



University of Brighton

REF Research
2021 Excellence
Framework

Code of Practice

On the identification of staff with significant responsibility for research, definition of independent researchers, and the selection of outputs for REF2021. Version 2 Revised September 2020

Dear Colleague,

Research Excellence Framework 2021

The Research Excellence Framework (REF) assesses the quality of research in UK universities over a census period of between five to seven years. This evaluation is important to the University of Brighton because it defines our research reputation at home and abroad and the outcomes determine the annual quality-related research (QR) grant support we receive from Research England.

In the 2008 exercise, the University of Brighton was recognised as one of the leading post-1992 universities in research. In 2014, our research impact was ranked 27th of all submissions nationally. We aim to maintain this track record of success and build our reputation as a university where research makes a difference to society as well as enhancing the student and staff experience.

The ground rules for REF2021 are different to REF2014, and we have developed this *Code of Practice* to embrace the principles of transparency, consistency, accountability, and inclusivity. Produced in consultation with the local UCU, this document reflects our commitment to best practice in Equality and Diversity, as evidenced by our Athena SWAN and Stonewell recognition, our ambition to secure a Race Equality Charter Mark and our decade-long engagement with the Concordat to Support the Career Development of Researchers.

For REF2021, we need to identify which staff have significant responsibility for research on the census date (31 July 2020), and therefore are in scope for submission. This differs from REF2014 when institutions selected which eligible staff to include in their submission. Staff with significant responsibility for research are defined by the funding bodies as those “for whom explicit time and resources are made available to engage actively in independent research, and that this is an expectation of their job role”. Parts 2 and 3 of this *Code of Practice* explain how we define and identify staff who are both independent researchers and have significant responsibility for research.

All staff in scope for submission will be required to contribute a minimum of one and a maximum of five research outputs to their Unit of Assessment. Part 4 explains how these outputs are assessed and selected. Our research management information system (Pure) will be used to store the outputs, and each will be subject to internal (and external where relevant) peer review for quality assessment.

We want to highlight that you will be welcome and supported – but not required – to disclose individual circumstances that have affected your ability to engage with research during the period between January 2014 and July 2020. This information will be confidential. Part 4b of this Code details the process for disclosure and how circumstances will be considered.

This *Code of Practice* and all REF2021 relevant information is available on the Research, Enterprise and Social Partnerships intranet. Information is updated regularly as our REF preparations progress. To follow our progress, you can also attend one of our regular REF campus briefings. You can contact REFteam@brighton.ac.uk if you have any questions.

We thank you for your continued support of our ambition to be a university where research shapes people’s lives and futures and there is investment in a vibrant research environment that is fair and inclusive for all its staff.

Best wishes,

Professor Tara Dean,

Pro-Vice-Chancellor (Research and Enterprise)

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List of acronyms, initialisations and their definitions

APVC	Associate Pro-Vice Chancellor
BME	Black and Minority Ethnic Groups
BSMS	Brighton and Sussex Medical School
CCT	Certificate of Completion of Training
DFE	Department for Education
DORA	San Francisco Declaration on Research Assessment
ECR	Early Career Researcher
EDAP	Equality and Diversity Advisory Panel
EIA	Equality Impact Assessment
EU	European Union
FTE	Full-Time Equivalent
GDPR	General Data Protection Regulation
HEFCE	Higher Education Funding Council for England
HEFCW	Higher Education Funding Council for Wales
HEI	Higher Education Institution
HESA	Higher Education Statistics Agency
HR	Human Resources
LGBT	Lesbian, Gay, Bisexual, Trans
PGR	Postgraduate Research Student
PVC	Pro-Vice-Chancellor
QR	Quality-related research income
R&E	Research and Enterprise
RAE	Research Assessment Exercise
REF	Research Excellence Framework
REFSG	REF Steering Group
RESP	Research Enterprise and Social Partnerships
SDR	Staff Development Review
SFC	Scottish Funding Council
SR4R	Significant responsibility for research
SREC	School Research and Enterprise Committee
STEMM	Science, Technology, Engineering, Mathematics and Medicine
T&R	Teaching and Research
UCU	University and College Union
UEB	University Executive Board
UKRI	UK Research and Innovation
UoA	Unit of Assessment
UoB	University of Brighton
UoALT	Unit of Assessment Leadership Team
UREC	University Research and Enterprise Committee
VC	Vice-Chancellor

REF Overview

- 1 This *Code of Practice* has been prepared for the benefit of all academic and research colleagues at the University of Brighton. Its purpose is to explain how the university will prepare its submission to the Research Excellence Framework 2021 (REF2021), how colleagues will be identified as being in scope for submission to the REF and how research outputs will be selected, as well as to ensure the fair treatment of staff. This *Code of Practice* and all REF2021 relevant information is available on the Research Services intranet (<https://staff.brighton.ac.uk/ease/ro/Pages/home.aspx>). Information is regularly updated. To follow our progress, colleagues can also attend one of the regular REF campus briefings. Colleagues can contact REFteam@brighton.ac.uk if they have any questions.
- 2 The University of Brighton's REF Team is the professional services team based in the department of Research, Enterprise and Social Partnerships, responsible for the coordination and administration of processes related to REF2021. Appendix 1 details the roles and responsibilities of the REF Team and those of other UoB individuals and groups involved in REF2021 preparation. Appendix 7 outlines the training and development provided to them in relation to this *Code of Practice*; in addition, ongoing support and advice is provided by the university's Equality and Diversity department. A communication plan is at appendix 2, and the REF2021 committee and management structures at appendix 3.
- 3 This *Code of Practice* references guidance issued by Research England for REF2021: the *Guidance on Submissions* (REF2019/01), *Panel Criteria and Working Methods* (REF2019/02) *Guidance on Codes of Practice* (REF2019/03) and *Guidance on Revisions to REF2021* (REF2020/02). These documents are available from <https://www.ref.ac.uk/publications>.
- 4 REF has three elements: Research Outputs, Impact Case Studies and the Research Environment. Respectively they are weighted at 60%, 25% and 15% of the assessment. This *Code of Practice* describes the process for identifying colleagues who are in scope for the Research Outputs element of the REF. References to 'in scope' throughout this document will mean 'in scope for the Research Outputs element of the REF'.
- 5 In this context, the university recognises that colleagues contribute in many different ways to the work of the institution across learning and teaching, research, enterprise and scholarship. It is therefore recognised that whereas all colleagues contribute to the university's overall goals, not all will be expected to be in scope for the REF2021.

Context

- 6 The University of Brighton is a post-1992 Higher Education Institution focussing on professional education, with the majority of degrees awarded also recognised by professional organisations or leading to professional qualifications. A large number of staff from professional backgrounds hold academic contracts to support our academic portfolio.
- 7 The university is proud of its long history of engagement with research and first entered the Research Assessment Exercise in 1992. We consider research to be an intrinsic part of our academic offer and want to give all academic staff the opportunity to engage with research. For this purpose, the university predominantly uses a teaching and research (T&R) contract as a single type of employment contract for academic staff. Responsibility for research is managed through staff workloads. Therefore, the university has a process by which we establish significant responsibility for research outlined in this *Code of Practice*.
- 8 On 2 January 2019, the University of Brighton had 1101 members of staff on a Teaching and Research contract (HESA code 3) and 98 members of staff on a research-only contract (HESA code 2): a potential total of 1199 Category A eligible staff. In REF2014, UoB submitted a total of 241 members of staff (209.46FTE), representing circa 20% of eligible staff at that time.
- 9 The Brighton and Sussex Medical School (BSMS) is a joint venture between the University of Sussex and the University of Brighton, with the relationship governed by a Memorandum of Understanding (MoU). Academic and research staff employed within BSMS are normally employed by the University of Sussex (UoS) and, wherever this is the case, the UoS *Code of Practice* applies to them in full and on an equal basis with any other Sussex employee. For avoidance of doubt, the REF2021 *Code of Practice* used by the University of Brighton does not apply to these staff, including in the event that they are included within a joint submission across the two institutions. In such an event, the two universities will co-ordinate to ensure that the preparation of the submission does not compromise adherence to the respective *Codes of Practice*. In the context of any joint submission and more broadly throughout REF preparations, the two institutions will work together in a leadership team comprising of individuals from both institutions, reflecting their shared and interlinked research environment and the nature of BSMS as a joint venture. This is likely to require the sharing of relevant data between the two institutions. Any such data sharing will be conducted in accordance with each institution's obligations under the General Data Protection Regulation (GDPR).

Principles

- 10 The University of Brighton is committed to the fair treatment of all people, be they staff, students, visitors, or those applying for employment or study, regardless of age, disability,

family or caring responsibilities, gender identity, marital status, pregnancy or maternity, race, religion or belief (including non-belief), sex, sexual orientation and work or study patterns. All staff have a personal responsibility for owning and implementing our Equality, Diversity and Inclusion policy (see appendix 8).

- 11 This *Code of Practice* affirms the four principles of transparency, consistency, accountability and inclusivity. The university's interpretations of these are as follows:
 - a Transparency: The wide publication of this *Code of Practice* as per the Communications Plan in appendix 2 shows our commitment to transparency. This code includes processes for the internal assessment of outputs, for identifying staff as having a significant responsibility for research, for determining research independence, and for selecting outputs. It also includes the roles and responsibilities of all staff, panels and committees responsible for the implementation of these processes. It details our consultation and agreement processes.
 - b Consistency: Our approach to consistency is demonstrated through the application of the processes relating to this *Code of Practice* to the whole university community. Moreover, training and calibration events for relevant processes ensure that decisions are made and judgement is applied along consistent lines: those involved in output assessment have undertaken calibration exercises; all staff involved in output selection will undertake unconscious bias training, and will apply the single method outlined in this *Code of Practice* to the selection of outputs.
 - c Accountability: All staff who have a role in any part of the processes outlined in this *Code of Practice* are identified by name on the university's intranet, and details of the training they have undergone is specified in this *Code of Practice*. Terms of Reference and membership for Committees and other groups can be found in this code and on our intranet site: this includes output review panels, Unit of Assessment Leadership Teams and the REF Steering Group.
 - d Inclusivity: This *Code of Practice* is designed to promote an inclusive environment, and the criteria and processes it outlines are designed within the context of our Equality, Diversity and Inclusion Policy (appendix 8). Equality Impact Assessments (EIAs) will be conducted at identified points in the development and implementation of the processes outlined in this *Code of Practice*. They will inform the progression of REF2021 submissions (see appendix 10 for a summary table of EIAs).
- 12 This *Code of Practice* applies equally to all staff on Research contracts and Teaching and Research contracts, regardless of the length of their contract. It also applies equally to part-time staff with a contract of employment of 0.2FTE or greater, as required by REF2021.

- 13 The University of Brighton and all staff who process or use any personal information ensure that personal data is processed in accordance with the data protection principles outlined in article 5 of the General Data Protection Regulation. All the processes outlined in this *Code of Practice* are subject to the university's Data Protection Policy, which is available from our intranet. Please see our data collection statement at appendix 19 for information on how your data will be used for the purposes of REF2021.
- 14 Final decisions made relating to the university's REF2021 submission will not be taken into account in relation to any promotion, progression, extension of contract or performance management procedures.
- 15 Research England will put in place a process that enables colleagues to provide information confidentially if they believe that a breach of this *Code of Practice* has taken place. They will provide information on this 'whistle-blowing' process in autumn 2019, which we will add to our intranet pages. This is in addition to the university's whistle-blowing policy, which is available at https://staff.brighton.ac.uk/reg/acs/docs/Whistleblowing_Policy_Student_Contract_1819.pdf
- 16 In addition to its internal processes, the university may call upon a series of external assessors. They will be drawn from people with senior experience of peer review through a variety of processes that may include work for research councils (in the UK or abroad), earlier REF exercises or their equivalent.
- 17 External assessors will be recommended by Unit of Assessment Leadership Teams and appointed by the REF Steering Group to advise on aspects of the submission and to provide an external benchmark for internal judgements. External reviewers will not be involved in the decisions on staff and outputs: all decisions rest with the university.

Equality, diversity and inclusion work undertaken since 2014

- 18 In REF2014, staff applied to be included in REF and UoA Development Groups selected which of them were submitted, in accordance with our REF2014 *Code of Practice*. A full Equality Impact Assessment (EIA) was conducted following the submission of REF2014 (see appendix 9). This considered both application and selection rates for staff in relation to age, disability, ethnicity, gender, working pattern, maternity leave, contract type and Early Career Researchers (ECRs). In addition, cross-sectional analysis was conducted to obtain a fuller picture.
- 19 The key findings of the EIA on REF2014 were that:
 - a staff in the younger and mid-age-ranges had higher applications and selection rates;

- b application and selection rates were lower for Black and Minority Ethnic (BME) staff than for White staff;
- c application and selection rates were lower for female than for male staff;
- d considerably higher proportions of full-time staff than part-time staff applied for selection, and selection rates were lower for part-time staff than for full-time staff;
- e application rates were considerably higher for staff on open-ended contracts than for those on fixed-term or temporary contracts – however selection rates were lower for applicants on open-ended contracts than for those on fixed-term contracts;
- f selection rates for (ECRs) were considerably higher than for non-ECRs;
- g there were no notable issues identified in relation to disability or periods of maternity.

The full EIA is attached at appendix 9. The EIA made several recommendations, and progress toward them was reviewed by the University Research and Enterprise Committee (UREC) in July 2017.

20 Since REF2014, the following work has been undertaken:

- inclusivity is one of the core values at the University of Brighton. Our Vice-Chancellor, Professor Humphris, chairs the university's Equality and Diversity Committee. The university has continued to participate in external equality kitemarks designed to drive forward equality, including Athena Swan (gender); Disability Confident; the Race Equality Charter Mark; the Stonewall Workplace Equality Index (lesbian, gay, bisexual, trans); and the HR Excellence in Research award, managed by our institutional Concordat Implementation Steering Group.¹ As of May 2019, the university holds an institutional Athena SWAN Bronze award; two departmental Athena SWAN Silver awards (held by the School of Pharmacy and Biomolecular Sciences and Brighton and Sussex Medical School); three departmental Athena SWAN Bronze awards (School of Environment and Technology, School of Applied Social Science, and School of Sport and Service Management); a Stonewall top 100 position; Disability Confident Level 2; and the European Commission's HR in Research Excellence award. The university is currently working towards its institutional Race Equality Charter Mark Bronze award. We intend that all Schools submit for an Athena SWAN award by 2020.
- the university has increased its provision of staff equality and diversity training since REF2014. Alongside the mandatory 'Equality and Diversity Essentials' module, e-learning on unconscious bias and managing diversity is strongly encouraged for all staff (and required for managers). In addition, face-to-face training is available to all staff on equality impact

¹ Focussing on the Concordat to Support the Career Development of Researchers.

assessment, LGBT+ awareness, trans awareness and disability awareness. Further tailored sessions include training on decolonising the curriculum; a series of face-to-face unconscious bias training sessions for academic staff; training for LGBT+ allies; and equality training for the Wider Leadership Team, the University Executive Board and the Board of Governors.

- the university has four staff equality networks: Disability and Carers Network; LGBT+ Network; Parents Network; and Race and Faith Network. These network groups, which are run by staff for staff, chose their own remits and activities. They are embedded in university equality and diversity structures and are represented on the Equality and Diversity Committee. The networks have been involved in activities that include guest speakers and lectures, film screenings, photography exhibitions, campaigns, partnership activities with local community groups and service providers, participation in community events and staff developmental opportunities.
- the university's staff mentoring scheme, launched in 2017, gives mentors the opportunity to state any experience or interest they have that may be relevant to prospective mentees with particular equality characteristics; mentees can select mentors based on this if they choose. In March 2019, the university ran a cross-institution career mentoring and networking event, in partnership with the University of Sussex and the Brighton and Sussex Medical School, which included consideration of how identity-based mentoring (e.g. gender-based or race-based) can help increase resilience when faced with particular equality barriers. In addition, 264 members of staff are currently mentored through our Research Mentoring Scheme, and we aim for over 400 staff to have received research mentoring by 2021².
- the university's Leadership and Management Development programme offers new and experienced leaders and managers an opportunity to develop and reflect on their skills. The Level 3 programme is for leaders that are Deputy Heads of School, or the equivalent deputy leaders in professional services. The programme was run initially by an external leadership development consultant in 2017; these deputies attended three full-day workshops, received 360-degree feedback and a coaching session. Attendees at this stage totalled 113 (M: 53, F: 60). This was followed on with the development of a Continuous Leadership Development Programme for the same group of people. The sessions explore and discuss a different focus related to roles in leadership, in a social learning space. Attendees total 143 overall (M: 68, F: 75). The Heads of School, Directors of Professional Services and University Executive Board are currently involved in a programme of executive coaching that includes promoting and ensuring inclusivity. Total involved in this are 32 (M: 16, F: 16).

² University Key Performance Indicator, Research and Enterprise Strategic Plan

Equality Impact Assessments (EIAs)

- 21 An equality impact assessment is a systematic review of an area of policy or practice in order to ensure that it does not inadvertently disadvantage one group of people compared with others (e.g. in relation to age, disability, race, sex, etc). If adverse impact for a particular group or groups is identified, the impact assessment will then consider how it can be mitigated. For example, through changing the policy or practice, providing training to those involved in implementing the policy area, or putting in place specific programmes to help create a 'level playing field' (such as mentoring schemes). Research England requires that the university undertake EIAs on our policy and procedures for identifying staff with significant responsibility for research, determining research independence and for selecting outputs for the REF.
- 22 EIAs will be conducted according to the university's standard process, as published on the university's equality and diversity intranet site. Quantitative data relating to the age, disability, race, sex, working pattern and contract type of staff, will be used as the basis for analysis. The university has insufficient data for their staff on gender reassignment, marriage/civil partnership, pregnancy and maternity, religion and belief, or sexual orientation, to include these characteristics in analyses.
- 23 Information for colleagues on how to feedback on equality issues, either to the Equality and Diversity Manager or via their Union representative, is available on the university's intranet, and highlighted where appropriate in this *Code of Practice*.
- 24 EIAs are considered to be 'live' documents that are expected to evolve throughout the lifecycle of the REF submission. They will be published on the university's intranet alongside this *Code of Practice*, and will be updated following each of the key stages identified above. Any sensitive data that may identify individual staff members will be removed prior to publication.
- 25 If equality, diversity, or inclusion issues beyond the remit of this *Code of Practice* are identified in any of the EIAs, they will be referred to the University Research and Enterprise Committee, the Concordat³ Implementation Steering Group, and the Human Resources department for action. Actions taken as a result of EIAs will be reflected in environment templates and in the narrative for the final EIA submitted to Research England.
- 26 The university's EIA, following its REF submission in March 2021, will include the final analysis of data. It will also include details of actions taken to prevent discrimination or advance equality during the submission process, and their outcomes; the justification for, and/or actions taken to address any differential impact that staff identification and output selection

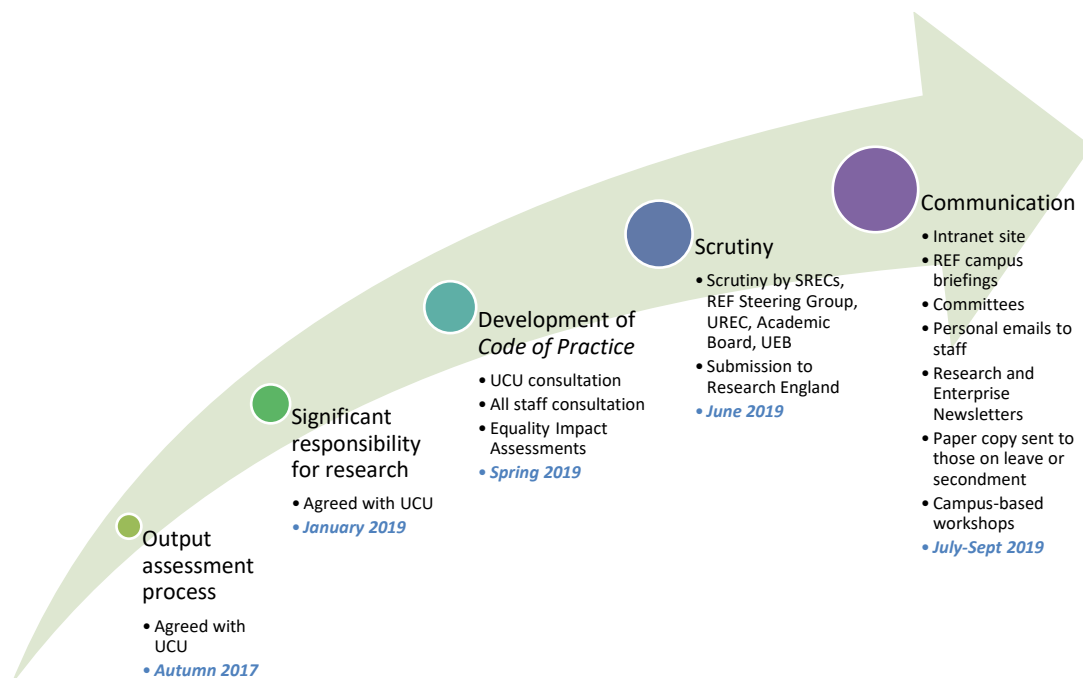
³ Concordat to Support the Career Development of Researchers

processes may have had on particular groups; and information about any policies or practices that had a positive impact on equality during the submission process.⁴

- 27 As requested by Research England, after the REF2021 submission, the university will also submit a report reflecting on their experience of supporting staff with circumstances affecting their research productivity. This will include a breakdown of the circumstances declared, and the number of requests for the removal of the 'minimum of one' requirement. This report will reflect on how the circumstances declared fed into decisions on whether to request a reduction in outputs required for submitting units. It will indicate how often reductions were requested, and how the expectations made of individuals were managed in both cases.⁵

Processes for the development of this Code

- 28 The University and College Union (UCU) were consulted on the criteria for significant responsibility for research in November and December 2018. The criteria were agreed by the university and UCU in January 2019. Prior to this, we consulted UCU on our approach to output assessment, and our output assessment process was agreed in the autumn 2017 (see appendix 11).



⁴ Guidance on Codes of Practice, paragraph 70

⁵ See Guidance on Codes of Practice, paragraph 73, and part 4b of this Code

- 29 The University of Brighton's Research and Enterprise Leadership Team drafted this *Code of Practice* with support from the Equality and Diversity Manager and the professional Research Services team. Consultation on the draft *Code of Practice* took place with UCU from 15 March 2019. Consideration by School Research and Enterprise Committees (SRECs) and university-wide consultation took place in April-May.
- 30 The Equality and Diversity Manager in conjunction with the REF Team will conduct a series of Equality Impact Assessments (EIA), both at institutional and Unit of Assessment level wherever possible, to inform each aspect of this *Code of Practice*, throughout its development and implementation (see table at appendix 10). Further details on the analyses that will be undertaken are included at the end of each Part in this Code.
- 31 This *Code of Practice* was agreed by the university's REF Steering Group, Research and Enterprise Committee, Academic Board, and approved by the University Executive Board. Following the *Guidance on Revisions to REF2021*, changes to the *Code of Practice* were approved by the Chair of the REF Steering Group in September 2020
- 32 Details of roles and responsibilities in relation to REF2021 are included in appendix 1. Details of the REF2021 committee and management structures are included in appendix 3.

Communications

- 33 This Code will be widely communicated to all staff members through the following mechanisms:
 - a REF campus briefings
 - b intranet site
 - c University Research and Enterprise Committee and School Research and Enterprise Committees
 - d individual emails to all staff
 - e weekly 'Staff News' email bulletin (all staff)
 - f monthly 'Big Picture' news bulletin (all staff)
 - g termly 'Research and Enterprise Newsletter' (all staff)

Seminars will be organised at each of the university campuses to present this *Code of Practice* and its implementation to colleagues. A printed copy of this Code will be sent out to all staff on leave of absence (home address) and those on secondment to another institution (at the host institution).

34 A full communications plan is attached at appendix 2.

- 35 This section of the *Code of Practice* outlines the university's process for identifying colleagues on a Teaching and Research (T&R) contract who are in scope for REF2021 submission.⁶

Background context

- 36 REF2021 requires that all staff who are contracted for 0.2FTE or more, with significant responsibility for research at the census date (31 July 2020), should be returned. Because the University of Brighton has predominantly a T&R contract, we agreed with the UCU criteria to identify colleagues who have significant responsibility for research (SR4R).
- 37 In autumn 2018, the UCU was invited to review the findings of a data scoping exercise whereby Heads of Schools had reported time staff spent on research in the academic year 2017-18. The T&R contract has 20% of time allocated to Research and Scholarship activities, and it is not expected that all staff spend the same amount of this self-managed time on research. Over a series of meetings, the university and UCU agreed that staff who spend at least half of this 20% on research should be considered to have significant responsibility for research. Therefore, we use 10% of contracted time as the threshold for identifying those who have significant responsibility for research. The activities associated with this 10% time allocation are detailed in appendix 12.
- 38 The agreed process for identifying staff with significant responsibility for research is included in appendix 12.

The University of Brighton's criteria for significant responsibility for research

- 39 Colleagues on a T&R contract at the University of Brighton are considered to have significant responsibility for research if they spend 10% or more of their contracted time on research (research-related activities included in the annex of appendix 12 do not qualify).
- 40 These criteria apply to all T&R staff who are contracted for 0.2FTE and over, in line with REF2021 eligibility guidance.

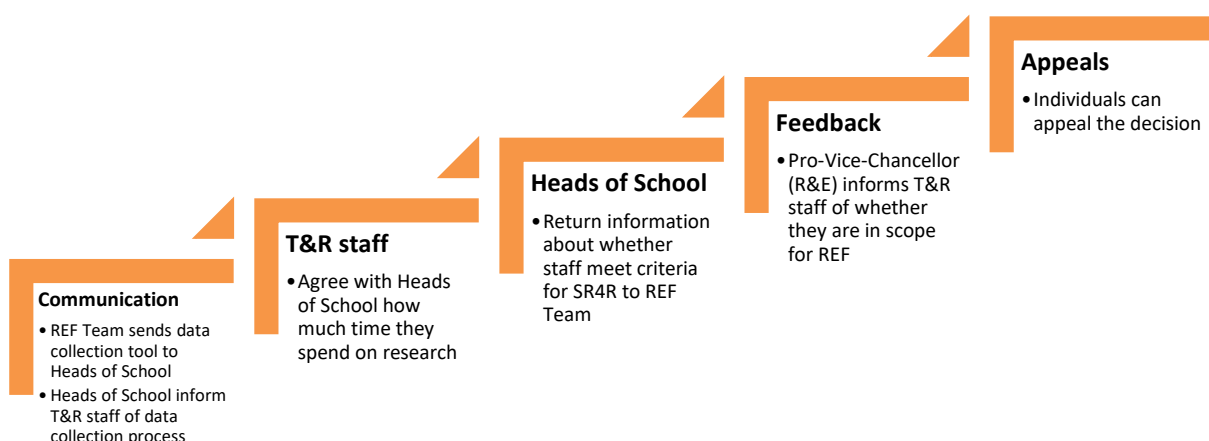
⁶ See the REF2021 *Guidance on Submissions*, paragraphs 135-144

- 41 All colleagues with significant responsibility for research in the academic year of the census date (2019-20) are considered to be in scope for submission to REF2021.
- 42 The university supports all colleagues who wish to engage in research. It is acknowledged that colleagues' responsibility for research can change from year to year. Research mentoring and other researcher development opportunities are available to all staff regardless of workload allocations in any year.

Roles and responsibilities in identifying staff who meet the criteria

- 43 The line managers of T&R colleagues (the Head of School if they are in a School) are responsible for agreeing workload with colleagues and for returning information about who meets the agreed criteria to the REF Team. Appendix 3 shows our management structure. Line managers, like all University of Brighton staff, must undertake mandatory training in equality and diversity, as part of their professional development. Details of training and development provided to them in relation to REF2021 are in appendix 7.
- 44 The REF Team will keep data on significant responsibility securely in accordance with the university's Data Protection Policy, until October 2022 (that is, six months after the announcement of REF results and completion of any audit that Research England may wish to undertake). Records will then be destroyed in accordance with the General Data Protection Regulation (GDPR).

Process for identifying staff who meet the criteria



- 45 Line managers (normally Heads of School) agree annually with their staff how much time they will spend on research activity, and therefore whether they have significant responsibility for

research that year. This agreement can be revised in-year if the duties of a member of staff change.

- 46 Each academic year, line managers are asked to document whether their T&R staff meet the criteria for significant responsibility for research, using a data capture tool developed by the REF Team.
- 47 Following the collection of data on who has significant responsibility for research at the beginning of the academic year 2019-20, the Pro-Vice-Chancellor (Research and Enterprise) will write to each colleague on a T&R contract individually, by 1 December 2019. This will confirm for those identified as having significant responsibility for research, that they are in scope for REF2021. For those who were identified as not having significant responsibility for research, this will confirm that they are not in scope for REF2021. All colleagues will also be informed of the appeals process at that time (detailed in paragraphs 49-56 below).
- 48 In June 2020, in anticipation of the census date, the REF Team will confirm with line managers that colleagues' responsibility for research has not changed within the year. Colleagues who acquired significant responsibility for research during the academic year will be in scope for REF.

Appeals for significant responsibility for research

- 49 Colleagues will be able to appeal the decision on whether or not they have significant responsibility for research on the following grounds:
 - a breach of process
 - b they were given formal research objectives that do not reflect their workload allocation, for example in a Staff Development Review.
- 50 The appeal process will be managed through the Vice-Chancellor's office to ensure its independence from colleagues' line management structures, as well as from REF structures and processes. The panel will be constituted of:
 - Associate Pro-Vice-Chancellor (Academic Operations) (Chair)
 - Pro-Vice-Chancellor (Education and Students)
 - Director of People

The secretariat will be provided by the Ethics, Integrity and Due Diligence Manager. See appendix 1 for details of roles and responsibilities.

- 51 Colleagues will be given information individually about the appeals process when they are informed as to whether or not they are in scope for REF. They will normally have three weeks to submit a case.
- 52 To submit a case for appeal, colleagues will fill in a brief form and provide supporting evidence where relevant. They will be given the option to present their case to the panel in person as well.
- 53 The Appeals Panel will review the evidence provided and may want to check information given to them with the relevant Head of School. They will consider whether the evidence demonstrates that:
 - a there was indeed breach of process if the appeal was made on these grounds; or
 - b the member of staff's research objectives require that they should spend less than 10%, or 10% or more of their contracted time on research activities (as for significant responsibility for research) in 2019-20.
- 54 The first round of appeals will open following the data collection on significant responsibility for research in autumn 2019. A second round of appeals will take place in the autumn 2020 for those whose responsibility for research changed during that academic year.
- 55 The Chair of the Appeals Panel will write individually to the member of staff to communicate the panel's decision. Staff will be able to seek feedback on the panel's decision from the Chair, however the decision of the panel is final.
- 56 The REF Team will keep the appeal forms and records of decisions securely in accordance with the university's Data Protection Policy, until October 2022 (that is, six months post announcement of REF results and completion of any audit that Research England may wish to undertake). Records will then be destroyed in accordance with the General Data Protection Regulation.

Equality Impact Assessment for significant responsibility for research

- 57 The Appeals Panel as constituted currently has a fair gender balance. The small number of members means that analysis of further characteristics is not possible.
- 58 The Equality and Diversity Manager is undertaking an Equality Impact Assessment (EIA) on the criteria for significant responsibility for research, following data returns in February 2019. This EIA will compare data on the characteristics of staff considered to meet the criteria for having significant responsibility for research in the context of all staff who are eligible for submission, and all academic staff, in relation to: age, disability, race, sex, working pattern and contract

type of staff (full/part-time and fixed-term/permanent). Insufficient monitoring data is available to include analysis on gender reassignment, marriage/civil partnership, pregnancy and maternity, religion and belief, or sexual orientation.

- 59 Analysis will be conducted at Unit of Assessment level. The findings of this EIA will be considered during summer 2019 and appropriate actions will be put in place if issues need to be addressed. These will be reported to the University Research and Enterprise Committee and the Concordat⁷ Implementation Steering Group. If differential impact is identified, it will also be reported to the Human Resources department for consideration. Actions will be monitored by the University Research and Enterprise Committee.
- 60 A second EIA undertaking the same analysis will take place following data returns for the census year, in autumn 2019.

Summary and indicative timescales for identifying staff with significant responsibility for research

Summer 2019	Equality Impact Assessment on 2018-19 data on significant responsibility for research
September 2019	Line managers provide data on significant responsibility for research to REF Team
October 2019	Equality Impact Assessment on 2019-20 data
Early November 2019	REF Team informs colleagues on T&R contracts of whether or not they are in scope for REF 2021, and of appeals process
November 2019	Appeals process opens
December 2019	Appeals Panel reviews cases and communicates decisions
July 2020	Line managers provide data to REF Team on staff whose responsibility for research changed during the academic year
31 July 2020	REF staff census date
August 2020	REF Team informs staff whose position for REF 2021 has changed, and of appeals process
September 2020	Appeals process opens
October 2020	Appeals Panel reviews cases and communicates decisions
31 March 2021	REF submission deadline

⁷ Concordat to Support the Career Development of Researchers

April 2021	Final Equality Impact Assessment
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61 This section of the *Code of Practice* outlines the university's process for identifying colleagues on a research-only contract who are in scope for REF2021 submission.⁸

Background context

62 REF2021 indicates that staff employed on research-only contracts must be independent researchers to be in scope for submission. Within its principle of inclusivity, the University of Brighton is keen that independent researchers come forward to be identified. To enable this, colleagues on a research-only contract are invited to follow the process for determining research independence outlined below.

63 At the University of Brighton, research-only roles are:

- Research Officer (grade AC1)
- Research Fellow (grade AC2)
- Senior Research Fellow (grade AC3)
- Principal Research Fellow (grade AC4)

Readers and Professors are on the HESA code for T&R and are subject to the process for significant responsibility for research in Part 2 of this Code. At 2 January 2019, the University of Brighton has 98 members of staff on a research-only contract, compared with 1101 on a Teaching and Research contract, representing 8% of Category A eligible staff as defined by REF2021.

64 Those on research-only roles who are 'employed to carry out another individual's research programme rather than as independent researchers in their own right' meet the REF definition of 'Research Assistant' and are not normally expected to be independent researchers.⁹

65 Colleagues on a research-only contract at any level may meet the definition of an independent researcher, i.e. 'an individual who undertakes self-directed research rather than carrying out another individual's research programme'.¹⁰

⁸ See the REF2021 *Guidance for Submissions*, paragraphs 128-134

⁹ *Guidance on Submissions* paragraph 130

¹⁰ *Guidance on Submissions*, paragraph 131

University of Brighton criteria for research independence

- 66 In line with REF2021 guidance¹¹, the University of Brighton considers that colleagues on research-only contracts are independent researchers if they met, during the census period, one or more of the following criteria (each indicator may not individually demonstrate independence, and where appropriate multiple factors may need to be considered):
- a leading or acting as principal investigator or equivalent on an externally funded research project
 - b holding an independently won, competitively awarded fellowship where research independence is a requirement (an illustrative, but not exhaustive, list of independent fellowships can be found at www.ref.ac.uk, under Guidance)
 - c leading a research group or a substantial work package
 - d acting as a co-investigator on an externally-funded research grant/award (in panels C & D)
 - e providing significant input into the design, conduct and interpretation of research (in Panels C & D)
- 67 These criteria are applied to all staff on research-only contracts, and all colleagues on these contracts will be invited individually to identify themselves as independent researchers.

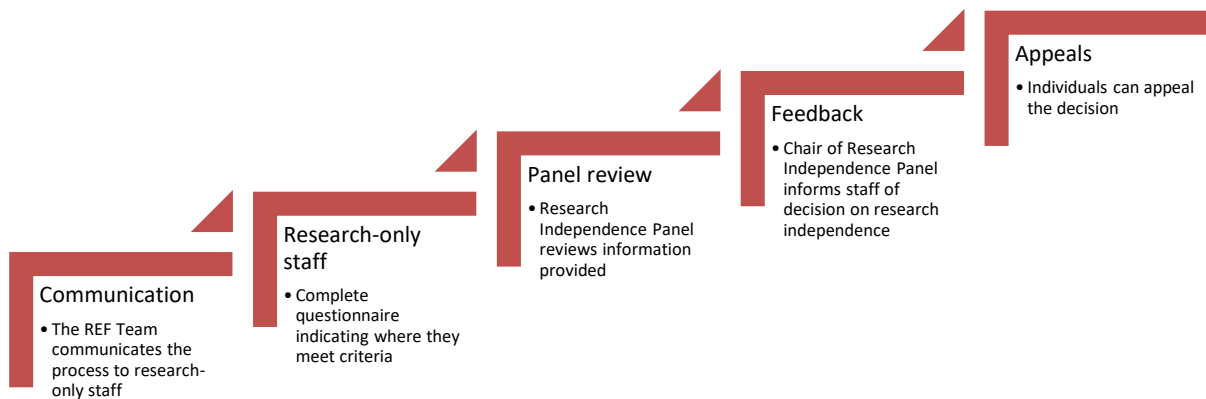
Roles and responsibilities in identifying independent researchers

- 68 It is the responsibility of colleagues on a research-only contract to engage with the process. In the interest of inclusivity, the REF Team will ensure that the process is communicated individually to each member of staff concerned, as well as advertised more generally.
- 69 The Research Independence Panel is responsible for making decisions on research independence. The panel is constituted of an Associate Pro-Vice-Chancellor (Research and Enterprise); the ECR Ambassador; and the Chair of the Concordat Implementation Steering Group. The Research Policy and Initiatives Adviser will provide support and policy guidance to the panel. See appendix 1 for details of roles and responsibilities, and appendix 7 for summary of training and development provided.

¹¹ *Guidance on Submissions*, paragraph 132 and *Panel Criteria* paragraph 187-189

- 70 The REF Team will keep data on significant responsibility securely in accordance with the university's Data Protection Policy, until October 2022 (that is, six months post announcement of REF results and completion of any audit that Research England may wish to undertake). Records will then be destroyed in accordance with the General Data Protection Regulation.

Process for determining research independence



- 71 All colleagues on a research-only contract will be invited to identify themselves as independent researchers for the purposes of the university's REF2021 submission, in summer and autumn 2019 and in autumn 2020. The REF Team will email them a brief questionnaire (see appendix 14) and send the list of those people to Deputy Heads of School (Research and Enterprise) for their information.
- 72 The REF Team will check the details provided by respondents and will seek further information if necessary; they may contact the relevant line manager and/or Deputy Head of School (Research and Enterprise) if appropriate.
- 73 The Research Independence Panel will meet to review questionnaires and further evidence, and to make decisions as to whether respondents are independent researchers for the purposes of REF2021.
- 74 The Chair of the Research Independence Panel will inform respondents of the panel's decision, and of the appeals process available to them, should they wish to appeal this decision.
- 75 Colleagues on a research-only contract whose status as independent researcher is approved by the panel will be in scope for REF2021.

- 76 The first round for determining research independence will take place in Summer 2019. The second round will take place at the same time as the data collection on significant responsibility for research, at the beginning of the academic year 2019-20.
- 77 A final Research Independence Panel will capture newcomers where appropriate, in autumn 2020.

Appeals for determining research independence

- 78 Colleagues may appeal the decision of the panel on the grounds of:
- a breach of process; or
 - b the Research Independence Panel was unaware of circumstances that might have had an impact on their decision.
- 79 The appeal process will be managed through the Vice-Chancellor's office to ensure its independence from colleagues' line management structures, as well as from REF structures and processes. The panel will be the same as for the significant responsibility for research appeals:
- Associate Pro-Vice-Chancellor (Academic Operations) (Chair)
 - Pro-Vice-Chancellor (Education and Students)
 - Director of People
- The secretariat will be provided by the Ethics, Integrity and Due Diligence Manager. See appendix 1 for details of roles and responsibilities, and appendix 7 for summary of training and development provided.
- 80 Colleagues will be given information about the appeals process individually when they are informed of the panel's decision. They will normally have three weeks to submit a case.
- 81 To submit a case, colleagues will fill in a brief form and provide supporting evidence.
- 82 The Appeals Panel will review the evidence provided and consider whether it demonstrates that the grounds for appeal are valid.
- 83 The Appeals Panel will meet after each round of the process for identifying independent researchers: in summer 2019 and autumn 2019, and then in autumn 2020.

- 84 The Chair of the Appeals Panel will write individually to the member of staff to communicate the panel's decision. Staff will be able to seek feedback on the decision from the Chair of the panel, however the decision of the panel is final.
- 85 The REF Team will keep the appeals forms and record of decisions securely in accordance with the university's Data Protection Policy, until October 2022 (that is, six months post announcement of REF results and completion of any audit that Research England may wish to undertake). Records will then be destroyed in accordance with the General Data Protection Regulation.

Equality Impact Assessment on research independence

- 86 The Appeals Panel and the Research Independence Panel as constituted currently have a fair gender balance. The small number of members means that analysis of further characteristics is not possible.
- 87 The Equality and Diversity Manager will undertake a first Equality Impact Assessment (EIA) on research independence following the first round of the process. This EIA will compare data on the characteristics of staff determined to meet the definition, in the context of the pool of staff on research-only contracts, in relation to age, disability, race, sex, working pattern and contract type of staff (full/part-time and fixed-term/permanent). Insufficient monitoring data were available to include analysis on gender reassignment, marriage/civil partnership, pregnancy and maternity, religion and belief, or sexual orientation. A further EIA will be conducted following each round of the process.
- 88 As the pool of colleagues on a research-only contract is small (98 at 2 January 2019), the EIA analyses will be conducted at the level of the institution rather than at UoA level.
- 89 The findings of this EIA will be considered and appropriate actions will be put in place if issues need to be addressed. These will be reported to the University Research and Enterprise Committee and the Concordat¹² Implementation Steering Group. If differential impact is identified, it will also be reported to the Human Resources department for consideration. Actions will be monitored by the University Research and Enterprise Committee.

¹² Concordat to Support the Career Development of Researchers

Summary and indicative timescales for determining research independence

June 2019	First round	The REF Team sends out questionnaire to all research-only staff
July 2019		First Research Independence Panel meeting; REF Team informs research-only staff of whether they are in scope for REF, and of appeals process
Late July/ August 2019		Appeals process opens
August/ September 2019		Appeals Panel meets and communicates decisions; Equality Impact Assessment
September 2019	Second round	The REF Team sends out questionnaire to new research-only staff
Early November 2019		Second Research Independence Panel meeting; REF Team informs research-only staff of whether they are in scope for REF, and of appeals process
November 2019		Appeals process opens
December 2019		Appeals Panel meets and communicates decisions
January 2020		Equality Impact Assessment
31 July 2020		REF Census date
Late July/ Early August 2020	Final round	The REF Team sends out questionnaire to new research-only staff
September 2020		Third Research Independence Panel meeting; REF Team informs research-only staff of whether they are in scope for REF, and of appeals process
September 2020		Appeals process opens
October 2020		Appeals Panel meets and communicates decisions
31 March 2021		REF submission deadline
April 2021		Final Equality Impact Assessment

PART 4 – OUTPUT SELECTION

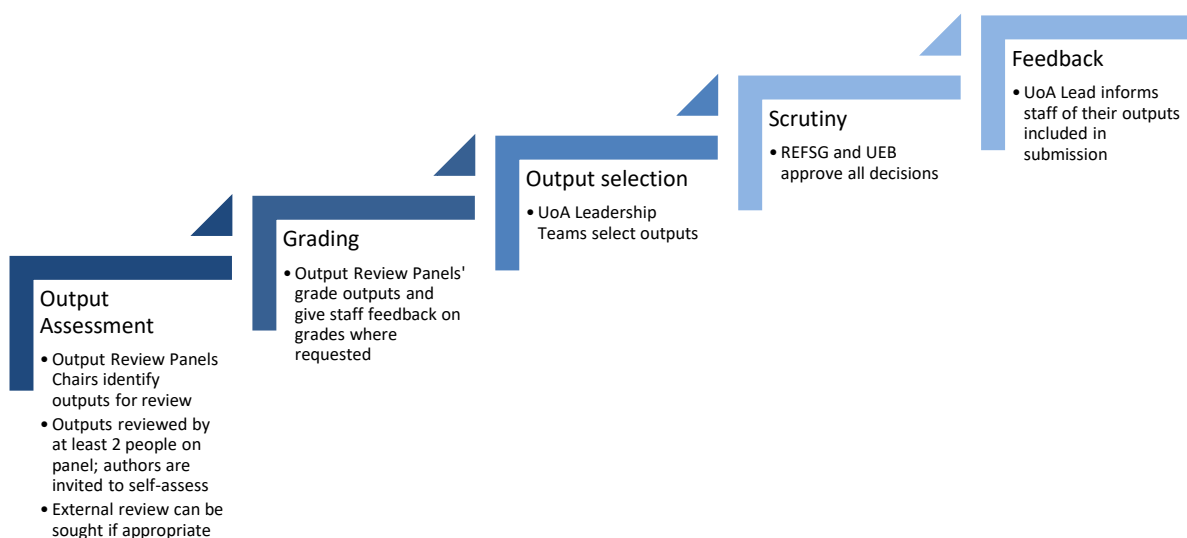
- 90 This section of the *Code of Practice* outlines the university's process for selecting outputs for REF2021 in part 4a, and our process for taking into consideration staff circumstances in part 4b.

Part 4a – Selection of outputs

Background context

- 91 REF2021 requires that all staff are returned with a 'minimum of one' and a maximum of five outputs, (except where individual circumstances apply – see part 4b of this Code).
- 92 REF2021 also requires that, in each Unit of Assessment, a total of 2.5 outputs per staff FTE must be returned. *FTE of staff returned x 2.5 = number of outputs required.*
- 93 Outputs are made available by colleagues through the university's Research Information System (Pure), and assessed through the university's output assessment process.

Output assessment process



- 94 The University of Brighton undertakes regular output assessments which provide the basis for the selection of outputs for REF2021. This process invites colleagues to undertake a self-assessment of their outputs. Each output is read and graded by a minimum of two members of Output Review Panels. Panels may then seek external review if there is a significant

discrepancy between the panel grade and the self-assessment grade (appendix 15, sections 4.9 and 4.10).

The University of Brighton's principles for assessing and selecting outputs

- 95 The University of Brighton expects that colleagues with significant responsibility for research will normally contribute a 'minimum of one' output to their UoA's output pool in REF2021. We expect that some colleagues will contribute more outputs, up to a maximum of five. However, the university has no expectation that specific members of staff or groups of staff should contribute more outputs than others.
- 96 To promote inclusivity, the University of Brighton's primary criterion for selecting outputs for REF submission is the quality of outputs as assessed through our output assessment process, which was agreed with UCU in the autumn 2017 (see appendix 15).
- 97 The principles of our output assessment process, underpinned by DORA and the Leiden Manifesto, remain applicable to the output selection process. They are: peer judgement, integrity, accurate data, tailored, confidentiality, equality, transparency, feedback, and training. These relate back to our commitment to the REF principles of transparency, consistency, accountability and inclusivity.
- 98 For outputs with multiple authors, colleagues will be asked to provide information on their contribution in the autumn 2019. Using the criteria for the relevant REF panel¹³ and the information provided by colleagues, UoA Leadership Teams will identify if this was a significant contribution as defined by REF2021. If this is not the case, this output will not be attributed to this colleague.
- 99 The University of Brighton encourages interdisciplinary research. Interdisciplinary research outputs as detailed in Part 2 of the REF's *Panel Criteria*, will be identified and flagged by Output Review Panels.
- 100 Outputs to be considered for double-weighting will be flagged by Output Review Panels. UoA Leadership Teams will select reserve outputs as per the output selection process below.
- 101 The University of Brighton expects Units of Assessment Leadership Teams to consider all colleagues equally when attributing outputs, regardless of their contract type (full/part-time) or of the length of their contract (fixed-term/permanent).

¹³ *Panel Criteria and Working Methods*, paragraphs 242-247

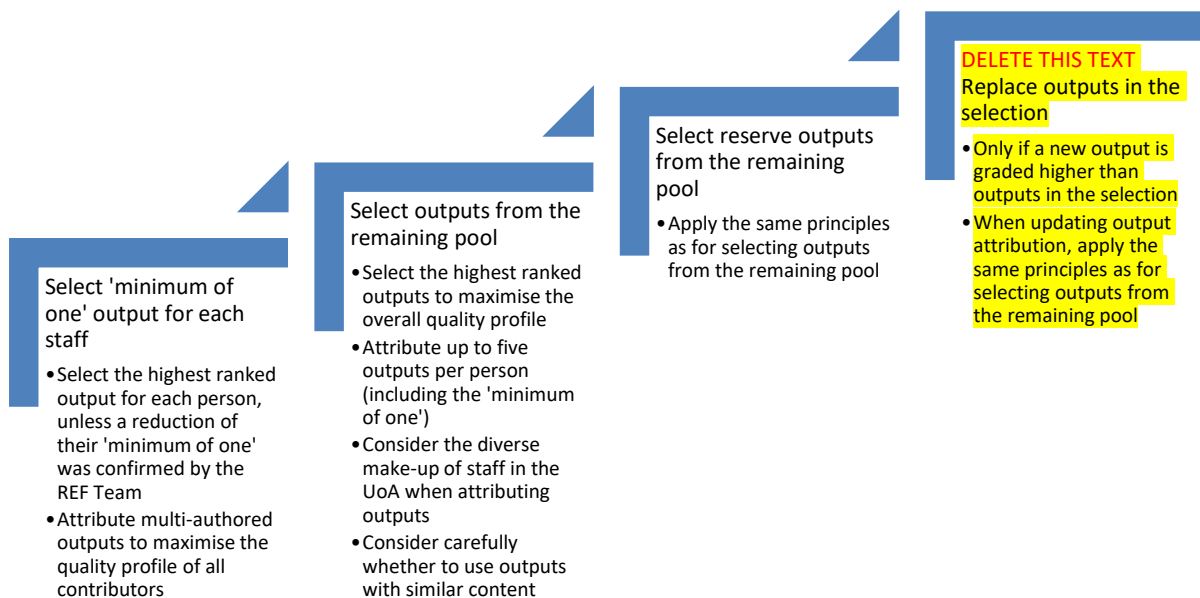
- 102 Even though the primary criterion for selection of outputs is quality, the university expects that the pool of outputs selected will be representative of the Unit of Assessment's staff pool. In order to confirm that this is the case, a provisional output selection round will take place in summer/autumn 2020, following that year's Output Assessment process. The REF Team will then undertake an Equality Impact Assessment on the output selection, and the output selection process may be adjusted as per the findings of this EIA. To promote transparency, the REF Team will make the outcomes of the provisional output selection available to colleagues in the autumn 2020.
- 103 In appropriate circumstances, the University of Brighton may choose to select the outputs from former staff who left during the census period, irrespective of the reasons for their leaving. It is noted that the local UCU are not in agreement with application of this principle to those staff who have left the institution as a result of compulsory redundancy.
- 104 The output selection process will take place in January/February 2021. The final list of staff to be returned and the final number of outputs required for the UoA will be confirmed following the conclusion of the third Research Independence round, and the final Appeal and Individual Circumstances panels in Autumn of 2020. A final output review will take place in December 2020 to consider any new outputs coming into the public domain before 31 December 2020 and/or those which were expected but have been delayed by COVID19 impacts. The *Guidance on Revisions to REF2021* (paragraphs 28 – 40) sets out provision for inclusion of delayed outputs where there was a reasonable expectation that an output would be in the public domain by 31 December 2020. Any eligible outputs identified after the December review process will be reviewed individually and will only replace selected outputs where they are of a higher grade.

Roles and responsibility in output selection

- 105 Output Review Panels are responsible for assessing outputs and giving them a grade, normally using a twelve point version of the REF grading scale (U/C; 1-*; 1*; 1+*, 2-*, up to 4-* and 4*). Output review panels are appointed by the relevant UoA Leader and approved by the REF Steering Group. They are constituted of reviewers with expertise in the UoA's disciplines and aim to reflect the make-up of staff included in the UoA along gender, disciplinary, and race mix. An Equality Impact Assessment of Outputs Review Panels on gender conducted in Spring 2019 shows the panels have an appropriate gender balance (see appendix 11).
- 106 Where a colleague's outputs could be returned in more than one UoA, the REF Steering Group is responsible for deciding on the UoA alignment of their outputs, based upon the most appropriate strategic outcome for the university.

- 107 UoA Leadership Teams are responsible for selecting the outputs that will be returned to the REF in their UoA. See their terms of reference, constitution and membership in appendix 5. Their decisions are underpinned by the quality assessment made during the output assessment process. An Equality Impact Assessment of Unit of Assessment on gender conducted in Spring 2019 show the teams have an appropriate gender balance (see appendix 11).
- 108 The REF Team will keep record of decisions made in the selection of outputs securely in accordance with the university's Data Protection Policy, until October 2022 (that is, six months post announcement of REF results and completion of any audit that Research England may wish to undertake). Records will then be destroyed in accordance with the General Data Protection Regulation.

Output selection process



- 109 To select outputs to be submitted, UoA Leadership Teams will follow three steps:
- they will select the 'minimum of one' output for each member of staff submitted to REF
 - they will select outputs from the remaining pool until they have the required number of outputs for their UoA
 - if new eligible outputs arise, they will consider whether to replace any of the outputs already selected
- 110 In selecting outputs, UoA Leadership Teams will use the quality of outputs as assessed through our output assessment process as their prime criterion

- 111 Outputs with a similar content (for instance a conference paper and a book chapter or journal article on the same subject), to assure themselves that these grades would stand if these outputs were to be reviewed together.

Selecting the 'minimum of one' output per member of staff submitted

(see output selection flowchart 1, appendix 16)

- 112 In the first instance, UoA Leadership Teams will select the best possible output for each colleague included in the UoA.
- 113 The REF Team will notify the UoA Leadership Team of those colleagues who are not required to submit the 'minimum of one' output as approved by Research England (see part 4b of this Code), and the UoA Leadership Team will not attribute an output to these colleagues.
- 114 When selecting multi-authored outputs, UoA Leadership Teams will be mindful of the output quality profiles of co-contributors, to ensure that each contributor is attributed an output of the best possible quality.
- 115 If a colleague has several outputs of the same quality, the UoA Leadership Team can either choose between these or ask them which output they consider to be of the highest quality.

Selecting outputs from the remaining pool

(see output selection flowchart 2, appendix 16)

- 116 Once each member of staff in the UoA is attributed their 'minimum of one' output, UoA Leadership Teams will look at the output deficit in the UoA and the pool of remaining outputs. The total number of outputs required by the UoA will take into consideration the approved reductions for staff circumstances (*Guidance on Submissions*, paragraphs 178-183 and *Guidance on Revisions to REF 2021* paragraphs 20-27). The pool of remaining outputs could include outputs from former members of staff.
- 117 UoA Leadership Teams will select outputs so as to maximise the overall quality profile: in decreasing order of quality (ie, first 4* outputs, then 4-, then 3+, then 3*, etc), until they have selected the required number of outputs for the UoA.
- 118 When the number of outputs still required becomes smaller than the number of outputs at the next quality level, (eg all 3- have been selected and there are more 2+ outputs than required), UoA Leadership Teams will take due consideration of the diverse make-up of staff, to ensure

where possible that the submitted output pool provides an appropriate representation of the diversity of the UoA: this could include consideration of, for instance, career stage, gender, race, contract type, and/ or disciplinary mix

- 119 Reserve outputs (for double-weighted outputs) will also be selected through this process, after all the other required outputs. In REF2021 rules, reserve outputs do not have to be attributed to the same author.
- 120 In attributing selected outputs, UoA Leadership Teams will consider the diverse make-up of staff in the UoA as above, as well as the balance between current and former members of staff.

Replacing outputs in the selection

- 121 The output selection process will be undertaken in January/February 2021. The revised submission deadline of 31 March 2021 falls after the end of the publication period, which remains 31 December 2020 (with an exception for delayed outputs as outlined above, paragraphs 104). Therefore the detailed guidance for replacing outputs no longer applies.

Equality Impact Assessments on output selection

- 122 An Equality Impact Assessment of Outputs Review Panels and UoA Leadership Teams on gender conducted in Spring 2019 shows that these groups have an appropriate gender balance (see appendix 11). Output Review Panels as constituted have a gender balance that reflect the gender balance of the UoA; UoA Leadership Teams have gender parity, except in one case where the gender balance reflects that of the UoA. As members of output assessment panels are experienced researchers, the age and career stage balance of panels is not monitored. The small number of members also means that analysis of further characteristics would not be meaningful.
- 123 The Equality and Diversity Manager will undertake a first Equality Impact Assessment (EIA) on output selection in November 2020, following the provisional round of the process. This EIA will compare data on the distribution of selected outputs across staff, in the context of the characteristics of the submitted staff pool, in relation to: age, disability, race, sex, working pattern and contract type of staff (full/part-time and fixed-term/permanent). Insufficient monitoring data is available to include analysis on gender reassignment, marriage/civil partnership, pregnancy and maternity, religion and belief, or sexual orientation. Analyses will be conducted at the level of each Unit of Assessment. A further EIA will be conducted after the REF submission in March 2021.

124 Findings of these EIAs will be reported to the University Research and Enterprise Committee and to the Concordat Implementation Steering Group. If differential impact is identified, it will also be reported to the Human Resources team for consideration. Appropriate actions will be developed and monitored by the University Research and Enterprise Committee.

Summary and indicative timescales for the selection of outputs

Early in 2018 and 2019	Output Review Panels assess outputs
April 2019	REF Team starts collecting information on contribution to multi-authored outputs
January – March 2020	Output review panels assess new outputs and flag interdisciplinary outputs and those to be double-weighted
June - September 2020	UoA Leadership Teams undertake provisional output selection
31 July 2020	REF census date
November 2020	Equality Impact Assessment on output selection UoA Leadership Teams inform staff of outcomes of provisional output selection.
December 2020	Output review panels assess new outputs;
January 2021	REF Team incorporates findings of EIA into output selection process if appropriate;
January - February 2021	Selection of outputs
31 March 2021	REF submission deadline
April 2021	Final Equality Impact Assessment

Part 4b – Individual circumstances

125 This section details our process for considering circumstances that affected the research productivity of colleagues during the REF period.

Background context

126 REF2021 recognises that 'There are many reasons why an excellent researcher may have fewer or more outputs attributable to them in an assessment period. It is therefore not expected that all staff members would be returned with the same number of outputs attributed to them in the submission.' (*Guidance on Submissions*, paragraph 153). Details of applicable circumstances are at appendix 17, including those detailed in the *Guidance on Revisions to REF2021* (para 20-27).

127 REF2021 requires participating universities 'to establish safe and robust processes to enable individuals to declare voluntarily their individual circumstances and have the impact of those circumstances reflected in the HEI's expectations of their contribution to the output pool.' (*Guidance on Submissions*, paragraph 157).

128 REF2021 also indicates that HEIs should only request a reduction in the number of outputs for a UoA 'where the cumulative effect of circumstances has disproportionately affected the unit's potential output pool.' (*Guidance on Submissions*, paragraph 159). This means that approved individual circumstances may not necessarily lead to a reduction in outputs in the UoA's submission.

129 The purpose of disclosing circumstances, therefore, is either that (a) colleagues would like it to be known that they were not able to contribute to the output pool at the same rate as others during the REF period; and/or that (b) colleagues would like the 'minimum of one' output required for REF to be removed in their case. To enable this, the university has set in place a **voluntary, confidential and supportive process** for colleagues to disclose circumstances that affected their research productivity during the REF2021 assessment period, and particularly their ability to produce research outputs at the same rate as staff not affected by circumstances.

University of Brighton principles for the staff circumstances and output contribution

130 The University of Brighton expects that colleagues with significant responsibility for research will normally contribute a 'minimum of one' output to their UoA's output pool. We expect that

some colleagues will contribute more outputs, up to a maximum of five. However, the university has no expectation that specific members of staff or groups of staff should contribute more outputs than others.

- 131 The University of Brighton's output selection process is based on the quality of outputs as assessed through our output assessment process. The volume of a colleague's contribution to the output pool is not a criterion for selecting outputs for REF submission.
- 132 In the interest of equity, the University of Brighton separates REF submission processes from line management processes and ensures that REF submission processes pose no detriment to the terms and conditions of employment for staff.
- 133 It is entirely **voluntary and confidential** for colleagues to declare individual circumstances if they wish to do so. They will be invited to do this using the form at appendix 18.
- 134 To ensure they are supported in their role, colleagues who disclose individual circumstances will be offered an opportunity to discuss further their requirements relating to these with their Head of School or line manager, or with a Human Resources contact. This is not a requirement for REF. It is **voluntary and confidential** and will not influence any decision.
- 135 As the university has no expectation that some colleagues contribute more outputs than others, and our process is clearly flagged as voluntary, we expect that there should not be any pressure put on colleagues to declare individual circumstances if they do not wish to do so. Should anyone feel under any pressure to declare their circumstances, they should contact the Equality and Diversity Manager or the REF Manager.
- 136 The criteria for considering whether a UoA has been 'disproportionately affected' by individual circumstances, and therefore if a request should be made to Research England for a reduction in the required output number for the UoA, are:
 - a whether a critical mass of staff in the UoA was affected by circumstances over the REF period; and/ or
 - b whether the sum total duration of circumstances is proportionately significant for the total FTE of staff in the UoA.
- 137 Circumstances will be kept confidential to the Individual Circumstances Panel, its secretary, and the REF Team. However, If the University of Brighton decides to request a reduction of outputs (removal of 'minimum of one' requirement or unit circumstances), we will need to provide Research England with data that colleagues have disclosed about their individual circumstances, to show that the criteria have been met for reducing the number of outputs. Please see appendix 17 and 18 for more detail.

Roles and responsibilities for the consideration of individual circumstances

138 Colleagues will be invited to complete and return the form at appendix 18, if any of the applicable circumstances outlined in appendix 17 apply to them, and they are willing to provide the associated information. Completion and return of the form is voluntary and confidential, 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. It is therefore the responsibility of colleagues to engage with this process if they want their circumstances to be considered. Further information can be found in paragraph 160 of the *Guidance on Submissions* (REF 2019/01) and *Guidance on Revisions to REF2021* (paragraphs 20-27). Colleagues can contact the REF Team or the Equality and Diversity Manager if they have any questions.

139 The Individual Circumstances Panel is responsible for reviewing circumstances, and for indicating where a reduction of up to 1.5 outputs and/or where a removal of the 'minimum of one' output would be appropriate.

140 The Individual Circumstances Panel is constituted of:

- Deputy Vice-Chancellor (2019) Director of Finance (2020) (Chair)
- Equality and Diversity Manager
- Deputy Director of Human Resources

One UCU representative will be invited to join the panel as an observer, to confirm the fairness and integrity of the decision-making process. The secretariat will be provided by a Human Resources administrator. See appendix 1 for details of roles and responsibilities.

141 The UoA Reduction Review Panels are responsible for considering whether the UoA has been 'disproportionately affected' by individual circumstances, and for agreeing where requests should be made to Research England for reductions in the required output number for the UoA. As the university's criteria for reductions is based on quantitative factors, the UoA Reduction Panels will not be informed of the detail of circumstances, nor who these apply to.

142 The UoA Reduction Review Panel is constituted of:

- UoA Leader
- Pro-Vice-Chancellor (Research and Enterprise)
- Associate Pro-Vice-Chancellor (Research and Enterprise) with responsibility for the UoA

- REF Manager

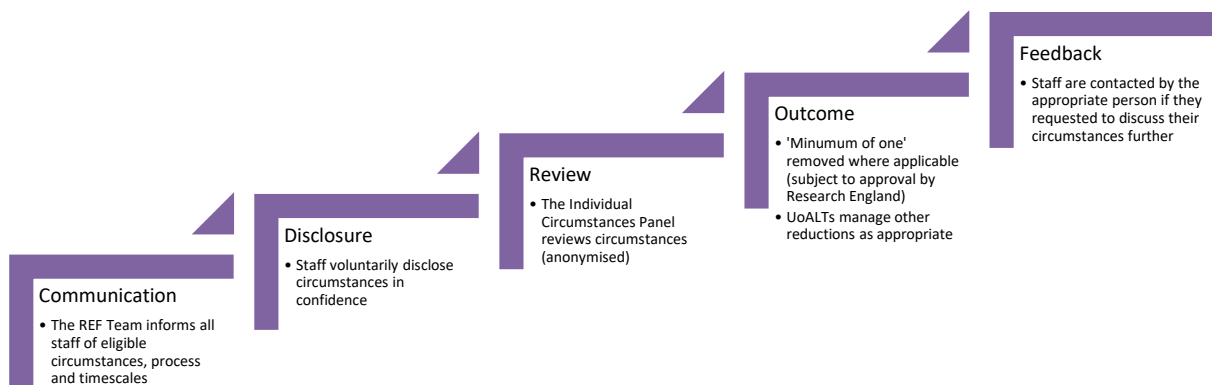
See appendix 1 for details of roles and responsibilities.

143 The REF Team is responsible for:

- a inviting colleagues to declare circumstances
- b submitting reduction requests to Research England
- c informing the UoA Leadership Team of the total number of outputs required by the UoA
- d informing the UoA Leadership Team of the staff who have the 'minimum of one' output removed
- e if requested by a member of staff, informing their Head of School, line manager or Human Resources to contact them about their circumstances.

144 The Human Resources department will keep individual circumstances forms on file, and the REF Team will keep a record of reduction requests. All records will be kept securely, in accordance with the university's Data Protection Policy, until October 2022 (that is, six months post announcement of REF results and completion of any audit that Research England may wish to undertake). Records will then be destroyed in accordance with the General Data Protection Regulation.

Process for considering individual circumstances



145 The REF Team will invite all colleagues in scope for REF to declare their individual circumstances by sending them a form (appendix 18). Colleagues will be invited to return the

form, or to request an interview with a member of the REF Team, who will fill in the form on their behalf.

146 Forms will be sent to a dedicated confidential email address and anonymised by the Individual Circumstances Panel secretary. Dates of absence will be checked with Human Resources, and the REF Team may contact colleagues to request clarification or further information.

147 The Individual Circumstances Panel will meet and review individual circumstances. Where appropriate, the panel will:

- a recommend output reduction tariffs using Annex L as indicated in paragraph 186 of the *Guidance on Submissions*; and/or
- b recommend a reduction of the 'minimum of one' output as indicated in the *Guidance on Submissions*, paragraphs 179 to 182

Details of the reduction tariffs are in appendix 17.

148 The panel secretary will inform the REF Manager of the decisions made by the Individual Circumstances Panel. The REF Manager will inform UoA Reduction Review Panels.

149 The UoA Reduction Review Panels will consider the recommendations of the Individual Circumstances Panel, and whether the total number of reductions disproportionately affects a UoA. The REF Manager will make reduction requests to Research England as appropriate.

150 The REF Manager will inform the UoA Leadership Teams of the reduction requests approved by Research England, and of the name of colleagues who do not have to submit the 'minimum of one' output. UoA Leadership Teams will not have to attribute an output to these colleagues, although they will be returned to REF2021.

151 Staff will be invited to declare their circumstances in the autumn 2019, following the data collection on significant responsibility for research at the beginning of the academic year 2019-20.

152 The panel will meet in December 2019 and will inform colleagues of their decision in December 2019 or January 2020.

153

154 A second round will take place after September 2020 to consider new colleagues, and colleagues who have new significant responsibility for research. All staff eligible for REF will be offered the opportunity to declare new circumstances at this time. The Human Resources department will keep the individual circumstances forms and record of decisions securely in accordance with the university's Data Protection Policy, until October 2022 (that is, six months

post announcement of REF results and completion of any audit that Research England may wish to undertake). Records will then be destroyed in accordance with the General Data Protection Regulation.

Equality Impact Assessment on individual circumstances

155 The Individual Circumstances Panel, as currently constituted, has a fair gender balance. The small number of members means that analysis of further characteristics is not possible.

156 The Equality and Diversity Manager will undertake a first Equality Impact Assessment (EIA) on output selection in November 2020, following the provisional round of the process. This EIA will compare data on the characteristics of:

- colleagues who declared circumstances
- where circumstances were approved

in the context of the characteristics of the submitted staff pool, and in relation to age, disability, race, sex, working pattern and contract type of staff (full/part-time and fixed-term/permanent). Insufficient monitoring data is available to include analysis on gender reassignment, marriage/civil partnership, pregnancy and maternity, religion and belief, or sexual orientation. A further EIA will be conducted after the REF submission in March 2021.

157 It is expected that the number of staff submitting circumstances will be too small for EIA analyses to be conducted at UoA level; therefore the EIA will be at the level of the institution.

158 Findings of these EIAs will be reported to the University Research and Enterprise Committee and to the Concordat Implementation Steering Group. If differential impact is identified, it will also be reported to the Human Resources department for consideration.

Summary and indicative timescales for output selection and the declaration of individual circumstances

Early in 2018 and 2019	Output review panels assess outputs
October 2019	Staff invited to declare circumstances (first round)
December 2019	Individual Circumstances panel meets
January 2020	Panel informs staff of decision
January – March 2020	Output review panels assess new outputs and flag interdisciplinary outputs and those to be double-weighted
March 2020	Equality Impact Assessment on staff circumstances; REF Team submits requests for reductions to Research England where the combination of individual circumstances is considered to have had a

	disproportionate effect on a UoA; UoA Leadership Teams informed of provisional number of outputs required for their UoA
June - September 2020	UoA Leadership Teams undertake provisional output selection
31 July 2020	REF census date
September 2020	Research England informs UoB of approved reductions in the number of outputs
October 2020	All colleagues who have significant responsibility for research or Research Independence invited to declare new circumstances including revised COVID19 criteria (second round)
October 2020	Individual circumstances panel meets and informs staff of decision.
2nd November 2020	UoB submits unforeseen circumstance reduction requests to RE
November 2020	UoA Leadership Teams informed of the total number of outputs required for their UoA, and of who does not need a 'minimum of one' output.
November 2020	Equality Impact Assessment on output selection;
December 2021	Output review panels assess new outputs;
January 2021	REF Team incorporates findings of EIAs into output selection process if appropriate;
January - February 2021	Selection of outputs
31 March 2021	REF submission deadline
April 2021	Final Equality Impact Assessment

Appendices

This appendix details the roles and responsibility of individuals and groups involved in the implementation of this *Code of Practice*. The REF2021 committee and management structures is at appendix 3. Appendix 7 outlines the training and development provided to them.

1 Roles and their responsibilities

1.1 Vice-Chancellor (VC)

Responsible for approving all aspects of the university's submission to REF2021.

1.2 Research and Enterprise Leadership Team

The Research and Enterprise Leadership Team lead on Research and Enterprise at the University of Brighton.

1.2.1 Pro-Vice-Chancellor (Research & Enterprise) (PVC R&E)

Responsible for advising and briefing the VC and the University Executive Board on the university's REF submission. Responsible for leading the university's preparation and submission to REF including its external presentation; providing regular updates to the Board of Governors, University Executive Board and the University Research and Enterprise Committee; chairing the REF Steering Group. Ex officio member of UoA Leadership Teams.

1.2.2 Associate Pro-Vice Chancellors (Research and Enterprise) (APVC R&E)

Reporting to the PVC R&E, to:

- advise on the structure and content of REF submissions including impact case studies;
- member of relevant UoA Leadership Teams;
- member of the REF Steering Group.

1.3 REF Team

The REF Team is the professional services team based in the department of Research, Enterprise and Social Partnerships, responsible for the coordination and administration of processes related to REF2021 preparation and submission.

1.3.1 REF Manager

Reporting to the PVC R&E to organise, support and advise the REF Steering Group with particular responsibility for:

- co-ordinating the submission including planning over the submission period;
- ensuring compliance with Research England regulations;

- development of institutional systems and processes to provide effective data and enable clear judgements about the submission;
- training and development of staff on Research England requirements;
- co-ordination and facilitation of workshops or other activities designed to develop the submission;
- drafting the *Code of Practice* on submissions;
- making output reduction requests to Research England;
- management of monitoring or other assessment (including external review) of submissions;
- member of the REF Steering Group and of UoA Leadership Teams;
- drafting of institutional texts to support submissions;
- conducting audits of impact arising from research.

1.3.2 REF Officers

Reporting to the REF Manager, they are responsible for co-ordinating, managing and validating the data collection and evidence contained within the submissions including:

- working with UoA Leaders and the Central Data Team to ensure that accurate data is compiled for the submission;
- quality control for information provided on the REF submission system;
- managing (electronic) collection of outputs and other evidence associated with outputs for internal scrutiny to aid judgements on the final submission;
- advising on Research England submission requirements;
- advising on and sourcing evidence for use within impact case studies;
- providing training and guidance to users of the submission system.

1.4 Unit of Assessment Leaders

Appointed following a call for expressions of interest to the professoriate. Their role includes coordinating the development of the UoA submission, preparing draft submissions, and leading the process for the selection for outputs. A detailed role descriptor is included in appendix 6. UoA Leaders chair their UoA Leadership Team and are members of the REF Steering Group.

1.5 Heads of School/line managers of staff on a teaching and research contract

Line managers of staff on a teaching and research contract (normally Heads of School) are responsible for providing data to the REF manager on whether these members of staff have significant responsibility for research.

1.6 Equality and Diversity Manager

The university's Equality and Diversity Manager is responsible for advising on all equality and diversity matters, and for undertaking Equality Impact Assessments to inform the development of REF submissions. The Equality and Diversity Manager is a member of the REF Steering Group.

2 Terms of reference and membership of Groups and Committees

2.1 REF Steering Group

This Group reports to the University Executive Board. See attached terms of reference, constitution and membership.

2.2 Central Data Team

Membership:

- REF Manager (Chair)
- REF Officer
- representatives from Finance, Human Resources, Doctoral College and Information Services

Terms of reference:

- a to supply accurate and timely data for the submission;
- b to advise on data contained in external submissions which may be considered by REF panels.

2.3 UoA Leadership Teams

Appointed by UoA Leaders and reporting to REF Management Group. See attached terms of reference, constitution and membership.

2.4 Output Review Panels

Output Review Panels are responsible for assessing the outputs' quality using the REF grading scale. Output review panels are appointed by the relevant UoA Leader. They are constituted of reviewers with expertise in the UoA's disciplines and aim to reflect the make-up of staff included in the UoA along gender, disciplinary, and race mix.

2.5 Panel for Determining Research Independence

The panel will be constituted of:

- an Associate Pro-Vice-Chancellor (Research and Enterprise) (Chair)
- the Early Career Researcher Ambassador
- the Chair of the Concordat Implementation Steering Group

The secretariat will be provided by the Research Policy and Initiatives Adviser (REF Team).

Terms of reference:

- a to consider cases submitted by research-only staff to evidence that they are an independent researcher for the purposes of REF2021;
- b for each case submitted, to determine whether the evidence provided meets REF2021 requirements for being an independent researcher;
- c to inform the member of staff and the REF Team of the decision made.

2.6 Appeals Panel

The appeal process will be managed through the VC's office to ensure its independence from colleagues' line management structures, as well as from REF structures and processes. The panel will be constituted of:

- Associate Pro-Vice-Chancellor (Academic Operations) (Chair)
- Pro-Vice-Chancellor (Education and Students)
- Director of People

The secretariat will be provided by the Ethics, Integrity and Due Diligence Manager.

Terms of reference:

- a to consider appeal cases submitted by staff on a teaching and research contract, on whether they have significant responsibility for research in the academic year 2019-20;
- b to consider appeal cases submitted by research-only staff on whether they are an independent researcher for the purposes of REF2021;
- c for each case submitted, to determine whether the grounds for appeal are valid and, if that is the case, to inform the appellant's line manager and the REF Team;
- d to make recommendations relating to individual career development or support to the appellant's line manager.

2.7 Individual Circumstances Panel

Membership:

- Deputy Vice-Chancellor (2019) Director of Finance (2020) (Chair)
- Equality and Diversity Manager
- Deputy Director of Human Resources

One UCU representative will join the panel, to confirm the fairness and integrity of the decision-making process. The secretariat will be provided by an HR administrator and will anonymise forms before they are considered.

Terms of reference:

- a to consider anonymised cases of individual circumstances that impacted on a member of staff's research productivity during the REF2021 qualifying period;
- b for each case submitted, to determine whether the circumstances did lead to a reduction in staff productivity, and if that is the case, to calculate the appropriate output reduction tariffs as per the REF guidance;
- c to determine whether a removal of the 'minimum of one' output is appropriate.

2.8 UoA Reduction Review Panel

Membership:

- UoA Leader
- Pro-Vice-Chancellor Research and Enterprise
- Associate Pro-Vice-Chancellor (Research and Enterprise) with responsibility for the UoA
- REF Manager

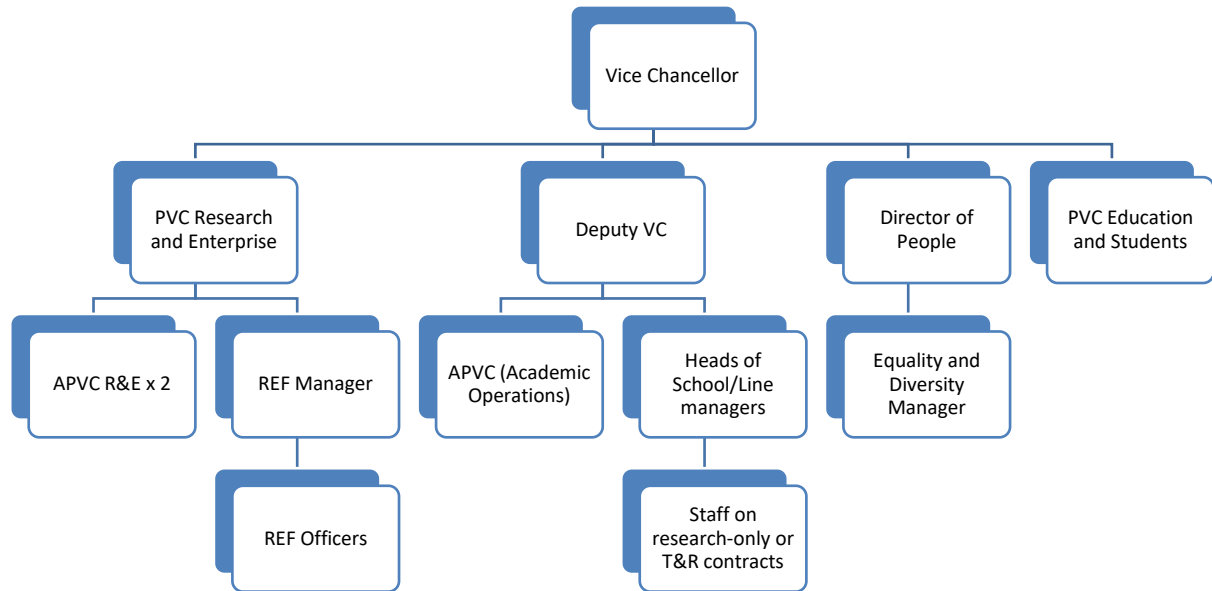
Terms of reference:

- a to review the recommendations of the Individual Circumstances Panel;
- b to agree requests to be made to Research England for removal of the 'minimum of one' output;
- c to consider whether the UoA was 'disproportionately affected' by individual circumstances and agree whether a request should be made to Research England for a reduction in the required output number for the UoA.

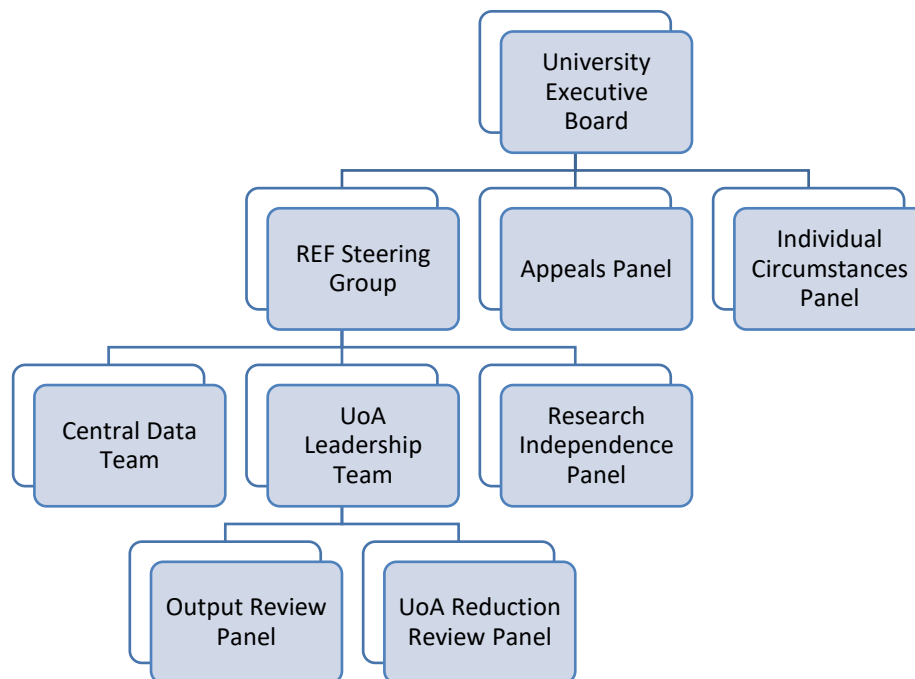
Appendix 2 - Communications plan for the REF2021 *Code of Practice*

Objective/ message	Audience	Mechanism	Timing
Consultation on draft CoP	Unit of Assessment Leads	REF Steering Group meeting	March 2019
	T&R and Research-only staff	REF campus briefings	March 2019
	UCU	Meetings	April 2019
	T&R and Research-only staff	Individual email to all staff	April 2019
	All university staff	Weekly 'Staff News' and monthly 'Big Picture' bulletins University intranet	April – May 2019
	Heads of School, Deputy HoS and School research communities	School Research and Enterprise Committees and Academic Board meetings	
	Deputy Heads of School R&E	University Research and Enterprise Committee meeting	May 2019
Approval	VC and University Executive Board	University Executive Board meeting	Early June
Submit CoP to REF2021	Research England	Submit as required	7 June 2019
Communication of final CoP	T&R and Research-only staff and UoA Leads	Individual email to all staff; paper copy sent to those on leave or secondment	June 2019
	All University staff	Campus-based <i>Code of Practice</i> workshops	Summer/ Autumn 2019
		Weekly 'Staff News', monthly 'Big Picture' bulletin and Research and Enterprise Newsletter	
		University intranet	
	Deputy Heads of School R&E	University Research and Enterprise Committee meetings	
Heads of School, Deputy HoS and School research communities	School Research and Enterprise Committees and Academic Board meetings		
Communication of the Summary of revisions to the Code of Practice	Deputy Heads of School R&E, staff with SR4R and/or Research Independence	Individual email to all relevant staff; Research and Enterprise Newsletter, University intranet	Autumn 2020

1. Management Structure



2. Committee Structure



Appendix 4 - REF Steering Group (REFSG) terms of reference

Reports to: University Executive Board (UEB)

Role: The REF Steering Group leads and oversees the university submission to REF 2021.

Terms of Reference:

- a to ensure that effective and appropriate institutional action is taken to support a high-quality submission to REF;
- b to determine the institutional strategy for the REF submission, including taking decisions on which Units of Assessment (UoA) to submit to, any joint or multiple submissions;
- c to oversee the strategic management of the REF submission across the University, including the conduct of a REF Pilot Exercise if deemed appropriate;
- d to develop and recommend institutional structures, processes and budgets to support the submission, including the appointment of UoA Leaders, UoA Impact Leads and internal and external reviewers;
- e to monitor the development of the REF by Research England, to co-ordinate responses to the funding council's consultations on the REF and to consider and communicate the strategic implications of the same for the university;
- f to develop the *Code of Practice* on submission, ensuring transparency and equality;
- g to oversee the development of impact case studies, including recommendations for additional support and resources required to maximise impact;
- h to hold final editorial control over submissions on the delegated authority of the Vice-Chancellor;
- i to advise on the communication of the REF results internally and externally;
- j to ensure that appropriate consideration is given within all committee papers to the need to eliminate unlawful discrimination, advance equality of opportunity and foster good relations between different groups of people.

Constitution and membership:

- Pro-Vice-Chancellor (Research and Enterprise) (Chair)

- Associate Pro-Vice-Chancellor (Research and Enterprise)
- Associate Pro-Vice-Chancellor (Research and Enterprise)
- Assistant Director (Research Services) and REF Manager
- Impact Manager
- UoA Leads

other members

- representative from BSMS
- Equality and Diversity Manager

Where appropriate, the Chair will invite the Director of People to attend meetings.

Quorum: The quorum for meetings is one half of the members, excluding vacancies.

Frequency of meetings: At least four per year. The REF Steering group may meet more frequently to meet the demands of the REF 2021 submission.

Senior group to: UoA Leadership Teams

Secretariat: Research Policy & Initiatives Adviser (Research Services)

Date first approved: February 2017

This revision date: 13 March 2019

Reports to: REF Steering Group

Role: The UoA Leadership Team advises the REF Steering Group.

Terms of Reference:

- a To advise the REFSG on developing a viable Unit of Assessment submission for REF2021;
- b To advise REFSG on any specific strategic implications of REF guidance and requirements on the UoA development;
- c To oversee the writing of the environment template for the UoA;
- d To constitute an output review panel for the UoA and oversee the work of the output review panel for the REF;
- e To develop Impact Case Studies with advice and quality assurance from the Impact Sub-Group; to make recommendations on the submission of Impact Case Studies for approval by the REFSG;
- f To take on any responsibility as identified by the university's *Code of Practice* on REF submission;
- g To act in accordance with the university's *Code of Practice* on REF submission;
- h To ensure that appropriate consideration is given to the need to eliminate unlawful discrimination, advance equality of opportunity and foster good relations between different groups of people.

Constitution and membership

- Unit of Assessment Lead
- Pro-Vice-Chancellor (Research and Enterprise) (ex officio)
- Associate Pro-Vice-Chancellor (Research and Enterprise) with responsibility for the Unit of Assessment
- Assistant Director (Research Services) and REF Manager
- Impact Manager

- Deputy Head of School R&E (or nominee) from each School substantively involved in the UoA

Where appropriate, the UoA Lead may invite additional members of academic or professional service staff, including early career researchers, in order to draw on a wider range of expertise and opinions and advise the team. Invitation could be to specific meetings, or to become a member of the group.

Frequency of meetings: UoALTs should meet in advance of each scheduled REF Steering group.

Date first approved: 11 December 2018

This revision date: n/a

Appendix 6 – Process for appointing UoA Leaders and role description

1 Process for appointing REF2021 Unit of Assessment (UoA) Leads

Appointment process

- 1 The PVC (R&E) will seek expressions of interest from university academics who have had a strategic position where they have led research in the first instance.
 - a Should there be more than one expression of interest for a UoA, a small group of REFSG members will be constituted to interview the candidates.
 - b Should there be no expression of interest for a UoA, expressions of interest will be sought from a broader community of academics.

Criteria

- senior research leadership positions both within and outside the university;
- good knowledge of the REF process;
- experience of external peer review,
- an appreciation of what makes a world-leading output, impact case study and environment.

2 REF2021 Unit of Assessment (UoA) Lead role description

Purpose

UoA Leads are responsible for shaping and articulating the strategy for a specific Unit of Assessment (UoA) for the REF2021 submission. Where a UoA includes researchers from more than one School, it is important that the UoA Lead liaises closely with all Schools involved.

The UoA leads will report and be accountable directly to the REF Steering Group, of which they will be a member.

Key responsibilities

- 1 Working closely with PVC (R&E) and Associate PVC (R&E)s, to make recommendations to the REF Steering Group (RSG) on the shape and content of draft submissions for a designated Unit of Assessment (UoA)
- 2 To have responsibility for the preparation of draft submissions, overseeing the accuracy of data entry for the relevant UoA
- 3 To receive and respond to feedback on draft submissions from PVC, Associate PVCs and REF Steering Committee, including any external reviews

- 4 To review and monitor for UoAs submitted in 2014, the UoA research strategy as articulated in the REF 2014 documentation, in conjunction with Deputy Heads of School (Research and Enterprise)
- 5 To lead the process for selecting outputs for submission, and to work closely with Deputy Heads of School (R&E) on the review of outputs on an annual basis; to liaise with the Portfolio Working Group where relevant
- 6 To make recommendations to the RSG for the selection of outputs, taking into account the university's *Code of Practice*, and the need to eliminate unlawful discrimination, advance equality of opportunity and foster good relations between different groups of people
- 7 In close liaison with the relevant Associate PVC and PVC (R&E), draft the narrative sections of the REF UoA Environment Template
- 8 To comment on and edit, when required, drafts of Impact Case Studies
- 9 To work with the REF Manager to verify and validate relevant research data (i.e. research income for UoA, research student data and staff UoA allocation for HESA return)
- 10 To gather intelligence on the REF from colleagues and from the wider academic community in relation to the relevant Unit of Assessment
- 11 To oversee all the documentation needed (outputs, environment statement and impact case studies) for any pilot REF exercise
- 12 In liaison with relevant Deputy Head(s) of School R&E, to communicate UoA development progress to staff
- 13 To assist the RESP office with all audit queries pre- and post-REF submission, liaising with researchers and schools as necessary
- 14 Working in collaboration with other UoA Leads and the REF Steering Group, to inform the collective UoB submission to REF2021

Appendix 7 – REF2021 training and development

Training outlined here is for those individuals and groups involved in the implementation of the *Code of Practice*. Seminars on the *Code of Practice* for all colleagues will be organised in 2019 (see our Communication Plan in appendix 2). Ongoing support and advice will be provided by the university's Equality and Diversity department in addition to this training plan.

Required participants	Equality and Diversity			REF-specific E&D training	Output assessment and selection		Individual circumstances	Supporting panels and submissions	
	Equality & Diversity Essentials e-learning (Mandatory)	Unconscious bias e-learning (Mandatory)	Managing diversity e-learning (Mandatory for line manager)		Calibration exercise for output review	Output selection for REF		REF2021 individual circumstances process	GDPR mandatory e-training
Line managers (normally Heads of School)	X	X	X	X			X	X	X
REF Steering Group	X	X		X			X	X	X
UoA Leadership Teams	X	X		X		X	X	X	X
Output Review Panels	X	X			X			X	X
Research Independence Panel	X	X		X				X	X
Appeals Panel	X	X						X	X
Individual Circumstances Panel	X	X					X	X	X
Secretaries of Committees and Panels	X	X		X		If supporting UoALT	If supporting IC Panel	X	X
REF Team	X	X		X		X	X	X	X

Content of training sessions

Some of the workshops may be combined where appropriate.

1 Equality and Diversity Essentials e-learning

This e-learning course is mandatory for all staff at the University of Brighton, and available from our intranet site. It covers the following:

- understanding what equality and diversity mean, and why they are important
- equality legislation and how the law applies in real situations
- how to break down negative stereotypes and preconceptions
- how to promote equality and diversity in the workplace
- the policies and guidelines in place to support equality and diversity at the University of Brighton.

We will check that all staff involved in REF2021 decision-making have undertaken this training.

2 Unconscious bias e-learning

This e-learning course is mandatory for all staff at the University of Brighton, and available from our intranet site. It explores what unconscious bias is and examines its impact on our behaviour and decision-making.

We will check that all staff involved in REF2021 decision-making have undertaken this training.

3 Managing diversity e-learning

This e-learning course is mandatory for all those who line manage staff and is available from our intranet site. It covers:

- how managing diversity brings important benefits
- scenarios testing how to manage challenging case studies
- clear guidance on what is expected of managers
- how to build an action plan to put equality and diversity into practice
- the policies and guidelines in place to support equality and diversity at the University of Brighton

We will check that all line managers involved in REF2021 decision-making have undertaken this training.

4 Training in equality and diversity legislation for REF2021

A workshop run by the REF Manager and the Equality and Diversity Manager. Several sessions will be run during the summer term 2019 to ensure all identified participants have undertaken training. It covers:

- Equality and Diversity legislation, how it is embedded in REF2021, and why this is important
- lessons learnt from REF2014
- implications for the participants' role in REF2021
- individual staff circumstances and reductions in research outputs

5 Calibration exercise for output review

This workshop is run by the Unit of Assessment Lead for their Output Review Panel when the panel is first constituted, and again when new members join. It covers:

- the output review process
- the REF criteria for assessing outputs
- quality registers and how they apply to the disciplines of the panel
- participants reviewing outputs and discussing their findings to ensure that a common understanding of quality registers is reached.

6 Output selection for REF

A workshop run by the REF Manager and Equality and Diversity Manager. Sessions will be organised in January-March 2020 prior to the provisional output selection. It covers:

- the REF context and how output selection has changed since REF2014
- the output selection process
- criteria and process for considering interdisciplinarity, multi-authorship and double-weighting
- how individual staff circumstances and reductions apply to the output selection process
- equality, diversity and inclusion considerations in the output selection process

7 REF2021 individual circumstances process

A workshop run by the REF Manager and the Equality and Diversity Manager. Sessions will be organised in the Autumn 2019 to ensure all identified participants have undertaken training prior to the first round of declarations of individual circumstances. It covers:

- the REF context and why individual circumstances are important

- the individual circumstances process
- equality, diversity and inclusion considerations in the individual circumstances process
- how the panel will operate
- support put in place for those who declare individual circumstances, and how participants can help

8 GDPR mandatory e-training

This e-learning course is mandatory for all staff and is available from our intranet site. It covers:

- data security
- GDPR
- compliance
- rights and enforcements
- HE scenarios

We will check that all staff involved in REF2021 decision-making have undertaken this training.

9 Good practice in decision recording and record storage

Mandatory Information Security Awareness e-training is mandatory for all staff and is available from our intranet site. In addition, the REF Manager will design a workshop to remind those involved in the REF of good practice in decision recording and record storage. Sessions will be organised in the Summer 2019 and Spring 2020 to ensure all identified participants have undertaken training. It will cover:

- data Protection, GDPR and the REF context
- REF audit requirements and what should be recorded
- the university's policies applying to record storage
- sharing of good practice among participants.

Appendix 8 - Equality, Diversity and Inclusion Policy



Statement of Intent

The University of Brighton is committed to fostering a stimulating, supportive and inclusive learning and working environment that is free from discrimination, harassment and bullying. It aims to create a culture of mutual respect and support for diversity, underpinned by mutual respect and trust where all students and staff are able to achieve to their full potential.

The university is committed to the fair treatment of all people, be they staff, students, visitors, or those applying for employment or study, regardless of age, disability, family or caring responsibilities, gender identity, marital status, pregnancy or maternity, race, religion or belief (including non-belief), sex, sexual orientation and work or study patterns.

The university acknowledges the duty of higher education in promoting equality of opportunity and furthering social inclusion. We recognise the link between equality and excellence in higher education, and we understand that ensuring equality of opportunity is essential for the successful and innovative development of the university and its community.

All students and staff have a personal responsibility for owning and implementing this policy.

Purpose

The overall purpose of the policy is to provide:

- a statement of commitment to equality and diversity within the university; and
- an outline of the rights and responsibilities to which all members of the university community are expected to adhere.

Roles and Responsibilities

Board of Governors

The Board of Governors has ultimate responsibility for ensuring that the university meets the commitments detailed within this policy.

Committees

The Equality and Diversity Committee and its sub-groups have responsibility for overseeing, steering and monitoring institutional activity on equality and diversity.

Committee Chairs have responsibility for:

- implementing the equality term of reference
- ensuring that equalities considerations are embedded throughout committee discussions and decisions.

University Executive Board

The University Executive Board are responsible for providing visible leadership on equality and diversity and on the implementation of this Policy

Heads and managers

Heads and managers are responsible for:

- providing visible leadership on equality and diversity and promoting equality and diversity throughout the activities in their area
- ensuring that staff and students are aware of their responsibilities and understand and apply this policy
- recognising and applying the principles of equality and diversity in their management of staff.

Human Resources

Human Resources (HR) are responsible for supporting the operational implementation of this policy as it relates to staff, by:

- keeping up to date with relevant legislation
- advising and supporting managers and staff about relevant issues
- supporting investigations into complaints about alleged breaches of this Policy as it relates to staff
- ensuring guidance is provided to allow HR policies to be applied fairly and to support transparency in their application.
- ensuring good governance of human resources issues such as promotions and pay.

The Equality and Diversity team in HR is responsible for developing and supporting implementation of strategies, policies and activities for advancing equality and celebrating diversity across the university.

Student Services

Student Services are responsible for supporting the operational implementation of this policy as it relates to students, by:

- advising and supporting students and staff about issues associated with equality, diversity, harassment and bullying, as they apply to students
- supporting and advising colleagues on approaches to ensure that student-focused policies are applied fairly and transparently.

Marketing and Communications

Marketing and Communications staff are responsible for:

- ensuring that the images and content of their own publications and communications are inclusive and accessible to all
- embedding inclusivity within the guidance and advice they provide to colleagues across the institution on communications matters.

Estate and Facilities Management

Estate and Facilities Management staff are responsible for ensuring that new and existing buildings are accessible and inclusive.

Staff equality networks

The staff equality networks are responsible for:

- providing informal peer support on relevant issues
- helping to raise awareness about relevant equality issues
- contributing to the ongoing review and development of institutional equalities activity.

Teaching staff

Teaching staff are responsible for:

- promoting equality and diversity through their teaching programmes and through relations with students, staff and the wider community
- ensuring that the curriculum covers the knowledge, skills and values which students need to tackle discrimination when they meet it and to help them to understand and value diversity
- ensuring that materials used to deliver the curriculum are accessible to a diverse range of students and adjusted to meet specific needs, and that they are free from sexist, racist and

other discriminatory assumptions, images and languages, unless they are being studied as examples of such.

Portfolio Planning Group

The Portfolio Planning Group is responsible for ensuring that proposed new or revised courses or awards are consistent with the university's equalities strategies, policies and ethos.

Quality and Standards

Academic Standards are responsible for ensuring that course validation processes and guidance incorporate considerations relating to equality, diversity and inclusive teaching.

Staff with responsibility for research governance

Staff with responsibility for research governance are responsible for ensuring that research undertaken by the university does not contravene this policy.

External contractors and service providers

All external contractors and providers of university services are responsible for ensuring that their staff comply with this policy and relevant legislation.

The Manager of Purchasing Services is responsible for ensuring that contractors and suppliers are aware of, and are committed to this policy.

All staff

All staff are responsible for ensuring that they understand and apply this Policy throughout their day-to-day activities and interactions.

Students

All staff are responsible for ensuring that they understand and apply this policy throughout their day-to-day activities and interactions with students.

Breaches of this policy

All staff and students have a duty to observe this policy and the requirements of the [Equality Act \(2010\)](#). Any reported breaches will be investigated through the relevant [staff procedures](#) or [student procedures](#) and may result in disciplinary action being taken.

Staff who have concerns about unlawful discrimination, harassment or bullying are advised to contact their line manager, a member of the [Human Resources Department](#) or a trade union representative ([Unison](#) or [UCU](#)).

Students who have concerns about unlawful discrimination, harassment or bullying are advised to contact their [Student Support Guidance Tutor](#), the [Students' Union](#), [Student Services](#), their Course Tutor, Personal Tutor, or Head of School.

Implementing the policy

The university's [Equality Objectives and Equality and Diversity Strategy](#) sets out how it is implementing this Policy.

Monitoring and Review

The Equality and Diversity Committee is responsible for the ongoing monitoring and review of this Policy to ensure its effectiveness in achieving equality of opportunity.

Form IA2 Record of Impact Assessment

Part 1 - Policy or practice details

1 What is the policy or practice? (Name/description)

Selection of staff for submissions to REF 2014 (Final selection round)

2 Who is the policy or practice owner? (lead department/committee/school/jobholder)

Head of Research Office

3 What are the aims, objectives or purpose of the policy or practice?

To ensure consistency, transparency and fairness in the selection of staff for submission to the REF

4 Who are the main stakeholders of the policy or practice?

Staff responsible for REF selection decisions and research-active academic staff

5 Is the policy or practice applied uniformly throughout the university? If no, please give details.

Yes

Part 2 - Analysis

6 What data or information has been used to facilitate this impact assessment?

Initial assessment of *Code of Practice*: An Equality Impact Assessment (EIA) was initially carried out during the development of the *Code of Practice* (appendix 1) and this was subsequently reviewed after each selection round.

This final EIA follows on from the previous REF EIA and EIA reviews for the university. The information used to inform it includes data on all eligible staff (ie. academic staff employed on 0.2 FTE or above contracts) disaggregated by:

- applicants
- UoA
- outcome, and where appropriate reason for not including.

These data were analysed by:

- age
- ethnicity (White/Black or ethnic minority)
- gender
- disability (disabled/not disabled)
- contract type (full-time/part-time and permanent/fixed term)
- maternity leave since 01/01/2008
- early career researchers

(Note – detailed selection data are not included with the published Equality Impact Assessment due to the need to protect the data of staff in specific protected groups where numbers are low. However, these data were analysed for the purpose of this impact assessment and are available on request (with data removed where low numbers may lead to the identification of individuals against personal sensitive data)

In August 2012 the university began gathering staff data on sexual orientation, religion or belief and gender reassignment for the first time, for new staff. In August 2013 it also started gathering these data for existing staff. Whilst a campaign to encourage staff to update their equalities monitoring data is planned for 2014, as yet insufficient monitoring data are available to include analysis of selection rates for these groups in this EIA.

An analysis of appeals and complex circumstances data has also been carried out. Because of the confidential, sensitive nature of complex circumstances and very low numbers of appeals, overview information only for these groups has been included in this EIA.

Information about existing and planned activities that relate to promoting equality for research active staff (such as the university's Equality Objectives and its Athena SWAN and Concordat action plans) were also taken into consideration in relation to recommendations for mitigating action to address any differences in selection rates (see part 3 of this EIA).

7 Is there any evidence or likelihood that different groups have different needs, experiences, issues and priorities in relation to this policy or practice?

	Yes	No	Not known	Please give details
Age	X			Age: younger staff may be more likely to be early career researchers, and as such may have had less opportunity to achieve the standard and/or number of research outputs normally required for submission.
Contract type	X			
Disability	X			
Gender reassignment	X			Contract type: staff on short term or temporary contracts may have less opportunity to achieve the number of outputs normally required for submission.
Marriage/civil partnership			X	
Race	X			Disability: disabled staff may be more likely to require time off work, work reduced hours or have adjustments to their working environment which could impact on their opportunity to achieve the number of outputs normally required for submission.
Religion /belief			X	
Gender (including pregnancy & maternity)	X			Disability: disabled staff may be more likely to require time off work, work reduced hours or have adjustments to their working environment which could impact on their opportunity to achieve the number of outputs normally required for REF submission. Staff with caring responsibilities for a disabled person may also have reduced opportunity to achieve the number of outputs normally required due to reduced working hours and/or reduced opportunity to travel or do extra work outside of their usual contracted hours.
Sexual orientation			X	
Working pattern	X			Gender reassignment: staff undergoing gender reassignment may require time off for appointments and operations, which could impact on their opportunity to achieve the number of outputs normally required for submission.

				<p>Gender, pregnancy and maternity and working hours: Part-time staff may have less opportunity to achieve the number of outputs normally required for submission. Female staff are more likely to have primary caring roles and as such are more likely to work part-time and/or have less opportunity to carry out extra work or travel outside of their usual contracted hours, and so may have reduced opportunity to achieve the number of outputs normally required.</p> <p>Staff who have been pregnant or on maternity leave during the assessment period may also have had reduced opportunities to achieve this number of outputs. The EIA from the RAE 2008 showed that part-time staff were considerably less likely to be included in the submission than full-time staff.</p>
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8 Is there any evidence or likelihood that any groups may be adversely affected by the policy or practice, compared with other groups? (Your responses to questions 7 and 8 should help you to answer this question.)

	Yes	No	Not Known	Please give details
Age	X			See Appendix
Contract type	X			
Disability		X		
Gender reassignment			X	
Marriage/civil partnership			X	
Race	X			
Religion /belief			X	
Gender (inc. pregnancy & maternity)	X			
Sexual orientation			X	
Working pattern	X			

If adverse impact has been identified please go to part 3. If no adverse impact has been identified, go to part 4.

Part 3 - Mitigating adverse impact

9 What action has been or will be taken in order to mitigate the adverse impact?

See Appendix.

10 When will this action be taken?

As detailed in related action plans (eg. Athena SWAN, Concordat)

Once the mitigating actions have been implemented, an impact assessment review must be carried out within a reasonable timescale.

11 How will this action be monitored to ensure that adverse impact does not continue and that no other groups are adversely affected by the actions taken?

- Annual equalities monitoring
- Staff surveys
- EIA of next REF or similar exercise.

12 When will the impact assessment review be carried out?

N/A

Part 6 - Assessor's details

13 Name and job title of impact assessor:

Helen Tatch, Equality and Diversity Manager

Summary of data and analysis

The data below provide information about the proportion of staff from each of the equality groups for whom sufficient data for analysis are held at the university, in relation to each of the following:

- All data is H/C of staff not FTE
- Eligible staff are defined as academic and research staff who are 0.2FTE or above
- Number and proportion of eligible staff* in each UoA who are from each of the equality groups analysed
- Number and proportion of eligible staff* in each UoA who applied to participate in the REF
- Number and proportion of applicants from each UoA who were selected for participation in the REF
- The statistical significance of these results has not yet been tested.

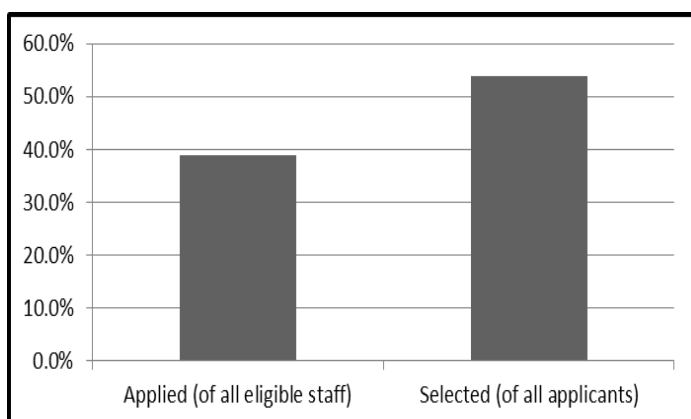
The commentary below refers to overall university application and selection rates only. Data, other than the overview is presented only at university level since at UoA levels some individuals may be identifiable. Analysis has not been carried out at UoA level because of difficulties associated with the low numbers involved. (However, where there are obvious disparities between different groups, the individual UoAs will be asked to conduct further analysis).

1a. Overview (all academic and research staff)

Table 1.1: Applications and selection rates, by Unit of Assessment (UoA)

UoA	Applied		Selected*		Not selected*		Total
	No.	% of those eligible	No.	%	No.	%	No.
A3	68	26.1%	27	39.7%	41	60.3%	261
B11	25	46.3%	14	56.0%	11	44.0%	54
B12	14	37.8%	9	64.3%	5	35.7%	37
B7	41	56.9%	15	36.6%	26	63.4%	72
C19	32	25.0%	18	56.0%	14	43.0%	128
C22	41	53.9%	29	70.7%	12	29.3%	76
C25	18	15.1%	8	44.4%	10	55.6%	119
C26	41	44.6%	24	58.5%	17	41.5%	92
D34	141	54.4%	82	58.2%	59	41.8%	259
D34/D36	0	0.0%					8
D36	27	60.0%	15	55.6%	12	44.4%	45
Total	448	38.9%	241	53.8%	207	46.2%	1151

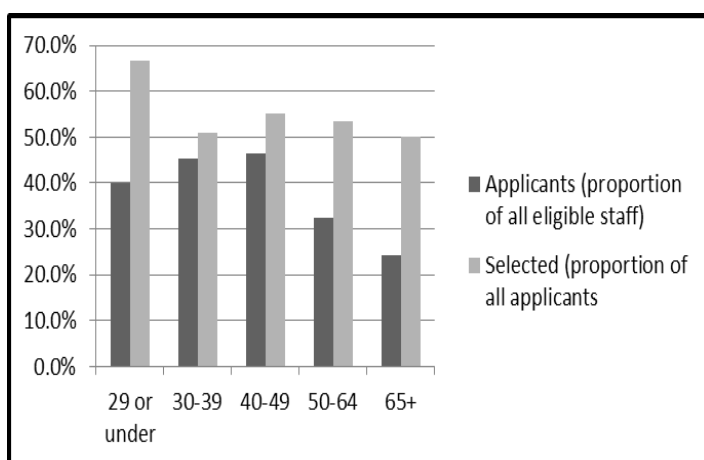
Chart 1: overall application and selected applicants



Of the 38.9% of staff who applied to participate in the REF, 53.8% were selected for inclusion. There were considerable variations in terms of both application and success levels in the different UoAs. This mirrors the differing levels of research activity across the institution.

1b. Age

Chart 2: overall application and selected applicants, by age range



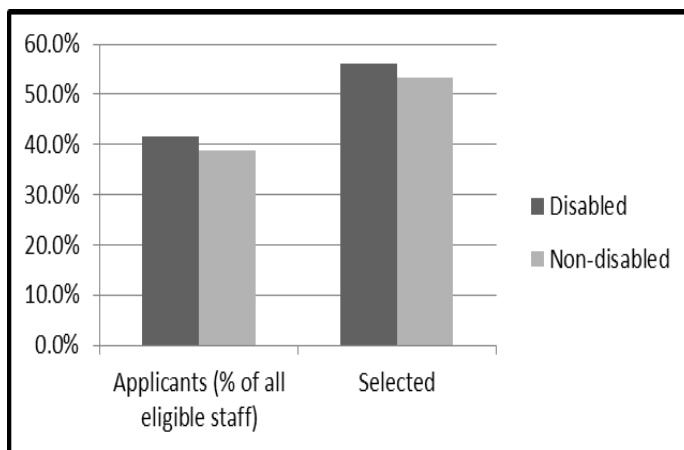
Whilst almost half (48.1%) of all eligible staff were aged 50 or over, there were relatively low application rates in these age groups compared with the younger three age groups. The highest application rates were amongst 40-49 year olds (46.5%), and the lowest application rates were in the 65+ age group (24.1%).

Selection rates were notably higher for applicants in the 29 and under age range (66.7%), than in the other age ranges (50.0% - 55.3%), although low overall numbers in this age group may have impacted on these figures. Selection rates amongst applicants did not vary a great deal across the other four age ranges, although it is noteworthy that staff in the 65+ age group had both the lowest application rates and the lowest selection rates.

As well as analysing selection rates for applicants to the REF, analysis was also carried out on the proportions of all eligible staff who were included in the REF (ie. the overall inclusion rate). Overall, staff in the youngest age group (29 and under) had the highest overall inclusion rate, at 26.7%. Inclusion rates were similar for the 30-39 and 40-49 age groups (23.1% and 25.7% respectively), but were lower in the two highest age groups, at 17.3% in the 50-64 age group and 12.1% in the 65+ age group.

1c. Disability

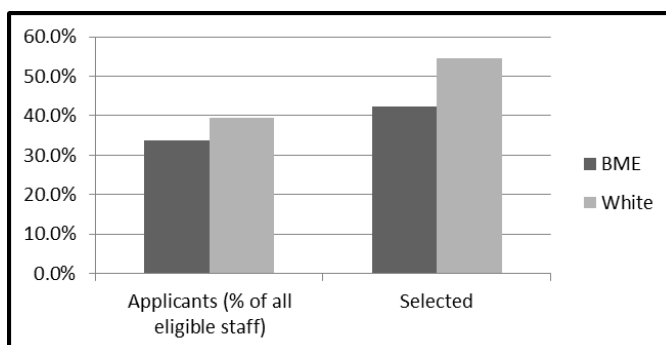
Chart 3: overall application and selection rates for disabled and non-disabled staff



Overall 5.2% of eligible staff had disclosed a disability to the university. Whilst slightly higher proportions of disabled staff both applied for participation in the REF and were successful in their applications than was the case for non-disabled staff, no notable differences in application or selection rates were identified.

1d. Ethnicity

Chart 4: overall application and selection rates, by ethnicity (BME and White)

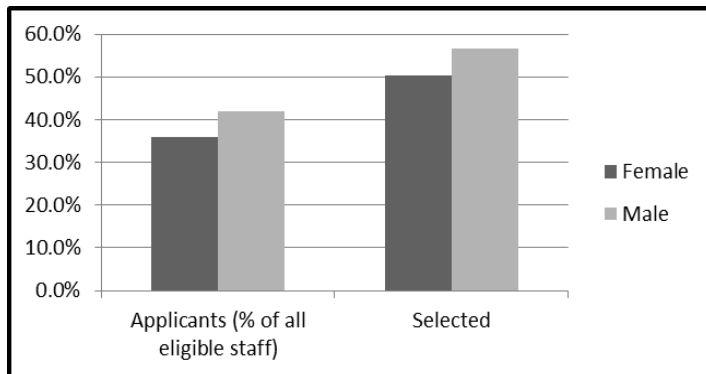


Overall, 6.6% of staff who were eligible to apply for participation in the REF were from Black and minority ethnic (BME) groups. Lower proportions of BME than White staff applied for inclusion in the REF (33.8% and 39.3% respectively), and selection rates for BME staff (42.3%) were notably

lower than selection rates for White staff (54.6%). Overall, 14.3% of all eligible BME staff were included in the REF, compared with 21.5% of all eligible White staff.

1e. Gender

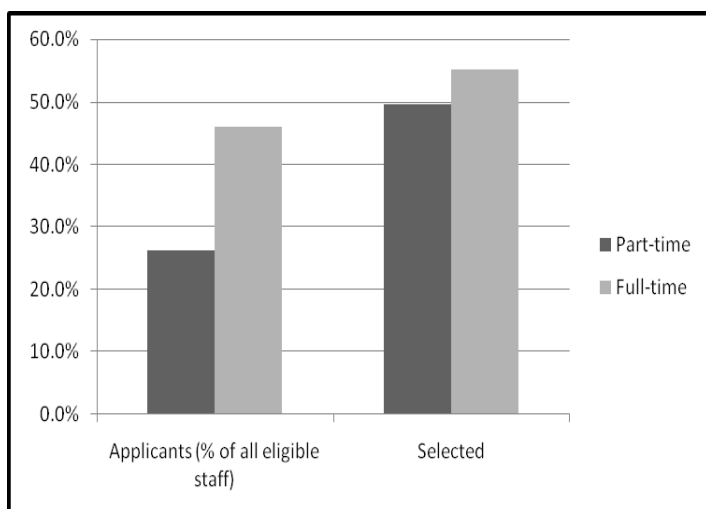
Chart 5: overall application and selection rates, by gender



Both application and selection rates were lower for female staff than for male staff, with 35.9% of female staff applying of whom 50.2% were successful, compared with 41.9% of male staff applying of whom 56.7% were successful. Overall, 18.0% of all eligible women were included in the REF, compared with 23.8% of all eligible men, a difference of 5.8% which is a change since RAE 2008 when there was a 7.6% difference. There were some variations between selection rates for male and female applicants between UoAs.

1f. Working pattern

Chart 6: overall application and selection rates, by working pattern (part-time/full-time)



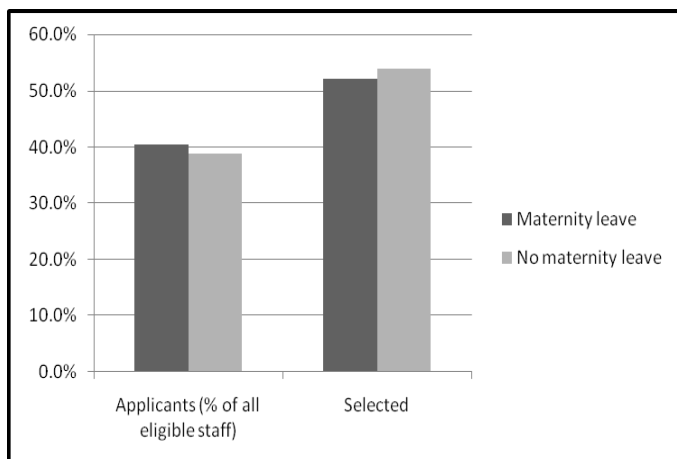
Application rates amongst part-time staff were lower than amongst full-time staff, at 26.3% and 46.1% respectively. Selection rates were also higher for full-time staff than for part-time staff, at 55.2% and 49.5% respectively. Overall 13.0% of all eligible part-time staff were included in the REF,

compared with 25.4% of all eligible full-time staff. This 12.4% difference is a slight change from RAE 2008 when part-time staff were 14% less likely to be selected than those on a full-time contract.

Whilst detailed analysis has not been carried out at UoA level, it can be noted that there were lower proportions of applicants from the part-time staff group than the full-time staff group in all but one of the UoAs.

1g. Maternity leave

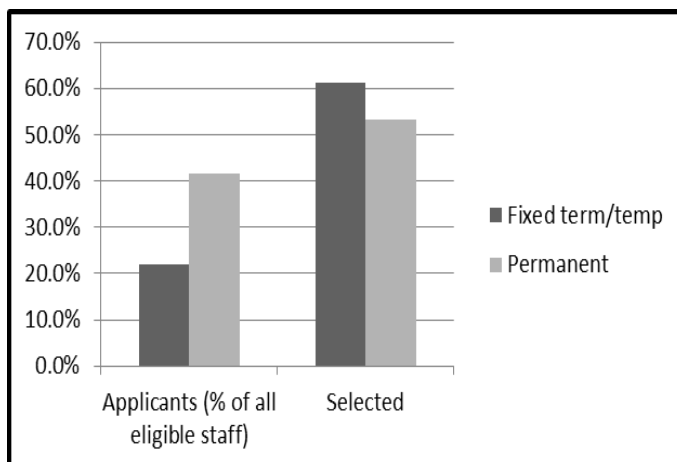
Chart 7: overall application and selection rates, by maternity leave/no maternity leave



A slightly higher proportion of staff who took maternity leave during the REF period applied for participation in the REF than was the case for staff who did not take maternity leave, and a slightly lower proportion of applicants who had taken maternity leave were selected than was the case for other applicants. However, the overall differences in application and selection rates were small, at below 2% in both cases.

1h. Contract type

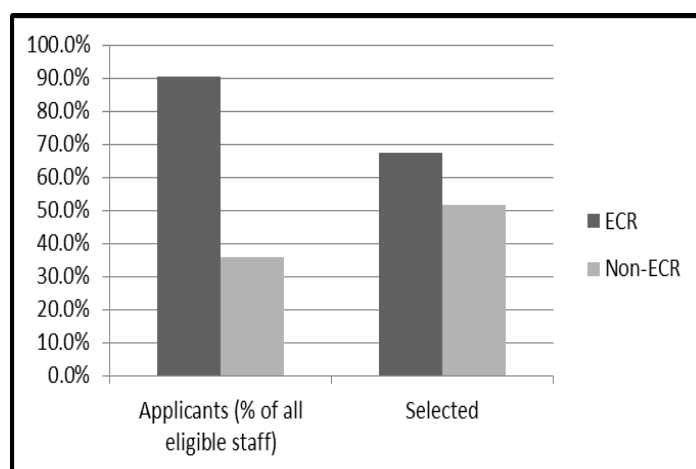
Chart 8: overall application and selection rates, by contract type



Application rates amongst fixed-term/temporary staff were lower than was the case for permanent staff, at 22.1% and 41.7% respectively. However, a greater proportion of applicants on non-permanent contracts were selected (61.1%) than was the case for applicants on permanent contracts (53.2%). Overall, 13.5% of all eligible fixed term/temporary staff were included in the REF, compared with 22.2% of all permanent staff.

1i. Early career researchers (ECRs)

Chart 9: overall application and selection rates, by ECR and non-ECR



Since ECR status at the University of Brighton cannot easily be determined by contract type, in the majority of cases, the assessment of ECR status was only conducted at the point of application, and therefore the data on eligible ECRs and consequently those who applied is artificially high. In other words, we do not know how many staff, eligible under HEFCE criteria to be ECRs, did not apply. The selection rate for ECRs, once they had applied was higher than was the case for other eligible staff, at 67.2% for ECRs compared with 51.8%.

1j. Complex circumstances

There were a total of 34 separate applications to the Complex Circumstances Panel, of which 26 were granted output reductions (two of these were solely based on clearly defined entitlements). Of these 26 successful applicants to the Complex Circumstances Panel, 12 were selected for inclusion in the REF.

For reasons of confidentiality and data protection, no analysis has been carried out with regards to the characteristics of applicants to the Panel.

A number of specific issues regarding the communications, application and panel process for complex circumstances were identified during the REF, with feedback suggesting that some of these have caused additional stress for applicants and contributed to a higher than expected work

burden for those involved in implementing the process. Detailed feedback has been discussed with the Research Office for consideration during the development of any future processes. A summary of the key issues raised is provided below:

- a need for greater detail in communications for staff regarding how the process works
- separating the administration work for clearly defined circumstances and complex circumstances applications created significant additional challenges in ensuring adequate consideration of overall profiles
- some staff expressed a preference for attending the panel in person rather than receiving requests for additional clarification
- some staff who did not have sufficient numbers of outputs felt under pressure to submit complex circumstances applications, others used the opportunity to ask for a reduction even where it was extremely unlikely they would receive it.

1k. Appeals

A total of three appeals were received from two different UoAs. Two of the appellants were male and one was female. One appeal was accepted. No further analysis has been carried out on appeals due to the very low numbers involved.

Summary of analysis and findings for differential impact and potential adverse impact

2.1 Age

Differences were identified in relation to application rates, with higher application rates amongst staff in the middle and younger age ranges than in the 50-64 age range and 65+ age range. Overall, higher proportions of eligible staff in the younger three age-groups were included in the REF than was the case for the older two age groups, with inclusion rates in the 65+ age group being relatively low.

The reasons for these differences are not currently known. It may be speculated that this is due to younger staff being more likely to be ECRs, or the career stage of older staff, but it is not possible to draw conclusions without further analysis.

There may be a range of reasons why staff in different age ranges and life stages may choose to apply or not to apply to participate in the REF. Further research may be useful to help understand why application rates were lower amongst older staff than was the case for younger staff, and why success rates for the 65+ group was lower than for other groups of staff.

2.2 Disability

No differences were identified in relation to either application rates or success rates between disabled and non-disabled staff. This may suggest that the national measures to minimise the risk of adverse impact for disabled staff have been successful at the university level but further analysis would be needed to confirm this conclusion.

2.3 Ethnicity

The application and success rates were lower for BME staff than for White staff and, therefore, a risk of adverse impact in relation to BME staff has been identified.

It is possible that interrelations between ethnicity, age, grade and contract-types may have contributed to the differences in application and selection rates for BME and White staff. Further analysis of these data would be useful to help understand whether or not this is the case, as part of a more detailed investigation into the reasons for these differences.

2.4 Gender

Differences were found between male and female staff, with both application and success rates being lower for women than for men. As such, a possible risk of adverse impact in relation to women has been identified.

As the majority of the university's part-time staff are female, it is possible that relatively low application and success rates amongst part-time staff may have contributed to the lower application and selection rates amongst female staff. It is also possible that interrelations between grade, age range and gender may have had an impact on the overall gender data. Further analysis of these data would be useful to help understand whether or not this is the case, as part of a more detailed investigation into the reasons for the differences in male and female application and selection rates.

2.5 Working pattern

Differences were identified in relation to application rates for part-time and full-time staff. Considerably higher proportions of full-time staff applied to participate in the REF than part-time staff, and selection rates were also lower for part-time applicants compared with full-time applicants. As such a risk of adverse impact has been identified in relation to part-time staff, despite national measures designed to mitigate these risks.

There are a range of reasons why staff on different contract types may be more or less likely to apply to participate in the REF or to be successful in their applications. Further research would be useful to help identify why these differences may have occurred.

2.6 Maternity leave

No clear differences were identified in relation to either application rates or success rates between staff who took maternity leave during the REF period and those who did not. This may suggest that the national measures to minimise the risk of adverse impact for staff who took maternity leave

staff were successful at the university level, but further analysis would be necessary to confirm this conclusion.

2.7 Contract type

Differences were identified in relation to application rates between fixed-term/temporary and permanent staff, with application rates amongst permanent staff being nearly twice those of staff on other types of contract. Whilst selection rates for fixed term/temporary staff who did apply for inclusion were higher than those for permanent staff who applied, because of the low application rates amongst fixed term/temporary staff there were still lower proportions of eligible fixed-term staff than permanent staff included in the REF. This could be because staff are employed to cover teaching duties with no expectation of development of a research profile, which would take time to achieved but further research would be useful to identify why application rates amongst this group of staff were lower than for permanent staff.

2.8 Early career researchers (ECRs)

A higher proportion of ECRs than non-ECRs were included in the REF, with success rates being higher for the ECR group. This may suggest that processes put in place nationally to enable ECRs to have equal opportunity to participate in the REF have been effective at achieving this at the university. However, there is a possible risk of adverse impact for staff who were not ECRs, compared with ECRs.

2.9 Gender reassignment, sexual orientation and religion and belief

No data were gathered in relation to these characteristics.

3 Mitigating adverse impact (question 8) - current and planned activities

As the REF only takes place every five years using a process that is set nationally, actions to help mitigate against the adverse impact risks identified above will be primarily focussed on activity to support the career development of affected staff over the next five years and beyond. There are a number of activities and initiatives already underway or planned at the university which may help achieve this. These include:

- a We are currently implementing a Concordat action plan for supporting the career development of researchers. This was developed in consultation with research staff, and has been awarded the HR Excellence in Research award by the European Commission. Whilst the action plan focuses on all research staff, it does include specific principles and actions on equal opportunities, and implementation of the plan should support the career development for all groups of research staff.
- b We intend to participate at the earliest possible opportunity in the forthcoming higher education Race Equality Charter that is currently being developed by the Equality Challenge

Unit. The university will also be considering what activities it can put in place during the 2013/14 academic year to prepare for the new Charter.

- c In August 2013 we began gathering monitoring data on gender reassignment, religion and belief and sexual orientation for existing staff, following the commencement of data gathering for these groups in recruitment the previous year. Whilst these data were not yet available for analysis during this REF, such data is expected to be available from the 2013/14 reporting year onwards and so will allow us to carry out statistical analysis for differential impact for these groups in the future (taking into account any data protection issues).
- d The university holds an institutional-level Athena SWAN Bronze award, and it is expected that all five of our eligible schools will apply for their own departmental Athena SWAN awards in 2014. As well as focusing on the career progression of female academics in STEMM subjects, the Athena SWAN self-assessment process also focuses on related issues, such as part-time working, maternity leave and fixed term employment. In addition, the university will apply for alternative kite-marks for other disciplines as they become available.
- e The university intends to participate in the forthcoming higher education Gender Equality Charter that is expected to be launched by the Equality Challenge Unit in 2014. This will help ensure that activities to support gender equality and related issues (such as equality for staff on fractional contracts, maternity, paternity and adoption leave, and fixed term or temporary contracts), will be focussed on all subject areas and not just the STEMM subjects.
- f We are currently implementing equality and diversity training or equivalent e-learning for all staff. A Managing Diversity e-learning package is also available to managers, and equalities training/e-learning is embedded within the university's central induction process and its various management and academic leadership development programmes.
- g It is intended that additional training is developed and introduced during the 2013/14 academic year, including training on unconscious bias and targeted training for committee Chairs on implementing the 'due regard' element of the Public Sector Equality Duty.
- h We are currently developing proposals for introducing staff development schemes aimed at specific groups of staff, to help support their career development opportunities.
- i We will be introducing new staff equality network groups during the 2013/14 academic year. It is intended that the networks will both provide a support network for staff from different equality groups, and provide greater opportunities for staff from the different groups to influence university equality strategies and activities.
- j The university is a Stonewall Diversity Champion. We participated in the Stonewall Workplace Equality Index for the first time in 2013, and will be implementing a range of changes following feedback from this.

- k A number of our staff are participating in a pilot public-sector, Sussex-wide, LGBT mentoring scheme. Further proposals for mentoring for specific equality groups will be developed following feedback from the pilot year of that scheme.

4 Mitigating adverse impact (question 8) - recommendations for additional actions

Along with the activity detailed above, it is recommended that:

- a Further university-level analysis is carried out on the REF data to identify whether there are any interrelations between the different characteristics analysed.
- b If areas of potential adverse impact are not explained by this further data analysis, additional action/research will be undertaken to help the university understand why these differences are occurring (utilising existing or new processes, such as Athena SWAN, the Gender and Race Charters and Stonewall's Workplace Equality Index).
- c Analysis of selection rates in the individual UoAs for the different groups is carried out at UoA level, and local actions are developed and implemented based upon this as appropriate.
- d The results of the staff survey and other relevant surveys are analysed by the various protected characteristics to identify whether any differential experiences in relation to research career opportunities are identified between different groups of people.
- e An action plan is developed and implemented to help ensure that all eligible staff have equal opportunity to develop and progress in their research careers over the next five years and beyond.
- f Feedback about the complex circumstances process is taken into account during the development of the process for the next REF (or equivalent exercise).
- g Consider data from this EIA when determining membership of future selection panels.
- h Compare these data with that in the EIA conducted after RAE2008 to ascertain whether there are patterns or trajectories and run statistical tests to ascertain whether relationships between small sub-sample sizes are significantly different.

Appendix 10 – Summary table of REF2021 Equalities Impact Assessments

EIA	On	Timescale	Action
Output Review Panels membership	Gender balance	Spring 2019	Informs membership
UoA Leadership Teams' membership	Gender balance	Spring 2019	Informs membership
Significant responsibility for research data 2018-19	Gender, race, disability, age, contract type, working pattern - by UoA and institutional	Summer 2019	Informs processes
Significant responsibility for research data 2019-20	Gender, race, disability, age, contract type, working pattern - by UoA and institutional	Autumn 2019	Informs submission decisions
Research independence Round 1 data (including appeals)	Gender, race, disability, age, contract type, working pattern - institutional	Summer 2019	Informs submission decisions
Research independence Round 2 data (including appeals)	Gender, race, disability, age, contract type, working pattern - institutional	Spring/ Summer 2020	Informs submission decisions
Significant responsibility for research 2019-20 appeals data	Gender, race, disability, age, contract type, working pattern - institutional	Spring/ Summer 2020	Informs submission decisions
Output selection data, provisional round (Mock REF)	Gender, race, disability, age, contract type, working pattern - by UoA and institutional	November 2020	Informs submission decisions
Staff circumstances data (circumstances requests)	Gender, race, disability, age, contract type, working pattern - by UoA and institutional	November 2020	Informs submission decisions
Significant responsibility for research data for staff submitted (Final EIA)	Gender, race, disability, age, contract type, working pattern - by UoA and institutional	Spring 2021	Report to Research England
Research Independence data (Final EIA)	Gender, race, disability, age, contract type, working pattern - institutional	Spring 2021	Report to Research England
Output selection data (Final EIA)	Gender, race, disability, age, contract type, working pattern - by UoA and institutional	Spring 2021	Report to Research England

Appendix 11 – Equality Impact Assessments undertaken in Spring 2019

1 Review of the gender of members on Output Review Panels, as at Spring 2019

The membership of Output Review Panels was analysed to see if the proportion of female members on panels reflected the proportion of women who were identified as having significant responsibility for research in 2018-19. This analysis was conducted at UoA level.

	Output Review Panels				Staff in that UoA with SR4R			
	Female	Male	Total panel	%women	Female	Male	Total SR4R	%women
A3	9	17	26	35%	21	34	55	38%
B11	5	11	16	31%	3	19	22	14%
B12	3	11	14	21%	6	32	38	16%
C14	6	12	18	33%	13	23	36	36%
C17	3	6	9	33%	16	33	49	33%
C20	6	5	11	55%	26	16	42	62%
C23	2	3	5	40%	7	12	19	37%
C24	4	7	11	36%	10	24	34	29%
D32	14	13	27	52%	46	35	81	57%
D34	11	9	20	55%	38	35	73	52%

The percentage of women members broadly reflects the proportion of women who have been identified as having significant responsibility for research in the Unit of Assessment in most UoAs. The only case where there is a variation of more than 10% is Unit of Assessment B11 where the small number of members on the panel means that this variation represents just one person.

2 Review of the gender of members on UoA Leadership Teams, as at Spring 2019

The membership of UoA Leadership Teams was analysed to see if there was gender parity. This analysis was conducted at UoA level.

UoA Leadership Teams				
	Female	Male	Total UoALT	%women
A3	5	4	9	56%
B11	4	2	6	67%
B12	4	3	7	57%
C14	4	3	7	57%
C17	4	3	7	57%
C20	4	2	6	67%
C23	3	2	5	60%
C24	4	8	12	33%
D32	3	4	7	43%
D34	5	4	9	56%

All UoA Leadership Teams broadly have parity in the number of their male and female members. There is one exception, Unit of Assessment C24, where the proportion of male members is lower than the proportion of female members (33%); this, however, reflects the percentage of women who have significant responsibility for research in this UoA (29%).

UoA Leadership Teams are small panels, so a single person can affect the gender percentage strongly. An additional female team member is expected to be recruited for Unit of Assessment D32, which would achieve gender parity.

Appendix 12 – Agreed process for significant responsibility for research (SR4R)

- 1 REF2021 and identification of staff with SR4R
 - 1.1 A requirement of REF2021 is for the University of Brighton to submit a *Code of Practice* which will describe how we have identified staff with significant responsibility for research who will then be considered for being in scope for the REF2021 submission. The *Code of Practice* will need to be submitted to and approved by the UEB and the REF's Equality and Diversity Advisory Panel (EDAP) in 2019.
 - 1.2 Research is defined by REF2021 as a process of investigation leading to new insights, effectively shared. For the prospective survey outlined below in paragraph 1.4 onwards, activities listed in Annex A should not be included in the estimate of time expected to be available for research.
 - 1.3 Following discussion with the University Executive Board, REF steering group, University's Research and Enterprise Committee and representatives of UCU we are proposing the process outlined in this document as a means of identifying staff with significant responsibility for research and therefore in scope for REF2021.
 - 1.4 In September 2018, Heads of Schools collated data from a scoping exercise on the time staff self-assessed that they spent on research in academic year 2017-18. Based on the findings of this exercise we will use 10% of contracted time as the threshold for identifying those who have significant responsibility for research. This rationale for this threshold will be explained fully in our Code of Practice.
 - 1.5 Following the scoping exercise (para. 1.4), we will be collecting information on the time staff expect to spend on research for academic years 2018/19 and again in 2019/20.
 - 1.6 The data collected in this prospective survey will indicate whether each member of academic staff is expecting to spend less than 10%, or 10%+ of their contracted time on research that year.
 - 1.7 We are collecting the data over two years to allow us to capture year-to-year fluctuations and to provide a longer time series of data to evidence the process is robust and consistent.
- 2 Collecting the data
 - 2.1 Line managers (normally the Heads of School) will ask their academic staff (0.2FTE and over) to declare whether they are expecting to spend less than 10%, or 10%+ of their contracted time on research, where research is as defined by REF2021 and where the activities listed in Annex A are excluded.
 - 2.2 Heads of School will collect the data in a spreadsheet provided by the REF Team.

- 2.3 Individual data in the spreadsheet will only be seen by the senior research and enterprise leadership team, members of the central REF Team in RESP, Head of School, Deputy Head of School (Research and Enterprise) and REF Unit of Assessment Leads.
 - 2.4 If the Head of School has a different view from that declared by the member of staff, they will discuss it with them to agree the final response.
 - 2.5 If a member of staff does not respond to the survey within the agreed timeline, the Head of School will complete it on their behalf.
 - 2.6 Heads of School will sign off the data formally for their school and return it to the REF Team.
 - 2.7 If the duties of a member of staff change during the academic year being surveyed, they will agree with their Head of School whether their declaration should change. The Head of School will inform the REF Team if it does.
- 3 Processing the data
 - 3.1 The data collected will inform the decision on whether a member of staff is in or out of scope for REF 2021.
 - 3.2 The data will not be used for any purpose other than REF2021 planning and submission.
 - 3.3 There will be no change to the terms and conditions of any member of staff as a result of any information supplied as part of these data collection exercises, nor will it affect their ability to access resources or support for their research activity in the future.
 - 3.4 The list of staff in scope for REF2021 will be provided only to those involved in preparing REF submissions.
 - 3.5 All data submitted will be destroyed in October 2022. That is, six months post announcement of REF results and completion of any audit that Research England may wish to undertake.

Tara Dean, Pro-Vice-Chancellor (Research and Enterprise), January 2019

Annex A

The following categories of activities do not constitute undertaking original research as defined by REF 2021 and should not be included in the declaration by staff of time spent undertaking research.

- 1 Research leadership (e.g. leading a REG for which central funding is not given)
- 2 Research mentoring
- 3 PGR supervision
- 4 PGR leadership (e.g. PGR coordinator)
- 5 Scholarly Activity – this covers professional development that does not embody original research and is relevant to the role and the maintenance and advancement of own personal knowledge and skills. This includes:
 - a publishing teaching materials such as textbooks;
 - b producing outputs that do not embody original research addressing pedagogical methods;
 - c attending professional conferences;
 - d acquiring new skills, including IT skills and competence in the use of specific software for use in teaching and learning;
 - e acquiring professional qualifications and developing practical/professional expertise;
 - f contributing to collaborations with external organisations both nationally and abroad which increase the opportunity and enrichment of teaching and learning;
 - g keeping abreast of new professional, educational and related social, economic, political, and technological developments so that the school maintains a position in the forefront of its field;
 - h developing teaching and learning expertise in line with recommended best practice, gaining accreditation including continuous evaluation and improvement.

NB: Research as defined by the REF involves a process of investigation leading to new insights, effectively shared and therefore includes forms of scholarship that involve the creation, development and maintenance of the intellectual infrastructure of subjects and disciplines, in forms such as dictionaries, scholarly editions, catalogues and contributions to major research databases.

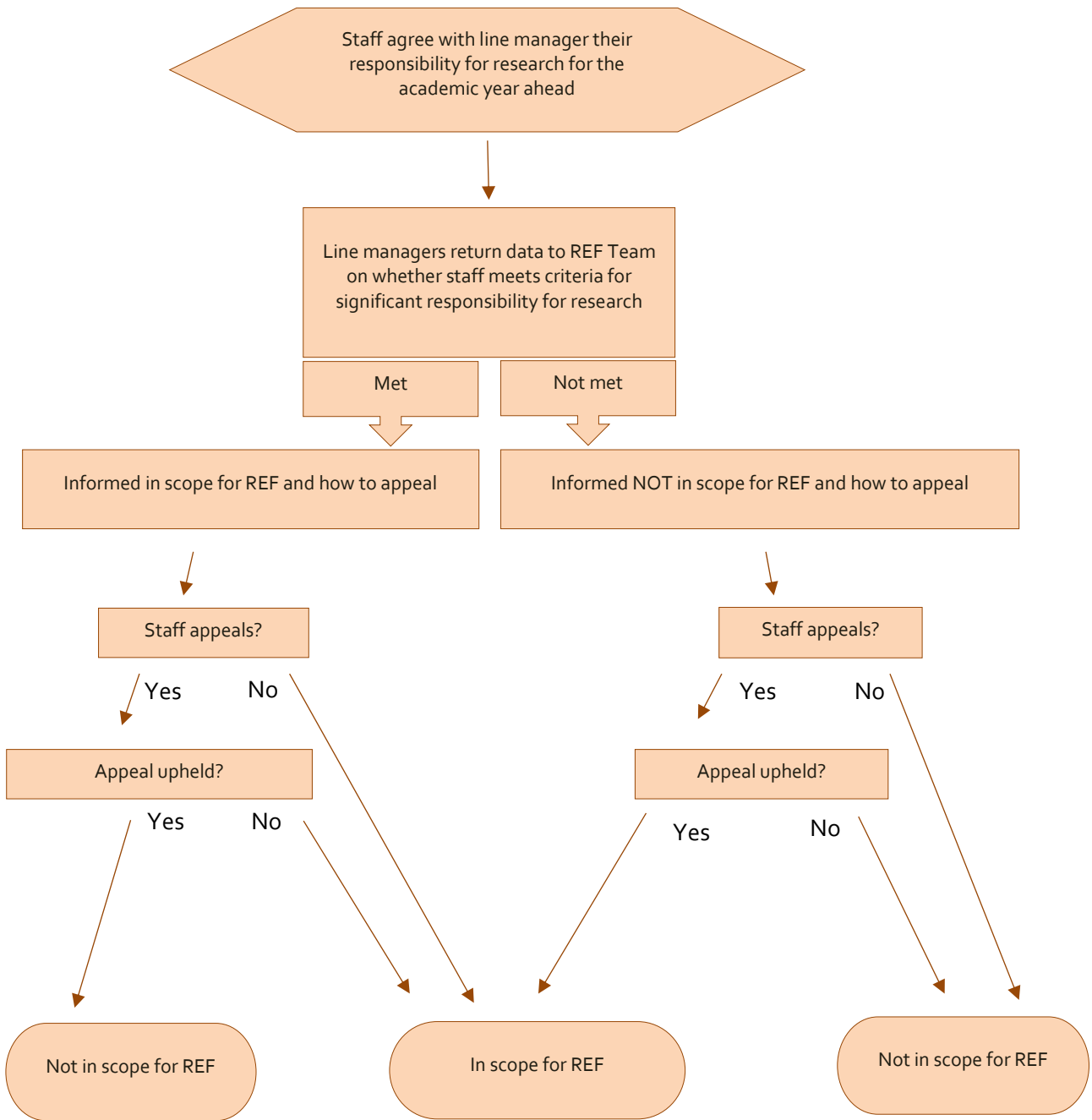
- 1 Enterprise – as defined by the University of Brighton, this is activity that does not embody original research and includes:

- a work with non-academic (i.e. non HEI) partners including businesses, social enterprises the public sector, the voluntary sector, non-governmental organisations, and community groups;
- b consultancy for customers/schools internal to the University of Brighton;
- c routine testing and non-research clinical trials;
- d outreach (where the outreach activity is not teaching or research).

NB: If enterprise is undertaken primarily in support of teaching, it is classified as Scholarship.

- 2 Support for Research – as defined by the University of Brighton, this is an activity that does not embody original research and includes:
 - a drafting and redrafting proposals for new work and supporting bids to external bodies (where bids involve a significant amount of speculative research, that element can be Research as defined by REF);
 - b quality assurance for research;
 - c internal and external peer review;
 - d refereeing papers;
 - e publicity for research facilities and opportunities;
 - f unpaid work advising government departments or committees;
 - g unpaid work for professional bodies or agencies in relation to research matters;
 - h institute and academic school committee work supporting Research.

Appendix 13 – Flowchart for significant responsibility for research



Appendix 14 - Questionnaire to determine research independence

Are you in scope for inclusion in REF2021?

As a member of staff on a research-only contract, you may be eligible to be included in the REF2021, if you can evidence that you are an independent researcher.

'For the purposes of the REF, an independent researcher is defined as an individual who undertakes self-directed research, rather than carrying out another individual's research programme.' (REF2021 Guidance for Submissions, paragraph 131.) By contrast, research assistants are defined as 'employed to carry out another individual's research programme' (REF2021 *Guidance for Submissions*, paragraph 130). See the extract from the *Guidance on Submissions* overleaf for further information.

Therefore, you may be in scope for inclusion in REF2021 if, on the REF census date (31 July 2020), you meet one or more of the indicators below (each indicator may not individually demonstrate independence, and where appropriate multiple factors may need to be considered):

- Leading or acting as principal investigator or equivalent on an externally-funded research project
- Holding an independently won, competitively awarded fellowship where research independence is a requirement (an illustrative, but not exhaustive, list of independent fellowships can be found at www.ref.ac.uk, under Guidance.)
- Leading a research group or a substantial work package
- Acting as a co-investigator on an externally-funded research grant/award (panels C & D)
- Providing significant input into the design, conduct and interpretation of research (Panels C & D)

Please tick any of the above that apply to you and provide relevant details in the box below.

Please provide relevant details that highlight how you meet the above criteria. Include details of your contribution to projects, grants or publications, as well as dates, amounts and reference numbers of grant or awards, links to publications on Pure or other sites, etc. You can also provide additional documents. *(The box below will grow as you type.)*

- Alternatively, please tick here if you do not meet any of the above.

Please return this form and any additional documents to REFteam@brighton.ac.uk, by *[Date to be added]*. We may request further information, and we may contact your line manager and/or Deputy Head of School (Research and Enterprise), if appropriate. A panel will consider your case, and we will inform you of its decision by *[Date to be added]*.

For further guidance and discussion, please contact your Unit of Assessment Leader or the REF Team. You can also email us if you have any questions.

Professor Tara Dean/REF Team

Extract from the *Guidance on Submissions*

Independent researchers

- 120 Staff employed on 'research only' contracts must be independent researchers (defined in paragraphs 131 to 133) to meet the definition of Category A eligible. All staff on 'research-only' contracts who are independent researchers will have significant responsibility for research so should be returned as Category A submitted staff.
- 121 Research assistants (sometimes also described as postdoctoral research assistants, research associates or assistant researchers) as defined in paragraph 130, are not eligible to be returned to the REF unless, exceptionally, they meet the definition of an independent researcher (defined in paragraphs 131 to 133) on the census date and satisfy the definition of Category A eligible staff in paragraph 117. They must not be listed as Category A submitted staff purely on the basis that they are named on one or more research outputs.
- 122 Research assistants are defined as academic staff whose primary employment function is 'research only', and they are employed to carry out another individual's research programme rather than as independent researchers in their own right (except in the circumstances described in paragraph 121). They are usually funded from research grants or contracts from Research Councils, charities, the European Union (EU) or other overseas sources, industry, or other commercial enterprises, but they may also be funded from the institution's own funds.
- 123 For the purposes of the REF, an independent researcher is defined as an individual who undertakes self-directed research, rather than carrying out another individual's research programme.
- 124 Possible indicators of independence are listed below. Institutions should note that each indicator may not individually demonstrate independence and where appropriate multiple factors may need to be considered. The main panels have set out in the 'Panel criteria' (paragraphs 187 to 189) the indicators they consider appropriate for their disciplines. The following indicators are considered appropriate by all main panels
- leading or acting as principal investigator or equivalent on an externally funded research project

- holding an independently won, competitively awarded fellowship where research independence is a requirement. An illustrative, but not exhaustive, list of independent fellowships can be found at www.ref.ac.uk, under Guidance
- leading a research group or a substantial or specialised work package.

125 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.

126 Institutions are required to develop processes for determining research independence in accordance with the guidance in paragraphs 128 to 133 and document these processes in their code of practice (see REF 2019/03).

End of extract

Appendix 15 – Agreed process for output review

The University of Brighton REF output assessment process was agreed by UoB and UCU on 2 February 2018. This version updates sections 4 and 5 to change from a School-based to a Unit of Assessment-based review structure and to provide a timetable for the 2019 review. Sections 1, 2 and 3 are unchanged.

1 REF 2021 criteria on the submission of staff and volume of outputs

- 1.1 The rubric for REF2021 with regards to staff submission has changed from that in REF2014. It has transformed from being a selective exercise whereby institutions choose who to submit, often basing judgements on the staff whose outputs were likely to receive funding (3* and 4*), to one where all academic staff with a minimum of a 0.2FTE contract who have a significant responsibility to produce research are in scope to be returned provided that they are independent researchers. It is therefore likely that, for REF2021 a larger proportion of staff will be submitted compared to 20% in REF 2014.
- 1.2 Research England are requiring the submission of 2.5 outputs per FTE with a minimum of one output per individual and a maximum of five. If an individual is eligible but has no outputs then the 'missing' output will be counted in the quality profile as unclassified.

2 Output assessment at Brighton

- 2.1 Since REF2008, Brighton has operated a system of output assessment to understand quality levels. This was vital for a highly selective exercise since judgements had to be made with regards to who should be returned to each Unit of Assessment. Although the exercise has changed in nature, and all staff with a significant responsibility to produce research will be returned, it is still considered valuable to understand the quality-levels for the following reasons:
 - i) In order to enable a strategic selection of outputs. Funding will continue to be awarded only to the 3* and 4* work returned. It is therefore in the University's best interests to return as much work as possible which is judged to be of that standard in order to maintain our QR income which is reinvested into supporting our researchers. The output assessment process will no longer be focussed on staff selection but will be about understanding how best to return outputs under the new REF2021 rules;
 - ii) Staff benefit from the developmental aspects of having their work assessed. Developing an understanding about quality as judged by REF criteria, and how they might improve their work will benefit the individual's career progression and external profile.

3 Principles of output assessment

In reviewing outputs, staff involved in the reviewing process will abide by the following principles:

Peer judgement

Assessment of outputs is based on peer judgement by an approved panel with experience of reviewing.

Integrity

All involved in assessment are expected to behave with integrity as outlined in the University of Brighton's Policy on Research Integrity.

Accurate data

Any data relating to the output such as journal rankings or citation rates will be selected for its reliability and limitations inherent in data sources will be explicitly acknowledged. These data may be used to inform judgements or to challenge misconceptions but will not replace peer review.

Tailored

Disciplinary differences in research have to be taken into account. Any disciplinary biases in factors that influence the assessment must be explicitly acknowledged and addressed.

Confidentiality

All output grades will be kept confidential to members of the relevant reviewing panel, members of the REF Steering Group and officers in RESP who will process the data and produce summative reports. Outcomes will not be discussed or reported to staff not directly involved in the process.

Equality

Those undertaking assessment must be aware of the potential for assessment and associated metrics to reflect or introduce bias. All reviewers will be trained in equalities issues and will be expected to ensure that outputs are assessed consistently and only to the criteria provided.

Transparency

Assessment criteria and any data used will be made available to staff as will timelines for assessment and feedback. Reviewers will use the 5-point grading scale as employed by the REF and will be using the sheet attached.

Feedback

All staff whose outputs have been reviewed will be entitled to feedback from a member of the reviewing panel with regards to the rationale behind the allocated grade.

Training

Staff undertaking review will have participated in calibration exercises to ensure that they are assessing consistently within their discipline area.

- 4 Process of output assessment updated for 2019 exercise
 - 4.1 The review of outputs will take place by review panels based on REF Unit of Assessments, which have been approved by the REF Steering Group. UoA Leads, appointed by the REFSG, will constitute the panels and will be expected to be mindful of: subject expertise, previous reviewing experience and gender balance. Membership of review panels will be published on the sharepoint site but the names of reviewers of each output will not be identified.
 - 4.2 Reviewers may request not to assess outputs that are beyond their areas of expertise.
 - 4.3 Heads of School will be expected to allow an appropriate workload allocation for members of staff who are involved in reviewing outputs.
 - 4.4 The Chair of the review panel (normally the Unit of Assessment Lead or nominee) will undertake a calibration exercise with the panel prior to commencing the assessment, in order to develop a shared understanding of quality levels.
 - 4.5 The review panel will only consider outputs that have been in the public domain since January 2014, which have been fully validated on Pure at the point of the review, and that comply with REF's Open Access requirements.
 - 4.6 Staff from practice-based disciplines are advised that basic information about the output must be available on Pure. The final presentation of the output may be subject to further discussion to make it suitable for output assessment and REF submission for example, which images are presented or how to describe the research content.
 - 4.7 Outputs will be reviewed using the quality criteria and grades used by REF panels.
 - 4.8 The Chair will allocate a minimum of two reviewers for each output, being mindful of subject expertise and personal conflicts of interest. If there is a disagreement on the quality level, a third reviewer could be appointed.
 - 4.9 At the same time as panel review is being undertaken, staff will be given the option to complete a self-assessment of their outputs. Chairs of Panels should offer workshops or briefing sessions within their Schools to develop a common understanding of quality levels.
 - 4.10 If there is a significant discrepancy between the internal review grade and the self-assessment grade the panel may seek external review.

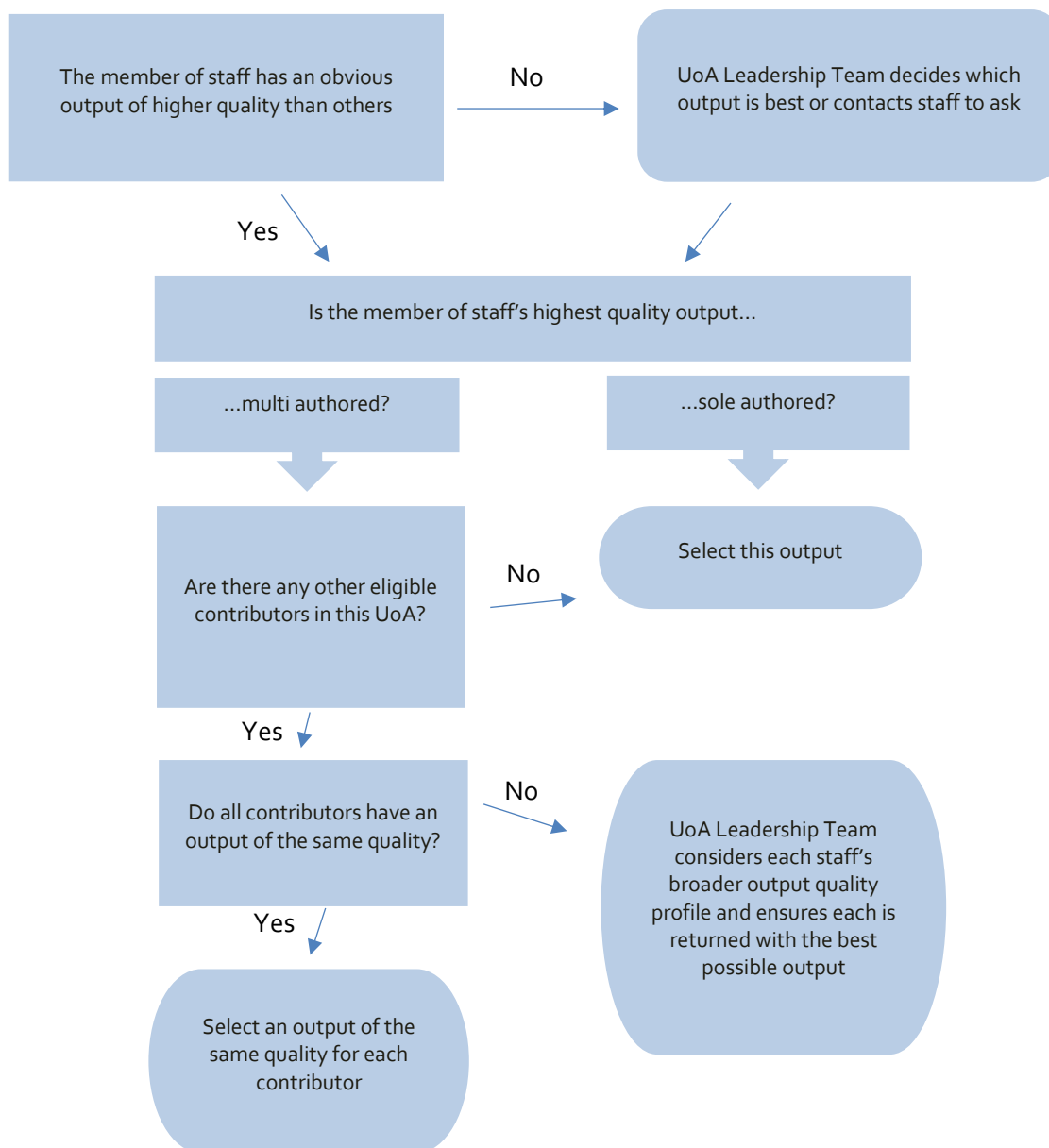
- 4.11 There will be an opportunity to review outputs again where a case is made for additional information to be submitted to the panel (for instance for a practice-research output that has grown incrementally, or to consider additional evidence of significance gathered since the last review).
- 4.12 The decision on a final grade for each output will be taken by the full review panel.
- 4.13 Staff may choose to be informed of the assessment outcomes, including the assigned grade for each output. Individuals can express a preference for whether they wish to be informed about outcomes in person or via email. Staff may wish to use the outcomes as the basis for discussion with mentors and other colleagues as part of their own development.
- 4.14 Output grades should be treated as sensitive data and should not be circulated further than the review panel, UoA Leadership Team, and the REF Steering Group. RESP staff will be involved in processing the output grades and will produce summative reports. Assessment data will only be used to determine inclusion of outputs in the REF and will not be used in performance review or to assess promotions. Output profiles will be used by the REF Steering Group to monitor institutional progress towards submission. Anonymised summative profiles will also be used by the Research and Enterprise Committee to review School-level performance.
- 4.15 The University may appoint external reviewers to benchmark internal judgements on output quality or to seek specialist advice where there is insufficient internal expertise in a specific discipline.
- 5 Timescales updated for 2019 exercise
It is anticipated that this process will take place on an annual basis in 2019. It will be undertaken more than once in 2020, the final year prior to REF submission when selection of outputs is taking place.

AG/IP/TD/PA/AC

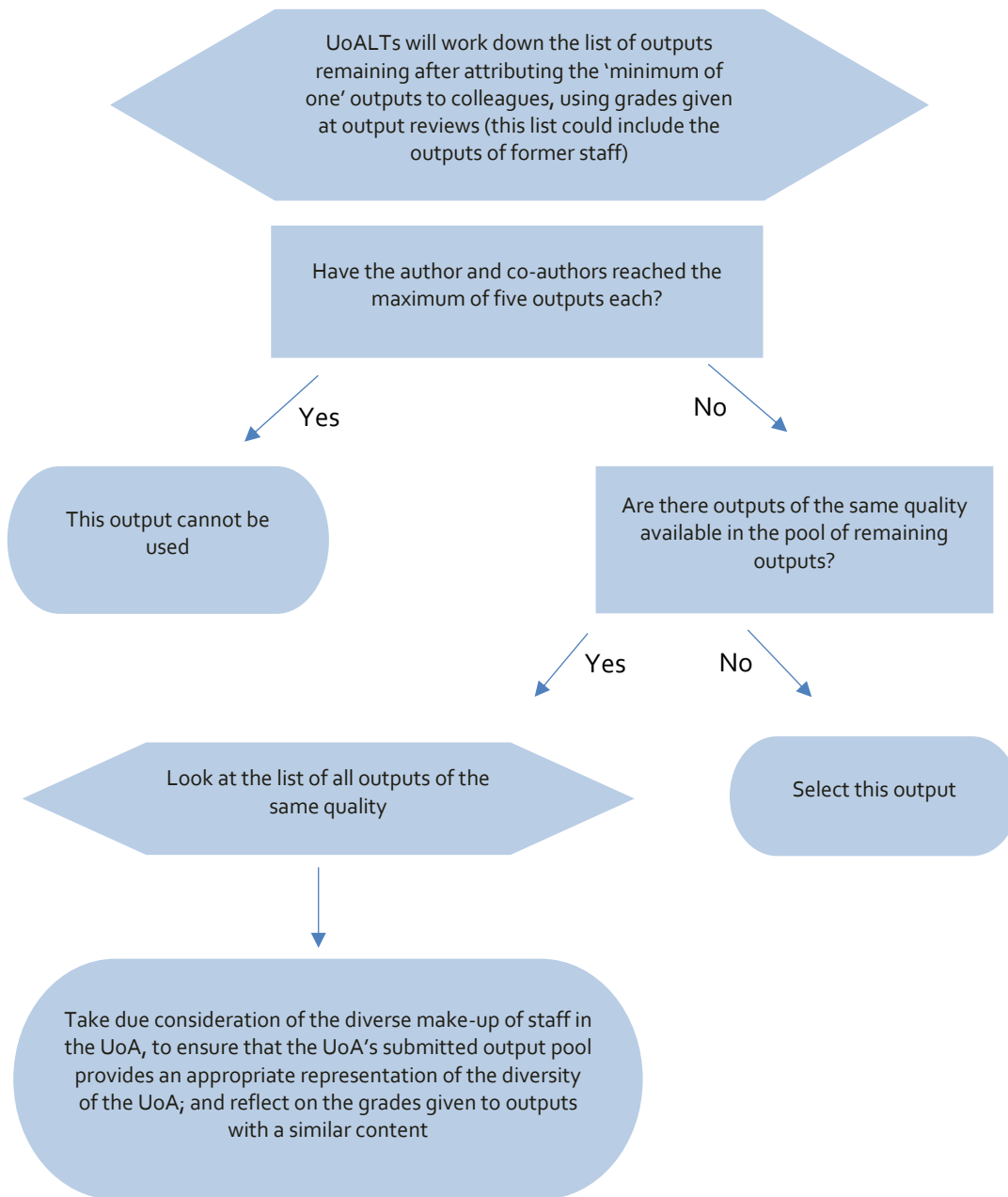
January 2019

Appendix 16 – Flowcharts for output selection

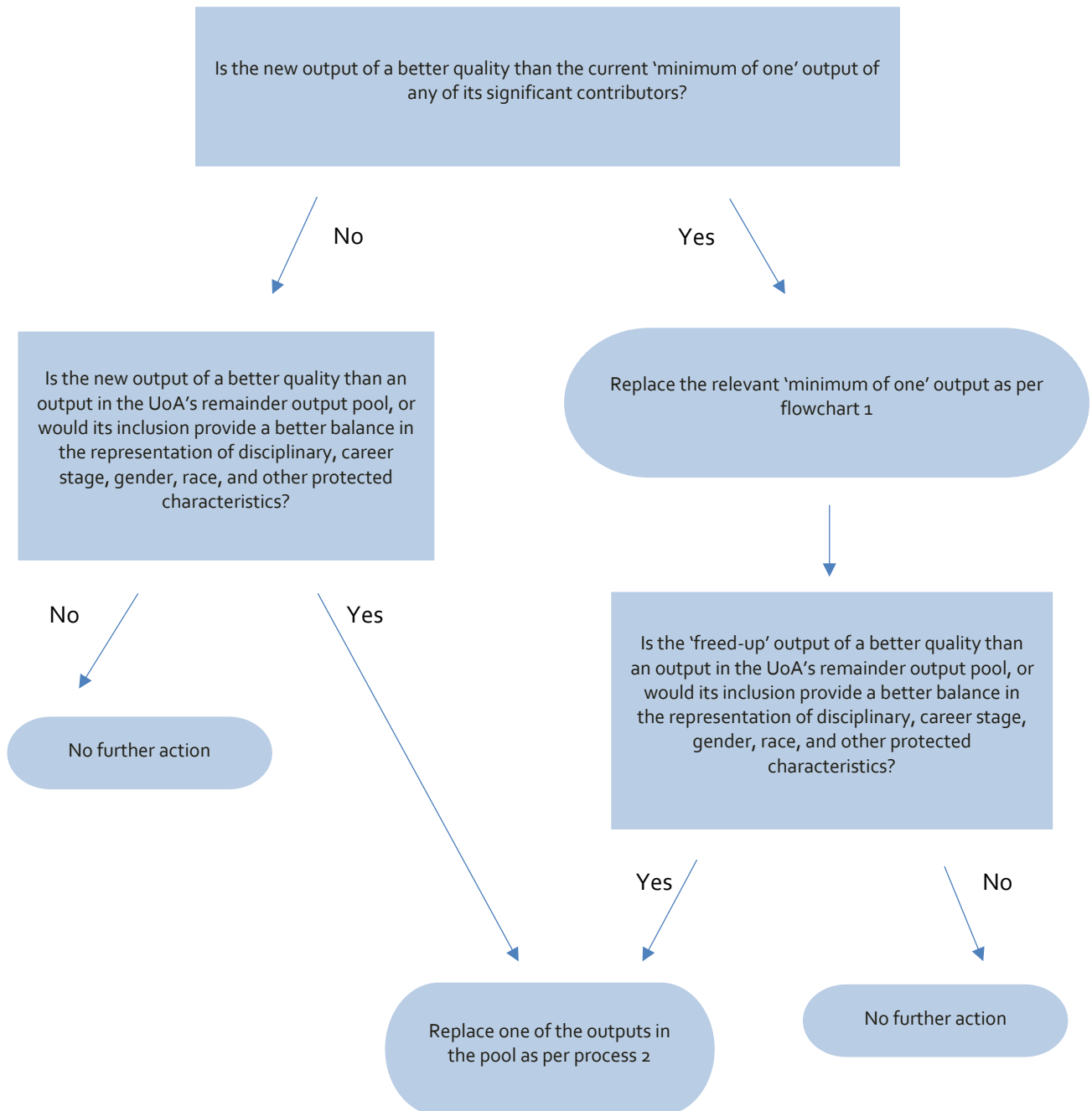
1 Flowchart 1: Selecting the ‘minimum of one’ output per member of staff submitted



2 Flowchart 2: Selecting the remainder of outputs from the output pool



3 Flowchart 3: Replacing outputs in the selection



Appendix 17 Reductions for staff circumstances

(This appendix is a reproduction of Annex L from the REF2021 *Guidance on Submissions* and has been updated using *Guidance on Revisions to REF2021*)

- Given the reduced output requirement for 2021, the tariffs for the defined reductions differ from those set in REF 2014. This is to ensure that a broadly equivalent reduction is given in the context of the submitted output pool, and to ensure that panels receive a sufficient selection of research outputs from each submitted unit upon which to base judgements about the quality of that unit's outputs.

Early career researchers (ECR)

- ECRs are defined in the *Guidance on Submissions*. Table L1 sets out the permitted reduction in outputs without penalty in the assessment that HEIs may request for ECRs who meet this definition.

Table L1: Early career researchers: Permitted reduction in outputs

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

Absence from work due to secondments or career breaks

- Table L2 sets out the permitted reduction in outputs without penalty in the assessment that HEIs may request for absence from work due to secondments or career breaks outside of the HE sector, and in which the individual did not undertake academic research.

Table L2: Secondments or career breaks: Permitted reduction in outputs

Total months absent between 1 January 2014 and 31 July 2020 due to a staff member's secondment or career break:	Output pool may be reduced by up to:
Fewer than 12 calendar months	0

At least 12 calendar months but less than 28	0.5
At least 28 calendar months but less than 46	1
46 calendar months or more	1.5

- 4 The allowances in Table L2 are based on the length of the individual's absence or time away from working in HE. They are defined in terms of total months absent from work.
- 5 As part-time working is taken account of within the calculation for the overall number of outputs required for the unit (which is determined by multiplying the unit's FTE by 2.5), reduction requests on the basis of part-time working hours should only be made exceptionally. For example, where the FTE of a staff member late in the assessment period does not reflect their average FTE over the period as a whole.

Qualifying periods of family-related leave

- 6 The total output pool may be reduced by 0.5 for each discrete period of:
 - a Statutory maternity leave or statutory adoption leave taken substantially during the period 1 January 2014 to 31 July 2020, regardless of the length of the leave.
 - b Additional paternity or adoption leave¹⁴, or shared parental leave¹⁵ lasting for four months or more, taken substantially during the period 1 January 2014 to 31 July 2020.
- 7 This approach to reductions for qualifying periods of family-related leave is based on the funding bodies' considered judgement following consultation in the previous REF exercise that the impact of such a period of leave and the arrival of a new child into a family is generally sufficiently disruptive of an individual's research work to justify the specified reduction.
- 8 While the above reduction of outputs due to additional paternity or adoption leave is subject to a minimum period of four months, shorter periods of such leave could be taken into account as follows:

¹⁴ 'Additional paternity or adoption leave' refers to leave of up to 26 weeks which is taken to care for a child where the person's spouse, partner or civil partner was entitled to statutory maternity leave or statutory adoption leave, and has since returned to work. The term 'additional paternity leave' is often used to describe this type of leave although it may be taken by parents of either gender. For the purposes of the REF, we refer to this leave as 'additional paternity or adoption leave'.

¹⁵ 'Shared parental leave' refers to leave of up to 50 weeks which can be shared by parents having a baby or adopting a child. This can be taken in blocks, or all in one go.

- a By applying a reduction in outputs where there are additional circumstances, for example where the period of leave had an impact in combination with other factors such as ongoing childcare responsibilities.
 - b By combining the number of months for shorter periods of such leave in combination with other circumstances, according to Table L2.
- 9 Any period of maternity, adoption, paternity or shared parental leave that qualifies for the reduction of an output under the provisions in paragraph 6 above may in individual cases be associated with prolonged constraints on work that justify more than the defined reduction set out. In such cases, the circumstances should be explained in the request.

Combining circumstances

- 10 Where individuals have had a combination of circumstances that have a defined reduction in outputs, these may be accumulated up to a maximum reduction of 1.5 outputs. For each circumstance, the relevant reduction should be applied and added together to calculate the total maximum reduction.
- 11 Where Table L1 is combined with Table L2, the period of time since 1 January 2014 up until the individual met the definition of an ECR should be calculated in months, and Table L2 should be applied.
- 12 When combining circumstances, only one circumstance should be taken into account for any period of time during which they took place simultaneously.
- 13 Where an individual has a combination of circumstances with a defined reduction in outputs **and** additional circumstances that require a judgement, the institution should explain this in the reduction request so that a single judgement can be made about the appropriate reduction in outputs, taking into account all the circumstances. The circumstances with a defined reduction in outputs to be requested should be calculated according to the guidance above (paragraphs 2 to 10).

Other circumstances that apply in UOAs 1-6

- 14 In UOAs 1–6, the number of outputs may be reduced by up to one, without penalty in the assessment, for Category A submitted staff who are junior clinical academics. These are defined as clinically qualified academics who are still completing their clinical training in medicine or dentistry and have not gained a Certificate of Completion of Training (CCT) or its equivalent prior to 31 July 2020.
- 15 This allowance is made on the basis that the staff concerned are normally significantly constrained in the time they have available to undertake research during the assessment

period. Where the individual meets the criteria in paragraph 14, and has had significant additional circumstances – for any of the other reasons set out in the *Guidance on submissions* in paragraph 16o – the institution can make a case for further reductions in the unit reduction request.

Circumstances requiring a judgement about reductions

- 16 Where staff have had other circumstances during the period (see paragraph 16oe in the REF2021 *Guidance on Submissions* document and paragraph 21a *Guidance on Revisions to REF2021*) – including in combination with any circumstances with a defined reduction in outputs – the institution will need to make a judgement about the effect of the circumstances in terms of the equivalent period of time absent, apply the reductions as set out in Table L2 by analogy, and provide a brief rationale for this judgement.

Appendix 18 – Form to declare individual circumstances

Voluntary declaration of individual staff circumstances

You can discuss your circumstances in confidence at any time with the Equality and Diversity Manager (Helen Gray, h.gray@brighton.ac.uk, t. 01273 642835), the REF Manager (Ingrid Pugh, i.pugh@brighton.ac.uk, t. 01273 642612), or your Head of School/ line manager .

The University offers a range of services and events to support health and wellbeing including an Occupational Health Service, confidential counselling and chaplaincy services. You can find out more at: <https://staff.brighton.ac.uk/hr/wellbeing/Pages/default.aspx>

It is entirely voluntary whether you choose to declare individual circumstances to REF2021.

Details of the University of Brighton’s process for considering circumstances that affected colleagues’ research productivity during the REF period, including the roles and responsibilities of those involved in this process, are in Part 4b of our REF2021 *Code of Practice*.

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 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.
- 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. **The University of Brighton has no expectation that specific**

members or groups of staff contribute more outputs than others, so it is entirely up to you whether to discuss the results of this process further. If you would like your Head of School or line manager to contact you to discuss your requirements in relation to your circumstances, just tick the relevant box in the declaration form.

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 2021
- 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
- Where an individual has no eligible outputs and COVID-19 impacts have affected the completion of output(s). This includes effects due to applicable circumstances (such as ill health, caring responsibilities); other personal circumstances related to COVID-19 (such as furloughed staff, health-related or clinical staff diverted to frontline services, staff resource diverted to other priority areas within the HEI in response to COVID-19); and/or external factors related to COVID-19 (for example, restricted access to research facilities);

If your ability to research productively during the assessment period has been constrained due to one or more of the above circumstances, you are invited to complete the attached form. Further information can be found paragraph 160 of the *Guidance on Submissions* (REF 2019/01) and paragraph 21 of the *Guidance on Revisions to REF2021* (REF2020/02). **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, or other data. 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

Forms will be anonymised before they are considered by the Individual Circumstances Panel – so they will see your circumstances but not your name. If Research England approve a reduction of your 'minimum of one' output, we will provide your name to the UoA Leadership Team so they know not to attribute an output to you. However, your circumstances will not be communicated to them. We will keep individual circumstances forms and record of decisions securely in accordance with the University's Data Protection Policy, until October 2022 (that is, six months post announcement of REF results and completion of any audit that Research England may wish to undertake). Records will then be destroyed.

If the University of Brighton 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 Research England 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) and the *Guidance on Revisions to REF2021* (paragraphs 20-27) for more detail about reductions in outputs and what information needs to be submitted. Submitted data will be kept confidential to the Research England REF Team, the REF Equality and Diversity Advisory Panel, and main panel Chairs. All these bodies are subject to confidentiality arrangements. The Research England 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 2021). If this is the case, then staff can contact the Equality and Diversity Manager or the REF Manager to update their information.

Please fill in both parts 1 and 2 of this form, and return it to [Email address to be added], by [Date to be added].

Part 1 - Circumstances

For Office Use Only		
Form ID	Panel Decision	
	Maximum number of outputs the UoA pool can be reduced by (<i>enter number</i>)	
	Remove the 'minimum of one' output for this person (<i>delete as appropriate</i>)	Yes / No

1. Do you have a REF-eligible output published between 1 January 2014 and 31 July 2021?

Yes

No

DRAFT

2. Please complete this form if you have one or more applicable equality-related circumstance (see above) that you are willing to declare. Please provide requested information in relevant box(es). Dates of absence will be checked with HR. We may contact you to request clarification or further information.

Circumstance	Time period affected
<p>Early Career Researcher (started career as an independent researcher on or after 1 August 2016).</p> <p><i>Date you became an early career researcher.</i></p>	<p>Click here to enter a date.</p>
<p>Junior clinical academic who has not gained Certificate of Completion of Training by 31 July 2021.</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>Additional Circumstances, including those related to COVID19 impacts (where applicable)</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>
<p>Constraints relating to family leave that fall outside of standard allowance</p> <p><i>To include: Type of leave taken and brief description of additional constraints, periods of absence from work, and periods at work when unable to research productively. Total duration in months.</i></p>	<p>Click here to enter text.</p>
<p>Caring responsibilities</p> <p><i>To include: Nature of responsibility, periods of absence from work, and periods at work when unable to research productively. Total duration in months.</i></p>	<p>Click here to enter text.</p>
<p>Gender reassignment</p> <p><i>To include: periods of absence from work, and periods at work when unable to research productively. Total duration in months.</i></p>	<p>Click here to enter text.</p>
<p>Any other exceptional reasons e.g. bereavement.</p> <p><i>To include: brief explanation of reason, periods of absence from work, and periods at work when unable to research productively. Total duration in months.</i></p>	<p>Click here to enter text.</p>
<p>Reallocation of responsibilities due to COVID19 impacts e.g. health-related or clinical staff diverted to frontline duties, staff</p>	<p>Click here to enter text.</p>

<p>time diverted to priority areas within the HEI due to COVID19</p> <p><i>To include: brief explanation of new duties, periods at work when unable to research productively. Total duration in months.</i></p>	
<p>Other COVID19 impacts, not covered above e.g. furloughed staff, restricted access to lab facilities</p> <p><i>To include: dates of furlough and duration in months. Detail of impacts that generated periods when you were unable to research productively and duration</i></p>	<p>Click here to enter text.</p>

Please note you must also fill in and return Part 2 of this form.

Part 2 - Declaration

For Office Use Only		
Form ID	Panel Decision	
	Maximum number of outputs the UoA pool can be reduced by (<i>enter number</i>)	
	Remove the minimum of one (1) output for this person (<i>delete as appropriate</i>)	Yes / No

Name: Click here to insert text.

School: Click here to insert text.

Please confirm, by ticking the 'I agree' box below, 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 an HR administrator who will anonymise this form.

DRAFT

- I understand that my name will be given to the UoA Reductions Review Panel if it is recommended that my 'minimum of one' output is removed
- I realise it may be necessary to share the information with the Research England REF Team, the REF Equality and Diversity Advisory Panel, and main panel chairs.

I agree

Signed: Sign or initial here

Date: Insert date here

If you require additional support in your role, you can request here to be contacted by an HR contact and/or by your Head of School. This is not a requirement for REF, and is entirely optional and voluntary. It will not influence decisions made about your circumstances or the inclusion of your outputs in our REF submission. Please tick as many or as few as you like.

I give my permission for an **HR contact** to contact me to discuss my circumstances, and my requirements in relation to these.

I give my permission for the details of this form to be passed on to my **Head of School** for the purpose of my Staff Development Review. (Please note that the University of Brighton has no expectation that specific members or groups of staff contribute more outputs than others, so it is entirely up to you whether to discuss the results of this process further, if you would like your department to put in place support for you).

I would like to be contacted by:

Email Insert email address

Phone Insert contact telephone number

DRAFT

The purpose of the Research Excellence Framework 2021 (REF2021) is to assess the quality of UK research and to inform the selective distribution of public funds for research by the four UK higher education funding bodies. The REF is managed by Research England's REF Team, based at Research England (RE), on behalf of the four UK higher education funding bodies. RE is part of UK Research and Innovation (UKRI), and under this arrangement UKRI has the role of 'data controller' for personal data submitted by us to the REF.

If you are a researcher who has been included as part of our submission to the REF 2021, in 2021 we will send some of the information we hold about you to UKRI for the purpose of the REF2021. The information will not be in coded form and your name and details such as your date of birth, research groups, and contract dates will be provided along with details of your research. If you are submitted with individual circumstances that allow a reduction in the number of outputs submitted, without penalty, some details of your personal circumstances will be provided.

You can find further information about what data are being collected on the REF website, at www.ref.ac.uk in particular publication 2019/01, *Guidance on Submissions*.

Sharing information about you

UKRI may pass your data, or parts of it, to any of the following organisations that need it to inform the selective distribution of public funds for research and to carry out their statutory functions connected with funding higher education:

- Department for the Economy, Northern Ireland (DfE)
- Higher Education Funding Council for Wales (HEFCW)
- Scottish Funding Council (SFC).

Some of your data (Unit of Assessment, HESA staff identifier code and date of birth) will also be passed to the Higher Education Statistics Agency (HESA) to enable it to verify coded data returned to it as part of our HESA staff return (see www.hesa.ac.uk). Data returned to the REF will be linked to that held on the HESA staff record to allow UKRI and the organisations listed above to conduct additional analysis into the REF and fulfil their statutory duties under the Equality Act 2010 (England, Wales and Scotland) or the Northern Ireland Act 1998 (Northern Ireland).

UKRI and the organisations listed above will use the information to analyse and monitor the REF2021. This may result in information being released to other users including academic researchers or consultants (commissioned by the funding bodies), to carry out research or analysis, in accordance with the Data Protection Act 2018 and the General Data Protection Regulation

(GDPR) (Regulation (EU) 2016/679). Where information not previously published is released to third parties, this will be anonymised where practicable.

UKRI will require that anyone who has access to your data, held in UKRI's records, paper or electronic, will respect its confidentiality and will only process it in accordance with instructions issued for the purposes specified by UKRI.

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

Publishing information about your part in our submission

The results of the assessment exercise will be published by UKRI, on behalf of the four UK higher education funding bodies, in April 2022. The published results will not be based on individual performance nor identify individuals.

Those parts of submissions that contain factual data and textual information about research activity will also be published by UKRI, on behalf of the four UK higher education funding bodies, and will be made available online. Published information is likely to include **textual information including impact case studies in which you may be referenced**. Your name and job title may be included in this textual information. Other personal and contractual details, including your date of birth and all information about individual staff circumstances will be removed. The University's REF Team will undertake a thorough check of all documents submitted to REF2021 to ensure that they comply with this policy. Any personal details that should not be included found at this time will be redacted.

UKRI will also publish a list of the outputs submitted by us in each UOA. This list will not be listed by author name.

Data about personal circumstances

You may voluntarily disclose personal circumstances to your submitting unit, which could permit us to submit your information to the REF without the 'minimum of one' requirement (without penalty), or to submit a reduced number of outputs without penalty. If (and only if) we apply either form of reduction of outputs, we will need to provide UKRI with data that you have disclosed about your individual circumstances, to show that the criteria have been met for reducing the number of outputs. Please see the *Guidance on Submissions* document (paragraphs 151-201) and *Guidance on Revisions to REF2021* (paragraphs 20-27) for more detail about reductions in outputs and what information needs to be submitted. Please refer to section 4b of this Code for the University of Brighton's procedures for declaring circumstances.

Submitted data will be kept confidential to Research England's REF Team, the Equalities and Diversity Advisory Panel, and main panel Chairs. All these bodies are subject to confidentiality arrangements. The University of Brighton's REF Team will ensure that information relating to REF6 documents is anonymised so individuals cannot be identified. Research England's REF Team will destroy the submitted data about individuals' circumstances on completion of the assessment phase.

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

Accessing your personal data

Under the Data Protection Act 2018 and the GDPR, you have the right to see and receive a copy of any personal information that UKRI holds about you. Further information about the Act and GDPR, and guidance on making a subject access request, can be found on the RE website at <https://re.ukri.org/about-us/policies-standards/foi-data-protection/>

If you have any concerns about your information being used for these purposes, please contact:

Data Protection Officer
UK Research and Innovation
Polaris House
Swindon, SN2 1FL

Email: dataprotection@ukri.org

The University of Brighton's Privacy Notice is available at:

https://staff.brighton.ac.uk/reg/legal/other/Staff_Privacy_Notice.pdf?_ga=2.169594529.164528083.1552301954-2102762103.1544432122

For further information:

The University of Brighton's Data Protection policy is available at:

https://staff.brighton.ac.uk/reg/legal/other/Data_Protection_Policy.pdf

Information on the GDPR and what it means for you is available from our intranet site at:

<https://staff.brighton.ac.uk/reg/legal/Pages/GDPR.aspx>

