to work part-time. Work is also underway to assess the impact of working part-time on academic promotion in order to ensure part time staff are treated fairly. Part-time status is a feature of regular equality impact assessments on matters such as PDR performance ratings and reward outcomes.

A **support group for part-time workers** has been established. This group was set up initially as a support group but has been involved in discussions regarding HR initiatives that may impact those who work part-time, such as a review of support available for women returning from maternity leave and the development of the new People Strategy. Going forwards, it is anticipated that this group will be used much more in the development of relevant HR policies and practices.

1b) Communication of the Code of Practice

The Code of Practice has been drafted by a Code of Practice Working Group (membership in section 1c(i)) and in consultation with a wide variety of groups including UCU, UoA Submission Team Leads, Associate Deans for Research and staff groups. The latest version of the Code of Practice (draft, submitted or accepted) will always be available to all Loughborough University staff via the University REF web pages. The outcomes of the consultation and an FAQ are also available on the web pages:

<https://www.lboro.ac.uk/research/support/research-excellence-framework/>

In the drafting phase, an email was circulated inviting feedback via the Research Policy email address (researchpolicy@lboro.ac.uk). Deans of School were also emailed requesting them to contact all staff currently on leave or secondment, by letter if necessary, giving them the same opportunity to read and comment on the Code. Checks were made to ensure this had been actioned. Posters were designed and made available in common areas across all Schools. An item was also circulated as part of the Vice-Chancellor's monthly newsletter. The individual staff groups listed below were direct-mailed to specifically seek their input.

- LGBT+ Staff Support Group
- International Staff Support Group
- Disability Staff Support Group
- Working Parents Staff Support Group
- BME Staff Network
- Part-time & Flexible Working Staff Support Group
- Religion or Belief Staff Support Group
- Women's Staff Support Group
- Age Staff Support Group
- Armed Service Network

Feedback was also sought through formal committee channels: Research Committee (09/04/19) and Human Resources Committee (05/06/19). Due to the proximity of Human Resources Committee to the Code of Practice submission date, Committee members were invited both to submit feedback prior to their meeting in addition to providing formal approval at the meeting.

The timetable below outlines the programme of communication associated with drafting the CoP:

Milestone	Action	Date
First CoP WG meeting	Discuss CoP principles and requirements	14/11/2019
First Draft of CoP written	Circulate first draft CoP to CoP WG	12/03/2019
CoP Working Group meeting	Approve draft and suggest changes	19/03/2019
CoP revised	PVC(R) to approve for consultation	26/03/2019
Consultation phase begins	Publish draft CoP on web page – internal only	27/03/2019
Consult with staff on leave	Ask Deans to write to staff on leave asking for comment on CoP	27/03/2019
Direct contact with RTE, SSAR and OT staff inviting comment	Email from PVC(R) opens 5 weeks consultation period - responses to researchpolicy@lboro.ac.uk	27/03/2019
Meeting with UCU Loughborough branch	Consult on CoP content	27/03/2019
Posters displayed	Posters in all Schools inviting comment on Draft CoP	27/03/2019
Consult with Staff Groups holding protected characteristics	Email to invite comment on Draft CoP	27/03/2019
Circulate Draft CoP with LUSTRE paperwork	Invite UoA Submission Team Leads to consider EIA of independent researchers and output selection; UoAs to comment at high level on staff with ISCs/potential reduction in outputs	01/04/2019
VC Newsletter item	Invite comment on Draft CoP	27/02/2019
Staff Newsletter item	Invite comment on Draft CoP	27/3-1/5/2019
Research Committee	Agreement to SRR required	09/04/2019
Human Resources Committee	CoP circulated to HRC members prior to this date. Agreement to SRR required.	05/06/2019
FINAL SUBMISSION		07/06/2019

Table 1. Code of Practice Consultation programme

The finalised Code of Practice will be submitted to Research England by the deadline of 7 June 2019. All Codes of Practice will be reviewed by the REF Equality and Diversity Advisory Panel (EDAP) and Universities will be notified of the outcome of this review by August 2019. If adjustments to the Code of Practice need to be made, this will take place in the Autumn of 2019 with final Codes of Practice published online in December 2019. Once Loughborough's Code of Practice has been approved, the approved version will be made permanently available on the University's REF web pages and all staff will be notified by email and via the Staff Noticeboard.

1c) Staff, committees and training supporting our REF submission

i) Staff and committees

The REF support structures in place at Loughborough University are outlined in Figure 1 below including where they fit within the wider institutional governance structure.

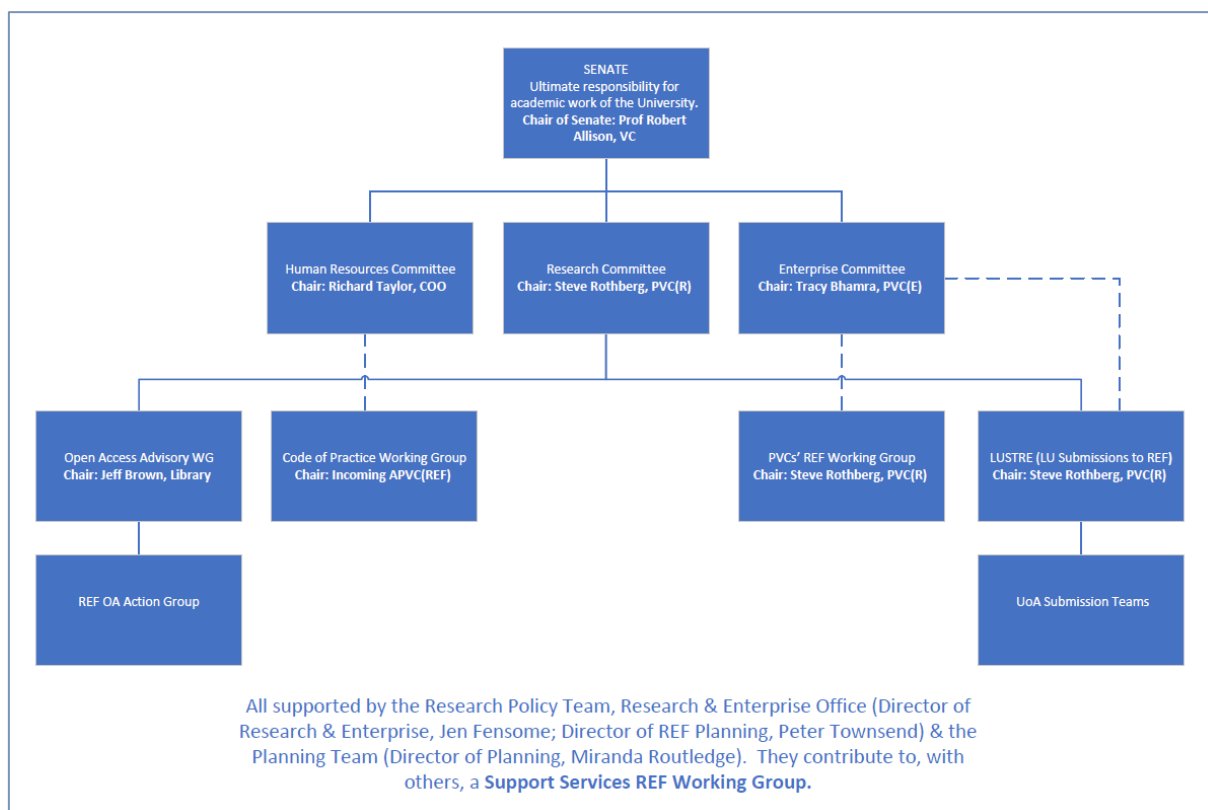


Figure 1. REF Support Structures at Loughborough

A description of each of the groups involved in determining research independence, and selecting outputs is outlined below, including their membership, operating criteria, modes of operation, record-keeping procedures and terms of reference. Senate, Human Resources Committee, Research Committee and Enterprise Committee are permanent elements of the University’s governance structure. The creation of the Code of Practice Working Group, LUSTRE, and the Support Services REF Working Group, along with the identification of appropriate staff to sit on these groups was agreed at Research Committee which is chaired by the Pro-Vice Chancellor for Research in his capacity as strategic research lead for the university.

Research Committee

Research Committee acts in an executive and advisory capacity in the initiation, promotion and development of research in the University. It is chaired by the Pro-Vice Chancellor (Research) and membership consists of Associate Deans for Research

(ADRs) and other research-related officials. The full membership list is given in Appendix H. The Research Committee is a sub-committee of Senate. The Terms of Reference for Research Committee are given in Appendix I. Research Committee meets bi-monthly and receives minutes from *inter alia* the Open Access Advisory Working Group, the Code of Practice Working Group, and LUSTRE (see below). Minutes are taken, circulated to members and retained.

Enterprise Committee

Enterprise Committee acts to develop the University's enterprise strategy and supports its implementation within schools and more widely across the institution. It is chaired by the Pro-Vice Chancellor (Enterprise) and membership consists of Associate Deans for Enterprise (ADEs) and other enterprise-related officials. The full membership list is given in Appendix J. The Enterprise Committee is a joint sub-committee of Senate and Council. The Terms of Reference for Enterprise Committee are given in Appendix K. Enterprise Committee meets bi-monthly, receives minutes from LUSTRE (see below) and operates Working Groups for specific purposes, including the Enterprise Projects Group which funds *inter alia* projects to support delivery of research impact. It also receives reports on the progress of University spin-out companies. Minutes are taken, circulated to members and retained.

Human Resources Committee

Human Resources (HR) Committee acts to develop, approve and monitor HR strategy and policy, including all matters relating to the recruitment, reward, retention, motivation and development of the University's staff. In particular, HR Committee provides assurance to Senate and Council on all equality and diversity issues. It is chaired by the Chief Operating Officer and membership includes the Director of HR, senior officers of the University such as the Provost and lay members appointed by Council. The full membership list is given in Appendix L.

The HR Committee is a joint sub-committee of Senate and Council. Its Terms of Reference are given in Appendix M. HR Committee meets three times per year. Minutes are taken, circulated to members and retained.

Code of Practice Working Group

The Code of Practice Working Group is a time-limited working group established to steer, draft, consult on, and implement the University's REF Code of Practice. The Terms of Reference for the Code of Practice Working Group are given in Appendix N. It is scheduled to meet regularly between November 2018 and November 2020 on the following schedule:

- 14 November 2018
- 5 February 2019

- 19 March 2019
- 4 June 2019
- 5 July 2019
- 27 September 2019
- 28 February 2020
- 15 September 2020
- 20 November 2020
- 18 January 2020

A dedicated Code of Practice meeting has been scheduled after the 2019 LUSTRE meetings to review the Equality and Diversity implications of the UoA Submission Teams' approaches, and to run Equality Impact Assessments on the current shape of their submissions. It is attended by representatives from academic staff, HR, Loughborough UCU, and the Research Office. Minutes are taken, circulated to members, and made available to staff via the University's REF web pages. A full list of members with their roles and responsibilities is given in Appendix O.

Chair: Drafting phase: PVC(R); Implementation phase APVC(REF). Contact: Research Policy Manager (Publications), Research Office. Email: researchpolicy@lboro.ac.uk

Loughborough University Submissions to REF (LUSTRE)

LUSTRE meeting rounds are scheduled for Spring 2019, Winter 2019/2020, Spring 2020 and Winter 2020. The purpose of these meetings is to provide REF UoA Submission Teams with feedback and guidance from internal and external advisors on their draft submissions. The Terms of Reference for LUSTRE are given in Appendix P. In addition to the UoA Submission Team Leads, membership of this group includes PVC(R), PVC(E), senior advisors (to include current or past REF panel members), Research Policy, and the Planning Team. A full list of members with their roles and responsibilities is given in Appendix Q.

LUSTRE does not have decision-making powers with regards to the CoP but discussions at LUSTRE may inform debate at the CoP WG and submissions to LUSTRE will form the basis of subsequent EIAs. Notes of LUSTRE meetings are taken, circulated to LUSTRE members, and made available to Loughborough University staff only via the University's REF web pages.

In most cases, staff will be returned to UoAs with which their School has an obvious connection. Where individual staff are more suited to return in another UoA or suited to return in more than one UoA, LUSTRE has an important role in considering the implications of the options available. All such staff will be made aware that they are being considered for return in more than one UoA. The final decision on the UoA to which all staff will be returned will rest with the PVCs' REF Working Group.

Chair: PVC(R). Contact: Research Policy Managers, Research Office.

Email: researchpolicy@lboro.ac.uk

Pro-Vice Chancellors' REF Working Group

All final decisions relating to the REF, including the identification of Category A staff, the selection of outputs and case studies, and the UoAs to which individuals are returned will rest with a small group consisting of the PVC(R), PVC(E) and APVC(REF), chaired by the PVC(R) and supported by the Director of Planning. The Terms of Reference are given in Appendix R. This group has meetings scheduled as follows and may also convene as required to address any additional issues.

- July 2019 – to consider individual allocations to UoAs post LUSTRE
- November 2019 - to hear IR appeals
- Feb 2020 – to hear IR appeals; to consider any output reduction requests to Research England
- May 2020 – to hear IR appeals
- August 2020-; to review staff position post-census
- October 2020 – to hear IR appeals; to oversee final submission.

Minutes are taken, circulated to group members and retained.

Chair: PVC(R). Contact: Director of Planning

REF UoA Submission Teams

Each Unit of Assessment to which Loughborough University intends to submit is supported by a team, with an identified UoA Submission Team Lead. UoA Submission Team Leads were selected by consultation between Deans, ADR and PVC(R). Each contributing School to each UoA submission also has its own School Submission Lead. School Leads were nominated by the Dean and ADR of the School based on their research experience and disciplinary expertise. UoA Leads are responsible for writing their respective environment statements and recommending the selection of outputs and case studies for submission, in line with Loughborough University's Code of Practice. The specific job descriptions for UoA Submission Team Leads and School Submission Team Leads are given in Appendix S.

The Terms of Reference for UoA Submission teams are given in Appendix T. UoA team members consist of the Submission Team Leads and other School staff with existing responsibility for supporting research and enterprise activities within the School as selected by the Deans, ADRs and UoA Leads. A list of the UoA Leads and their contact details are available on the Loughborough University REF Support web pages.

School Senior Management Teams

Each School has a Senior Management Team consisting of the Dean, Associate Deans, and other School officials. It is the Deans and Associate Deans for Research who are

responsible for initially identifying staff who meet the criteria for research independence. Deans are appointed through an open external recruitment process, and Associate Deans through an open internal recruitment process, both of which adhere to good practice in Equality and Diversity.

Support Services REF Working Group

The Support Services REF Working Group exists to support the UoA Teams in making their REF submissions, to service the LUSTRE meetings, and support the Code of Practice Working Group. The Terms of Reference and membership for the Support Services REF Working Group are given in Appendix U. It is chaired by the Director of Planning and meets monthly. Notes are taken, circulated to members and retained.

ii) Mandatory training

Mandatory training on REF-specific Equality and Diversity issues is being provided for all staff involved in determining research independence and the selection of outputs, including those on the appeals team. All output peer reviewers are required to complete the University's mandatory unconscious bias training. Seven two-hour sessions have been scheduled in the first instance, including one on the London campus, during April-June 2019. These are being run by the Deputy Director (HR), the HR business partners, and the Research Policy Manager (Publications). Other dates may be added if required.

The course will cover the following content:

- The legal context for equality and diversity
- REF guidance around equality and diversity
- Unconscious bias
- Determining researcher independence responsibly
- Supporting those with ISCs and managing confidential information
- Selecting outputs responsibly (including the limitations of publication data)

Attendance will be recorded and monitored to ensure 100% attendance by the relevant parties, and additional dates offered where necessary.

Part 2: Identifying staff with significant responsibility for research

Under REF guidance (para. 117), Loughborough is required to submit all 'Category A eligible staff'. These are defined as academic staff with a contract of employment of 0.2 FTE or greater, on the payroll of the submitting institution on the census date, whose primary employment function is to undertake either 'research only' or 'teaching and research'. Staff with significant responsibility for research are those for whom explicit time and resources are made available to engage actively in independent research, and that is an expectation of their job role. Submitted staff should have a substantive research connection with the submitting unit and staff on 'research only' contracts should meet the definition of an independent researcher (see Part 3).

In line with this guidance and as a research-intensive institution, all Loughborough University staff on RTE contracts hold a significant responsibility for research and, therefore, will be submitted to REF.

Part 3: Determining research independence

3a) Policies and procedures

i) Criteria for determining independence

According to REF guidance, Loughborough is required to submit all 'Category A eligible staff'. These are defined as academic staff with a contract of employment of 0.2 FTE or greater, on the payroll of the submitting institution on the census date, whose primary employment function is to undertake either 'research only' or 'teaching and research'. Submitted staff should have a substantive research connection with the submitting unit and staff on 'research only' contracts should meet the definition of an independent researcher. The REF guidance is clear that:

"Research assistants (sometimes also described as postdoctoral research assistants, research associates or assistant researchers) ... are not eligible to be returned to the REF unless, exceptionally, they meet the definition of an independent researcher...on the census date *and* satisfy the definition of Category A eligible staff in paragraph 117. They must not be listed as Category A submitted staff purely on the basis that they are named on one or more research outputs."

In 2015, Loughborough University introduced an improved process for re-designating qualifying Research Associates as Research Fellows, according to a set of internal criteria for assessing their research independence. We have therefore used these established criteria to determine independence for the purpose of the REF submission. These criteria are given in Appendix V. It is also of note that the University recruited a number of Vice Chancellor's Research Fellows and Doctoral Prize Research Fellows who are, by definition, independent researchers.

The REF guidance for determining researcher independence has therefore been set in the Loughborough context, as above, to assess whether staff on SSAR or OT contracts may exceptionally be identified as independent researchers in REF terms, and returned to REF. The criteria are:

Either:

- a) They are leading or acting as principal investigator (or equivalent) on one or more significant externally funded research projects
OR
 - b) They hold an independently won, competitively awarded fellowship where research independence is a requirement
OR
 - c) They lead a formal research group or have responsibility for a substantial or specialised work package within a larger research programme (on which they might be Co-I)
- AND, if one or more of a or b or c is met,

- d) They have a research outputs track record that is comparable with disciplinary norms for RTE staff on the same grade.

A decision tree, by which SSAR or OT staff on a contract of 0.2 FTE or greater and on the University payroll on 31 July 2020 can assess whether they would be deemed as Category A eligible staff and submitted to REF, is provided in Figure 2.

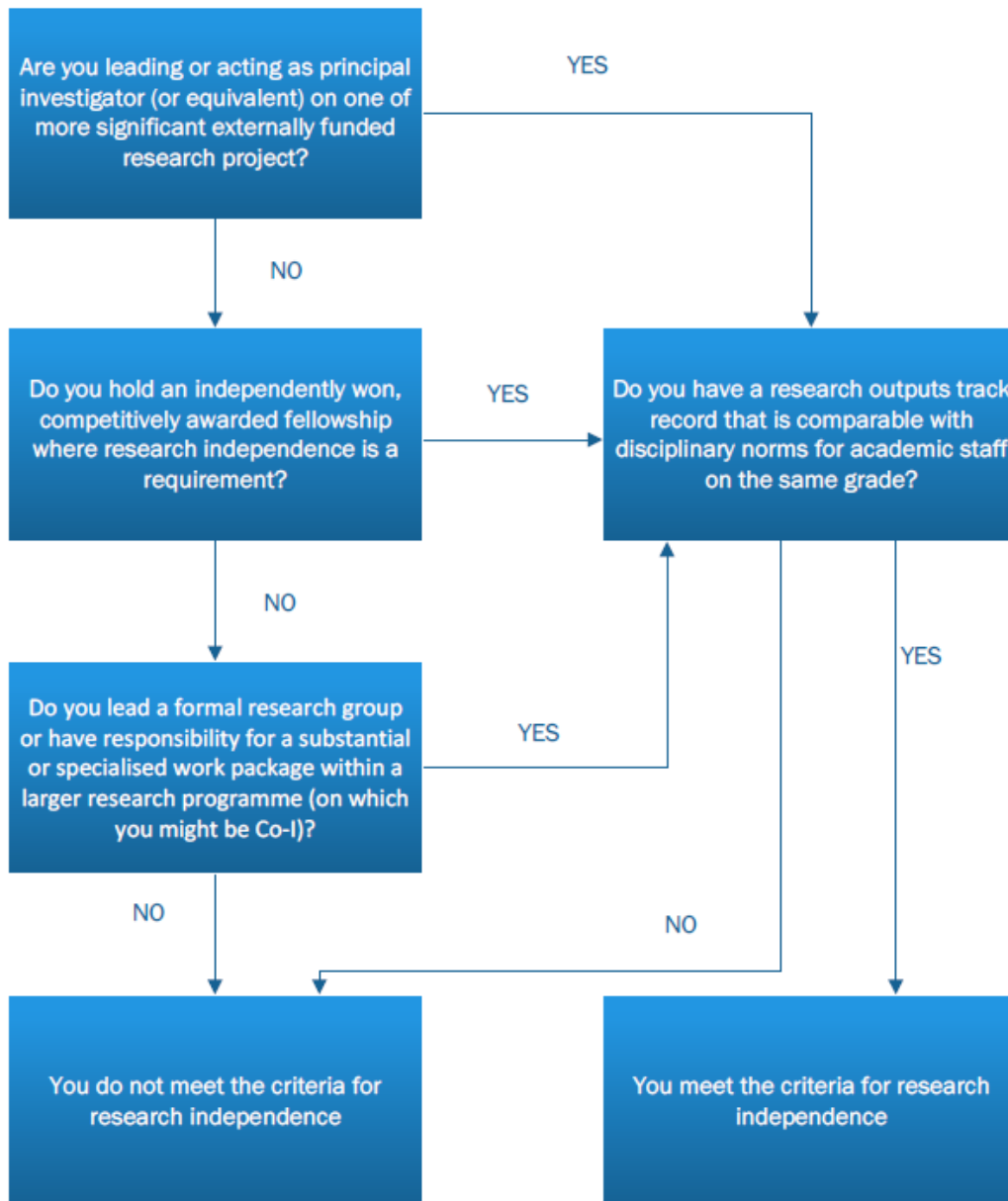


Figure 2. Decision tree for determining research independence

ii) How decisions are being made and communicated to staff

Since February 2018, lists of SSAR and OT staff have been regularly sent to Associate Deans (Research) to enable them to begin the process of determining which research-only staff might be considered independent researchers. On publication of the final REF guidance in January 2019, the revised definitions were considered at meetings of:

- Unit of Assessment Submission Team Leads (15/02/19)
- Associate Deans (Research) (08/03/2019)

The criteria for determining research independence were drafted by the Code of Practice Working Group and consulted on via the mechanisms outlined in 1b. An EIA of this decision will be considered after the LUSTRE meetings as outlined in Part 6.

UoA Submission Team Leads and ADRs will assess whether current research staff meet the criteria for determining research independence by 31 July 2019. All research staff in post at 31 May 2019 will be notified by email by the Research Policy Team as to whether they were deemed to be independent or not. All research only staff will be reviewed by Units on at least a quarterly basis and any subsequent starters, or those deemed to have changed status, will be notified as to whether or not they meet the criteria. This review and notification process will continue through until 31 July 2020 after which there will be a less frequent review. All researchers will be provided with information as to how to appeal this decision as outlined in Part 4 below

SSAR and OT staff appointed after 31 July 2019 will be notified on their appointment if they meet the criteria for research independence and how to appeal this decision.

Lists of SSAR and OT staff will continue to be circulated to both ADRs and UoA Submission Team Leads until 31 July 2020 to ensure any changes in circumstances or new appointments are considered. The appeals process is outlined in Part 4.

Part 4: Appeals process

Loughborough seeks to make fair and transparent decisions around determining research independence and to ensure that all staff are satisfied that the process has been followed equitably. Where SSAR or OT staff believe they have been miscategorised as either independent or not independent researchers, they may in the first instance approach their Dean or ADR to discuss this.

If this does not resolve the issue, it may be escalated in the first instance to the PVCs' REF Working Group for a Stage I appeal. Appellants should put a clear case in writing to the Chair of the PVCs' REF Working Group (the PVC(R)) and email this to researchpolicy@lboro.ac.uk.

Grounds for appeal include:

- Where SSAR or OT staff have been identified as an independent researcher, but by 31 July 2020 believe they will no longer meet the criteria.
- Where SSAR or OT staff have not been identified as an independent researcher but believe that, on the 31 July 2020, they will meet the criteria.

The appeals process will not consider challenges to the suitability of the criteria themselves, which can be challenged through the CoP consultation process (see 1b above). The appeals process will only consider whether individuals meet the agreed criteria for determining research independence.

Appeals submitted by 14 October 2019 will be considered by a meeting of the PVCs' REF Working Group in November and appellants will be notified of the outcome within five working days. Appeals submitted after 14 October 2019, will be dealt with at the next scheduled PVCs' REF Working Group meeting. Meetings are scheduled for February, May and August 2020. The dates are as follows:

- Meeting 5th Feb – Deadline 22nd Jan
- Meeting 3rd June – Deadline 13th May
- Meeting 15th Oct – Deadline 24th Sep

If individuals are unhappy with the outcome of the PVCs' REF Working Group and wish to make a secondary appeal to an independent appeals team, they may do so. Stage II appeals may be made on the following grounds:

- 1) The evidence provided to the Stage I appeal was incorrect or incomplete, and may reasonably have led to a different outcome;
- 2) That the Stage I appeal was conducted in a manner that conflicts with this Code of Practice.

Stage II appellants should put a clear case in writing and email this to researchpolicy@lboro.ac.uk. This will then be referred to the independent appeals team which has been established to consider Stage II appeals. The team consists of four staff, two male and two female, of which three are senior academics with REF panel membership experience and one is a professional services staff member with REF Secretarial experience. Each appeal will be considered by two members of the appeal team (one male and one female). The team will meet normally within ten working days of a Stage II appeal being made, and appellants will be notified typically within five working days of the meeting as to whether their appeal was successful. This will represent the final decision.

Any complaints regarding the implementation of Loughborough's code of practice will also be resolved through the appeals process outlined here, and should be emailed in the first instance to researchpolicy@lboro.ac.uk for consideration by the Code of Practice Working Group.

Once the Code of Practice has been approved by Research England by Autumn 2019, the appeals process will be clearly advertised on the Loughborough University web pages.

Part 5: Selection of outputs

5a) Policies and procedures

i) REF guidance

For REF 2021, the total number of outputs submitted by each UoA must equal 2.5 times the summed full-time equivalent (FTE) of the unit's submitted staff, with a minimum of one and a maximum of five outputs per person. Following REF guidance, UoA teams may submit outputs of former members of staff associated with the unit, including those who may have been made redundant. Loughborough University has had no RTE staff redundancies during this REF period. As such, Loughborough will not submit outputs from redundant RTE staff. Outputs authored or co-authored by former SSAR or OT staff who were on fixed term contracts will be considered for selection. Where single-authored outputs, or outputs entirely co-authored, by former Category A SSAR or OT staff are selected, they will be consulted prior to submission. If an objection is raised, the PVCs' REF Working Group will make a final confirmation as part of its role in approval of outputs recommended for selection by the UoA Submission Team.

ii) Guiding principles for output selection

Output quality assessment, combining per review and scoring, is a routine part of processes at Loughborough and is undertaken through self- and expert peer assessment, supported (where appropriate) by the responsible use of bibliometrics in line with our Responsible Metrics Policy (see Appendix G). The University legitimately uses output quality assessment in recruitment, probation, reward and promotion processes as well as in the annual performance and development review (PDR) exercise. The scoring element of output quality assessment is also used to support output selection for REF but the University is clear that matters specifically associated with REF will not be used in recruitment, probation, reward, promotion, PDR or other related processes. Such matters include whether an individual has been submitted to the REF and the number of REF outputs associated in any way with an individual. PDR reviewer guidance will be updated to ensure this position is clear.

To ensure the fair, consistent and transparent selection of outputs, each UoA Submission Team has been tasked with identifying the outputs which represent the most original, significant and rigorous work produced by current or former staff associated with that UoA. It is these criteria which will guide the UoA Submission Team's initial selection. The selection will not attempt to ensure an even distribution of outputs across individuals or research groups or themes to which submitted staff belong. This is in line with our institutionally focused approach to REF, which seeks to submit the outputs most likely to lead to institutional success.

The high-level process by which each UoA Submission Team will select outputs for submission is given in figure 3. This process varies slightly between units due to

legitimate disciplinary differences. For example, in B12, where statements detailing the significance of outputs are requested by the sub-panel, these statements will play a greater role in the output selection process. The process is presented as linear, but in practice is iterative.

All RTE staff and identified independent researchers are invited to nominate outputs they wish to be considered for submission and to suggest, using a fuzzy model if helpful, how confident they were that each output would be scored across the REF output quality star ratings (e.g. 20% two-star, 60% three-star and 20% four-star). UoA peer review teams then assess the outputs and assign a star rating, again using a fuzzy model, to each output based on its originality, significance and rigour. The REF star ratings are given in Table 2 below.

The criteria for assessing the quality of outputs are 'originality, significance and rigour'	
Four star	Quality that is world-leading in terms of originality, significance and rigour.
Three star	Quality that is internationally excellent in terms of originality, significance and rigour but which falls short of the highest standards of excellence.
Two star	Quality that is recognised internationally in terms of originality, significance and rigour.
One star	Quality that is recognised nationally in terms of originality, significance and rigour.
Unclassified	Quality that falls below the standard of nationally recognised work. Or work which does not meet the published definition of research for the purposes of this assessment.

Table 2. REF output quality star-ratings

Peer review teams comprise individuals with appropriate disciplinary expertise and research experience and are representative of the wider UoA population at Loughborough. The peer-scoring of each output will involve two or more different members of the group to increase the consistency of ranking and may include external peer review for small UoAs, cross-group calibration purposes or for those outputs appearing as outliers.

iii) Use of publication information and indicators

Selected outputs and scores are entered onto a "REF modeller" spreadsheet. The REF modeller is also populated with the full list of outputs on Loughborough University's Publication INformation System (LUPIN) for current RTE staff, identified independent researchers and leavers who had been employed during the REF period. This includes the open access status of outputs. In addition, a set of agreed SciVal indicators for each output indexed by Scopus is added to the REF modeller. These data are only to be used in line with Loughborough University's Responsible Metrics policy, for the following purposes:

- Due diligence: to highlight where an original, significant or rigorous output may have been missed and to nominate it for peer review;
- Identifying potentially original, significant or rigorous outputs from leavers where they are not here to self-nominate, and to suggest them for peer review;
- Triangulating peer review: where a unit has a high number of outputs with equal peer review scores and some means of discerning those more likely to be scored highly is required. This is mainly of use to teams submitting to UoAs where citation data is being considered.

Guidance on the responsible use of publication data for these purposes was provided as part of the initial consultation with UoA Submission Team Leads and again as part of the Equality and Diversity training for all staff involved in the selection of outputs (see section 1c(ii)). UoA Submission Team Leads will also be reminded of this at UoA Submission Team Leads meetings.

iv) Deciding the final output selection

When all the outputs have been added to the REF Modeller along with their peer-review scores, the REF modeller highlights where a more highly ranked output may need to be displaced by a lower-ranked output in order to ensure each submitted member of staff is associated with at least one output. Where a UoA has a number of equal-scoring outputs, the UoA Submission Team Lead will be responsible, under advice from any School UoA Leads, to recommend a final selection in the light of:

- Equality and diversity considerations highlighted via the EIAs: ensuring the final selection does not discriminate against certain staff groups.
- Open access status: ensuring 95% of eligible outputs from 1 April 2016 meet the REF Open Access Policy.
- Volume of authors. In panels A2 and B9, outputs with more than 15 authors can only be submitted by an academic who had made a significant contribution to that output.

The final selection of outputs will ultimately be the responsibility of the PVCs' REF Working Group, who will sign-off selections on the basis that they provide Loughborough University with the best chance of success in line with its institutionally focussed approach

v) Notifying staff

All staff are routinely notified of the peer review scores for their outputs, as part of normal processes. UoA Submission Team Leads are also encouraged to be open and transparent about their selection activities, however it is recognised that the output selection process will continue up until submission as new outputs are published, and the final selection will not be locked down until that date. The final output selection submitted to REF will be made publicly available via the REF website but this will not

identify any attribution of co-authored outputs to individual staff. This is in line with our institutionally focused approach to REF.

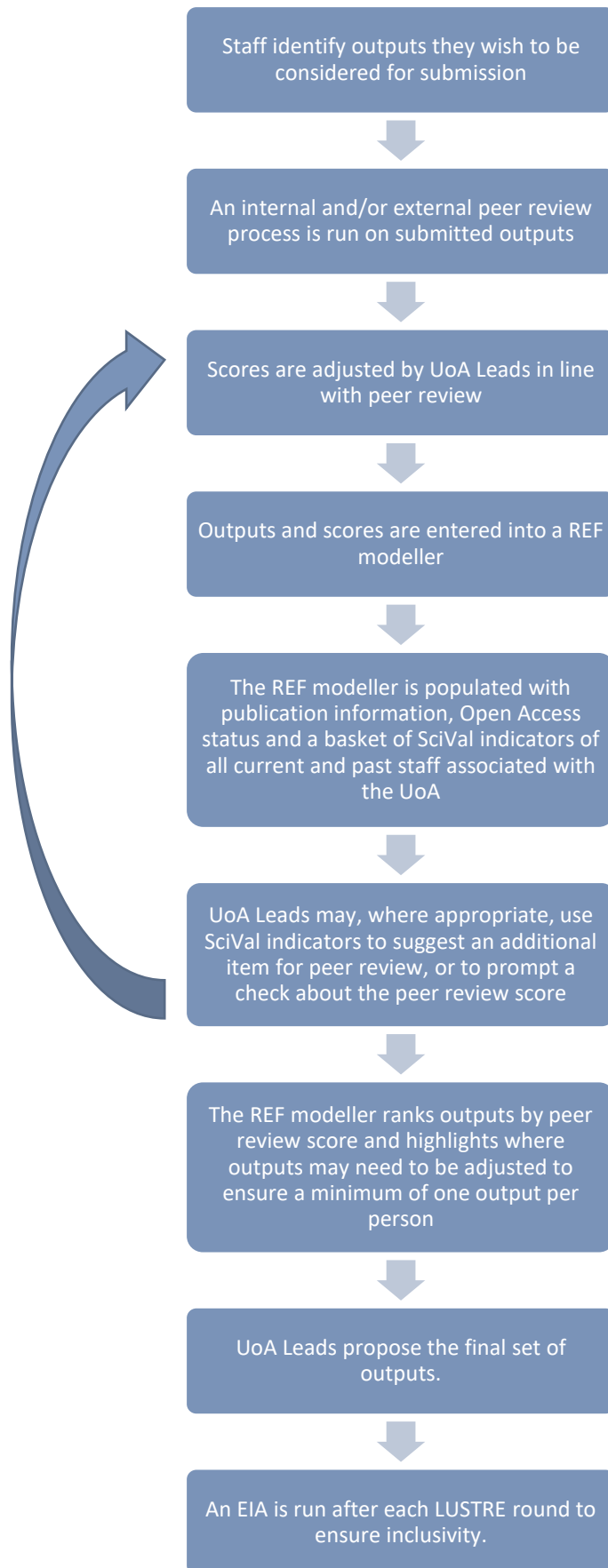


Figure 3. High-level process by which outputs will be selected

5b) Individual staff circumstances

i) The ability to voluntarily declare individual staff circumstances

As required by the REF, staff whose circumstances have affected their ability to research productively throughout the period, whether already known by the University or unknown, are able to voluntarily declare these circumstances in confidence. This may result in an adjustment to the expectations on that individual's contribution to the output pool. In some cases this may take the form of a reduction of outputs by up to 1.5 in line with REF Guidance (see 5b(iv)), in others, the removal of the requirement to produce a minimum of one output. It is expected that in most cases, a reduction in contribution to the output pool as a result of individual staff circumstances will be absorbed by the UoA through the flexibility provided by submitting a minimum of one and maximum of five outputs per person. Where the volume of individual staff circumstances has had a significant impact on an individual unit's ability to meet the total output requirement, the University may in exceptional circumstances request a reduction in the outputs they have to submit for that unit.

Staff wishing to discuss a potential declaration in confidence may speak to any of the following, all of whom have received mandatory EDI training on supporting staff around the declaration of individual staff circumstances:

- Their HR partner (a list is available at: <https://www.lboro.ac.uk/services/hr/contact/contactyourpartnerteam/schoolsdepartments/>)
- Research Policy Managers (email ResearchPolicy@lboro.ac.uk)
- Their Dean
- Their ADR
- Their UoA Submission Team Lead (listed on the University REF web page)
- The Chair of the University & College Union (email: A.E.S.Bairner@lboro.ac.uk)

ii) Circumstances that may be taken into consideration

The circumstances that might have an impact on an individual's ability to contribute to the output pool include:

- Qualifying as an ECR. (For REF purposes, an ECR is an individual who started their career as an independent researcher, with a contract of employment of 0.2 FTE or greater, on or after 1 August 2016 with any HEI or other organisation, whether in the UK or overseas.)
- Absence from work due to secondments or career breaks outside the HE sector.
- Qualifying periods of family-related leave.
- Circumstances with an equivalent effect to absence, that require a judgement about the appropriate reduction in outputs, which are:
 - Disability: as defined by The Equality Act 2010

- Ill health, injury, or mental health conditions.
- Constraints relating to pregnancy, maternity, paternity, adoption or childcare that fall outside of – or justify the reduction of further outputs in addition to – the allowances set out below.
- Other caring responsibilities (such as caring for an elderly or disabled family member).
- Gender reassignment.
- Other circumstances relating to protected characteristics under equality legislation or relating to activities protected by employment legislation, including providing maternity or paternity cover.
- Circumstances relating to COVID-19

iii) Process for declaring circumstances

An email will be circulated to all RTE staff and any SSARs or OTs identified as independent researchers inviting them to declare in confidence their individual circumstances via a secure online form. This will be sent out in September and staff are encouraged to confidentially declare any circumstances by 31 January 2020 to meet Research England’s closing date for submitted reduction requests in March 2020.

Declarations may still be made up until 31 October 2020, but any output pool reduction requests resulting from ISCs agreed after the 31 January will have to be submitted to Research England at final submission. As a consequence, the outcome will only be made known after the assessment, possibly to the detriment of our return.

The resulting submissions will be accessible by the Pro-Vice Chancellor (Research), Deputy Director of Human Resources and the two Research Policy Managers only. If Loughborough University decides to apply to the funding bodies for either form of reduction of outputs (removal of ‘minimum of one’ requirement or unit circumstances), it will be necessary to provide UKRI with data that have been disclosed about the individual circumstances, to show that the criteria have been met for reducing the number of outputs. 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.

A copy of the email to be sent, and the form by which individuals can declare any circumstances is given in Appendix W.

Declarations received by 31 January 2020 will be reviewed by the Pro-Vice Chancellor (Research), Deputy Director of Human Resources and the two Research Policy Managers by 14 February 2020 and the staff member notified by email of the outcome by 28 February 2020. If they wish to discuss the outcome, they may do so by emailing researchpolicy@lboro.ac.uk in the first instance. Any declarations received between

the 1 February and up until submission will be handled by the same group but on a case-by-case basis.

Declarations will be considered anonymously in the light of REF guidance around the permitted reduction in outputs as outlined in section 5b(iv). All staff involved in the assessment of individual staff circumstances will have undertaken the mandatory Equality and Diversity training outlined in section 1c(ii).

Please note that under REF guidance, individual circumstances of which the University may already be aware through statutory declaration such as periods of maternity leave, or early career status, will still need to be voluntarily declared in order for a reduction in outputs to be considered.

Where it has been agreed that a member of staff's circumstances have had a significant impact on their ability to produce outputs, the reduction that might be applied in these circumstances will be calculated according to the REF Guidance (see 5b(iv) below). The UoA Lead will be informed of the reduced output expectation on that individual, but *not* the reason for the reduction, unless the individual has requested that the nature of the circumstances be passed on to the UoA Lead to facilitate further support. It should be noted that the consideration of circumstances for REF purposes will be entirely separate to any other internal performance management processes which may be ongoing.

The volume of circumstances (but not the detail) reported via the ISC process will be considered after 14 February 2020 by the PVCs' REF Working Group in conjunction with UoA Submission Team Leads to agree whether the cumulative effect of the reported ISCs will have a significant impact on the UoA's ability to meet the total output requirement. Where it has been deemed to have a significant impact, a Unit-level output reduction request will be submitted to Research England on 1 March 2020.

iv) Reductions that may be applied where staff have circumstances

Reduction in outputs

The REF Guidance allows for set output reductions for ECRs and those having taken secondments or career breaks as outlined in tables 3 and 4. Part-time working is taken account of within the calculation for the overall number of outputs required for the unit (which is determined by multiplying the unit's FTE by 2.5). For qualifying periods of family-related leave the total output pool may be reduced by 0.5 for each discrete period of 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, and/or by 0.5 for each additional period of 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. Where individuals have had a combination of

circumstances that have a defined reduction in outputs, these may be accumulated up to a maximum reduction of 1.5 outputs.

Date at which the individual first met the REF definition of an ECR:	Output pool may be reduced by up to:
On or before 31 July 2016	0
Between 1 August 2016 and 31 July 2017 inclusive	0.5
Between 1 August 2017 and 31 July 2018 inclusive	1
On or after 1 August 2018	1.5

Table 3: Early Career Researchers: Permitted reduction in outputs

Total months absent between 1 January 2014 and 31 July 2020 due to a staff member's secondment or career break:	Output pool may be reduced by up to:
Fewer than 12 calendar months	0
At least 12 calendar months but less than 28	0.5
At least 28 calendar months but less than 46	1
46 calendar months or more	1.5

Table 4: Secondments or career breaks: Permitted reduction in outputs

Removal of the minimum of one requirement

Where an individual's circumstances have had an exceptional effect on their ability to work productively throughout the assessment period (1 January 2014 to 31 July 2020), so that they have not been able to produce an eligible output, a request may be made for the minimum of one requirement to be removed. These circumstances include:

- a. an overall period of 46 months or more absence from research during the assessment period, due to one of more of the circumstances set out in 5b(ii)
- b. circumstances equivalent to 46 months or more absence from research, where circumstances set out in 5b(ii) apply (such as mental health issues, caring responsibility, long-term health conditions) or
- c. two or more qualifying periods of statutory maternity leave or statutory adoption leave, regardless of the length of the leave, or 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.

Where these cases do not apply, but the individual's circumstances are deemed to have resulted in a similar impact (including where there are a combination of circumstances that would not individually meet the thresholds set out), a request may still be made.

v) Process for deciding whether to submit a UoA level output reduction request

Where it has been agreed that an individual's circumstances are such that they have not been able to produce an eligible output, a request will be submitted to Research England to submit the individual with zero outputs and reduce the output pool of that individual's UoA by one.

The REF Guidance is clear that the impact of individual staff circumstances resulting in a reduction in the availability of outputs should normally be accommodated within the flexibility offered by a UoA's ability to submit between one and five outputs per FTE. However, in exceptional circumstances, where the cumulative impact of output reductions due to individual staff circumstances is deemed to have a significant effect on the ability of the UoA to produce an output pool of 2.5 times the summed full-time equivalent (FTE) of the unit's submitted staff, a request can then be submitted to Research England for a reduction to the total output pool for that UoA. Any such decisions will be made by the PVCs' REF Working Group after the 31 January closing date for the initial round of ISC declarations. The factors they will take into account when making their decision include:

- Where there are very high proportions of staff in the unit whose individual circumstances have affected their productivity over the REF assessment period, including in very small units;
- Where disciplinary publishing norms make it likely that an individual with circumstances will have generated a smaller number of outputs across the publication period;
- Where the size of the available output pool (from which selection will be made) in terms of its proximity to the total number of outputs required is small.

The majority of UoA output reduction requests will be submitted to Research England by their March 2020 deadline. Where circumstances are declared after Loughborough's initial 31 January 2020 deadline, reduction requests may be made as part of our final submission in November 2020.

UoA Leads will be notified of all requests to Research England for output reductions, but not the details of any circumstances that led to the request.

Part 6 Equality Impact Assessments

Loughborough University expects to submit all RTE staff to REF 2021 thus mitigating any equality and diversity issues relating to the selection of staff in this group.

Nonetheless, we expect to consider equality and diversity at every stage and, to ensure our processes around determining research independence and selecting outputs are as fair as possible, we will run formal Equality Impact Assessments on our policies and processes.

Formal EIAs will take the form of a quantitative analysis of the protected characteristics of individuals involved in the REF submission, relative to the wider staff population. EIAs will be overseen by Human Resources and Organisational Development and carried out and considered by a body of staff comprising HR colleagues, data experts, EDI experts, Senior Academics and REF managers. This is to ensure that the group considering EIAs contains the range of knowledge required to fully interrogate the data, investigate the relationship between the data and processes, and identify any areas where either good practice recommendations can be made, or interventions need to occur.

The University holds high quality data on gender and age, whilst for other protected characteristics, such as sexuality and religion, the data are incomplete. We are committed to acquiring high quality data on all protected characteristics but we are mindful that there are societal barriers to the disclosure of some characteristics.

The EIAs run for REF will consider the following characteristics unless otherwise noted:

- Early Career Researchers (those who started their careers with a contract of employment of 0.2 FTE or greater, on or after 1 August 2016 with any HEI or other organisation, whether in the UK or overseas.)
- Gender
- Age
- Ethnicity
- Disability
- Maternity, Paternity and Adoption Leave

We are mindful that, due to very small numbers in some groups, it may be challenging to draw firm conclusions based upon the numeric data. Notwithstanding this, it is our intention to make recommendations drawing upon good EDI practice regarding recruitment and selection across the campus.

The outcomes of EIAs will be considered by the Code of Practice Working Group and reported to Research Committee, Human Resources Committee or other bodies as appropriate (see 6a-c below). Further rounds of EIAs are planned after the early 2020

LUSTRE meetings and after the REF submission in November 2020. The outcome of the first round of EIAs made the following recommendations about future EIAs:

- A further analysis of staff taking maternity leave will be carried out
- Intersectionality between protected characteristics will be considered.
- An EIA should be conducted on the pool of 'threshold-spanning outputs'. These are outputs that have been scored equally in the peer review process, where UoA submission teams will make decisions on which outputs to include or not. Following this EIA, advice will be given if necessary on processes around these selections.

Following subsequent LUSTRE rounds the following EIAs will be performed:

- EIA on peer review teams
- EIA on the determination of researcher independence
- EIA on output selection – for all including ECRs

Post submission (November 2020) the following EIAs should be performed:

- EIA for determining researcher independence
- EIA on output selection – for all including ECRs

Should any of the EIAs show an issue that requires action, an interim EIA will be needed to test the impact of any changes made.

6a) EIA on REF-related advisory and decision-making bodies

There is an expectation that all Loughborough University committees take equality and diversity considerations into account when forming their membership. However, we are keen to check that the advisory and decision-making bodies informing our REF submission are as representative as possible of our population in order to minimise any impact of potential inherent or unconscious bias. To this end, whilst not a formal requirement of the REF, EIAs considering gender and ethnicity will be run on the membership of the following groups in Spring 2019:

- Code of Practice Working Group
- LUSTRE
- UoA Submission Teams

UoA Submission Team Leads were also asked to consider the gender-split across groups running internal and external peer review. Whilst it was not anticipated that a formal EIA would be performed on peer review teams, discussions at the Spring

LUSTRE round and the outcome of the EIA on selecting outputs recommended that this would be helpful and so is planned for the next round of EIAs.

There were two key outcomes of this round of EIAs. The first was a recommendation that UoA Submission Team Leads be provided with statistics regarding the characteristics of staff in their UoA, whilst taking care not to disclose any protected characteristics of any individuals, with a view to making their UoA submission teams representative of this wherever possible. The second was the decision to expand the membership of the Code of Practice Working Group to ensure better representation of part-time, ECR and fixed-term staff groups and to make sure that EIA outcomes were not only being considered by those who had developed the policies and procedures that the EIAs sought to assess.

6b) EIA of the criteria for determining research independence

The equality impact of the criteria for determining research independence is being considered and assessed in the following ways:

- By ADRs, UoA teams and the UCU as part of the consultation around the criteria;
- By the CoP WG as part of the process of agreeing the criteria;
- By UoA teams as part of their LUSTRE submission process;
- By consulting individual staff groups around their experience of the LUSTRE process in July 2019
- Through a formal EIA after LUSTRE meetings.

The outcomes of each post-LUSTRE EIA will be fed back to the Code of Practice Working Group. If there is clear under/over representation of staff with protected characteristics, Deans and ADRs will be tasked with assessing internal processes to ensure there are no systemic problems that have resulted in restricted opportunity or support for research development. If any underlying issues of this nature are identified, they will be referred to the Human Resources Committee (HRC) which has oversight of Equality and Diversity matters. Should any potential discrimination be investigated and found to not be justifiable within the constraints of the law, HRC will ensure action is taken to change the policy or practice. Findings of EIAs will also be used to identify where a particular policy or practice has a positive impact on equality and can be applied more widely to make advances in this area.

6c) EIA of the output selection process

Equality, Diversity and Inclusion considerations have been designed into Loughborough's output selection process in the following ways:

- By the Research Policy Manager (Publications) as part of the guidance around the responsible use of publication indicators;
- By the CoP WG as part of the process of agreeing the output selection process;
- By UoA teams as part of their LUSTRE submission process;
- Through a formal EIA following LUSTRE meetings.

The outcomes of each post-LUSTRE EIA will be fed back to the Code of Practice Working Group. If there is clear under/over representation of staff with protected characteristics, to whom larger numbers of outputs have been allocated, Deans, ADRs and UoA Leads will be tasked with assessing internal processes to ensure there are no systemic problems that have resulted in restricted opportunity or support for research development. If any underlying issues of this nature are identified, they will be referred to the Human Resources Committee (HRC) which has oversight of Equality and Diversity matters. Should any potential discrimination be investigated and found to not be justifiable within the constraints of the law, HRC will ensure action is taken to change the policy or practice. Findings of EIAs will also be used to identify where a particular policy or practice has a positive impact on equality and can be applied more widely to make advances in this area.

The first round of EIAs highlighted a potential gender imbalance relating to the selection of outputs for submission. This is being actioned through:

- Asking all UoA Submission Team Leads to ensure their Submission Teams are representative of their populations as far as possible
- Performing an EIA on Peer Review Teams
- Further analyses to understand differences at UoA Level and possible causes
- Discussion of the EIA report at Research Committee
- Actions to be put in place should further investigation reveal it is necessary.

Part 7 Appendices

Appendix A: University Strategic Plan

Our strategic drivers – Building Excellence

We will work towards achieving our ten-year vision through four central themes – Investing in our staff, Educating for success, Growing capacity and influence, and Raising standards and aspirations – with research, teaching, enterprise and sport embedded in each.

Investing in our staff

We will be an outstanding employer supporting our staff to achieve their full potential through development opportunities. We will recognise excellence and achievement through performance and reward mechanisms and ensure that all staff are empowered to operate at their highest levels.

We will maintain a staffing profile that allows us to enhance our centres of research excellence and enrich the academic student experience we offer. By attracting the highest quality staff and maintaining the best possible student staff ratios, we will provide our students with a dynamic learning environment.

Educating for success

We will develop our students as individuals, enhancing their capabilities as creative, confident and adaptable 21st Century citizens who will make a significant contribution to global society.

Loughborough University in London will facilitate the expansion of our postgraduate population. Under the current fee regime, we will maintain our undergraduate numbers but review our approach should Government policy change.

Growing capacity and influence

We will grow capacity in key areas of teaching, research and enterprise by investing strategically and developing international partnerships and collaborations. We will advance areas in which we have a critical research mass and withdraw from those where this is unachievable.

We will reinforce the breadth of our academic offering across both our campuses, with continued emphasis on subjects with international recognition. We will listen to our students, employers and other key partners to ensure that our academic provision develops in line with their requirements. By capitalising on emerging opportunities to review the scope of our academic provision, we will introduce new areas and withdraw from those that are no longer appropriate.

We will raise our profile and strengthen our connections with policy makers, business, industry and the community, achieving recognition as a leading international university, whose contributions are sought and valued.

Raising standards and aspirations

We will enhance our effectiveness and minimise the barriers to achieving our aspirations. We will build on our strengths and focus on developing the activities we do well to help us achieve our goals and raise our international profile.

Through our rigorous planning processes we will ensure we identify where we should invest. Our focus will be on internationally excellent research and a high quality student experience.

Appendix B: University Mission and Values

Why we are here

- To further knowledge and understanding through internationally-recognised research
- To provide a high quality, comprehensive educational experience that prepares our graduates for their future lives and the global workplace
- To influence the economic and social development of individuals, businesses, the professions and communities
- To shape national and international policy and practice

The way we will work

We will:

- Respect each other and celebrate our diversity
- Recognise and reward excellence in our staff for their contribution and commitment
- Be inclusive and value the views of our staff, students, alumni and partners
- Respect the communities and environments in which we operate
- Work together as a team with professionalism and integrity
- Take pride in being the very best we can be

Appendix C: CALIBRE Research Framework

Introducing the CALIBRE framework

The Collective Ambition at Loughborough for Building Research Excellence (CALIBRE) framework is an inclusive, comprehensive and forward-looking articulation of the research component of the University's Building Excellence strategy.

The CALIBRE framework sits within the context of the University strategy and sets out the programmes through which we will reach our collective ambition to deliver impactful world-class research across all disciplines.

At the heart of the framework are the diverse but focussed research strengths driven by all 10 of our Schools. Our research narrative rightly starts by recognising the breadth and depth of these strengths.

Around this core are the 8 fundamental components of the framework, aligned to the four key themes of the University's strategy –



Investing in our staff

- **Research Leaders** programme: supporting the next generation, particularly Post-Doctoral Research Assistants (PDRAs) and early career academics, so that Loughborough is recognised as a destination of choice for the best early career talent.

Raising standards and aspirations

- **Ambition** programme: identifying opportunities to raise performance within existing research areas.
- **Beacon** programme: focusing on the major research strengths of the university, where external opinion readily recognises quality across a broad area. These first five Beacons are: Sport and Exercise, Communication and Culture, High Value Manufacturing, Built Environment, and Transport Technologies.
- **Adventure** programme: incentivising the exploration of new areas of research or translation of existing expertise into new application areas.

Growing capacity and influence

- **Thought Leadership** programme: placing Loughborough at the heart of the debates of the day.
- **Global Challenges** programme: developing multi-disciplinary solutions to the biggest societal challenges of our time in four identified areas – Energy, Changing Environments and Infrastructure, Health and Wellbeing, and Secure and Resilient Societies
- **Here to Stay** programme: bringing the world's very best academic researchers to Loughborough with the Institute of Advanced Studies as a flagship initiative.

Educating for Success

- **Doctoral College** programme: delivering a financially sustainable world-class doctoral student experience.

Appendix D: University People Strategy

What is the People Strategy all about?

The intention of this People Strategy is that it will underpin the continued realisation of University strategy and goals, and indeed will be a key contributor to the University's continued 'Top 10' position. The University already has a significant focus on its people. It's not by accident that one of the four strategic themes is 'investing in our staff'. However, the people focus to date has been operational and tactical rather than strategic and inspiring. This People Strategy aims to lead the University in creating a culture that inspires excellence

through delivering innovative and tailored policies, support and initiatives that underpin the University's success, and benefit the communities in which we work.

The People Strategy has three strategic themes:

An open and transparent culture that empowers people to perform at the highest possible levels

- Commitment to professional growth
- Aspiration for excellence in all that we do
- Developing excellence in academic and professional services leadership and expertise in management
- Helping people manage work and home priorities

An agile organisation

- Structures that adapt to internal and external change and challenges
- Effective information sharing and evidence-based decision-making protocols
- Talent management and succession planning
- Focus on innovation and appropriate risk-taking

An inspiring place to work and study

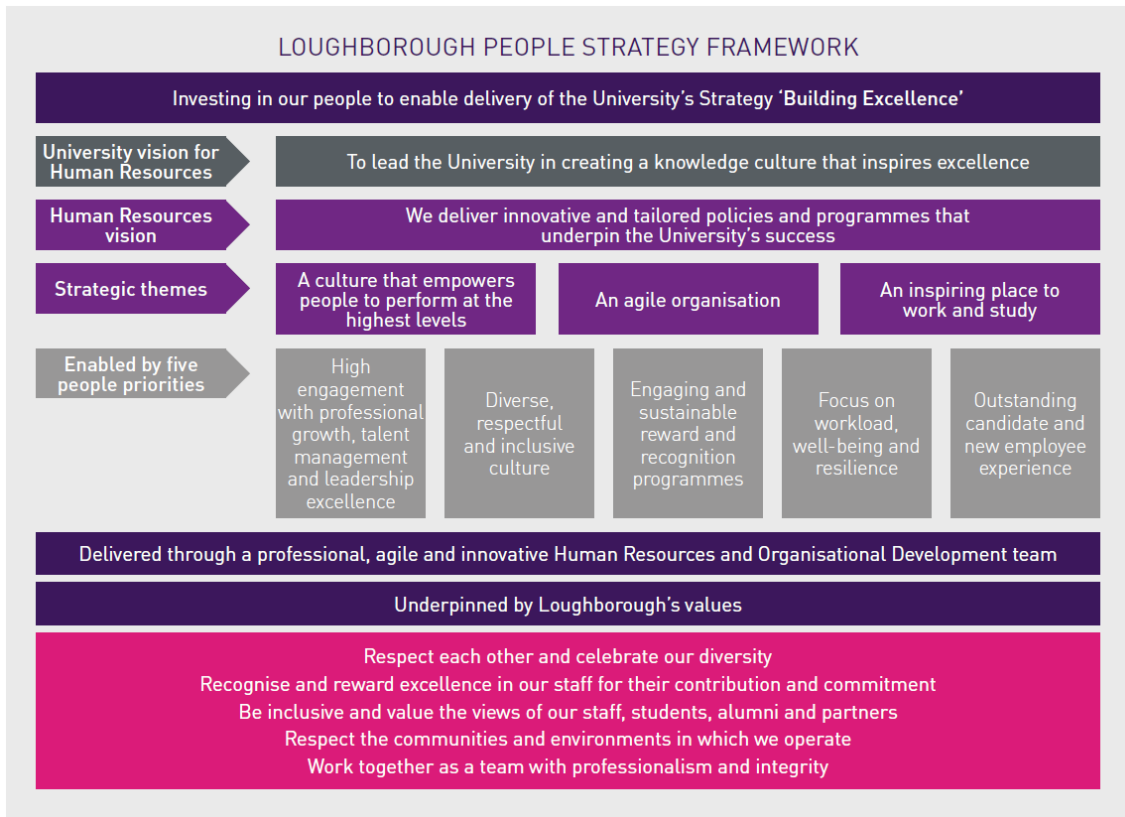
- Strong employer reputation
- Competitive employee benefit package
- Values and behaviour led organisation
- Commitment to an outstanding student experience

How will we get there?

The Strategy will be enabled by five people priorities:

- A high engagement with professional growth, talent management and leadership excellence
- A diverse, respectful and inclusive culture
- An engaging and sustainable reward and recognition programme
- A focus on workload, well-being and resilience
- An outstanding candidate and new employee experience

All delivered by a professional and innovative Human Resources and Organisational Development team.



Appendix E: University Equality, Diversity and Inclusion Strategy & Action Plan

Equality, Diversity and Inclusion principles and practice reflect the University's values and are fundamental to the vibrancy of Loughborough's Campuses and the success of the University.

This Strategy builds on the existing Equality and Diversity Statement and the Equal Opportunities code of Practice at the University (<http://www.lboro.ac.uk/services/hr/equality-diversity>).

Vision

The University will provide a working, learning, social and living environment in which all members of our community can achieve their potential, are valued, recognised, supported and celebrated.

Principles

- All members of the Loughborough community have a responsibility to promote equality, dignity and respect, to celebrate diversity and to challenge unfairness and discrimination.
- The University's leadership and management¹ teams will visibly embrace and promote Equality, Diversity and Inclusion, including being transparent about the way in which issues and complaints are handled.
- Equality, Diversity and Inclusion values and principles will be embedded in all ways of working, studying and living at Loughborough.

Aims

In order to deliver the vision set out above, the University aims to action the following:

- We will raise awareness of Equality, Diversity and Inclusion through University-led communication, training and support groups.
- We will seek to understand and improve the experience of staff and students from under-represented groups and groups with protected characteristics, as it relates to recruitment, promotion, reward, dignity and respect, student success and outcomes.
- We will collect, securely and where appropriate confidentially, relevant data and ensure an appropriate governance process is in place to support decision making and action. We will use an evidence-based prioritisation approach.
- We will ensure that Equality, Diversity and Inclusion is embedded within our recruitment, research, enterprise, teaching and sport activities.

- We will improve our practices and policies through actively working towards national awards on EDI such as Athena SWAN (AS), Race Equality Charter (REC), Disability Confident (DC) and Stonewall (LGBT+).
- We will harness existing academic and professional expertise within the institution to support this strategy.
- We will value and celebrate the diversity of our University and the staff and student groups within it.
- We will comply with our legal obligations as detailed in terms of reporting, publishing and monitoring equality, diversity and inclusion information.
- We are committed to taking reports of inappropriate and discriminatory behaviours and practices seriously, to establishing clear and effective policies and procedures to deal with complaints, and to ensuring that those who are culpable in discriminatory practices face appropriate consequences.
- We will be a thought-leader in respect of equality, diversity and inclusion, influencing societal change.

Governance and responsibility

Responsibility for this strategy and its delivery rests with University Council with regularly governance oversight performed by Human Resources Committee.

Work will be steered by the relevant Equality & Diversity Working Groups with leadership for implementation given by the Academic Leadership Team, the Professional Services Management Team, the PVCs and the Students' Union in consultation with the recognised campus unions UCU, UNISON and Unite.

Professional responsibility for delivering the strategy rests jointly with the Director of Student Services, the Director of Planning and the Director of Human Resources and Organisational Leadership.

Appendix F: University Equal Opportunities Code of Practice

Loughborough University is committed to achieving equality for all those who learn and work here and wishes to develop a demonstrably fair and supportive environment which provides equality of opportunity and freedom from unlawful discrimination on the grounds of race, colour, nationality, ethnic origin, gender, gender identity (transgender), marital or civil partnership status, disability, including mental health, sexual orientation, religion or belief, age, social class or offending background, pregnancy & maternity. We are proud of our diverse community and wish to encourage and celebrate its full contribution to a University life where all colleagues are treated equally and with respect.

The ideal of equality of opportunity is built into the framework of Loughborough University. Its Charter declares:

"No religious, racial or political test shall be imposed by the University on any person in order to entitle him or her to be admitted as a Member of the University or to hold office therein or to graduate thereat or to hold advantage or privilege thereof.

Men and women shall be equally eligible for any office or appointment in the University and for membership of any of its constituent bodies and all Degrees and courses of study in the University shall be open to all men and women alike."
Loughborough University Charter, paragraphs 21 and 22.

This means that the University is committed to actively opposing all forms of discrimination faced by Black and minority ethnic groups, women, lesbians, gay men, bisexuals, transgendered people, members of religious groups, younger and older people, people with disabilities and those with an offending background. Opposition to many forms of discrimination is informed by legislation. However, the University also seeks to assist and offer opportunities to groups and individuals who experience disadvantage and discrimination on grounds which are not currently covered by the law. In this way, the University acknowledges the role of higher education in furthering widespread equality of opportunity and breaking down social exclusion.

The University has agreed this Code and other codes of practice which examine in more detail, areas where equality of opportunity is vital (see list of codes at the end of this leaflet). Discrete equal opportunity codes are helpful in developing an understanding of particular issues, but the University recognises that equality of opportunity can only be achieved if these codes inform all aspects of University life. This Code, therefore, must be adopted by the University and by all University staff, students, visitors and contractors who are jointly responsible for helping to ensure that individuals do not suffer discrimination and that equality of opportunity is promoted. It applies to the activities pursued in all University working, studying and living

environments. If, however, discrimination does occur individuals are encouraged to report it to the Equality and Diversity Adviser and are supported in doing so by the University.

Appendix G: Responsible Metrics Policy

Preamble

Loughborough University is proud of its achievements in research to date and has ambitious plans for the future in line with the 'Building Excellence' strategy. The quality of our research clearly affects the academic, social, economic and environmental impact it has. Maximising the visibility of our research is equally important to delivering that impact and bibliometric indicators are currently attracting much attention in these regards. As a university, we are keen to improve the quality and visibility of our research. While recognising their limitations, particularly in certain discipline areas, we also recognise that bibliometric indicators can be a helpful tool in monitoring progress against this goal. Furthermore, we recognise that external assessments of our research quality already use bibliometric indicators and we might reasonably expect such use to increase in future. Relative to our peers, however, Loughborough does not perform as well on bibliometric indicators, even when they are field-weighted. In considering this, we have observed certain relationships. For example, publishing in journals characterised by high SNIP or SJR values and publishing with international co-authors correlate well with citation performance. This indicates how choices that are not directly related to output quality can have an important effect on output visibility and we should seek all means possible to maximise the visibility of our research.

While seeking to establish an agreed set of indicators for a variety of uses, including review at the individual and institutional levels, we are also committed to using bibliometric indicators sensibly and responsibly. The Leiden Manifesto for Research Metrics (Hicks et al, 2015) outlines ten principles for responsible research evaluation and Loughborough University subscribes to these principles as outlined below. Responsible research evaluation: the ten principles of the Leiden Manifesto in a Loughborough context (Key principles in italics).

1) Quantitative evaluation should support qualitative, expert assessment.

Loughborough University recognises the value of quantitative indicators (where available) to support qualitative, expert peer review. Indicators may be used in a variety of processes including recruitment, probation, reward, promotion, development appraisal and performance review but indicators will not supplant expert assessment of both research outputs and the context in which they sit. Similarly, indicators may be used for collective assessments at levels from research units to the institution as a whole.

2) Measure performance against the research missions of the institution, group or researcher.

The "Raising Standards and Aspiration" theme of the University strategy drives our ambition to deliver research of the highest quality. At the same time, the visibility of

our research is critical to maximising its impact on the communities it serves, in line with the “Growing capacity and influence” theme. To this end, indicators around the quality of the outlet (journal or conference), collaboration levels and citedness of outputs are helpful in monitoring progress against these strategy themes. Working within an agreed framework that accommodates variation in missions and the effectiveness of indicators, goals will be set by each School with support from Research Committee.

3) Keep data collection and analytical processes open, transparent and simple.

There is a balance to be struck between simple transparent indicators, that may disadvantage some groups, and more complex indicators that normalize for differences but are harder for researchers to replicate. Research Committee will work to ensure that indicators used support the ambitions of each School, as set out within Research Action Plans, and of the institution as a whole. To this end and in consultation with the Pro Vice-Chancellor (Research), Schools will be able to select the indicators used to support evaluation of their publication performance at the individual and collective levels. A list of relevant indicators, with their advantages, disadvantages and potential uses, is provided. Indicators selected should be used consistently across all areas of research performance monitoring.

4) Allow those evaluated to verify data and analysis.

The publication and citation tools used to collect and monitor research publication data at Loughborough University will continue to be made openly available. Academics are therefore able to see the data relating to themselves, and to make corrections where necessary. Staff managing publication systems will also endeavour to ensure that data are as accurate and robust as possible.

5) Account for variation by field in publication and citation practices.

It is recognised that research practices in disciplines vary widely and bibliometric indicators serve some disciplines better than others. For example, citation tools are currently only based on journal and conference outputs, not monographs or other forms of output. International collaboration indicators will be less relevant to disciplines where academics tend to publish alone rather than in teams. In line with best practice, indicators will be normalized wherever appropriate and based on percentiles rather than averages where a single outlier can skew the numbers. The availability or otherwise of bibliometric data will not drive our decision making about research activities and priorities, either individually or collectively.

6) Protect excellence in locally relevant research.

It is recognised that most citation counting tools are inherently biased towards English-language publications. It is important that academics producing work in languages other than English are not penalised for this.

7) Base assessment of individual researchers on a qualitative judgement of their portfolio.

Loughborough University acknowledges how indicators are affected by career stage, gender and discipline and will seek to take these factors into account when

interpreting metrics. It is also recognised that academics undertake a wide range of research communication activities, not all of which can be easily measured or benchmarked. When assessing the performance of individuals, consideration will be given to as wide a view of their expertise, experience, activities and influence as possible.

8) Avoid misplaced concreteness and false precision.

Where possible, Loughborough University commits to using multiple indicators to provide a more robust and wide-ranging picture. Indicators will avoid false precision; for example, metrics may be published to three decimal places to avoid ties but, given the limitations of citation counts, it makes no sense to distinguish between entities on the basis of such small differences.

9) Recognize the systemic effects of assessment and indicators.

It is accepted that any measurements can, in themselves, affect the system they are used to assess through the inevitable incentives they establish. To minimize such effects, a suite of indicators will be used, wherever practical.

10) Scrutinize indicators regularly and update them.

As the research activity of the University and the external environment develop, the bibliometric indicators we use will be revisited and revised where appropriate. This will be the responsibility of the Pro-Vice Chancellor for Research.

Appendix H: Research Committee Membership

Position
Pro Vice-Chancellor (Research) (Chair)
Director, Research Office
Associate Pro Vice Chancellor (Doctoral College)
Head of Research Development
ADR, School of Aeronautical, Automotive, Chemical and Materials Engineering
ADR, School of the Arts, English and Drama
ADR, School of Business & Economics
ADR, School of Science
ADR, School of Architecture, Building and Civil Engineering
ADR, Loughborough Design School
ADR, School of Social Sciences
ADR, Wolfson School of Mechanical, Manufacturing and Electrical Engineering
ADR, School of Sport, Exercise and Health Sciences
ADR, Loughborough in London
Senior Assistant Registrar (Research Student Office)
Postgraduate Research President

LSU Postgraduate Executive Officer

Secretariat

Appendix I. Research Committee Terms of Reference

As a Committee of Senate, it shall be required to act in an executive and advisory capacity on all matters related to research in accordance with the current Strategic Plan, and in particular:

1. To develop a co-ordinated strategy for the delivery of high quality research and to make recommendations to Operations Committee on the resource implications of this strategy.
2. To support the implementation of research strategy within Schools and more widely across the University and to facilitate sharing of best practice.
3. To review research performance across the University and to agree actions to deliver quality improvement.
4. To review and facilitate the delivery of the Calibre framework.
5. To review the performance of the Doctoral College. To review the processes for the recruitment, admission and progression of postgraduate research students.
6. To keep under review the external influences on the development of research, including HEFCE, Research Council and European Union policies on the funding of research.
7. To co-ordinate with the Learning and Teaching Committee and the Enterprise Committee on matters of mutual interest.
8. To report to Senate.

Appendix J: Enterprise Committee Membership

Chair: Pro Vice Chancellor (E)

Director of Research and Enterprise Office

Head of IP Exploitation

Director of Enterprise Development

Head of Partnership Development

Head of Student Enterprise and Employer Engagement

Ten Associate Deans (Enterprise)

Enterprise and Employability Executive Officer

Secretary

Appendix K: Enterprise Committee Terms of Reference

1. To develop matters of enterprise strategy and its implementation to be approved by Senate and Council.
2. To receive reports on matters of significance for the development and implementation of enterprise strategy.
3. To assist with the implementation of enterprise strategy within Schools and more widely across the University and to facilitate sharing of best practice.
4. To assist in achieving KPIs in the area of enterprise.
5. To approve terms of reference for Working Groups for resource allocation and other purposes.
6. To receive reports on matters of significance from the Working Groups.
7. To receive reports regarding the formation and withdrawal from University spin out companies.
8. To report to Senate and Council.

Appendix L: Human Resources Committee Membership

EX-OFFICIO MEMBERS

Chair: Chief Operating Officer

Provost and Deputy Vice-Chancellor (Deputy Chair)

One Pro-Vice-Chancellor, nominated by the Vice-Chancellor (currently the PVC(R))

One Dean of School, nominated by the Vice-Chancellor (currently Dean of AED)

Director of Human Resources

LAY MEMBERS

at least two from Council and all appointed by Council

ELECTED MEMBERS

Management and Specialist Job family

Research, Teaching and Enterprise Job family

In attendance

Staff Development Adviser (Equality and Diversity)

Welfare and Diversity Executive Officer, Student Union

Committee Secretary

Appendix M: Human Resources Committee Terms of Reference

1. To develop, approve and monitor HR strategy and policy. This includes all matters relating to the recruitment, reward, retention, motivation and development of the University's staff, recommending changes as appropriate to Senate and/or Council.
2. To provide assurance to Senate and/or Council that the University's PDR, promotion, reward and other HR matters are fit for purpose and represent good practice.
3. To provide assurance to Senate and/or Council on equality and diversity issues, including submissions for Athena SWAN awards and monitoring of associated action plans.
4. To appoint members to sub-committees and appeal bodies as may be necessary, with regard to decisions relating to the promotion of all non-professorial staff.
5. To receive and consider reports of all honorary titles awarded, personal titles and the title of Emeritus Professor.
6. To make recommendations to Council, on the receipt of advice from the appropriate negotiating and consultative sub-committees, concerning the terms and conditions of service of employees of the University.
7. To receive and consider reports, at least annually, from the Academic and Related Staff Negotiating Sub-Committee, the Joint Negotiating and Consultative Committee, the Promotions Committees, the Reward Committees and the Personal Titles Sub-Committee.
8. To report to Senate and Council following each of its meetings.

Appendix N: Code of Practice Working Group Terms of Reference

Membership

This working group is to be chaired by the Pro Vice-Chancellor (Research) and is to comprise:

- Research Office Policy and Planning Team members and Director of REF Preparation.
- Planning Office Staff including the Planning Officer (Equality, Diversity & Inclusion).
- Deputy Director, Human Resources.
- An Associate Dean (Research)
- A representative of University and College Union (UCU)
- Two experienced research active Academic members of staff

Its term is to be time limited commencing in November 2018 and to run until the submission of the University's submission into REF 2021 in November 2020. Its meeting frequency will be greatest in the run up to the formal submission to Research England of the University's approved Code of Practice by 7 June 2019 after which it will meet regularly to monitor and oversee the implementation of the Code of Practice.

Terms of Reference

- The Code of Practice Working Group is a working group of Research Committee with the specific responsibility and decision-making powers for steering, drafting, consulting upon and implementing the University's Code of Practice. This Code is to guide the University's REF submission and to ensure that all policies and processes are transparent, consistent, and inclusive.
- It will ensure that the Code of Practice is developed in line with existing institutional, policies and strategies that seek to comply with relevant legislation and to ensure fair processes are followed specifically for:
 - The identification of staff without significant responsibility for research
 - For determining research independence.
 - For the selections of outputs.
- It will be responsible for reviewing the Equality and Diversity implications of the UoA Team's approaches and to run Equality and Diversity Impact Assessments on the shape of the University's proposed submissions. Dedicated meetings for

this purpose are to be scheduled after each set of LUSTRE (Loughborough University Submission to REF) meetings in the run up to the full REF submission in 2020.

- It will ensure that the University's Code of Practice complies with relevant "REF 2019/03 January 2019 Guidance" and is formally agreed by Research Committee and Human Resources Committee, and is ultimately signed off by the Vice-Chancellor as Head of Institution.

Appendix O: Code of Practice Working Group Membership

Job title	Role	Responsibility
Pro-Vice Chancellor (Research)	Chairs the Code of Practice Working Group.	Ultimately responsible for REF-related decisions including Loughborough University's criteria for identifying those with significant responsibility for research and for determining research independence.
Deputy Director (Human Resources)	Developing and delivering LU HR Policy	Advising on HR-related matters. Responsible for ensuring REF decisions meet HR policies
Associate Dean (Research)	Academic Lead for research in a School	Advising on the impact of CoP decisions on Schools.
Professor	Senior academic	Advising on the impact of CoP decisions on academic staff
Reader	Senior academic	Advising on the impact of CoP decisions on academic staff
Chair, Loughborough Branch, University and College Union	Leads the Loughborough branch of the University & College Union	Advising on the impact of CoP decisions on academic staff
Director of REF Preparations	Oversees LU's REF preparations; REF Institutional Contact	Advising on REF requirements relating to the CoP
Research Policy Manager (Publications)	Develops and delivers on LU's publication strategy	Secretary to CoP WG; advising on REF requirements relating to the CoP and advising on the responsible selection of outputs.
Research Policy Manager	Manages LU's Research Policy Team and REF preparations; REF Technical Contact	Advising on REF requirements relating to the CoP
Senior Planning Officer	Senior member of the Planning Team with oversight for Equality	Advising on Planning implications of the CoP

	& Diversity; Former REF Secretary	
Planning Officer (Equality Diversity & Inclusion)	Supports LU's EDI strategy	Advising on equality and diversity issues for the CoP including running EIAs

Appendix P: LUSTRE Terms of Reference

Terms of Reference for LU Submissions to REF (LUSTRE) Working Groups

In line with the Terms of Reference of Research Committee, the LUSTRE Working Groups will support the preparation of all our submissions to REF 2021, from the beginning of academic year 18/19 until submissions are made in 2020. Draft REF submissions will be presented by the associated Submission Team Lead. In undertaking this role, the LUSTRE Working Groups will:

1. Receive draft REF submissions from the UoA Submission Teams and offer critical friend support with the aims of:
 - a. Making formative inputs to submissions to ensure that final submissions are of the highest standard achievable
 - b. Sharing of best practice across UoA Submission Teams
2. Report to Research Committee, making recommendations on any aspect of REF submission.

LUSTRE Working Groups will be chaired by the PVC(R). A Working Group will be formed for each UoA submission and its membership will be tailored to the specific submission. Deans and AD(R)s of all Schools contributing to each UoA submission will be invited to the associated Working Group meeting. Working Group membership will include independent members of the university community and may include external advisers where agreed with the PVC(R).

To avoid duplication, [Loughborough's regular research action planning meetings], ResQuE [(Research Quality Enhancement)] and RiDe [(Research Impact Development)] sub-committees will be paused while LUSTRE Working Groups are active. The performance data monitoring activity associated primarily with ResQuE will continue via meetings to be held annually between each School SMT and PVC(R).

Appendix Q: LUSTRE Membership

Job title	Responsibility
Pro-Vice Chancellor (Research)	Chairs the LUSTRE meetings. Ultimately responsible for REF-related decisions including Loughborough University's criteria for identifying those with significant responsibility for research and for determining research independence.
Pro-Vice Chancellor (Enterprise)	Responsible for the Impact element of the REF submission.
Associate Pro-Vice Chancellor (REF submission)	May also chair LUSTRE meetings. Shares responsibility for REF-related decisions
Director of Research & Enterprise (from 16 May 2019)	Advises on REF support requirements of the Research & Enterprise Office
Senior staff selected for past or current experience on REF panels or in supporting REF submissions (10 staff)	Optional. Up to two senior staff to attend each meeting to guide UoA Leads on developing their REF submission.
Associate Deans (Research)	AD(R)s to attend all LUSTRE meetings relevant to their discipline areas. One non-discipline AD(R) to attend each LUSTRE meeting to advise UoA Leads on developing their REF submission.
Associate Deans (Enterprise)	AD(E)s to attend all LUSTRE meetings relevant to their discipline areas.
Director of REF Preparations (until 30 September 2019)	Advise on REF guidance.
Planning Representative	One of three representatives from the Planning team to advise on Planning matters relating to REF submissions
Research Policy Managers	Secretary to LUSTRE meetings; Advise on REF guidance.

Appendix R: PVC REF Working Group Terms of Reference

The PVC REF Working Group consists of the Pro-Vice Chancellor (Research), Pro-Vice Chancellor (Enterprise), and the Associate Pro-Vice Chancellor (REF). It is chaired by the PVC(R) and supported by the Director of Planning.

Terms of Reference

1. To review allocation of individuals to UoAs post-LUSTRE and to agree final allocations
2. To consider appeals from individuals as to whether they can be classified as an independent researcher, according to the criteria in the Code of Practice, where this has not been resolved within their School.
3. To refer appeals to the Independent Appeals Team, where they cannot be resolved by the PVCs REF Working Group.
4. To consider objections to the use of outputs by former SSAR or OT staff who were on fixed term contracts and make a final decision.
5. To consider the volume of Individual Staff Circumstances affecting each UoA Submission and to decide whether to request a reduction in the volume of outputs from Research England.
6. To support UoA Submission Teams on selection of outputs and to approve the final selections for submission to REF post-LUSTRE.
7. To support UoA Submission Teams on selection of impact case studies and to approve the final selections for submission to REF post-LUSTRE.
8. To consider any other UoA submission matter associated with individual staff.

Appendix S: Job description for School and Overall UoA Submission Leads

Each School contributing to a REF submission should identify a School UoA Lead to join the Submission Team. While a School may have more than one representative in the Submission Team, a single School UoA Lead must be explicitly identified. The role of the School UoA Lead is to:

- Ensure their School's Dean, AD(R) and AD(E) are always well informed about progress towards drafting the submission such that they are able to keep School staff well informed about progress and decisions.
- Ensure effective communication between their School and the Submission Team including working with the AD(R) and AD(E) to:
- share output quality assessment scores with the Submission Team,
- ensure supporting statements for research outputs are of the required quality, intervening directly in drafting where necessary,
- provide School input to the environment statement,
- agree selection of impact case studies with the Submission Team,
- ensure selected impact case studies are of the required quality, intervening directly in developing and drafting where necessary.
- Play a full part in preparation of all aspects of the whole submission, including drafting of narrative sections. This will require a good working knowledge of REF Panel Criteria and Working Methods as well as LU's Code of Practice on Selection of Outputs.

Additional Job Description elements for Submission Team Overall Lead

- Each UoA Submission Team will have a single **Overall Lead**. The Overall Lead is likely to be drawn from the School UoA Leads but this is not a requirement. The role of the Overall Lead is to:
- chair meetings of the Submission Team and lead the process of drafting the submission,
- agree membership of the Submission Team with the PVC(R),
- ensure progress on and quality of the draft submission is to the satisfaction of Deans, AD(R)s and PVC(R),
- be responsible for submission of paperwork to LUSTRE as requested,
- ensure effective two-way communication channel with the central REF Support Services team.

Appendix T: UoA Submission Teams Terms of Reference

The purpose of the UoA Submission Teams is to support the research plans of the University and its Schools by leading the drafting of REF submissions.

1. Strategic and operational responsibilities for research plans remain as matters between Schools, the PVC(R) and Research Committee but Teams should be proactive in seeking to influence those plans through dialogue.
2. Submission Teams work within a framework that maximises the REF benefit for the institution as a whole.
3. Integral to the process of drafting the REF submission are:
 - a. selection of outputs and impact case studies, guided by the REF modeller,
 - b. completing narrative sections of the submission,
 - c. maintaining effective dialogue with Deans, AD(R)s and AD(E)s in contributing schools and with the PVC(R) and PVC(E),
 - d. preparing submissions to the associated LUSTRE Working Group and incorporating feedback received into the submission.

Appendix U: Support Services REF Working Group

Members and Terms of Reference

Membership:

- Director of Planning (Chair)
- Director of Research & Enterprise
- Research Policy Manager (Secretary) (RO)
- Director of REF preparation (RO)
- Head of Research Development (RO)
- Deputy Director HR
- Research Policy Manager (Publications) (RO)
- Ethics & Governance Officer (RO)
- Research Policy Officer (RO)
- Impact Manager
- Software Engineer (IT Services)
- Senior Policy Officer (Planning)

Terms of Reference

- To monitor REF preparations and ensure timely progression of each element
- To ensuring operations/activity align with REF strategy
- To identify gaps in preparations and agree actions to address
- To escalate issues to PVCs REF Working Group and Research Committee where necessary

Appendix V: Loughborough University's Research Fellow Title Procedure

The following procedure should be adopted in the event that a School wishes to re-designate an individual's title to Research Fellow.

1. The Dean should prepare an outline case and discuss the proposal with the PVC(R) in the first instance.

2. If the PVC(R) is broadly supportive of the proposal, then the individual should be asked to prepare a statement demonstrating the following:

- The independence of their research evidenced by e.g. the lead role in the formation of research projects and the securing of external research funds
- A research outputs track record that is comparable with norms for academic staff on the same grade
- Their recognition within their research community

3. The PVC(R) will consider the submission and decide whether the title can be awarded. The title will not affect an individual's grade and it should be noted that the title can only be awarded to those on grade 7 (Research Fellow) or grade 8 (Senior Research Fellow). The PVC(R)'s decision is final.

Appendix W: Email and form to be circulated to staff regarding the collation of individual staff circumstances

Declaration of Individual Staff Circumstances

This document is being sent to all Category A staff whose outputs are eligible for submission to REF2021 (see '[Guidance on submissions](#)', paragraphs 117-122). As part of the university's commitment to supporting equality and diversity in REF, we have put in place safe and supportive structures for 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 circumstances. The purpose of collecting this information is threefold:

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

Applicable circumstances

- Qualifying as an ECR (started career as an independent researcher on or after 1 August 2016)
- Absence from work due to secondments or career breaks outside the HE sector
- Qualifying periods of family-related leave
- 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 following circumstances, you are requested to complete the attached form. Further information can be found 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. This form is the only means by which the University will be gathering this information; we will not be consulting HR records, contract start dates, etc. 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

If Loughborough University 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 researchpolicy@lboro.ac.uk to provide the updated information.

To submit this form you should [complete](#) it and press 'SEND' when done.

Name: Click here to insert text.

School/Department: Click here to insert text.

Do you have a REF-eligible output published since 1 January 2014?

Yes

No

Do you expect to have a REF-eligible output published before 30 November 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>Early Career Researcher (started career as an independent researcher on or after 1 August 2016).</p> <p><i>Date you became an early career researcher.</i></p>	<p>Click here to enter a date.</p>
<p>Career break or secondment outside of the HE sector.</p> <p><i>Dates and durations in months.</i></p>	<p>Click here to enter dates and durations.</p>
<p>Family-related leave;</p> <ul style="list-style-type: none"> • statutory maternity leave • statutory adoption leave • Additional paternity or adoption leave or shared parental leave lasting for four months or more. <p><i>For each period of leave, state the nature of the leave taken and the dates and durations in months.</i></p>	<p>Click here to enter dates and durations.</p>
<p>Disability (including chronic conditions)</p> <p><i>To include: Nature / name of condition, periods of absence from work, and periods at work when unable to research productively. Total duration in months.</i></p>	<p>Click here to enter text.</p>
<p>Mental health condition</p>	<p>Click here to enter text.</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>Ill health or injury</p> <p><i>To include: Nature / name of condition, periods of absence from work, and periods at work when unable to research productively. Total duration in months.</i></p>	<p>Click here to enter text.</p>
<p>Constraints relating to family leave that fall outside of standard allowance</p> <p><i>To include: Type of leave taken and brief description of additional constraints, periods of absence from work, and periods at work when unable to research productively. Total duration in months.</i></p>	<p>Click here to enter text.</p>
<p>Caring responsibilities</p> <p><i>To include: Nature of responsibility, periods of absence from work, and periods at work when unable to research productively. Total duration in months.</i></p>	<p>Click here to enter text.</p>
<p>Gender reassignment</p> <p><i>To include: periods of absence from work, and periods at work when unable to research productively. Total duration in months.</i></p>	<p>Click here to enter text.</p>
<p>Any other exceptional reasons e.g. bereavement.</p>	<p>Click here to enter text.</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>Reasons related to COVID-19</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>

Please confirm, by ticking the box provided, that:

- The above information provided is a true and accurate description of my circumstances as of the date below
- I realise that the above information will be used for REF purposes only and will be seen by the Pro-Vice Chancellor (Research), Deputy Director (HR) and two Research Policy Managers.
- I realise it may be necessary to share the information with the Research England REF team, the REF Equality and Diversity Advisory Panel, and main panel chairs.
- I understand that the decision made following this ISC request, but not the detail of the circumstances (unless agreed below), will be shared with the UoA Submission Lead.

I agree

Name: Print name here

Signed: Sign or initial here

Date: Insert date here

I give my permission for the Deputy Director (HR) or a Research Policy Manager to contact me to discuss my circumstances, and my requirements in relation this these.

I give my permission for the details of this form to be passed on to the relevant ADR and UoA Lead. (Please note, if you do not give permission your department may be unable to put in place appropriate support for you).

I would like to be contacted by:

Email Insert email address

Phone Insert contact telephone number