

St Mary's
University
Twickenham
London



Research Excellence Framework 2021:

Code of Practice

19th September 2019

Amended 1st October 2020

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Part 1: Introduction

Context

1.1 The Research Excellence Framework (REF) is the UK's system for assessing the quality of research in higher education institutions. The REF provides a process of expert review, carried out by expert panels composed of senior academics and research users (see Appendix 1 REF Glossary). It requires each institution intending to make a submission to REF 2021 to develop, document and apply a code of practice on the fair and transparent identification of staff with significant responsibility for research (where a higher education institute (HEI) is not submitting 100 per cent of Category A eligible staff); determining who is an independent researcher; and the selection of outputs, including approaches to supporting staff with circumstances.

1.2 This Code of Practice sets out the processes by which St Mary's University will:

- Ensure the fair and transparent identification of staff with significant responsibility for research.
- Determine who is an independent researcher.
- Select outputs, including approaches to supporting staff with circumstances.

1.3 The Code reflects our strong ethos of fairness and equality, and links directly to the mission of St Mary's, which was founded by the Catholic Poor Schools Committee in 1850 to meet the need for teachers to provide an education for the growing number of poor Catholic children.

1.4 Our values of inclusivity, excellence, respect and generosity of spirit are reflected in our approach to research. Research at St Mary's is valued, encouraged and supported; undertaking research and scholarship is an integral part of academic life. Research is one of the Core Pillars of St Mary's 'Vision 2025', a document which sets out an ambitious vision of research for the University and which was published in 2016.

1.5 To launch our research strategy, we created the senior academic post of Pro Vice-Chancellor for Research and Enterprise in 2015 and a new role of Dean of Research the following year. Since then, the University has further matured and it is now timely for research to be incorporated into the University's Academic Strategy. This is to reflect a more holistic approach to our academic offer and demonstrates the University's recognition of the importance of research alongside our teaching priorities. The results of a renewed ambition for research and a intensified focus on promoting research in the institution has meant that St Mary's research culture has been on a steep upward trajectory since REF 2014. New promotion criteria have been implemented, which recognise our history as a teaching institution, but underline our commitment to excellence in research. These criteria mean that active, independent researchers are able to follow a specific career path focussed on research excellence, accompanied by explicit time awarded in the University's workload planning model.

1.6 New research centres and research clusters have been established to group together staff working in cognate areas and to encourage inter-disciplinary research. A formal mentoring system has been established for developing researchers who wish in future to start producing internationally excellent research.

1.7 As a reflection of our maturing research culture, we have recently submitted our application for Research Degree Awarding Powers. This is currently under consideration.

Embedding equality and diversity at St Mary's University

1.8 At the heart of St Mary's University's Vision 2025 is a commitment to the values of excellence, generosity of spirit, respect and inclusiveness. We are focused on making St Mary's a place where students and staff can reach their full potential and make a positive contribution to society.

1.9 We understand that a thriving research community requires an open, inclusive culture that values diversity and treasures the insights and experience of researchers from many different backgrounds. Evidence shows that an inclusive and welcoming place of work and study is not only intrinsically valuable but also has great benefits in terms of staff engagement, well-being and performance.

1.10 We are fully committed, in all of our activities, to the principles of equality, diversity and inclusivity. We seek to eliminate all forms of unfair discrimination, harassment and victimisation and to advance equality of opportunity, inclusion and diversity. As a matter of principle, and in line with the 2010 Equality Act, the University is dedicated to treating all people with dignity and respect equally, irrespective of age, disability including mental health, gender reassignment, marriage and civil partnership, pregnancy and maternity, parental status, race, religion or belief, sex, and sexual orientation (see Appendix 2).

1.11 We are also committed to ensuring that that fixed-term employees and part-time workers are not treated any less favourably than we treat comparable employees on open contracts or full-time workers as set out in the Part-time Workers Part-time Workers (Prevention of Less Favourable Treatment) Regulations 2000 and Fixed-term Employees (Prevention of Less Favourable Treatment) Regulations 2002.

1.12 For REF2014, we submitted an Equality and Diversity (E&D) statement. There were no specific issues identified. However, the University continued and continues to work to ensure that equality, diversity and inclusion principles inform our organisational culture through the development of appropriate policies, practices, partnerships and targeted actions. Since 2014, there have been a number of developments which are significantly contributing to the embedding of these principles at St Mary's. These include:

- **Staff Equality and Inclusion Groups** – In 2015, two institutional groups were established and came into operation in December 2016 to take a more action-focused approach to achieving our equality and inclusion objectives. These were the Equality and Inclusion Working Group and the Equality and Inclusion Network. In 2018/19, the University’s approach to equality and inclusion was further revised to separate out the equality and inclusion agenda for staff and students through the creation of an Equality and Inclusion Staff Group and a separate Equality and Inclusion Student Group (see Appendix 2). The first Group’s membership includes the Head of Research Services to ensure that equality and inclusion are clearly embedded in research processes, practices and culture. In 2018/19, we reviewed our Equality and Inclusion Policy Statement and streamlined our Dignity at Work procedure to link it into the Grievance procedure to ensure E&I principles are robustly applied.
- **St Mary’s Values** – We are working to embed and communicate our values of respect, generosity of spirit, inclusiveness and excellence through a programme of activities which helps staff identify and live out the behaviour which underpin the values. Workshops and communication about inclusiveness and respect were implemented in 2019 and staff surveys will be conducted which will include questions about how our values are lived at St Mary’s. We aim to ensure that our values, which support the principles of equality, diversity and inclusivity, are embedded across all areas of University activity including research.
- **Workload Planning Model** – A Workload Planning Model was introduced in 2017, designed to ensure the transparent and equitable distribution of teaching, research and administrative duties and enabling us to monitor workloads across all protected characteristics groups and to identify any issues of inequity). This has now been updated to reflect the new approach for identifying significant responsibility for research (see Appendix 3).
- **Academic Career Pathways** – A Working Group, chaired by the Pro Vice-Chancellor, Academic Strategy and Research and comprising academic staff and HR representation, has designed and is implementing a Career Pathways framework for academic job families, underpinned by equality, diversity and inclusion principles, to help support inclusion for any under-represented groups within our academic community. A draft framework was considered by the Senior Management Team in May 2019 and was consulted on by staff groups within the University and was agreed by Academic Board in July 2019.
- **Athena Swan** – We are currently preparing our application for the Athena SWAN Small and Specialist Bronze Award. Our Self-Assessment Team (SAT) will carry out research and analysis of the University polices,

practices and data to identify areas where gender equality can be improved. We will pay particular attention to initiatives that can contribute to advancing gender equality in the development of research careers.

- **Women's Development** – The University runs two women's development programmes. Both initiatives enhance our work to bridge the institutional gender pay gap. Introduced in 2017, the Springboard programme is a women's development programme available to any female staff at the University. The University sponsors a cohort of women to take part in a women's leadership development programme, Aurora, run by the Leadership Foundation for Higher Education. The University has sponsored 20 women to take part in the programme since 2014.
- **Research Mentoring Scheme** – A research mentoring scheme has been introduced (see Appendix 4). We will be examining how we can link this to the Athena Swan award in pinpointing specific initiatives to support gender equality. This will help us to work on staff development and promotion in order to address gender imbalances at different academic grades and levels of research intensity.
- **Staff LGBT Group** – A staff-led LGBT group was formed during 2018/19 with an awareness week which the University supported by providing some advice/guidance on communications as well as sponsoring some events and an informal staff event.
- **Gender Pay** – The University's second Gender Pay Gap report was published in 2018 in line with legal requirements. Our action plan includes the following:
 - Use the findings of the initial Athena Swan analysis that recognises and celebrates good practices in higher education towards the advancement of gender equality, to identify other actions that will support closing the gender pay gap.
 - Deliver two cohorts of the Springboard development programme, targeting female staff from administrative roles to facilitate career opportunities.
 - Prioritise the work to develop career pathways for non-academic job families with a focus on administrative roles.
 - Engage the University's Equality and Inclusion Staff Working Group to facilitate the delivery of the actions identified and bring a community approach to closing the gender pay gap at St Mary's University.
- **Ethnicity** – The University's 2019/20 Equality and Inclusion Action Plan for Staff includes ethnicity pay gap analysis. This is not only in anticipation of the likely legislation requiring employers to report on their ethnicity pay

gap and generate appropriate action plans to close any gaps, but to further expand on our work to bridge the ethnic pay gap at St Mary's.

- **Disability** – We offer to help staff in applying for Access to Work funding where reasonable adjustments need to be made at work. We directly support staff with dyslexia and work with managers to ensure they receive necessary guidance. Furthermore, the University works closely with our Occupational Health providers to ensure that staff who have a disability are provided with appropriate support at work. Finally, we offer a range of training sessions to raise awareness of disabilities and of how to create a more inclusive working environment, e.g. Deafness Awareness, Disability Awareness, Managing Disability in the Workplace and Mental Health Awareness sessions.
- **Age** – St Mary's does not discriminate on the basis of age and we do not enforce a retirement age for academic staff.
- **Equality, Diversity and Inclusion Training** –The University runs Equality, Diversity and Inclusion face-to-face training for all staff including on the subject of unconscious bias. The sessions focus on why equality, diversity and inclusion are important; how and why stereotyping, assumptions and our previous experiences impact upon our attitudes and behaviour; ways in which diversity offers both opportunities and challenges in the creation of an inclusive and welcoming environment at St Mary's; and tools to help to create an environment based on fairness and equal access for all students and staff. In some cases, a tailored approach is taken to meet the needs of the teams e.g. focus on inclusive curriculum; or equality, diversity and inclusion for researchers to ensure the widest uptake e.g. team away days, team meetings etc. The understanding and application of the principles of Equality and Diversity form part of the University's mandatory e-learning package that all new staff are required to complete during their probationary period.
- **Mental Health Awareness** – We deliver on a regular basis training sessions and activities for staff and managers in order to raise awareness of mental health and well-being issues in the work place as well as the support available in the University. St Mary's Institute of Education hosted in March 2019 a successful conference in collaboration with Maudsley Learning (part of South London and Maudsley NHS Trust). This was a unique opportunity for educational and mental health experts to share research and strategies for working with children and young people in the area of resilience.

- **Equality Impact Assessments** – We continue to undertake Equality Impact Assessments (EIAs) on key activities and policies including organisational change initiatives (such as restructuring or voluntary severance schemes) as well as on new policies/procedures including those covered in the REF2021 Code of Practice.

Developing the Code of Practice

1.13 Staff were engaged in the development of the Code in an iterative process beginning with the establishment of the REF Code of Practice (CoP) Working Group in June 2018 (see paragraph 2.15 and Appendix 5 for membership and terms of reference). Central research services employed a variety of engagement methods and platforms to ensure that individual staff (including those who were absent from work), representative groups, departments, Faculties, Institutes and Committees were able to provide feedback on the draft Code. These included face-to-face presentations and meetings, internal digital communication, uploaded web recordings and a dedicated email address for responses.

1.14 The draft Code was subject to significant review through staff and Union consultation, who agreed the Code's principles and, specifically, the process for identifying staff with significant responsibility for research (see Appendix 6). It was submitted to Faculty, Institute and University Research Committees and the REF Group. It was scrutinised by the University's Senior Management Team, the Equality, Diversity and Inclusion Staff Group, Governors and the University's most senior academic committee, Academic Board (see Figure 1 for communication/consultation timeline).

1.15 In addition, in line with the recommendation of the UK higher education funding bodies, the draft Code was tested in a mock exercise to gain knowledge about its practical application in determining submission processes for Units of Assessment. Feedback from this exercise informed clarification of our indicators for research independence and significant responsibility for research.

Legislative context

1.16 The public sector equality duty of the Equality Act (2010) came into force in April 2011. Under the public sector equality duty, the higher education funding bodies and HEIs in England, Scotland and Wales, in carrying out their functions, must have due regard to the need to:

- Eliminate discrimination, harassment, victimisation and any other conduct that is prohibited by or under the Act.
- Advance equality of opportunity between persons who share a relevant protected characteristic and persons who do not share it.

- Foster good relations between persons who share a relevant protected characteristic and persons who do not share it.

1.17 St Mary's has also taken into account the Fixed-term Employee and Part-time Workers Regulations (2000) in the development of its Code of Practice as stated in 1.11.

Underpinning principles

1.18 At St Mary's we are committed to ensuring that REF2021 will be conducted at all stages according to principles of fairness and equality as evinced by policies, processes and practices which show:

- **Transparency:** The University is committed to open and transparent decision-making processes as articulated by the Code and to ensuring that they are known and understood by the University community through effective communication of the Code of Practice (see Figure 1).
- **Consistency:** The Code sets out decision-making processes for the identification of Category A eligible staff and category A staff who can be submitted (see Parts 2 and 3) which are consistent across the University. The REF Submissions Panel will ensure that the Code of Practice is implemented in a consistent manner across all units of assessment (see Part 4).
- **Accountability:** The Code identifies roles, responsibilities and accountability mechanisms for all those involved in either a decision-making or in an advisory capacity for the REF2021 submission (see paragraph 2.15). All decisions will be made in line with the Code of Practice on the basis of evidence and by individuals who have received appropriate training (see paragraphs 2.19-2.20) and who are supported as necessary from those with relevant expertise.
- **Inclusivity:** The Code of Practice and the processes within it have been developed in line with our ethos and in adherence to the principles of respect and inclusiveness which form part of the foundations of the University's Vision 2025. The processes set out in the Code will permit the University to identify all eligible staff who are independent researchers, those with protected characteristics, and to consider all of their eligible outputs. Eligibility for submission will be based on the Research England definition of Category A eligible staff. Individual circumstances, which may have had a material impact on an individual's ability to undertake research and produce outputs, will be taken into consideration, as appropriate, and in accordance with the guidance from Research England.

Programme of communication

1.19 A comprehensive programme of communication has been put in place to ensure that all potential eligible staff are aware of the University's REF Code of Practice at all stages of development. The communication plan for the consultation phase leading up to the Code's submission is indicated in the communication/consultation timeline in Figure 1. The post-consultation phase is outlined in paragraph 1.21.

1.20 The consultation led to a number of revisions being made to the Code and a finalised draft was submitted to Academic Board and to the Board of Governors for final comment, amendment and approval; formal agreement was also sought from the campus Union who confirmed their approval of the Code (see Appendix 6).

1.21 The post-consultation phase of the communication plan includes the following:

- The proposed Code of Practice is available for download on the University's staff intranet and will be made available, once approved by Research England and the REF Equality and Diversity Panel, on the University's external website at <https://www.stmarys.ac.uk/research/about/research-excellence-framework.aspx>.
- Between June and January 2019/20, staff briefings are being held across the University by Research Services with Associate Deans for Research and Enterprise and the Institute Research Lead to clarify the key features of the Code and to respond to staff queries.
- The Code of Practice has been featured in the staff newsletter. Information has been published about the appeals process and the process for declaring individual circumstances. Communication about both matters will go out to staff again in January and June 2020.
- Members of the REF Group will present the approved Code of Practice to staff groups in departments, UoAs and Faculty/Institute Research Committees between September and January 2019/20.
- Any members of staff absent from the University at the time that the approved Code of Practice is published will receive a printed copy to their home address and their attention will be drawn to the appeals process and that for declaring individual circumstances.
- New members of academic staff who join the University after the approved Code of Practice has been published will be sent an introductory email by the Associate Dean for Research or equivalent presenting the Code and including a link to the REF pages on the University's website.

- The Code may be subject to final amendment following review by the REF Equality and Diversity Panel and Research England..

1.22 The processes for establishing significant responsibility for research and research independence have been developed in consultation with staff in the UoAs, staff group representatives, including the trade union, Research Committee representatives, and approved by Academic Board. In September 2019, consultations were also held with these groups. All policies and procedures adopted in the Code of Practice will demonstrate the principles of transparency, consistency, inclusivity and accountability.

1.23 Communication of the Code to all stakeholders will be tracked to ensure that it is comprehensive, effective, timely and complete. This will be the responsibility of Research Services.

Figure 1

COMMUNICATION/CONSULTATION TIMELINE	
February 2019	Consultation on draft Code of Practice begins
27 February – 8 May	Draft Code of Practice presented at REF Group meetings
4 March – 17 April	Communicated to all staff via intranet, two workshops and post for off-site staff
14 March	Code of Practice presented at consultation meeting with Union
13 March – 10 April	Faculty workshops with the two Faculties and Institute of Theology
25 March	Draft Code of Practice presented at Senior Management Team meeting
3 April	Draft Code of Practice presented at University Research Committee meeting
17 April	Staff consultation on Code of Practice closes
29 April	Draft Code of Practice presented to Senior Management Team for further review
22 May	Draft Code of Practice presented to Academic Scrutiny Committee
24 May	Draft Code circulated to Board of Governors and Academic Board
3 June	Code of Practice presented at consultation meeting with Union
5 June	Code of Practice presented to Academic Board and signed off by Vice Chancellor
6 June	Code of Practice presented to REF team and communicated to all staff via intranet, newsletter and post for off-site staff
12 September	Consultation with Union on amended Code of Practice
12 September	Amended Code of Practice presented to Academic Scrutiny Committee
16 September	Amended Code of Practice discussed by Academic Board
19th 20 September	Code of Practice agreed by Chair of Staff E & I group and approved by Vice Chancellor

Part 2: Identifying Staff with Significant Responsibility for Research

2.1 Staff must be submitted to REF2021 on the basis that they fulfill the following criteria as set out by the REF 2021 *Guidance on submissions*:

Eligible staff –

“Category A Eligible” – are staff who meet the following criteria:

- Staff employed on the REF census date (31 July, 2020).
- Staff on contracts of a minimum of 0.2 FTE.
- Staff holding a “substantial connection” with the University.
- Staff on “teaching and research” or “research only” contracts who are independent researchers (IRs).

2.2 This Code sets out the policy and procedures governing the process for identifying staff with significant responsibility for research.

2.3 Many of our staff on teaching and research contracts focus on scholarship, public engagement and research-informed teaching. Therefore, the University will not be submitting 100% of Category A staff. This reflects our relatively recent University status (2014) and maturing research profile as well as our history rooted in teacher-training. As such research is, for some academics, not part of the expectation of their job role. This is reflected in our promotion criteria, which allow staff to be promoted to Associate Professor as a result of excellence in research or, as a result of excellence in teaching or enterprise. Those promoted to Associate Professor who do not meet the research criteria for promotion would not normally have research in their objectives or appraisals. Promotion criteria for Professors also allow for recognition of excellence in any one of the areas of Research, Teaching or Enterprise. Our promotion criteria are one way of ensuring that staff who are not research-active or defined as having significant responsibility for research are not in any way disadvantaged in their careers with us.

2.4 However, career pathways do not currently exist below the level of Associate Professor.. Therefore, we require a separate process to identify Senior Lecturers and Lecturers who have significant responsibility for research.

2.5 REF England defines staff with significant responsibility for research as those for whom:

(a) “Explicit time and resources are made available and that it is an expectation of their job role”. Indicators of this could include:

- A proportion of time allocated for research, as determined in the context of the institution’s practices and applied in a consistent way.
- Through research allocation in a workload model or equivalent.

(b) “To engage actively in independent research”. Indicators of this could include:

- Eligibility to apply for research funding as the lead or co-applicant
- Access to research leave or sabbaticals.
- Membership of a university’s research centres or institutes.

(c) “And that it is an expectation of their job role”. Indicators of this could include:

- Current responsibilities as indicated in, for example, career pathways or stated objectives.
- Expectations of research by role as indicated in, for example, job descriptions and appraisals.

2.6 The University will apply these criteria in the following way:

Professors

All Professors whose focus is research excellence normally have a significant responsibility for research.

The University has a number of Professors whose focus is either teaching excellence and scholarship, or teaching and enterprise. They have not met the research criteria for promotion. This can be clearly evidenced. These individuals would not usually be deemed to have significant responsibility for research.

Associate Professors - Research

Research excellence is a focus of all Associate Professors who have attained their position as a result of the quality of their research and therefore all, other than exceptionally, have a significant responsibility for research.

Associate Professors – Teaching or Enterprise

Those Associate Professors who have not been appointed on the basis of their research track record, have evidenced teaching excellence and scholarship, or teaching excellence and enterprise. Research is not an expectation of their role. These individuals would not usually be deemed to have significant responsibility for research.

Research contracts

Staff who have research-only contracts will have significant responsibility for research where they meet the independent researcher criteria (see section 3 below).

Other Category A staff

The approach to identifying staff with significant responsibility for research is based on a threshold allocation of time for specific and agreed research objectives, as part of academic work planning, annual appraisals and academic development (see Appendix 3).

The thresholds are based on a percentage of the full FTE contract, pro rata. All staff have a scholarly activity allocation of 4% of workload (60 hours). Further research and/or scholarship allocations are additional to this baseline activity.

The baseline allocation of 4% covers a range of general activities associated with scholarly activity, which may or may not be linked to specific research objectives. The 4% time allocation does not confer significant responsibility for research.

2.7 All staff who wish to be considered for extra time for scholarship and research need to complete a three-year Personal Research Plan (PRP). Completion of the form does not guarantee an allocation of research workload.

2.8 In the Plan, staff will identify their current level of development in each of the five areas below as well as their development and support requirements. They will also be asked to outline specific targets for the future. Allocation of a minimum of 20% of time will be made available to those researchers who have robust forward-looking plans in three of the five areas listed below, based on track record and trajectory.

2.9 Staff should discuss and agree a Plan which focusses on achieving goals in the following areas:

- Research income
- Outputs
- Impact and partnership engagement
- Professional esteem
- Research leadership

2.10 The specific threshold for identifying significant responsibility for research has been determined, through the Code of Practice Working Group, as being equal to 20% of workload. This additional allocation is set against specific research expectations, and is based on Personal Research Plans for the next three years, set against track record and trajectory. It is implemented through the workload planning process, which will allow for discussion and agreement of the research objectives, along with expectations of support and resultant outcomes. These staff are considered to have significant responsibility for research.

2.11 This allocation differs from an allocation of time to undertake development as a "Developing" researcher, which will normally be set at 10%. A formal requirement of the University is that developing researchers receive mentoring and support to develop their research profile so that they can aim to qualify for a 20% allocation in the future (see Appendix 4). These are staff who the University

seeks to nurture and support as part of developing the next generation of lead researchers and its inclusive research environment. These staff should also agree with their line manager a three-year Personal Research Plan with clear development objectives. These staff are not deemed to have significant responsibility for research.

Stages of approval

2.12 Staff on academic contracts can submit Personal Research Plans (PRP) to inform discussions in Appraisals. This year's Appraisal cycle began on 1 September 2019. The PRP will be agreed between the staff member, their line manager and the Associate Dean-Research and Enterprise/Institute Research Lead. Time allocations for research resulting from this year's appraisal will be implemented in the workload cycle by the end of June 2020.

2.13 Staff who join the University between January 2020 and the REF census date for staff (31 July 2020) may submit a PRP to their line manager. The PRP must be agreed with their line manager and the Associate Dean-Research and Enterprise/Institute Research Lead and a time allocation made.

Appeals

2.14 Any staff member who believes that the University-held data that informed decisions does not reflect their status in terms of having significant responsibility for research, can appeal against this (see section 2, paragraphs 2.21-2.28). Any revisions will then be agreed in advance of the REF staff census date. This annual review will take place as part of the Appraisal process going forward.

Governance and training

2.15 The specific arrangements for the governance of the University's preparation and submission to REF2021 are outlined below (see Figure 2 and Appendix 5 for membership and terms of reference):

Provost The Provost is the REF Institutional Contact and is responsible for REF preparation across the institution. The Provost is responsible for the University's academic strategy which encompasses research, learning and teaching. The post holder advises the Senior Management Team on research strategy and co-chairs the University Research Committee. The post-holder is a member of the REF Equality, Diversity and Inclusion Panel and chairs the REF Submissions Panel. The Provost has delegated responsibility from the Vice Chancellor for the final submission to REF2021.

The Deputy Provost

The Deputy Provost supports the Provost in the delivery of a number of academic functions across the University, including research. He chairs the REF Group and co-chairs the University Research Committee.

Head of Research Services

The Head of Research Services is the REF Technical contact and is a member of the REF Group and is secretary to the University Research Committee. The post holder supports the Provost conveying information regarding REF to the Senior Management Team, relevant committees and in preparing updates to staff across the University. The post-holder provides advice and support to the Faculty Associate Deans for Research and Enterprise/Institute Research Leads, and the Unit of Assessment Leads in the preparation for the REF submission..

Chief Operating Officer The Chief Operating Officer is responsible for providing leadership to the University's key professional service departments that underpin the effective and efficient operation of the University and ensures that these services meet the needs of the St Mary's community. The post holder Chairs the REF Appeals Panel.

The Deputy Provost/Directors of Institutes

The Deputy Provost/Directors work with the Provost and the Associate Deans/Research Leads, to develop, support and monitor the development of staff in order to optimise the quality of the submissions in each Unit of Assessment, in line with the principles of equality, diversity and inclusion. The Deputy Provost /Directors are members of the REF Submission Panel.

Faculty Associate Deans for Research & Enterprise/Institute Research Leads

The Associate Deans and Institute Research Leads are responsible for increasing and enhancing research activity and developing a supportive research culture in the Faculty and Institute. The Associate Deans/Lead supports the Deputy Provost and Institute Directors in the development and management of staff in pursuit of strategic goals, particularly related to REF. They have oversight of the work of Unit of Assessment Leads and monitor research progress, reporting to relevant committees and groups. The Associate Dean/Leads are members of the REF Group and of the University Research Committee. The post-holders chair the Faculty/Institute Research Committees.

Unit of Assessment Leads

Supported by the Faculty Associate Dean/Research Leads, and the Head of Research Services, the Unit of Assessment Leads oversee the UoA REF return.

REF Equality, Diversity and Inclusion Officer – HR Director

The REF Equality, Diversity and Inclusion Officer at St Mary's is responsible for preparing the Equality Impact Assessments and overseeing the training of individuals who have responsibility for the University's submission to the REF, working with the Head of Research Services. The post-holder will advise on the

consideration of individual staff circumstances as a member of the REF Equality, Diversity and Inclusion Panel.

External Reviewers

During REF preparation, all aspects of the REF submission are subject to external scrutiny and feedback from experts in specific UoA fields. These reviewers are asked to provide feedback on the quality of an individual's outputs. Their roles are advisory and they will not decide which outputs should be submitted to the REF and will not be provided with information relating to individual staff circumstances. All external reviewers are sent a copy of the Code of Practice.

2.16 The following groups, panels and committees (see Figure 2) have been designated with either advisory or decision-making roles in relation to identifying eligible staff who are independent researchers with significant responsibility for research and on the selection of outputs for submission (see Appendix 5 for membership and terms of reference). Each committee, group and panel will ensure appropriate record keeping so that the grounds for decisions are clearly laid out.

REF Group

Composed of Unit of Assessment Leads and other nominated members. The Group advises the REF Submission Panel on the Units to be included in the final submission and reports to the University Research Committee which is responsible for overseeing the progress of the University's REF submission and of ensuring compliance with the Code of Practice. It is chaired by the Deputy Provost.

REF Code of Practice Working Group

This is an advisory group established with representatives drawn from a diverse academic staff group from across the University including early career researchers. The role of the group is to review and to provide feedback on iterations of the Code of Practice to ensure compliance with the REF Guidelines on Codes of Practice. The group does not have decision-making authority in respect of identifying independent researchers with significant responsibility for research or on the selection of outputs. The work of the REF Code of Practice Working Group feeds in to the University Research Committee.

University Research Committee

The University Research Committee (URC) is a delegated committee of Academic Board, the supreme decision-making committee of the University on academic matters. URC is responsible for research policy and cross-University initiatives and advises on strategic matters relating to the research activities of the University including REF. The Committee receives regular updates on the progress of the REF group and approves key REF Group proposals and actions.

REF Submissions Panel

The REF Submissions Panel consists of the Provost, Deputy Provost and, the Directors of Institutes. The Panel is responsible for approving the identification of staff with significant responsibility for research, determining research independence, the selection of outputs and, any reductions in outputs as a result of the consideration of any voluntarily declared staff individual circumstances. The Panel reports to the University Research Committee.

REF Equality, Diversity and Inclusion Panel

The REF Equality, Diversity and Inclusion Panel (EDIP) reviews all forms returned by all staff eligible for submission to the REF who disclose individual circumstances that may have had an impact on their capacity to produce research outputs within the REF assessment period. The Panel will review Equality and Impact Assessments undertaken and will raise any concerns that may need to be addressed by the REF Group in relation to the protected characteristics of staff identified with significant responsibility for research.

The membership will comprise:

- Provost/REF EDI Officer (HR Director)
- Faculty Associate Dean for Research and Enterprise, or equivalent (3)

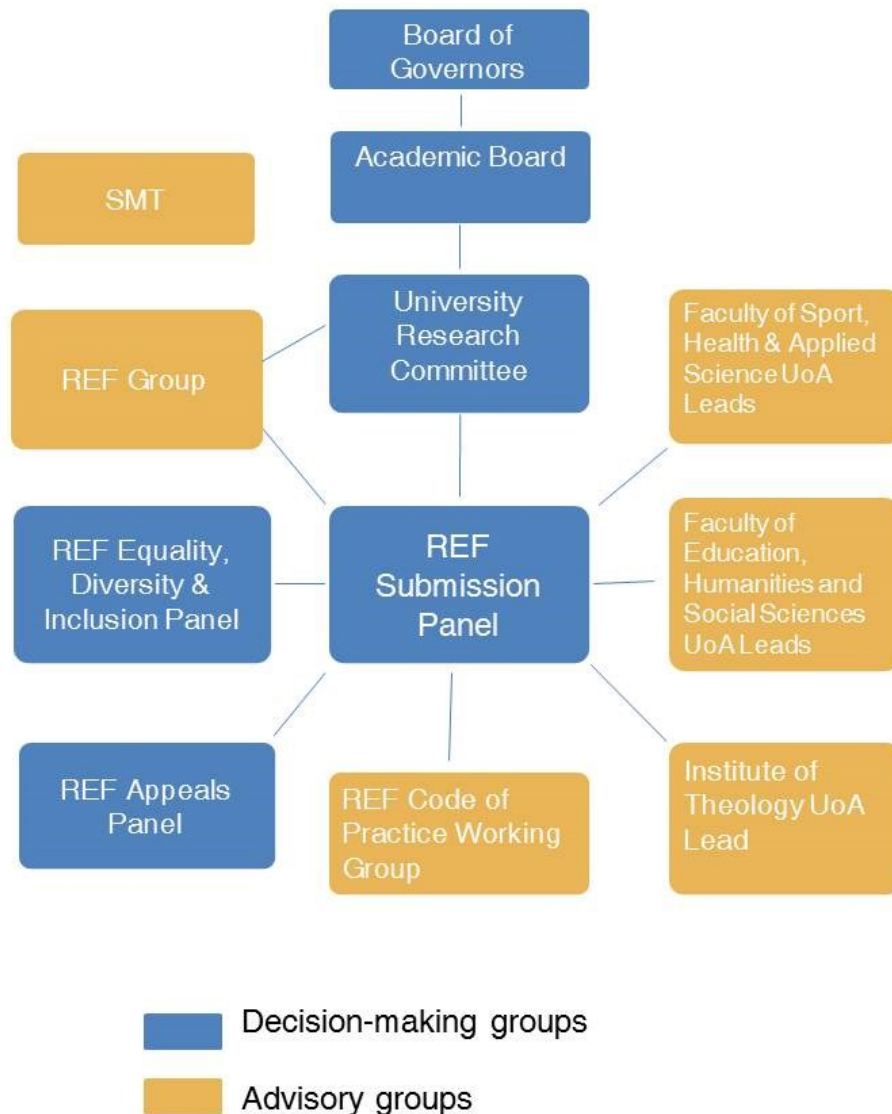
REF Appeals Panel

The members of this group are independent from the REF decision-making process. It will consist of the following post holders:

- Chief Operating Officer/Associate Dean, Teaching and Learning
- Independent member of the University Research Committee

2.17 The University Research Committee, advised by the REF Group, will determine the most appropriate UoA to which an eligible staff member is returned. The final decision on any/all matters relating to the assignment of staff to a UoA rests with the Provost, in consultation with the REF Submissions Panel.

Figure 2
Committees and Groups with Oversight of the REF 2021 Submission



2.18 The protection of staff data is paramount and every effort must be made to prevent unauthorised or accidental access to, or disclosure of, personal information. Research England Guidance on Submissions sets out the personal data that the University must supply in the submission. This information will be extracted from the University’s HR and payroll system and held within a secure University REF database to underpin each person’s research output details.

2.19 All staff roles identified in paragraphs 2.15 and 2.16 will undergo training in equality, diversity and inclusion before beginning the process of final staff identification and output selection (see Appendix 7).

2.20 The training is facilitated by the Department of Organisational Development and coordinated by the REF Equality and Diversity Officer and the REF Institutional contact. A log of training will be recorded and retained to ensure that all those with designated REF responsibilities undertake the necessary training.

Appeals

2.21 Academic staff may appeal against their designation relating to significant responsibility for research and/or being an independent researcher. Information about this proposed process will be on the staff intranet as soon as the Code has received official approval. All academic staff will be reminded about the appeals process, including staff who are off site, in December 2019 and February 2020 by the Head of Research Services.

2.22 Members of the Appeals Panel will be independent from decisions about the identification of staff and outputs. Individuals involved in dealing with appeals from academic staff will receive appropriate equality, diversity and inclusion training.

2.23 The Appeals Panel will comprise of the following members of staff:

- Chief Operating Officer/Associate Dean, Teaching and Learning
- Independent member of the University Research Committee

The Panel will meet on the following occasions:

- January 2020 following the mock REF.
- June 2020 prior to the REF staff census date.

2.24 It is normally expected that an appeal will be considered by written representation. If preferred by the individual, an appeal will be heard in person and the individual may be accompanied by a work colleague or trade union representative should they wish. In the latter case, a written submission should also be provided setting out the grounds for the appeal.

2.25 The grounds for appeal are:

- Non-adherence to principles set out in the Code of Practice.
- Exclusion based on protected characteristics.
- Failure to take into account any individual circumstances that may have had an effect on their ability to publish within the REF timeframe.
- Evidence of factual error in the Panel's decision.

The following are **not** grounds for appeal:

- The University's REF strategy on its submission and selection of Units, including the outputs to be submitted to specific Units.
- The process for internal and external review of, and judgement on, individual outputs.

2.26 The appeal will result in one of the following:

- The appeal is upheld in which case the relevant UoA Lead is directed to amend the original submission and the individual is included in the REF submission.
- The appeal is dismissed and the original recommendation stands.

2.27 There will be no further right of appeal under the REF appeals process against the decision taken by the University REF Appeals Panel.

2.28 The outcomes of the appeal will be communicated in writing to the appellant within 14 days of the meeting. Appropriate record keeping will be implemented for the appeals process.

Equality Impact Assessment

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

Stage 1: Initial Equality Impact Assessments (EIAs) were carried out in December 2018 in order to consider the potential impact of the implementation of the draft REF Code of Practice on those who could potentially be identified as independent researchers with significant responsibility for research.

The results (see Appendix 8) showed the continued need to progress our broad range of E&I initiatives especially in relation to addressing gender imbalances among senior academic staff. These include developing actions in relation to our application to the Athena Swan Award, the development of Academic Career Pathways and Mentoring for Researchers (see Appendix 4).

Stage 2: We will undertake further EIAs on relevant staff groupings in February 2020 after the mock REF. We recognise that assessing the potential impact and taking planned action (both in terms of REF and also more generally), is a key way of further embedding equality, inclusion and diversity into our working practices and culture.

Stage 3: As part of the preparation for the final REF submission.

Part 3: Determining Research Independence

Criteria

3.1 Staff on teaching and research contracts are normally considered to be independent researchers where they are identified as having significant responsibility for research. For staff on research only contracts, the University will apply the Research England definition for determining research independence i.e. “an individual who undertakes self-directed research, rather than carrying out another individual’s research programme.” A combination of indicators as recommended by the REF *Guidance on submissions* will be used to assess this. These include:

1. Leading or acting as principal investigator or equivalent on an externally funded research project.
2. Holding an independently won, competitively awarded fellowship where research independence is a requirement.
3. Leading a research project or a substantial or specialized work package.

In addition, the indicators agreed by REF main panels C and D would also be used:

4. Significant input into the design, conduct and interpretation of research.
5. Being named as a co-investigator on an externally funded research grant /award.

A member of staff is not deemed to have undertaken independent research purely on the basis that they are named on one or more research outputs.

Research assistants do not, according to their role profile, usually undertake independent research.

Stages of approval

3.2 The determination of research independence for those on research-only contracts will be implemented for the 2019/20 academic year. Between September and the end of June 2020, line managers will determine with staff on research-only contracts whether they comply with the criteria for independent researcher set out above.

Appeals

3.3 Appeals against these decisions can be submitted as set out in Section 2. Any revisions will then be agreed in advance of the REF census date.

Part 4: Selection of Outputs

Policies and processes including approach to submitting outputs from former staff members.

4.1 The University will select outputs for submission in a transparent, consistent and inclusive manner demonstrating clear accountability for its actions.

The approach to the selection of outputs is based on a three stage evaluation process :

- Staff self-assessment and selection of eligible outputs.
- Internal peer review assessment.
- External peer review (if internal assessment identifies potential 3*/4* outputs).

4.2 Staff will be asked by Unit Leads to submit up to 5 outputs for evaluation. New outputs may be added to the evaluation process leading up to the REF submission if the member of staff believes that a new output is of a higher quality than any of those originally selected.

4.3 REF2021 guidance permits the submission of outputs of Category A eligible staff who are no longer at St Mary's University on the staff census date of 31 July 2020. Former members of staff whose outputs are returned are not counted within the FTE submitted within a Unit of Assessment. We understand "former staff" to fall into the following categories:

- Category 1: Staff who have left the employment of the University voluntarily or have transferred to the employment of another organisation under TUPE.
- Category 2: Staff who are retired.
- Category 3: Staff who are deceased.
- Category 4: Staff who were employed by the University on one or more fixed term contracts and whose employment ended on the expiry and non-renewal of that fixed term contract.
- Category 5: Staff whose employment has ended through a voluntary severance arrangement.
- Category 6: Staff whose contract has changed from a Category A contract to a senior administrative contract.
- Category 7: Staff whose employment with the University ended following the application of the University's redundancy procedure.

4.4 For the purposes of this Code of Practice, this definition of former staff does not include staff who have been dismissed for any other reason. The outputs of staff who have been dismissed for any other reason will not be considered for submission.

4.5 The University will include the outputs of former staff in categories 1 to 7 where their inclusion is expected to improve the quality of the submission. This includes the outputs of staff whose employment ended with the University following the application of a redundancy procedure. Any such outputs will be subject to stages 2 and 3 of the evaluation process above and up to a maximum of 5 outputs may be selected for submission.

4.6 Following the review process, Unit Leads will make a recommendation for the selection of outputs to the REF Submission Panel based on the following principles:

- All reviewed outputs will be assigned to a member of staff, ranked in order of review rating, ensuring that each member of staff has a minimum of one output (unless exceptional individual circumstances have been applied for), and a maximum of five outputs allocated to them. This is the output pool (FTE of Category A staff x 2.5).
- Individual staff circumstances have been considered and reductions applied, as appropriate.
- Outputs will be selected based on their quality as indicated by the outcome of the peer review process.
- If a selection decision needs to be made between two or more outputs of the same review score, the Unit Lead, in consultation with the Associate Dean for Research/Research Leads, will refer to the detail contained in the reviews, in the first instance. Discussion will also take place with the individual staff member concerned and the internal reviewer for outputs with the same score. If no decision can be reached on which output should be selected, a second internal review will take place and the final decision will be taken by the REF Submissions Panel in consultation with the UoA lead.

Governance and training

4.7 Please refer to Part 2 above.

Staff Circumstances

4.8 By January 2020, the Department of Human Resources will send to all academic staff identified as having significant responsibility for research, the Declaration of Individual Circumstances form (see Appendix 9), asking them to

outline any individual staff circumstances which may have significantly constrained their ability to produce research throughout the period in relation to the Unit's total output requirement. The form will include all equality-related circumstances covered in the REF *Guidance on Submission* including:

- Qualifying as an early career researcher (set out in paragraphs 148 and 149 of the *Guidance on Submissions*).
- 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 absences, that require a judgement about the appropriate reduction in outputs, which are:
 - Disability
 - 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 in Appendix L of the *Guidance on Submissions*
 - Gender reassignment
 - Other circumstances relating to the protected characteristic listed in the Equality Act, 2010

4.9 All staff identified as having significant responsibility for research will be given the opportunity to complete this form indicating whether or not they wish any individual circumstances to be taken into consideration. Staff will be made aware that the disclosure of any circumstances is voluntary and any such disclosures will be treated in a confidential manner.

4.10 It will be made clear to staff during REF communications that they are permitted to submit individual circumstances at any stage up until early 2020.

4.11 Any disclosures of individual circumstances will be considered by the University's REF Equality, Diversity and Inclusion Panel (EDIP). All staff will be made aware that their names will be anonymized for the purposes of consideration by the Panel and will only be known by the Head of Research Services. All information relating to the details of the disclosure will remain confidential.

4.12 Based on the outcomes of the submission and consideration of any individual staff circumstances, each member of staff will be provided with feedback from the EDIP on any adjustments to their output submission, in line with the permitted reductions set out in Appendix L of the *REF Guidance on Submissions*. The individual staff member will need to agree to any proposed adjustments before such adjustments can be made.

4.13 The Panel will communicate any agreed calculations, based on individual circumstances, to the Unit lead but will not provide any information on the nature of the individual's circumstances regarding their current status in respect of inclusion in the REF submission.

4.14 The Unit lead will need to consider if there is a cumulative effect of staff circumstances on the Unit's overall output pool and whether a request for a reduction in the total number of outputs for that Unit needs to be made. In some smaller Units, the cumulative effect of individual circumstances may significantly reduce the output pool such that it would not be viable unless a request for reduction was made.

4.15 Requests for reduction will be made to the University's REF Submission Panel through the Provost (REF Institutional contact). If approved, the Provost, on behalf of the REF Submission Panel, will submit a request to the REF Team Director for a reduction in the total outputs for that particular Unit. This will be considered in cases where at least 40% of submitted staff by FTE are identified as having individual circumstances.

4.16 New members of staff recruited after January 2020 and up until the REF census date of July 31 2020 who are identified, as having significant responsibility for research, will be informed by the Faculty Associate Deans for Research and Enterprise or equivalent of the opportunity to complete an individual circumstances form, if they wish.

4.17 In December 2019, and following confirmation of the suitability of the Code of Practice by the REF Team and EDAP, all eligible staff will be sent another communication regarding the REF to make it clear that still have the opportunity to disclose any individual circumstances that may have constrained their ability to produce the required number of outputs.

4.18 By the end of January 2020, each UoA Lead will be asked to complete a penultimate draft submission for the University's REF Submission Panel and make firm recommendations on the staff to be included based on the principles for eligibility outlined in the Code of Practice.

4.19 A mock REF exercise will take place in January/February 2020.

Equality impact assessment (EIA)

4.20 A further EIA will be undertaken on the spread of outputs across staff in relation to their protected characteristics in September 2020, following the mock REF exercise.

4.21 The EIA will be presented to the REF EDIP Panel, and the University's Staff Equality and Inclusion Group. Any negative or positive trends will be analysed and appropriate actions undertaken before the final REF submission in March 2021.

Appendix 1

REF 2021 Glossary

Assessment criteria = The panels will use the following criteria to assess the quality of each element of the submission:

- Outputs – 'originality, significance and rigour'
- Impact – 'reach and significance'
- Environment – 'vitality and sustainability'

Category A eligible staff = Academic staff with a contract of employment of 0.2 FTE or greater, on the payroll of the submitting institution on the census date, and whose primary employment function is to undertake either 'research only' or 'teaching and research'. Staff should have a substantive connection with the submitting institution. Staff on 'research only' contracts should meet the definition of an independent researcher. Staff meeting these criteria will form the total eligible staff pool.

Category A submitted staff = Category A eligible staff who have been identified as having significant responsibility for research on the census date: these will be submitted to REF.

Census date = The date on which staff must be in post at the submitting institution and meet the eligibility criteria to be returned as Category A submitted staff is 31 July 2020.

Code of practice = Each institution making a submission is required to develop, document and apply a code of practice on determining who has significant responsibility for research, who is an independent researcher and the selection of outputs in their REF submissions.

Double-weighting = Institutions may request that outputs of extended scale and scope be double-weighted (count as two outputs) in the assessment.

Early career researcher (ECR) = Category A staff who started their careers as independent researchers on or after 1 August 2016.

Impact = An effect on, change or benefit to the economy, society, culture, public policy or services, health, the environment or quality of life, beyond academia.

Impact case study (ICS) = A completed impact case study template setting out how excellent research conducted by the submitting institution between 1 January 2000 and 31 December 2020 has resulted in impact(s) beyond academia between 1 August 2013 and 31 July 2020.

Impact reach = The extent and/ or diversity of the beneficiaries of the impact, e.g., constituencies, numbers of groups, as relevant to the nature of the impact.

Impact significance = The degree to which impact has enabled, enriched, influenced, informed or changed the performance, policies, practices, products, services, understanding, awareness or wellbeing of the beneficiaries.

Independent researcher = A member of staff who undertakes self-directed research, rather than carrying out another individual's research programme.

Interdisciplinary research = For the purposes of REF, interdisciplinary research is understood to achieve outcomes (including new approaches) that could not be achieved within the framework of a single discipline. Interdisciplinary research features significant interaction between two or more disciplines and / or moves beyond established disciplinary foundations in applying or integrating research approaches from other disciplines.

Knowledge exchange = A two-way exchange between researchers and research users, to share ideas, research evidence, experiences and skills. Knowledge exchange refers to any process through which academic ideas and insights are shared, and external perspectives and experiences brought in to academia. Note that for REF purposes knowledge exchange is the means by which impacts can be achieved, but only impacts are assessed in REF.

Main panel = The sub-panels work under the leadership and guidance of four main panels.

Open Access (OA) = A publishing model that enables peer-reviewed outputs of scholarly research to be made freely available online. It can be achieved through deposit of an authoritative version of the research output in an institutional or subject repository (Green OA) or by publication in journals which are made available free of charge online (Gold OA).

Output = The product of research, as defined in REF (e.g. a journal article or book). An underpinning principle of REF is that all forms of research output, in any language, will be assessed on a fair and equal basis. Outputs must have been first made publicly available between 1 January 2014 and 31 December 2020.

Overall profile = The overall quality profile for REF comprises the scores for the three sub-profiles: outputs (60 per cent), impact (25 percent), and environment (15 per cent).

Panel criteria and working methods = The REF panel criteria document sets out the details of the criteria and working methods that the panels will apply when assessing submissions and includes descriptions of the disciplines covered by each UOA.

Publication period = Outputs submitted to REF 2021 must have been first made publicly available between 1 January 2014 and 31 December 2020.

Research assistant = An individual member of academic staff whose primary employment function is 'research only', and who is employed to carry out another individual's research programme rather than as an independent researcher in their own right.

Research = For the purposes of REF, research is defined as 'a process of investigation leading to new insights, effectively shared'.

Research Environment = A description of how the submitting Institution/ UOA:

- enables impact from its research, and its contribution to the vitality and sustainability of the wider discipline or research base, economy and society.
- ensures the future health, diversity, wellbeing and wider contribution of the unit and the discipline(s), including investment in people and in infrastructure
- encourages the effective sharing and management of research data

Significant responsibility for 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.

Staff circumstances = Measures to take account of the effect of individuals' circumstances on research productivity during the period. These measures will allow an optional reduction to the total number of a unit's required outputs. They also allow an individual to be returned without the required minimum of one output without penalty in the assessment, where the circumstances have had an exceptional effect on productivity, such that the staff member has not been able to undertake research for 46 months or between 1 January 2014 and 31 December 2020.

Submission deadline = The date on which all Higher Education Institutions must submit their REF data is 31 March 2021..

Submitted unit = A group or groups of staff identified by the HEI as working primarily within the remit of a UOA and included in a submission, along with evidence of the research produced during the publication period, examples of impact underpinned by research in the unit, and the structures and environment that support research and its impact.

Sub-panel = In each of the 34 UOAs an expert sub-panel of academics and research users will conduct a detailed assessment of submissions.

Sub-profile = Each of the three elements of the assessment – outputs, impact and environment – will receive a sub-profile, showing the proportion of the submission that meets each of the starred quality levels

Underpinning research = Impacts described in the impact case studies must be based on research of at least two-star quality that was produced during the period from 1 January 2000 to 31 December 2020.

Appendix 2

St Mary's University Equality and Inclusion Policy Statement

10 May 2019

Introduction

St Mary's University is fully committed to creating an inclusive culture, promoting equality of opportunity and respecting differences amongst its staff, students and other stakeholders. The University has a long tradition, in line with its mission and values, of widening access to education for all, while fostering respect and mutual tolerance in society as a whole. Consistent with our mission, we believe that inequities and barriers to inclusiveness are a key social and moral challenge that we are committed to tackling.

We have a strong mission to prepare students for flourishing lives, successful careers and social commitment through excellent, research enriched teaching in a strong community of mutual respect based on our Catholic ethos, identity and values of:

- Respect
- Generosity of spirit
- Inclusiveness
- Excellence

The promotion of equality and inclusion is an important part of this mission and we aim to continue our long tradition of widening access to education to all but also to foster respect and mutual tolerance in the wider society.

Equality and Inclusion Policy Statement

The University is committed to promoting equality of opportunity and inclusivity for all in line with our duties under the law and our belief in the virtue of tolerance and diversity. We will not tolerate discrimination in any form.

Under the general equality duty as set out in the Equality Act 2010, we must have due regard to the need to:

- Eliminate unlawful discrimination, harassment and victimisation and other conduct prohibited by the Act.
- Advance equality of opportunity between people who share a protected characteristic* and those who do not.
- Foster good relations between people who share a protected characteristic and those who do not.

*A protected characteristic covers age, disability, gender reassignment, pregnancy and maternity, marriage and civil partnership, race (including ethnic or national origins, colour or nationality), sex, sexual orientation, religion or belief (including no belief).

Specifically we commit to:

- Proactively prevent and eliminate discrimination for staff and students on the grounds of any protected characteristic;
- Promote good relations between those who share a protected characteristic and those who do not share it;
- Foster an environment in which all staff and students can realise their full potential through the development of their skills and abilities, regardless of their background;
- Ensure that all students, staff, applicants to the University are treated with respect and dignity and receive fair and equal treatment in all aspects of their applications, employment or learning;
- Ensure that all staff comply with the University's policies and procedures through the provision of appropriate training.

EQUALITY & INCLUSION POLICY IMPLEMENTATION

Overall responsibility for the Policy lies with the Board of Governors. Leadership for the implementation of the policy comes from the Vice Chancellor and Senior Staff. All staff, students and visitors are expected to act within the remit of the policy and to take responsibility for its successful implementation.

Responsibility for Implementation of the Policy:

The Vice-Chancellor and Senior Staff have overall responsibility for the implementation of the Policy.

The Pro Vice-Chancellors are responsible for ensuring that the Policy is implemented within their remit as appropriate.

All Deans of Faculty and Heads of Service are responsible for:

- Ensuring they and their staff follow the policy;
- Ensuring all policies and procedures within their remit are impact assessed and monitored to ensure that they are promoting equality and not discriminatory;
- Ensuring staff are appropriately trained to ensure the delivery of equality and inclusive practice.

The Director of Human Resources (HR) will be responsible for:

- Ensuring that central procedures relating to recruitment, appointment, promotion and staff development promote equality of opportunity and inclusion;

- Provision of relevant and essential equality, inclusion and diversity training to University employees.
- Producing, as Chair of the Staff E&I Group, an annual report and action plan on activity and progress in relation to staff equality and inclusion, for consideration by the Finance and Resources Committee

The Associate Dean for Learning and Teaching, as Chair of the Equality and Inclusion Student Group (with the necessary support as appropriate of the Dean of Learning and Teaching), will be responsible for:

- Ensuring that all central procedures and policies relating to the management of and assessment of current students promote equality and inclusion;
- Monitoring the diversity of the student population;
- Monitoring the progress of students to ensure no direct or indirect discrimination takes place.
- Producing an annual report and action plan on activity and progress in relation to student equality and inclusion, for consideration by the Finance and Resources Committee

The Director of Communications, PR and Marketing will be responsible for:

- Ensuring that publicity, marketing and communication is undertaken and which respects the Equality and Inclusion Policy Statement (refer also Sections 11 and 12 below).

The Head of Student Services will be responsible for:

- Ensuring that Student Services meet the needs of a diverse student body.
- The provision of services as appropriate that are welcoming and inclusive to all.

The Director of Estates & Campus Services will be responsible for:

- Ensuring the physical environment is accessible where possible.

The Dean of Teaching and Learning will be responsible for:

- Ensuring equality and diversity and inclusive practice are embedded within University strategies for teaching and learning.

The Provost will be responsible for:

- Ensuring equality and diversity and inclusive practice are embedded within University strategies for research.

The Head of Admissions will be responsible for:

- Students will be admitted according to the University Admissions Policy (see section 7.1 below).

Equality & Inclusion Staff Group

An Equality & Inclusion Staff Group, chaired by Director of HR, will meet at least once each semester to develop and oversee the application of the Equality and Inclusion Policy Statement and the implementation of the Equality Act 2010 and to promote their effective operation. The membership should seek to be balanced in relation to equality and diversity. This Group reports to the University Operating Board.

Equality & Inclusion Student Group

An Equality & Inclusion Student Group, chaired by the Associate Dean for Learning and Teaching, will meet once a month during the academic year. The purpose of the Equality and Inclusion (E&I) Students Group is to enhance, develop, support and participate in equality and inclusion (E&I) initiatives that help to fulfil St Mary's E&I objectives and positively impact an inclusive learning and teaching environment.

Responsibilities of St Mary's University Staff

It is the responsibility of all members of staff to observe this Policy.

Staff should treat colleagues, students and visitors with respect.

Staff must seek advice from HR for issues about their employment.

Staff should seek guidance from Organisational Development (OD) or CTESS for guidance relating to student issues where they are unsure of their practice or would like additional training on key student-facing practices.

Staff seeking guidance on regulatory matters relating to students should seek guidance from the Head of Registry Services.

Disciplinary procedures may be invoked in the case of any breach of University policy on equality and inclusion by a University employee.

Responsibilities of St Mary's University Students

All students are required to treat fellow students, staff and visitors with respect regardless of their background. Breaches of this policy will be dealt with through the disciplinary procedures.

Monitoring and Reporting

Annual reports showing activity and progress in relation to both staff and student equality and inclusion, will be considered by the University Operating Board and then the Finance & Resourcing Committee of the Board of Governors.

The reports (one relating to staff and one to students) will include:

- The outcome of the monitoring in relation to the goals set by the E&I Staff Group (for staff) and E&I Student Group (for students);
- Specific measures adopted to promote equality, diversity and inclusion;
- Summary of cases of complaint or grievance relating to equality;
- Recommendations for the future priorities.

Publication of the Equality and Inclusion Policy Statement

Copies of this Policy Statement will be brought to the attention of all existing staff, to new employees of the University, be available in the Students' Union and on the University Portal.

Disabled Staff

The University will make reasonable adjustments to prevent a disabled person suffering a disadvantage compared with people who are not disabled. The University is developing a Disability Policy in consultation with its recognised trades unions.

Student Administration

Procedures for the Admission of Students

All students will be admitted according to the University Admissions Policy and will be considered providing they have the potential to meet the requirements of the programme. Where interviews are held, either because of pressure on places or for statutory requirements, this will be undertaken in a culturally sensitive manner and at least two people will be involved in any decision.

Disabled Students

All students who declare a disability which requires support and/or adaptations should be invited to the University to discuss their requirements. Support and advice is provided to all disabled applicants. The Dyslexia and Disability Coordinator will advise students and staff on the reasonable adjustments that will be required.

The University will make appropriate arrangements for the teaching and assessment of disabled students and for meeting their requirements where it is reasonable to do so.

Learning, Teaching and Research

Issues relating to equality and inclusion where appropriate will be embedded into the University Teaching and Learning, Quality and Enhancement Delivery Plan 2016-18. See: <https://staffnet.stmarys.ac.uk/Governance/corporate-documents/Corporate%20Documents/TLQE-Delivery-Plan.pdf>

All research undertaken at the University must be in line with the Equality Act 2010 and with University policies on equality, diversity and inclusion.

We are committed to the principles of equality and inclusion as well as the elimination of discriminatory practices. Within this context the University seeks to ensure that individuals to whom this policy applies are:

- treated with respect and dignity
- find it possible to participate fully in the life of the University
- have equal access to opportunities so as to maximise their personal, academic and professional development.

Underpinning this approach is the principle that no individual will receive less favourable treatment on the grounds of sex, marital status, gender reassignment, racial group, disability, sexual orientation, religion or belief, age, socio-economic background, trade union membership, or any other irrelevant distinction. Our REF Code of Practice ensures selection for REF is underpinned by equality and inclusion.

Further information can be found at St Mary's Research Integrity page at <https://www.stmarys.ac.uk/research/about/integrity.aspx>

Publicity and Marketing

The marketing and publicity activities, including those activities relating to student recruitment should be sensitive to diversity and individuals. Marketing materials and publicity should make reference to the University's Equality and Inclusion Policy Statement and should challenge stereotypes and promote positive role Models. All publicity should be able to be made available in appropriate media.

Strategies will be devised to target under-represented groups to ensure that they are aware of the opportunities at the University and appropriate community organisations and other bodies will be used to promote such opportunities.

Use of Non-Discriminatory Language

The University will seek to use non-discriminatory language and images in all its internal and external documents, official publications and correspondence and other communications.

St Mary's University Committees

The membership and chairing of all internal University committees and other official bodies will be kept under review to ensure there is appropriate equality and diversity of representation.

Monitoring

The University will monitor applicants for posts, candidates selected for interviews, new appointments, current staff, and promotions to ensure that equality, inclusion and diversity are being promoted.

Monitoring will also take place for students in relation to applications, intake, withdrawals, and overall achievement to ensure that equality, inclusion and diversity are being promoted.

Impact Assessment

The University will impact assess all new and revised policies which are identified as having a potential impact on equality. The impact assessment will accompany any new policy proposal.

Harassment

The University will ensure that staff and students are able to act if they feel harassed through appropriate Dignity at Work and Study policies. The implementation of these policies will be monitored.

Complaints and Grievances

The University will give a proper hearing through the appropriate grievance procedures, to complaints or grievances from any student or employee who alleges that he or she has been unfairly discriminated against.

Any representation from a job applicant will be investigated, reported to the Director of HR, and the applicant notified of the outcome.

Any complaint from a student applicant for programmes should contact the Head of Admissions.



**St Mary's
University
Twickenham
London**

**Appendix 3:
Workload Planning Model 2018-2019**

Workload Planning Model

Guidance Document

April 2018 (Amended September 2019)

1. Introduction

- 1.1. St Mary's Workload Model (WLM, or the Model) aims to ensure an equitable and transparent approach to the allocation and management of academic workloads across the University.
- 1.2. The WLM is designed to help colleagues agree sensible and sustainable workloads as part of forward planning, and to provide a tool to help line managers discuss and resolve any in-year staffing changes.
- 1.3. The Model is also designed to provide the University with a general picture of how staff time is deployed across the institution; proportions of time spent devoted to research; to teaching, etc.
- 1.4. The WLM also provides a shared language for the discussion of work allocation, and a consistent set of general expectations for staff. It should be utilised alongside professional judgment and as part of an ongoing collegiate conversation about the fair distribution of work.
- 1.5. The Model forms the basis of the University's TRAC (Transparent Approach to Costing) return, submitted annually.

2. The Principles of the Model and its Use

- 2.1. The Model works on the basis of notional, annualized hours. It is expected in an academic cycle there may be periods of different working intensity. The Model provides an overall picture of workload capacity for planning purposes.
- 2.2. The WLM does not seek to provide an individual 'census' of professional activity. Instead, it seeks to provide a notional mathematical Model that captures the overall contours of responsibility across the year. Thus, every individual activity is not 'counted up'. General categories are designed to give a meaningful projection of overall activity.
- 2.3. The Model recognizes that standard allocation cannot always meet every staff circumstance. However, it is anticipated that parity can be found across a suite of allocations, each of which have in-built tolerances.
- 2.4. A core principle of the WLM is equity within teams. Line managers are expected to ensure utilization patterns are as equitable as possible across and in Departments.
- 2.5. Workload Planning should take place in a collective and collegiate manner; Workload plans should be published within peer groups. See Section § for the workflow attached to planning workload completion activities.
- 2.6. Managers should try wherever possible to ensure that staff are not allocated duties to the maximum 100% of their allocation. This is to ensure good citizenship amongst staff, and that capacity exists for real-time

developments (sickness, or sabbatical cover where applicable). Since the Model does not map real duties in detail, tolerances should be allowed wherever possible.

3. The Mechanics and Parameters of the Model

3.1. Each workload is based upon 1,526.4 hours per year for each full-time member of academic staff, net of annual leave entitlement. Workload for part-time colleagues is calculated on a pro-rata basis.

3.2. The WLM breaks academic activity into five areas, against which proportions of time are calculated against the 1526.4 p/r total:

- (a) Teaching and teaching-related activity (planning, admin, marking)
- (b) Research & Enterprise
- (c) Discipline Specific Tariffs (PRSB compliance etc.)
- (d) Academic Leadership & Management
- (e) Student Support and Individual tuition (inc. dissertations and PGR supervision)

3.3. Most calculations are treated on a pure-hours basis, where x-activity attracts x-hours of allowance.

3.4. Exceptions to 3.3 are:

- (a) Research, where allocations are calculated as a % of FTE.
- (b) Administration Overhead Hours, where allocations are calculated based as a % of FTE, and only counted for those staff who undertake substantial teaching duties.

3.5. All discretionary and non-tariff-based hours allowances constitute an additional financial investment by the University and are subject to the approval of relevant academic member of SMT. Written justification for additional hours tariffs may be requested by the PVC AS on submission of WLM summary data, and may be subject to review or revision at that point.

3.6. The WLM is to be produced against budgeted staff, and will arrive pre-populated with Staff Names and their FTE value. Each Spreadsheet will represent a Department/Subject. Each Workbook will represent a School. Summaries of these will be combined to provide a University picture.

4. Teaching & Teaching-Related Tariffs

4.1. Teaching allocations are calculated according to three bands:

- (a) 1:1.5, where each hour of face-to-face contact attracts an additional 1.5hrs of preparation/admin time (e.g. significant lead lectures).
- (b) 1:1, where each hour of face-to-face contact attracts an additional 1 hour of preparation/admin time (contact not entirely based upon lecturer input, e.g. seminar- style interactions).

- (c) 1:0 where each hour of teaching is included in the Model, but attracts no additional preparatory time (e.g. where a lecturer is responding to student work/presentations/performances, or where the material has already been planned and delivered once before in the same academic year).

4.2 A workload should not exceed 550hrs per year of face-to-face contact (not including preparatory/admin hours).

4.3 Module conveners whose modules contain very high student numbers may request up to 15 additional hours to support the management of larger modules, where there is justification. Larger modules are defined as those with more than 60 students. These hours are provided at the discretion of the member of staff's line manager.

4.4 A general administration allowance is added for all staff who are not in a management position and are undertaking some teaching activity. This is calculated proportionally against FTE, 1 FTE equating to 100hrs. This covers attending programme boards, exam boards, programmatic admin and day-to-day duties related to the University's teaching activities which colleagues may be asked from time to time to do (including, but not limited to, activities related to recruitment, retention etc.)

5 Marking Allocations

5.1 Marking allocations assign a bank of hours for marking and feedback. The allocation seeks to ensure this block of time is in general proportion to an individual's marking commitments.

5.2 To ensure the marking allocation is proportionate to an individual's commitments, it is calculated based on three *combined* elements.

- (a) The first element is *student numbers*. How many students' work will be marked in total across the year's modules. (E.g. the same student in two different modules equates to two students). A value is assigned to each student profile by the WLM.

- (b) This figure is then *combined with a multiplication factor*. This is the second element in the calculation. This will be a figure between 0.5 and 1.5. This calculation produces the individual's basic tariff for the year as a whole.

- (c) The basic tariff is then augmented by 10% to allow for re-sits.

5.3 Multiplication factors are set by line managers, in consultation with senior academic leaders. They are to be set based on an individual's teaching/marketing profile. They should be allocated to ensure a colleague's total allocation is proportionate to the total picture of their marking.

5.4 A multiplication factor over 1.0 will increase the hours allocation; a value

less than 1.0 will constrain the total. This might be appropriate where part of the assessment load is quicker than average to mark (marking multiple choice exams, for instance, or marking multiple students at once in a performance/live setting). A higher value might be appropriate where more technical work is being marked.

- 5.5 Multiplication factors are used to ensure academic managers have the flexibility to allocate marking time in a way that is most appropriate for their own area, discipline, and/or assessment & feedback strategy.
- 5.6 The WLM provides a summary (on the Summary tab) of marking and teaching time, and highlights the relative proportions of time devoted to the two across each academic area. Academic managers should bear these overall proportions in mind when allocating complexity.
- 5.7 It is good practice to ensure that a summary of modules and mitigations is recorded in a 'comments box' on the relevant cell of the WLM sheet, for subsequent reference. (right click on cell/insert comment).

6. Research and scholarship time

6.1 St Mary's University allocates 4% for scholarship activity. This is to afford all staff the necessary time to engage in research and scholarly activity to ensure they are informed, and updated, of developments in their subject area.

6.2 All staff who wish to be considered for extra time above the 4% allocation for scholarship and research need to complete a three-year Personal Research Plan (PRP). Completion of the form does not guarantee an allocation of research time.

6.3 In the Plan, staff will identify their current level of development in each of the five areas below as well as their development and support requirements. They will also be asked to outline specific targets for the future. Allocation of a minimum of 20% of time will be made available to those researchers who have robust plans in three of the following five areas, based on track record and trajectory. The Code of Practice working group has identified those working with at least 20% of time for research as having significant responsibility for research.

The areas to be discussed are:

- Research income
- Outputs
- Impact and partnership engagement
- Professional esteem
- Research leadership

6.4 Examples might include:

- Producing high-quality research outputs, aiming towards internationally excellent and world-leading standards, and as part of an ongoing personal publication strategy.
- Contributing to applications for funding and securing levels of income

generation appropriate to the academic discipline and researcher's career stage.

- Contributing to the planning and delivery of research impact activities that would be of a suitable level potentially to be an impact case study.
- Collecting research data as part of an ongoing research and personal research and publication strategy.

Research environment-focused activities include:

- Professional academic activities e.g. member of peer review boards, editorial boards, membership of learned societies or academic associations
- University/Faculty research committee representation
- Leading a research group
- REF UoA or impact case study lead
- PhD Director of Studies or supervisor
- Organising research seminars and conferences
- Mentoring of research staff
- Active member of research centre
- Effective collaboration with extensive external networks

6.5 This Plan will be discussed in the Appraisal cycle and agreed with the line manager and either the Associate Dean-Research and Enterprise (or Research Leads in the Institutes)

6.6 This allocation differs from an allocation of time to undertake development as a "Developing" researcher, which will normally be set at 10%. A formal requirement of the University is that developing researchers receive mentoring and support to develop their research so that they can aim to qualify for a 20% allocation in the future. These are staff who the University seeks to nurture and support as part of developing the next generation of lead researchers and its inclusive research environment. Staff should also agree with their line manager a three-year Personal Research Plan with clear development objectives. These staff are deemed not to have Significant Responsibility for Research (see Code 2.11)

6.7 Additional time can be given to members of staff if time is bought out using a research or knowledge exchange grant. If the time bought out clearly represents research rather than scholarship or knowledge-exchange activity, this would then be considered significant responsibility for research if the threshold of 20% is reached. This will be considered on a case by case basis by the Associate Dean for Research and Enterprise together with the Faculty Deans/Head of Institute.

7 Enterprise

7.1 Enterprise is treated by the WLM in two distinct ways.

- (a) Enterprise activity for which income has been secured is recorded as 'buy-out' under the Enterprise section of the Model. The income should be translated into a working-hours value and recorded. This

will need to be approved by the Faculty Dean or Head of Institute and the Director of Enterprise and Innovation.

- (b) On occasion it is necessary to reserve time for the development of Enterprise activity before that activity can generate income. Where such investment is necessary, the volume of hours required should be entered in the relevant row of the Enterprise section. This will need to be approved by the Faculty Dean or Head of Institute and the Director of Enterprise and Innovation.

7.2 Time for Enterprise activity is not automatically allocated for all Staff. But for those staff likely to engage in Enterprise activity, a pre-emptive allocation can be given. This is to ensure capacity in-year as and when opportunities arise. The Enterprise office will identify staff before completion of the WLM commences to approve any pre-emptive allocations with the Faculty Dean or Head of Institute .

6 Discipline-specific Allocations

8.1 The Model recognizes that certain academic subjects, disciplinary areas, and programme routes may require specialist or additional activities. These may relate to Professional and Regulatory Statutory Body (PRSB) requirements, to Ofsted compliance, etc. The Model allows for hours to be allocated for these activities in Row 30.

8.2 The following examples are activities that could reasonably be allocated additional hours on this basis.

- (a) Interviewing or other recruitment activity, where the programme is required to undertake activities above and beyond those attached to the University's usual recruitment cycle.
- (b) Activities relating to additional quality assurance work, when that work is required by a recognized external agency.
- (c) Intensive supervision, mentoring or support for students, when such activities are required by a recognized external agency.
- (d) Time for additional, training, briefing, policy-updates, conference activity (or other off-site engagement), where attendance/compliance is required and monitored by a recognized external agency.

8.3 Mandated activities of this kind should be conducted in the way that is most efficient for the institution.

8.4 In these instances, tariffs should be agreed between the member of staff's line manager and the Head/Dean of Faculty.

8.5 Line managers are encouraged to provide an itemized account of the discipline-specific hours that have been granted, and the nature of the allocation in each case. This should be done by adding a comments box to the relevant cell (right-click/add comment) and recording an itemized list of allocations/hrs.

7 Leadership Role Tariffs

- 9.1 The Model allocates fixed hours tariffs for faculty-based management and academic- administration duties.
- 9.2 These allocations are split into two broad categories: academic leadership roles; and Programme Directors.
- 9.3 **Academic Leadership Roles.** The Model works on the basis that academics in faculty management positions should continue to make a meaningful academic contribution to their discipline alongside their other responsibilities. It is expected that up to 20% of their time will be devoted to teaching and/or research and/or enterprise activity. The nature and spread of these duties should be decided in consultation with their line manager.
- 9.4 The Model therefore allocates the hour tariffs as follows:
Head of Department - 1220 hours
Associate Deans - 1220 hours
Dean of Faculty - 1220 hours
Programme Director - 400 hours
Programme Lead Added Complexity - 550 hours
- 9.5 Because extensive administrative time is included as part of the above roles, staff in these roles are not provided with the additional administrative time tariff outlined under section 4.4 above.
- 9.6 **Programme Directors** are allocated the following tariffs:
Programme Directors (400hrs)
Programme Directors (added complexity) (550hrs)
- 9.7 It is expected that PDs will have remits of broadly equivalent scale, and that smaller programmes will be grouped under a single Programme Director to that end. For PGR programmes, PD remits will be dependent upon the number of students and nature of programme. Their tariffs will be set by the Dean of Faculty as an 'additional/discretionary allowance', as under Section 10 below.
- 9.8 Programme Directors can sometimes have specialist duties and responsibilities integral to securing the success of the Programme. These areas of 'added complexity' draw additional hours allocations. Legitimate reasons for provided 'added complexity' hours are limited to:
- (a) considerable professional accreditation requirements
 - (b) a programme's dependence upon external relationships/partnerships
 - (c) duties associated with enterprise activity, *where these do not accrue hours in another part of the Model.*

- 9.9 Because Programme Directors will be actively engaged in teaching and pastoral activities alongside their Programme Directorship, they will maintain the “additional administrative hours” allocation alongside their PD hours allocation.

8 Additional/Discretionary Hours

- 8.1 Curriculum Development hours are available for those staff undertaking (re)validation work, to a maximum of 100hrs to be spread across the relevant team.
- 8.2 Faculty Deans and Head of Institute have the discretion to ‘top up’ administrative hours where they have a justification for doing so. An explanation should be included in a ‘Comments’ box attached to the relevant cell of the WLM.
- 8.3 Travel. Where a colleague’s duties require travel, it is *not* expected that colleagues are allocated travel time within a discretionary hours allocation. This is simply due to the fact that travel time cannot be standardized in a way that is fair for all staff. Time of day, home location, mode of transport, etc. will all contribute to the true time-burden of travel, and Modeling travel in this way can be neither efficient nor equitable. Instead, it is recommended that colleagues operate a like-for-like time-in-lieu arrangement to address substantial or regular travel commitments on an individual basis. The arrangement and its timing should be subject to line-manager approval under the principles outlined in Section 1.4.

9 Student Support & Individual Tuition

- 9.1 Undergraduate Tutees. Staff should enter the number of students tutored. The WLM will allocate 1.5hrs per student per year.
- 9.2 It is expected that while some students may require more than 1.5hrs of support, others will require less. This approach is designed to link to the revised personal tutor policy, where flexibility and discretion is presumed of Personal Tutors.
- 9.3 Where the make-up of a particular tutorial group reasonably means a personal tutor may expect to expend significantly more hours than allocated by tariff, the member of staff should consult their line manager. In suitable cases the ‘additional mgt hours’ row may be used for additional hours to cover increased personal tutoring responsibilities.
- 9.4 In considering applications under 11.3, line managers should bear in mind that Personal tutors are not healthcare professionals, and are not expected to offer sustained social, emotional or mental-health support. In cases where Personal Tutors are dealing with complex emotional or medical needs, students should be directed to, and supported in accessing, the relevant professional care via Student Services. In such

cases, Personal Tutors are responsible for supporting student in coordinating their wider support with their studies, rather than for providing a site of primary care.

- 9.5 Where discretionary subject-specific allocations cover additional support and/or guidance for students, a secondary increase in hours allocations for personal tutoring is to be discouraged.
- 9.6 Dissertations. Staff should enter the number of students supervised. The WLM will allocate 15hrs per student per year for undergraduate dissertation work. This is calculated on the basis of 9hrs of supervision, 3hrs of marking/feedback and 3hrs to second mark another student's work.
- 9.7 The WLM will allocate 20hrs per student per year for postgraduate work on the same broad principles as outlined under 11.6 (with additional time for supervision and for marking longer/more complex theses).
- 9.8 Hours derived from the Dissertation sections of the Model are allocated *only* for where students are undertaking a dissertation that involves intensive one-to-one supervision. For other modes and rhythms of dissertation delivery (via group seminars, for instance), the teaching allocations Model (Section 4 above) may be more appropriate.
- 9.9 Where an 'extended project' (or similar) resembles the teaching/supervision rhythm of mainstream dissertations, student numbers may be entered on the rows for dissertation supervision (11.6 above). Where such a project represents a shorter or less intensive programme of work, a fractional number can be entered. (E.g. a 6k-word essay with 4- 5hrs of supervision might be entered as 0.5 of a Dissertation).
- 9.10 Hours for PhD Supervision are allocated across each supervisory team. 80hrs are allocated across the team per student per year. The allocation is divided in to two parts:
 - (a) An allocation of 50hrs per student for each academic working as a PhD student's main point of reference in the completion of their thesis. (Usually this person will be the student's Director of Studies, though exceptions to this may exist).
 - (b) An allocation of 30hrs is to be spread across any additional supervisors.
- 11.11 In cases where more than one additional supervisor has been allocated, the student number should be entered as a fraction (e.g. two additional supervisors would enter 0.5 on their respective columns to add up to 1 secondary supervision allocation.)

10 Totals & Summaries

- 10.1 “Total Hours Contracted” is calculated based on FTE: the total number of hours a member of staff is contracted to work over the year.
- 10.2 “Hours Over/Under Contracted” Calculated based on overall workload and total hours contracted. A positive number in this row means an individual’s workload has exceeded the total number of hours available. A negative number means that the individual has hours capacity yet to be utilised.
- 10.3 “% Over/Under Team Average”. This figure indicates by how much an individual’s workload would have to be increased or decreased to match the team average. In other words, the figure shows by how much each individual’s workload calculation would have to be moved to equalize workload across the team.
- 10.4 Summaries for the School are auto-totaled on the Summary Tab. The summary tab provides a total number of hours across all the worksheets, and calculates these as a percentage of the total staff time available.
- 10.5 The Summaries tab also provides a series of indications about the student-number assumptions of the workloads. In particular
- (a) The presumed undergraduate student population size, based on totaling all Personal Tutoring allowances.
 - (b) The presumed finalist postgraduate population size, based on totally all PGT Dissertation allowances
 - (c) The presumed PhD student population size, based on the total volume of supervisory hours.

These figures should exactly match the student population size of the subject/department/school. Discrepancies may mean that there is a margin of error in the original reporting.

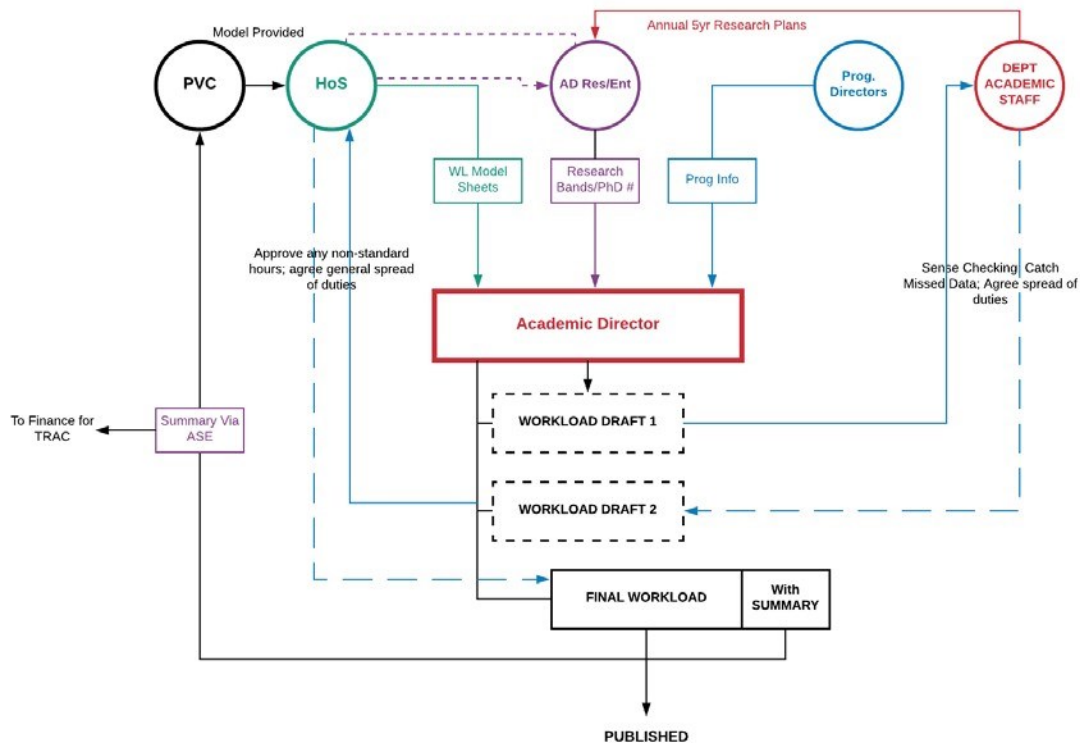
11 Tariff Summary

Teaching: Planning	
1:1.5	1.5hrs prep for each hour of contact
1:0.5	0.5hrs prep for each hour of contact
1:0	0 hours prep for each hour of contact
Hours for Large Modules	0-15hrs (discretionary)

Marking	<p>No. of Students multiplied by 1hr. Total then multiplied by a complexity factor, set by the line manager. 10% added automatically on top of this for re-sits.</p> <p>Complexity factor set at a default of 1. Decreasing the overall complexity factor reduces the total marking time across the piece; increasing it results in an increase across the piece.</p> <p>E.g. 300 students x1hr = 300hrs. x Complexity of 1.1 = 330 + 33 =363.</p> <p>Record of modules marked can be recorded in an in-cell comments box.</p>
General Admin	100hrs pro rata
Research & Enterprise	
Externally funded Research buy out	Hours backfilled to Faculty by external grant-capture
Enterprise Hrs (non-funded)	Hours assigned (without backfill) to speculative development of Enterprise opportunities
Enterprise Funded Buy-out	Hours backfilled to Faculty by external enterprise income
School Specific Allocations	Free-entry line for managers to create bespoke allowances based on PRSB needs etc.
Management/Admin	<p>Programme Director/Leader (400hrs)</p> <p>Programme Director/Leader (Complex Prog) (550hrs)</p> <p>Head of Department (1220hrs, but minus General admin allowance)</p> <p>Associate Dean Student Experience (1220hrs)</p> <p>Associate Dean Research/Enterprise (660hrs)</p> <p>Dean (1220hrs)</p>

	OR, Existing Mgt Structure: As at present.
Curriculum Dev/Reval	Up to 100hrs (allocated across the team up to a total of 100hrs)
Discretionary roles/Hrs	Free-entry line for managers to create bespoke allowances
Personal Support/Tuition	
UG Tutees	1.5hrs per student
UG Dissertation	15hrs per student
PG Dissertation	20hrs per student
PhD Main Supervisor	50hrs per student
PhD Additional Supervisor	30hrs per student (or proportion thereof when more than one additional supervisor).

14. The Completion of Workload Modeling in Institutes/Faculties



- (a) Items required to commence Workload Planning:
- i. Proposed Programme information: modules, conveners, etc.
 - ii. Research bandings, based on research plans
 - iii. WLM Model (auto-filled with staff, based on budget data). Provided by PVC's Office.
- (b) Relevant or Head of Department) to Complete.
- (c) Drafts to circulate among team for correction.
- (d) Deans to approve non-standard hours, or additional allocations
- (e) Completed WLM to be published among peer groups.
- (f) Summaries of WLM to be submitted to the PVCAS via ASE
- (g) Propose WLM data feeds into part of the School/Faculty annual reporting cycle.

Appendix 4: Research Mentoring Scheme

Who would access Mentors?

All developing researchers and ECRs are required to have a mentor. However, any member of academic staff may request a mentor and the Associate Dean for Research and Enterprise should fulfil that request if possible

Expected Outcomes

The role of the mentor is to help the researcher develop the skills, networks and knowledge to develop their research profile, impact, esteem, grant-generation and research partnerships. They should also help these members of staff to aim towards producing internationally excellent publications. These are staff who the University seeks to nurture and support as part of developing the next generation of lead researchers.

Who could mentors be?

Mentors should be staff with significant responsibility for research. Mentors from outside the University could be appointed. It is expected that mentors will be a professor or somebody with an internationally excellent publication record or who has a record of substantial impact from research.

Responsibilities of Mentors

The mentor should meet the academic at least three times a year.

It is the responsibility of the Associate Dean for Research and Enterprise/ Research Lead to ensure that the system is working as intended. In this initial stage of implementing mentoring, it is not desired to have complex training, monitoring and assessment processes. However, records should be kept of all mentors and mentees and the University Research Committee will discuss and review the programme with a view to spreading good practice more widely after the system has been embedded.

Mentors can be changed at the discretion of the Associate Dean. Mentees can request a change of mentor, but the final decision lies with the Associate Dean.

As well as meeting the mentored academic, mentors can achieve their goals in the following practical ways:

- Reading drafts of papers and commenting.
- Reading drafts of grant applications and commenting.
- Helping the academic draw up their personal research plans.

- Discussing new research ideas and pointing the academic in the direction of other people working in the field or indicating where different avenues for investigation might be more fruitful.
- Offering guidance on where to publish and from where to apply for money.
- Offering guidance on external collaborators.
- Co-authoring papers or working with the mentored academic on grant applications.

Appendix 5: Membership and Terms of Reference for Committees and Groups

REF Group

Membership

Vice-Chancellor
Provost

Deputy Provost
Member of the Board of Governors
Head of Research Services

Faculty Associate Deans for Research
Institute Research Leads
Library Rep (as required)
HR Rep (as required)
Note taker

Terms of Reference

Reporting to the University Research Committee -

To ensure institutional knowledge of evolving REF 2021 information and arrangements, including aspects relating to impact.

To oversee the development of an institutional strategy/action plan for a successful submission to REF 2021 and future REF exercises.

To oversee the implementation of the institutional REF strategy/action plan.

The strategic actions will include:

- developing and implementing a transparent, rigorous and consistent institutional process which will identify Units of Assessment and staff to be included in the REF submission via the Code of Practice;
- developing guidance to Faculties/Institute on preparing staff personal research plans and review progress against these; approving the selection of impact case studies. Supporting the development of high quality impact case studies and monitoring their progress;
- promoting active workload management designed to support completion of agreed research plans and impact case studies, in line with university policy; identifying top priority new staff appointments as appropriate;
- monitoring the outcomes of the REF Sabbatical Scheme;

- conducting a mock REF exercise(s) with robust external review;
- promoting other areas of REF submission including aspects related to research environment such as the promotion of a sustainable research culture, research collaborations, income generation, increased PGR recruitment and PGR student completion;

To oversee the implementation of the processes for the identification of staff for the REF via an agreed Code of Practice, including guidance provided to external reviewers.

To develop and ensure implementation of appropriate data management procedures to include:

- ensuring researchers have appropriate support in relation to the effective management of research data, especially in relation to open access, data protection and copyright;
- responsibility for promoting the mandatory use of St. Mary's open archive repository (SORA) for all research outputs.

To oversee expenditure related to REF activities.

REF Code of Practice Working Group

Membership

Provost
 Research Services Representatives
 HR Representative
 Faculty/Institute Representatives

Terms of Reference

Reporting to the REF Group -

- To advise on the development and implementation of a rigorous and consistent institutional process which will identify Units of Assessment and staff to be included in the REF submission via the Code of Practice;
- To ensure that there is a fair and transparent approach for identifying staff with significant responsibility for research; determining who is an independent researcher; and the selection of outputs;
- To ensure that the principles of equality and diversity and relevant legislation are adhered to in the preparation and writing of the Code of Practice;

- To ensure that the Code of Practice is communicated to staff across the institution.

University Research Committee

Membership

Provost/Deputy Provost (Chair)

Associate Dean for Research & Enterprise – Sport,
Health & Applied Science

Associate Dean for Research & Enterprise – Education,
Humanities & Social Sciences

Director of Research (Institute of Theology)

Co-opted member from Academic Board

Library representative

External Member

4 x PGR Student representatives (2 x Faculty,
1 x Theology, 1 x EdD programme):

EHSS

Theology

EdD

SHAS

Head of Research Services (Secretary)

In attendance:

HR representative (as required)

Finance representative (as required)

Estates representative (as required)

Research administrator (note taker)

Terms of Reference

- To deliver and implement the University's Research Strategy, providing appropriate supportive mechanisms.
- To approve the establishment and monitor the performance of University Research Centres.
- Through the REF Group to be responsible for the University's submission to assessments of research quality, notably REF2021.
- To ensure that all outputs are submitted to St Mary's Online Research Archive (SORA)
- To drive the strategy and related actions for the University's application for Research Degree Awarding Powers (RDAP).
- To identify key research, RDAP and REF activities requiring central funding and to be responsible for such funding.

- To shape and implement the central University's REF sabbatical scheme.
- To proactively seek opportunities to increase PGR student numbers and to approve University funded studentships as appropriate.
- Through the Research Student Sub-Committee to oversee the policy and code of practice for the supervision of research students and promote good practice in their supervision
- Through the Ethics Sub-Committee to ensure compliance with the University's ethical guidelines for research and keep those guidelines under review.
- To promote equality and diversity within the remit of the Committee.
- To consider any other matters referred to the University Research Committee.
- To report to Academic Board as appropriate.

Delegated Authority from Academic Board subject to reporting:

- To oversee the implementation of the Research Strategy and Action Plan.
- To oversee and monitor the implementation of the associated Research Strategies and Action Plans of individual Faculties.
- To oversee and monitor the operation of the Research Centres and Clusters.
- The oversight of research students' progress.

Sub-Committees and Groups:

The University Research Committee maintains three standing sub-committees:

- Ethics Sub-Committee
- Research Student Sub-Committee
- The REF Group
- REF Submissions Panel

REF Submissions Panel

Membership

Provost

Deputy Provost

Directors of Institutes

Terms of Reference

Approve the final eligible staff for submission

Confirm the identification of staff with significant responsibility of research who are independent researchers

Approve the selection of outputs and any reduction in outputs as a result of the consideration of declared individual circumstances

Abide by the principles of transparency, consistency, accountability and inclusivity in line with the Code of Practice.

REF Equality and Diversity Panel

Membership

Provost
REF Equality and Diversity Office (HR Director)
Faculty Associate Deans, Research and Enterprise - EHSS & SHAS
Institute of Theology – Research Lead

Terms of Reference

The REF Equality and Diversity Panel will:

Familiarise itself through appropriate training the guidance provided by the REF team, including the case studies involving individual staff circumstances.
Review all forms returned by all staff eligible for submission to the REF who disclose individual circumstances.
Consider all cases for a reduction in outputs based on individual staff circumstances.
Document clearly all decisions made and the reasons for those decisions.
Report the outcome back to the member of staff concerned with a brief explanation given for the decision made.
Inform the relevant UoA Lead of any reduction in the number of outputs to be submitted for the individual concerned (if applicable).
Maintain confidentiality at all times in line with the Code of Practice.

REF Appeals Panel

Membership

Chief Operating Officer
Associate Dean, Teaching and Learning
Member of the University Research Committee

Terms of Reference

The REF Appeal Panel will:

Consider any appeals against non-selection made in writing to the REF Equality and Diversity Officer.

Consider the case made by the appellant as to why their selection for submission to the REF should be reconsidered in line with the criteria for grounds for appeal

communicate the outcome of the appeal via HR within 14 working days of the meeting where practicable.

Maintain confidentiality at all times in line with the Code of Practice



St Mary's
University
Twickenham
London

Appendix 6: Notes of Meetings with University Union

**REF CODE OF PRACTICE MEETING WITH UCU
THURS 14 MARCH 2019 AT 2PM (ROOM B12)**

Present:

- Stuart Oliver (SO) (UCU)
- Mike Foster (MF) (UCU)
- Karen Sanders (KS) (Dean of Research)
- Claire Tapia (CT) (Head of Research Services)
- Lesley Houfe (LEH) (Interim HR Consultant) – Notes of meeting

1. Inclusion of staff within REF

- MF/SO shared UCU's national position on the submission of redundant staff's research in REF which stated that they opposed it, as (in UCU's view) it potentially "incentivised" institutions to release staff. The UCU national position was noted.
- SO and MF therefore asked for it to be specifically noted that they oppose the proposal for redundant staff to be included in the St Mary's REF submission.
- KS stated that St Mary's would be following the REF guidance on this issue, namely that staff who no longer worked at an institution for any reason (including redundancy) may be submitted. It was not known at this stage how many former staff members' work was likely to be in this category but initial feedback from UoA leads indicated that it was likely to be minimal.
- Both positions were noted and it was agreed to leave the issue until nearer the time of REF submission.

2. Draft Code of Practice

- KS/CT provided an up-date on the consultation process with staff on the St Mary's draft REF Code of Practice (CoP) as follows:
 - Open sessions (already underway and PowerPoint presentation of slides previously circulated to UCU).
 - The draft CoP document would be placed on StaffNet by the end of March 2019 for staff to submit comments by 17 April 2019. Thereafter, the CoP would go through the University committee structure for sign off before submission to REF in June 2019.
 - Also, staff absent from work would be written to and invited to comment on the draft CoP.

- UCU feedback on the CoP would also be welcome and MF would seek comments from UCU members accordingly. UCU stated that the draft so far was a very good document.

3. Equality & Diversity Advisory Panel

- KS/CT clarified the purpose of the Equality & Diversity Advisory Panel (EDAP) namely to consider “individual circumstances” where staff to be included in the REF submission could submit a form (based on the REF template form) detailing the individual circumstances that may have had an impact on their capacity to produce research outputs within the REF assessment period.
- It was not anticipated that there would be many individual circumstances submissions given that for REF 2021, outputs were now 1-5 per person.
- However, where an individual was submitting zero returns, then this would need to be put to REF for consideration (with strict adherence to any Data Protection requirements).
- Members of the EDAP (membership detailed in the draft CoP) would receive E&D training in the form of e modules and a face-to-face session, to ensure adherence to REF principles, fairness and consistency.

4. Selection of Staff for Submission / REF Appeals Panel

- Staff eligible for inclusion in the REF would be all those deemed to have a significant responsibility for research, as indicated in the workload Model.
- Staff not identified for inclusion in the REF submission would have the opportunity to appeal this decision to the REF Appeals Panel.
- The allocation of research time was agreed at Faculty / Institute level and this would be taken forward in May / June for the next academic year.
- UCU stated that the determination of research time for individual academic staff (and thus their potential inclusion in St Mary’s REF submission), should be conducted in a sensitive manner given the potential impact on staff (eg in terms of non-inclusion in REF and potentially increased teaching loads). UCU referred to instances at other HEIs whereby staff had (apparently) been unduly pressured into producing work eligible for submission into REF.
- KS confirmed it would not be St Mary’s intention or approach to in any way unduly pressure staff.

The meeting finished at 3pm

Approval of changes to draft REF 2021 Code by University Union

From: Michael Foster

Sent: 13 September 2019 12:11

To: Mark Johnson <mark.johnson@stmarys.ac.uk>

Cc: Stuart Oliver <stuart.oliver@stmarys.ac.uk>

Subject: Re: 12 Def 10919 Amendments and note for meeting with the UCU

Hello Mark,

This is to confirm that the UCU is happy to accept the amendments to the REF Code of Practice on Identifying Staff with Significant Responsibility for Research.

Best wishes,

Mike

Mike Foster

Appendix 7: EDI Training on 5 and 12 September 2019

REF 2021 – Why Equality Matters

Programme Objectives

- To understand the Equality Act 2010 and its implications for the REF.
- To appreciate how and why stereotyping, bias and assumptions can impact upon our decision making and devise ways to counter these
- To review the requirements of the Code of Practice and appreciate why equality and inclusion are integral to the REF processes
- To understand the various ways in which circumstances can place researchers at a disadvantage compared with their peers
- To practise worked examples of circumstances to enable delegates to apply reductions fairly and consistently

Detailed Programme

<u>Activity</u>	<u>Length</u>	<u>Time</u>
Welcome/Introductions/Course Objectives	10	10.00 – 10.10
Equality Act 2010 and its relevance to the REF (Plenary/Group Exercise)	30	10.10 – 10.40
Assumptions, Stereotyping and Bias (Presentation, Group Exercises and Plenary)	40	10.40 – 11.20
Break	10	11.20 – 11.30
Code of Practice Review – Equality Matters (including EIA and appeals)	20	11.30 – 11.50
How to deal with potential bias	20	11.50 – 12.10
Individual Staff Circumstances and Worked Examples	30	12.10 – 12.40
Action Planning	15	12.40 – 12.55
Questions/Feedback/Close	5	12.55 – 13.00

Appendix 8:

Equality Impact Assessment on staff currently identified as having significant responsibility for research for submission to REF2021

St Mary's University is committed to assessing the impact of its policies on protected groups and has in place comprehensive arrangements for the management and completion of equality impact assessments.

A preliminary Equality Impact Assessment (EIA) in December 2018 was carried out on St Mary's processes for staff who have currently been identified as having significant responsibility for research. Our approach is to identify any actions to be taken to prevent discrimination or advance equality during the selection process and their outcomes, including the justification for and/or actions taken to address any differential impact that staff selection may have had on particular groups, and information about any policies or practices that had a positive impact on equality during the selection process. The EIA will be reviewed and further assessments will take place as designated points leading up to submission and following submission. This is analysis of the data at the present time

The assessment analyses the characteristics of staff currently identified as having significant responsibility for research. This EIA examined the following protected characteristics; Gender, Age profile, Ethnicity, Disability, Sexual Orientation, Religion or Belief, Marriage and Civil partnership and Pregnancy and Maternity status. These variables were examined by mode of employment and terms of contract. *The Equality and Human Rights Commission advise against gender reassignment monitoring due to the sensitivities and complexities of this matter consequently information on gender reassignment is not requested from staff members.* Therefore, this protected characteristic is not included in the final data analysis.

As of the 1 December 2018 there were 257 academic members of staff employed at St Mary's University who were defined as Category A eligible to be submitted to the Research Excellence Framework.

A data analysis of the protected characteristics for all eligible staff with significant responsibility for research is included in Appendix 1.

This data analysis indicated that there was a marked differential in the "Gender" characteristic. There appeared to be a disparity between the percentage of males and females who were eligible for submission (37% higher for males than females). The potential reasons for this disparity will be explored in depth and the findings discussed at St Mary's Equality and Inclusion Staff Group and at the REF Equality, Diversity and Inclusion Sub-Committee in order to identify any appropriate actions that need to be

taken. However, we have been making some progress on addressing gender imbalance through the following actions:

- **Gender Pay** - The University's second Gender Pay Gap report has been published in line with legal requirements (and is available on St Mary's website). We recognise that to sustain genuine progress takes time and we are continuing to focus our efforts on the key areas where we can make a difference ie:
 - Fair and equitable attraction, recruitment and selection practices to attract the best talent and ensure a diverse staff base with a balanced gender mix
 - An inclusive and welcoming work environment, where staff can thrive and are enabled by supportive managers and progressive policies to develop their careers.

- **Athena Swan** – Following the institution's decision to pursue the Athena SWAN Small and Specialist Bronze Award, we are now assembling our Self-Assessment Team (SAT) to carry out research and analysis of the University polices, practices and data to put together an application and to identify areas where gender equality can be improved. We believe this process and resulting action plan will help further embed a culture of equality and inclusion.

- **Women's Development** – The University continues to run two women's development programmes. Both initiatives enhance our work to bridge the institutional gender pay gap. The Springboard programme was offered to all women employees for the second year, following its highly successful introduction in 2016/17. The Springboard programme is a women's development programme available to any female staff at the University. The programme was introduced in 2017 and attracted the following numbers of participants:
 - 2017 – 20 women
 - 2018 – 15 women
 - 2019 – 19 womenThe University sponsors a cohort of women on Bands I or J to take part in a women's leadership development programme, Aurora, run by Leadership Foundation for Higher Education. The University has sponsored 20 women to take part in the programme since 2014.

- **Mentoring Scheme** - The University is introducing a formal mentoring scheme to support interested staff (irrespective of protected characteristics) with their career development. Mentoring is an incredibly valuable resource to access and equally it is a valuable experience to mentor another person. As such, mentoring can help engender and support staff equality and inclusion at work. Following staff focus groups held in March 2019, we shall design the scheme in a way that matches the needs and expectations of our staff.

- **Research Mentoring Scheme** - Development also of a research mentoring scheme targeting female academics.

- **Staff E&I Group** – In 2015, two institutional groups were established and came into operation in December 2016 to take a more action focused approach to achieving our equality and inclusion objectives. These were the Equality & Inclusion Working Group and the Equality and Inclusion Network. In the current academic year 2018/19, the University’s approach to equality and inclusion has been further revised to now separate out the equality and inclusion agenda for staff and students, through the creation of an Equality and Inclusion Staff Group and a separate Equality and Inclusion Student Group. The reason for this was to provide a focus to progress and champion EDI activity.
- **Equality, Diversity and Inclusion, Dignity at Work and Unconscious Bias Training** - The University continues to rollout Equality, Diversity and Inclusion training to all staff including unconscious bias and Dignity at Work. Equality and Diversity forms part of the University’s essential training e-learning package that all new staff are required to complete during their probationary period.

Section 1: About the policy/procedure/strategy

School/Service	Human Resources /Research Services and Academic Faculties and the Institute of Theology
Policy title / service/ procedure / strategy	
New or review of existing policy / service / procedure / strategy	Review of REF 2021 Code of Practice and processes for submission
Name and job title of assessor	Vicki Sharp Lead HR Partner / Lisa Bath Policy & Projects Consultant
Date of assessment	01/12/2018

Please complete the following questions:

1. Who is responsible for leading the policy / service / procedure/ strategy?	HR/Research Services
2. Describe the aims and objectives of the policy / service / procedure / strategy.	To outline and implement a fair and transparent process to identify eligible staff for submission to REF 2021.
3. Are there any statutory / funding body requirements (eg TDA, HEFCE etc) with regard to the policy?	All HEIs making a submission to REF2021 are required to develop, document and apply a code of practice on selecting staff for the REF. Each Code of Practice is submitted by the Head of the HEI to the REF team confirming adherence to the Code of Practice. The Code of Practice is examined by the University's Equality and Inclusion Group and reviewed by EDIP to ensure that it meets the published requirements and guidance.
4. Who will benefit from this policy / service/ procedure / strategy?	All staff who are eligible for submission to REF 2021 and the overall HEI.
5. What is the purpose?	The purpose of the Code of Practice is to promote equality and to avoid discrimination to those with protected characteristics or who are part-time / fixed term workers.

Section 2: Considering the impact on different groups: issues to consider

Complete the following questions. If the answer is yes, state what action will be taken to take account of the issues?

6. Do different groups have different needs, experience, issues and priorities in relation to the policy/procedure?	Yes	Certain individuals may have circumstances that they wish to disclose and that should be taken into account during the processes that may constrain their ability to produce work outputs. Eligible staff we be asked to disclose (on a voluntary basis), any individual circumstances including to any eligible staff on maternity, paternity adoption or sickness leave. All submissions to be considered, in confidence, by the EDIP.
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7. For existing policies/procedures/strategies is there any evidence of higher or lower participation/uptake/performance or other difference by different equality groups?	No	
8. Have consultations with relevant groups, organisation or individuals indicated that the policy/procedure creates problems that are specific to them?	No	
9. Is there an opportunity to promote equality of opportunity or better relations by alternating the policy or working with others?	Yes	Equality, Diversity and Inclusion training will be provided to all staff involved in the submission to REF. This will ensure a positive effect through improved awareness and action to reduce discrimination and advance equality and staff who were responsible for selection understood their respective responsibilities in the process.

Section 3: Considering the impact in relation to the different equality groups and according to current legislation of what are legal categories

10. In the table below, for each group of people tick whether the policy / service / procedure / strategy is or would be:

- a) experienced as positive action for that group compared to other groups of people (e.g. a disabled only service is positive action for disabled staff/students);
- b) experienced more negatively for that group compared to other groups;
- c) neither positive nor negative for any one group (equality group) compared to others.

Equality group	Positive impact	Negative impact	Neither	Reason / Comment
Sex	✓			A positive impact due to the process for taking mitigating circumstances into account in terms of the minimum number of outputs which are required.
Race			✓	No evidence that the Code had any impact on this characteristic beyond what would be covered under the processes for mitigating circumstances.

Equality group	Positive impact	Negative impact	Neither	Reason / Comment
Disabled people	✓			A positive impact due to the process for taking mitigating circumstances into account in terms of the minimum number of outputs which are required.
Gay, lesbian and bisexual people	✓			A positive impact due to the process for taking mitigating circumstances into account in terms of the minimum number of outputs which are required.
Transgender people	✓			A positive impact due to the process for taking mitigating circumstances into account in terms of the minimum number of outputs which are required.
Faith groups			✓	No evidence that the Code had any impact on this characteristic beyond what would be covered under the processes for mitigating circumstances.
Different age groups	✓			A positive impact HEIs notably on Early Career Researchers due to the tariff associated with the minimum number of outputs that are required.
Pregnant/Maternity	✓			A positive impact due to the process for taking mitigating circumstances into account in terms of the minimum number of outputs which are required.
Gender reassignment	✓			A positive impact due to the process for taking mitigating circumstances into account in terms of the minimum number of outputs which are required.
Marriage and civil partnership			✓	No evidence that the Code will have any impact on this characteristic beyond what would be covered under the processes for mitigating circumstances.

Impact definitions

- **Positive:** Improves equal opportunities and/or relationships between groups. This can be “differential” i.e. where the impact can be greater for one group than another.
- **Negative:** Equality groups could be disadvantaged, and this can be differential where the negative impact on one equality group is likely to be greater than that on another.

- **None:** No impact identified.

11. Please give a brief description of how this policy / service / procedure/ strategy promotes equality for the groups above.	It applies equally to all REF eligible staff and provides an opportunity for individual circumstances to be taken into account that constrained an individual's ability to produce the required number of outputs or work productively through the assessment period.
12. Is there a negative impact on any equality target group? If yes, complete the action plan with actions, responsibilities and dates, should be developed to mitigate the negative impact.	No
13. Is any training necessary and if so who for?	The application of St Mary's Code of Practice will require equality, diversity and inclusion training for all staff involved in the selection of staff for REF2021. This will ensure a positive effect through improved awareness and action to reduce discrimination and advance equality. It will also enable staff who are responsible to understand their respective responsibilities in the process for selection of the REF.
14 Has the Organisation Development lead been informed?	Yes and they are coordinating the EDI training.

Section 4: Action Plan

If there is a negative impact on any equality target group you should complete the action plan below. Please add in further rows where necessary

- As a live document this action plan will be updated periodically on the work already in train.

Negative impact identified	Action to mitigate negative impact	Completion date	Person responsible	Progress
Negative impact on gender (females)	Gender Pay – action plan has been developed	Various actions and various date	HR	Some actions are underway and further considered and monitored by the E&I staff group
	Athena Swan	Proposed application to	Director of Enterprise & Innovation	Self-assessment

		be submitted in April 2020		team assembled
	Mentoring scheme	Underway during the course of 2019	HR/OD	Update with further EIA's as we go through the process.
	Women's Development	Springboard finishes in June 2019 Aurora	HR/OD	18 members of staff on Springboard and 4 on Aurora
	Research Mentoring Scheme	Underway during the course of 2018/19	University Programme	Update on scheme will be discussed at University Research Committee (June 2019)
	Equality and Diversity Staff training programmes	Underway during the course of 2019	HR/OD	Ongoing
	Academic Career Pathways	Underway during the course of 2019	Pro VC Academic Strategy	Pathway is being drafted and developed in consultation with staff working groups.
	Review of implementation of the workload planning tool	Underway	Pro VC Academic Strategy	Underway

Section 5: Recommendations and review

Tick as appropriate

There is no evidence of negative impact to the equality target groups

There is evidence of negative impact and an action plan to mitigate this is attached

The following data consultation / survey etc. supports the equality impact assessment (information to be attached to paper record of the equality impact assessment form):

Data sets in Appendix1

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Date of Next Review (in line with the REF Code of Practice):

January/February 2020 – post mock REF.

Section 6: Approval

Assessor:

Vicki Sharp / Lisa Bath - HR

Date: 1/12/18

Authorised by:

Lesley Houfe Interim HR Support

Date: May 2019

Appendix 1

Analysis of the protected characteristics of ALL eligible staff (1 December 2018)

Gender

Male academic employees represent a significantly large proportion (68.57%) of staff eligible for submission; female employees represent a smaller proportion (31.43%) of eligible staff. The difference between male and female representation is 37.14 percentage points. This needs further analysis and the development of proposals set out in the Action Plan in section 4.

Gender	Headcount	% SRR	All staff %
Female	11	31.43%	54.47%
Male	24	68.57%	45.53%
Total	35	100.00%	100%

Gender – eligible for REF submission staff count and percentage

The difference between eligible female and male academics holding full-time contracts is 22.86%. The difference between female and male academics holding part time contracts is 14.29 percentage points.

Gender	Part-time			Full-time		
	Headcount	% SRR	% All staff	Headcount	% SRR	% All staff
Female	2	5.71%	17.51%	9	25.71%	36.96%
Male	7	20.00%	10.89%	17	48.57%	34.63%
Total	9	25.71%	28.40%	26	74.29%	71.60%

Gender – eligible for REF submission staff count and percentage by mode of employment

25.71% of eligible female academics are contracted on a permanent basis, and 5.71% of females hold fixed-term contracts. Males hold the majority of permanent contracts (60%).

Gender	Permanent			Fixed-term		
	Headcount	% SRR	% All staff	Headcount	% SRR	% All staff
Female	9	25.71%	47.08%	2	5.71%	7.39%
Male	21	60.00%	40.47%	3	8.57%	5.06%
Total	30	85.71%	87.55%	5	14.29%	12.45%

Gender – eligible for REF submission staff count and percentage by terms of contract

Noting all three tables above (but also being mindful of the small numbers involved), we are developing appropriate actions outlined in the action plan in section 4 to

mitigate any disproportionate impact in relation to gender and also in relation to full time, part time and permanent and fixed term academic staff.

Age Profile

Employees aged 30 years or under represent only 2.86% of eligible staff. Employees aged between 31- 40 years represent the largest majority, at 42.86%. Employees aged between 51-60 years represent 20% of eligible Employees aged 61 years or more represent 11.42% of eligible staff. Other than some minor differences (which will be looked into), these percentages are broadly similar to the age population of St Mary's total academic staff community.

Age Range	Headcount	% SRR	% All staff
<25	0	0.00%	0.39%
26 - 30	1	2.86%	7.78%
31 - 40	15	42.86%	32.30%
41 - 50	8	22.86%	26.85%
51 - 60	7	20.00%	26.46%
61 - 65	2	5.71%	2.72%
66+	2	5.71%	3.50%
Total	35	100.00%	100.00%

Age Profile – eligible for REF submission staff count and percentage

74.29% of staff eligible for submission are employed on a full-time basis. The majority of 31-40 year olds (86.66%), 41-50 year olds (75%) and 51-60 year olds (57.14%) are also employed on full- time basis. These percentages are broadly similar to the age population of St Mary's total academic staff community. It should also be noted that numbers are small and may not hold much statistical weight.

Age Range	Part-time			Full-time		
	Headcount	% SRR	% All Staff	Headcount	% SRR	% All staff
<25	0	0.00%	0.39%	0	0.00%	0.00%
26 - 30	1	2.86%	1.56%	0	0.00%	6.23%
31 - 40	2	5.71%	10.12%	13	37.14%	22.18%
41 - 50	2	5.71%	7.39%	6	17.14%	19.46%
51 - 60	3	8.57%	6.23%	4	11.43%	20.23%
61 - 65	0	0.00%	0.39%	2	5.71%	2.33%
66+	1	2.86%	2.33%	1	2.86%	1.17%
Total	9	25.71%	28.40%	26	74.29%	71.60%

Age Profile– eligible for REF submission staff count and percentage by mode of employment

The majority of 31-40 year olds (73.33%), 41-50 year olds (87.5%) and 51- 66+ year olds (100%) are contracted on permanent basis.

Age Range	Permanent			Fixed-term		
	Headcount	% SRR	% All staff	Headcount	% SRR	% All staff
<25	0	0.00%	0.00%	0	0.00%	0.39%
26 - 30	1	2.86%	7.39%	0	0.00%	0.39%
31 - 40	11	31.43%	24.51%	4	11.43%	7.78%
41 - 50	7	20.00%	24.51%	1	2.86%	2.33%
51 - 60	7	20.00%	24.90%	0	1.00%	1.56%
61 - 65	2	5.71%	2.72%	0	0.00%	0.00%
66+	2	5.71%	3.50%	0	0.00%	0.00%
Total	30	85.71%	87.55%	5	14.29%	12.45%

Age Profile – eligible for REF submission staff count and percentage by terms of contract

Ethnicity

Eligible staff from a Black, Minority or Ethnic (BME) background represent 2.86% of staff eligible for submission to the REF. The majority (85.71%) of eligible staff are declared as being from a White background which reflects the ethnicity population of St Mary's total academic staff community.

Ethnicity	Headcount	% SRR	% All staff
BME	1	2.86%	8.56%
Unknown	4	11.43%	6.23%
White	30	85.71%	85.21%
Total	35	100.00%	100.00%

Ethnicity – eligible for REF submission staff count and percentage

All BME eligible staff are employed on full-time contracts. Eligible staff members from a White background also have a higher composition, the majority are employed on a full-time basis and just under a quarter are employed on a part-time basis. These percentages are broadly similar to the ethnicity of St Mary's total academic staff community. It should also be noted that numbers are small and may not hold much statistical weight.

Ethnicity	Part-time			Full-time		
	Headcount	% SRR	% All staff	Headcount	% SRR	% All staff
BME	0	0.00%	2.72%	1	2.86%	5.84%
Unknown	1	2.86%	1.95%	3	8.57%	4.28%
White	8	22.86%	23.74%	22	62.86%	61.48%
Total	9	25.71%	28.40	26	74.29%	71.60%

Ethnicity– eligible for REF submission staff percentage by mode of employment

All BME staff eligible for submission are employed on a permanent basis. 83.33% of White eligible staff are employed on a permanent basis.

Ethnicity	Permanent	Fixed-term
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	Headcount	% SRR	% All staff	Headcount	% SRR	% All staff
BME	1	2.86%	6.23%	0	0.00%	2.33%
Unknown	4	11.43%	5.45%	0	0.00%	0.78%
White	25	71.43%	75.88%	5	14.29%	9.34%
Total	30	85.71%	87.55%	5	14.29%	12.45%

Ethnicity – eligible for REF submission staff percentage by terms of contract

Disability

No eligible staff are known to, or have not declared themselves, to be disabled. Given the statistics below we will continue to encourage all St Mary’s staff to declare protected characteristics such as disability in order for meaningful analysis and action to be taken.

Disability	Headcount	% SRR	% All staff
No Known Disability	6	17.14%	19.46%
Disability declared	0	0.00%	3.69%
Declined to specify	29	82.86%	77.43%
Total	35	100.00%	100.00%

Disability – eligible for REF submission staff count and percentage

Disability	Part-time			Full-time		
	Headcount	% SRR	% All staff	Headcount	% SRR	% All staff
No Known Disability	0	0.00%	6.61%	6	17.14%	12.84%
Disability declared	0	0.00%	0.78%	0	0.00%	2.33%
Declined to specify	9	25.71%	21.01%	20	57.14%	56.42%
Total	9	25.71%	28.40%	26	71.60%	71.60%

Disability– eligible for REF submission staff percentage by mode of employment

Sexual Orientation

5.71% have declared that they are LGB staff eligible for submission. They are all employed on a full-time basis.

Sexual Orientation	Part-time		Full-time	
	% SRR	% All staff	% SRR	% All staff
Heterosexual	20.00%	20.23%	57.14%	52.92%
LGB	0.00%	1.17%	5.71%	3.5%
Unknown	5.71%	7.00%	11.43%	15.18%
Total	25.71%	28.40%	74.29%	71.60%

Sexual Orientation – eligible for REF submission staff by mode of employment

Further analysis of this protected characteristic is not possible due to the possible identification of individual staff members.

Religion and belief

14.29% of eligible staff have not declared a religion or belief. Christians represent just over half (60%) of eligible staff whom have declared.

Religion or Belief	Headcount	% SRR	% All staff
Buddhist, Hindu, Jewish, Islam & Sikh	0	0.00%	3.50%
Christian	21	60.00%	50.97%
No religion	5	14.29%	19.07%
Other religion or belief	0	0.00%	1.17%
Unknown	9	25.71%	25.29%
Total	35	100.00%	100.00%

Religion and belief – eligible for REF submission staff count and percentage

Approximately 76.19% of Christians hold full-time contracts, just under a quarter (23.21%) are on part-time contracts.

Religion or Belief	Part-time			Full-time		
	Headcount	% SRR	% All staff	Headcount	% SRR	% All staff
Buddhist, Hindu, Jewish, Islam & Sikh	0	0.00%	0.95%	0	0.00%	1.56%
Christian	5	14.29%	12.84%	16	45.71%	38.13%
No religion	1	2.86%	5.45%	4	11.43%	13.62%
Other religion or belief	0	0.00%	0.00%	0	0.00%	1.17%
Unknown	3	8.57%	8.17%	6	17.14%	17.12%
Total	9	25.71%	28.40%	26	74.29%	71.60%

Religion and belief – eligible for REF submission staff percentage by mode of employment

85.71% of those that declared Christian are employed on a permanent basis. It should be noted that numbers are small and there is a relatively high non declaration rate of eligible staff (25%). We will continue to encourage all St Mary’s staff to declare protected characteristics such as religion or belief in order for meaningful analysis and action to be taken.

Religion or Belief	Permanent			Fixed-term		
	Headcount	% SRR	% All staff	Headcount	% SRR	% All staff
Buddhist, Hindu, Jewish, Islam & Sikh	0	0.00%	2.72%	0	0.00%	0.78%
Christian	18	51.43%	42.80%	3	8.57%	8.17%
No religion	3	8.57%	17.90%	2	5.71%	1.17%
Other religion or belief	0	0.00%	1.17%	0	0.00%	0.00%
Unknown	9	25.71%	22.96%	0	0.00%	2.33%
Total	30	85.71%	87.55%	5	14.29%	12.45%

Religion and belief – eligible for REF submission staff percentage by terms of contract

Nationality

Eligible staff members from the UK and EU represent the majority (77.14%). Non-EU nationality represents 8.57% of staff eligible to be submitted to the REF.

Nationality Description	Headcount	% SRR	% All Staff
United Kingdom	27	77.14%	80.16%
EU	5	14.29%	15.56%
Non-EU	3	8.57%	4.28%
Total	35	100.00%	100.00%

Nationality – eligible for REF submission staff count and percentage

75% of UK and EU nationals who were eligible for submission are employed on a full-time basis. Of Non-EU nationals who are eligible 66.67% have full-time contracts.

Nationality	Part-time			Full-time		
	Headcount	% SRR	% All Staff	Headcount	% SRR	% All Staff
United Kingdom	8	22.86%	24.12%	19	54.29%	56.03%
EU	0	0.00%	3.11%	5	14.29%	12.45%
Non-EU	1	2.86%	1.17%	2	5.71%	3.11%
Total	9	25.71%	28.40%	26	74.29%	71.60%

Nationality – eligible for REF submission staff percentage by mode of employment

84.37% of UK and EU nationals eligible for submission are employed on a permanent basis and of the Non-EU nationals group (100%) are employed on a permanent basis.

Nationality	Permanent			Fixed-term		
	Headcount	%SRR	% All Staff	Headcount	% SRR	% All Staff
United Kingdom	22	62.86%	70.82%	5	14.29%	9.34%
EU	5	14.29%	12.84%	0	0.00%	2.72%
Non-EU	3	8.57%	3.89%	0	0.00%	0.39%
Total	30	85.71%	87.55%	5	14.29%	12.45%

Nationality – eligible for REF submission staff percentage by terms of contract

Maternity

Further analysis of this protected characteristic is not possible due to the possible identification of individual staff members

Maternity	Headcount	% SRR	% All Staff
Known Maternity / Pregnancy	0	0.00%	0.78%
Unknown Maternity / Pregnancy	0	0.00%	0.00%

Maternity – eligible for REF submission staff count and percentage

Appendix 9: Declaration of Individual Circumstances Form

Declaration of Individual Staff Circumstances template

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
- Junior clinical academics who have not gained a Certificate of Completion of training by 31 July 2020
- Disability (including chronic conditions)
- Ill health, injury or mental health conditions
- Constraints relating to family leave that fall outside of the standard allowances
- Caring responsibilities
- Gender reassignment

If your ability to research productively during the assessment period has been constrained due to one or more of 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

St Mary's will ensure confidentiality is maintained throughout the process and only the Head of Research Services will be able identify names of members of staff submitting requests for individual circumstances to be taking into account.

If St Mary's 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 their HR partner to provide the updated information.

To submit this form you should email it, in confidence, to Claire.Tapia@stmarys.ac.uk.

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

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

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

Yes

No

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

Circumstance	Time period affected
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<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>Junior clinical academic who has not gained Certificate of completion of Training by 31 July 2020.</p>	<p>Tick here <input type="checkbox"/></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><i>To include: Nature / name of condition, periods of absence from work, and periods at work when unable to research productively. Total duration in months.</i></p>	<p>Click here to enter text.</p>
<p>Ill health or injury</p> <p><i>To include: Nature / name of condition, periods of absence from work, and periods at work when unable to research productively. Total duration in months.</i></p>	<p>Click here to enter text.</p>

Constraints relating to family leave that fall outside of standard allowance

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.

Click here to enter text.

Caring responsibilities

To include: Nature of responsibility, periods of absence from work, and periods at work when unable to research productively. Total duration in months.

Click here to enter text.

Gender reassignment

To include: periods of absence from work, and periods at work when unable to research productively. Total duration in months.

Click here to enter text.

Any other exceptional reasons e.g. bereavement.

To include: brief explanation of reason, periods of absence from work, and periods at work when unable to research productively. Total duration in months.

Click here to enter text.

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 St Mary's REF Equality, Diversity and Inclusion Panel but with my name redacted from any documentation.
- I realise it may be necessary to share the information with the REF team, the REF Equality and Diversity Advisory Panel, and main panel chairs.

I agree

Name: Print name here

Signed: Sign or initial here

Date: Insert date here

I give my permission for an HR partner 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 contact within my department/faculty/centre. (Please note, if you do not give permission your department may be unable to adjust expectations and put in place appropriate support for you).

I would like to be contacted by:

Email Insert email address

Phone Insert contact telephone number