UNIVERSITY OF CHICHESTER

CELEBRATING 180 YEARS OF HIGHER EDUCATION

Research Excellence Framework (REF) 2021

CODE OF PRACTICE

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1 Part 1: Introduction

1.1 Introduction

The Research Excellence Framework (REF) is a system of research assessment in higher education institutions (HEIs) within the UK in order to:

a. provide accountability for public investment in research and produce evidence of the benefits of this investment;
b. to provide benchmarking information and establish reputational yardsticks, for use by the HE sector and for public information; and
c. to inform the selective allocation of funding for research.

In addition, the independent review of the REF, led by Lord Stern in 2016, identified three further roles of the REF:

a. to provide a rich evidence base to inform strategic decisions about national research priorities;
b. to create a strong performance incentive for HEIs and individual researchers; and
c. to inform decisions on resource allocation by individual HEIs and other bodies.

The REF is managed by the REF team, based at Research England, on behalf of the four UK higher education funding bodies namely Research England (RE), the Scottish Funding Council (SFC), the Higher Education Funding Council for Wales (HEFCW) and the Department for the Economy, Northern Ireland (DfE). It is overseen by the REF Steering Group, consisting of representatives of the four funding bodies named above.

1.2 Definitions

1.2.1 Research

a. For the purposes of the REF, research is defined as
    i. 'a process of investigation'
    ii. 'leading to new insights', that is
    iii. 'effectively shared'.
b. It includes work of direct relevance to the needs of commerce, industry, culture, society, and to the public and voluntary sectors; scholarship; the invention and generation of ideas, images, performances and artefacts including design, where these lead to new or substantially improved insights; and the use of existing knowledge in experimental development to produce new or substantially improved materials, devices, products and processes, including design and construction. It excludes routine testing and routine analysis of materials, components and processes such as for the maintenance of national standards, as distinct from the development of

new analytical techniques. It also excludes the development of teaching materials that do not embody original research.

c. It includes research that is published, disseminated or made publicly available in the form of assessable research outputs, and confidential reports.

1.2.2 Census date

The census date for REF 2021 is 31 July 2020.

1.2.3 Category A Eligible and Submitted

a. 'Category A eligible' describes staff meeting core eligibility criteria, who will form the total pool of eligible staff. 'Category A eligible' staff are defined as academic staff with a contract of employment of 0.2 full-time equivalent (FTE) or greater, on the University of Chichester payroll on the census date, whose primary employment function is to undertake either 'research only' or 'teaching and research'. Staff must have a substantive connection with the University of Chichester.
b. 'Category A submitted staff' are defined as Category A eligible staff who have been identified as having significant responsibility for research and meet the definition of independent researcher on the census date.

1.2.4 Significant Responsibility for Research (SRR)

Staff with significant responsibility for research are those:

a. 'for whom explicit time and resources are made available [for research]',
b. 'who engage actively in independent research', and
c. 'for whom independent research is an expectation of their job role'.

1.2.5 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. Research assistants are excluded if they are assisting with another individual's research programme. Research degree students conducting a supervised research project are also excluded.

1.2.6 Early Career Researcher (ECR)

ECRs are defined as members of staff who meet the definition of Category A eligible on the census date, and who started their careers as independent researchers on or after 1 August 2016. For the purposes of the REF, an individual is deemed to have started their career as an independent researcher from the point at which they held a contract of employment of 0.2 FTE or greater, which included a primary employment function of undertaking 'research' or 'teaching and research', with any

HEI or other organisation, whether in the UK or overseas, and they first met the definition of an independent researcher.

1.2.7 Former staff

Outputs in the submitted output pool may be attributed to former staff who were previously employed as Category A eligible in the output assessment period 1 January 2014 to 31 July 2020. Outputs of former staff are only eligible if they were first made publicly available in the period when the staff member was employed by University of Chichester as a Category A eligible member of staff.

1.3 REF 2021 summary of key points

The REF will be a process of expert review. Expert sub-panels for each of 34 Units of Assessment (UOAs) will carry out the assessment, working under the leadership and guidance of four main panels.

The University of Chichester has been invited to make a submission. Each submission in each UOA will contain a common set of data comprising:

a. Information on all staff in post with significant responsibility for research on the census date, (31 July 2020), and information about former staff to whom submitted outputs are attributed.
b. Details of assessable outputs produced in the submitted unit during the publication period (1 January 2014 to 31 December 2020).[1]
c. Case studies describing specific examples of impacts achieved during the assessment period (1 August 2013 to 31 December 2020), underpinned by research in the period from 1 January 2000 to 31 December 2020.[2]
d. Data about research doctoral degrees awarded, research income and income-in-kind related to the period 1 August 2013 to 31 July 2020.
e. An institutional-level environment statement[3], and a completed template describing the submitted UOAs' research and impact environment, related to the period 1 August 2013 to 31 July 2020.

The deadline for submissions is 31 March 2021. Submissions will be assessed by the REF panels during the course of 2021. Results will be published in April 2022, and will be used by the HE funding bodies to inform research funding from the academic year 2022–23.

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[1] There is a provision in place, to be used on an exceptional basis, where there was a reasonable expectation that an output would be in the public domain by 31 December 2020 but was delayed due to the COVID-19 pandemic. Please refer to Section 4.1.4.
[2] Where the final version of an output has been delayed due to COVID-19, and is therefore not in the public domain by the end of this period, it may be listed as an underpinning research reference in accordance with the provisions in place for the submission of delayed outputs in REF2 (see Section 4.1.4).
[3] The institutional-level environment statement may include a 500-word Annex detailing the effects that the COVID-19 pandemic had on the University of Chichester's wider research environment (please refer to paragraphs 63-71 of the REF2021 "Guidance on Revisions to REF2021").

Expert panels are made up of senior academics, international members, and research users. For each UOA submission, three distinct elements will be assessed with weightings counting to the final score as below:

a. the quality of outputs (60%) (e.g. publications, performances, and exhibitions),
b. their impact (25%) beyond academia captured through impact case studies, and
c. the environment (15%) that supports research including PhD degrees awarded and research income.

1.3.1 Research Outputs

Submissions must include a set number of items of research output, equal to 2.5 times the combined FTE of Category A submitted staff included in the submission. Rounding to the nearest whole number will be applied to give a whole number of outputs for submission (values ending in .5 will be rounded up). This number will be adjusted, as appropriate, to take account of successful requests for consideration of staff circumstances (see section 4.4). Each output must be:

a. The product of research (see section 1.2.1)
b. First brought into the public domain during the publication period 1 January 2014 to 31 December 2020 or, if a confidential report, lodged with the body to whom it is confidential during this same period. (See Section 4.1.4 for outputs that have been delayed due to the COVID-19 pandemic.)
c. Attributable to a current or former member of staff, who made a substantial research contribution to the output, which must be either:
    i. produced or authored solely, or co-produced or co-authored, by a Category A submitted staff member, regardless of where the member of staff was employed at the time they produced that output, or
    ii. produced or authored solely, or co-produced or co-authored, by a former staff member who was employed by University of Chichester according to the Category A eligible definition (see section 1.2.3 with the exception of being employed on the census date) when the output was first made publicly available.
d. Available in an open access form, where the output is within scope of the open access policy (see section 4.1.1).

In addition to printed academic work, research outputs may include, but are not limited to: new materials, devices, images, artefacts, products and buildings; confidential or technical reports; intellectual property, whether in patents or other forms; performances, exhibits or events; and work published in non-print media. An underpinning principle of the REF is that all forms of research output will be assessed on a fair and equal basis. Sub-panels will not regard any particular form of output as of greater or lesser quality than another *per se*.

1.3.2 Units of Assessment (UOA)

All eligible staff employed by University of Chichester with significant responsibility for research, will be organised into submitting unit(s) for return into the relevant units of assessment (UOAs). The University of Chichester may make a request to except from submission a very small unit. The arrangements for this are set out in section 2.7 of this Code.

A submission comprises a complete set of data about staff, outputs, impact and the environment in any of the UOAs in which the University plans to submit. A submission provides evidence to the sub-panel about the activity and achievements of a 'submitted unit'. A submitted unit means the group or groups of staff identified as working primarily within the remit of a UOA and included in a submission. Responsibility for mapping staff into submitted units lies with the University of Chichester. The final decision on UOAs to be submitted will be made by the Vice-Chancellor's Group (VCG).

1.4 Need to develop a Code of Practice

The concept of a '100% submission' arose strongly during the Stern review, with the position that: 'It is important that all academic staff who have any significant responsibility to undertake research are returned to the REF.' For research intensive universities, an expectation is being made that all academic staff are submitted. Where an HEI is not submitting 100% of Category A eligible staff, the institution is required to develop, document and apply a Code of Practice on the fair and transparent identification of staff with significant responsibility for research, determining who is an independent researcher; and the selection of outputs, including approaches to supporting staff with special circumstances.

As a result, the University was required to develop a Code of Practice which outlines and documents the process to be followed for identifying who among those meeting the definition of 'Category A eligible' staff have significant responsibility for research, and are therefore in scope for submission. This process must have been conducted in consultation with staff. The University also needs to provide evidence that 'Category A eligible' staff on 'teaching and research' contracts who are not submitted do not have significant responsibility for research.

1.5 Purpose

In preparation for the University of Chichester's REF2021 submission, this Code of Practice outlines the criteria and processes agreed with staff for:

a. the fair and transparent identification of staff with significant responsibility for research,
b. determining who is an independent researcher, and
c. the selection of outputs.

This Code of Practice is informed by and builds on the University of Chichester's REF2014 Code of Practice.

Academic staff contribute to the excellence of the University of Chichester in many ways including teaching, the student experience, and research, and submission of outputs to REF is only one of these. These different contributions and career pathways are all equally important and equally valued at the University. Final decisions relating to inclusion of staff and outputs in the REF2021 submission will not be taken into account in relation to any decisions regarding staff promotion, career progression, extension of contracts or disciplinary procedures at the University of Chichester.

1.6 Principles

We have considered the equality impact assessment of the previous REF exercise in the development of the Code of Practice as outlined in Part 1 of the Code, and equality has been embedded into all relevant elements of the Code and REF processes. This University of Chichester Code of Practice is aligned to the principles of Transparency, Consistency, Accountability, and Inclusivity as per the REF2021 Guidance Documents:

a. **Transparency**: We aim for transparency across all processes for identification of staff with significant responsibility for research, for determining research independence, and for the selection of outputs. Drafts of the Code of Practice were drawn up and made available in an easily accessible format and publicised to all academic staff across the institution, including on the Research Moodle, and drawn to the attention of those absent from work. A programme of communication activity including all staff emails, a series of communication events and presentations on both campuses, and an online survey were used to disseminate the Code of Practice and explain the processes related to identification of staff with significant responsibility for research and selection of outputs for submission. This communication and consultation process is documented in this Code. The Code of Practice was published on the Research Moodle page and is available to all staff. Staff were invited to submit individual responses through the research@chi.ac.uk email address, and staff could also feedback in confidence through their Union representatives, Research Lead representatives and UOA champions on the REF Project Team and its Equality and Diversity Subgroup. The final code will be published on the University's external website.

b. **Consistency**: It is essential that policy in respect of staff identification and output selection is consistent across the institution, and hence we ensured that the Code of Practice was implemented uniformly across the University by following the processes documented in Figures 2 and 3 (Part 2, 3 and 4 of the Code). The Code of Practice sets out the principles to be applied to all stages of the process at all levels where decisions will be made within the University. The REF Appeals panel, and the REF Project Team Equality and Diversity Subgroup that will take account of staff circumstances which have affected an individual's or UOA's ability to work productively throughout the assessment period are centrally managed bodies to ensure consistency of processes.

c. **Accountability**: Responsibilities have been clearly defined, and individuals, committees and groups that are involved in identifying staff for REF submissions, determining research independence and selection of outputs are identified by name and role and documented in the Code. The Code of Practice also outlines required training for those involved in identification of staff and selection of outputs. Operating criteria and terms of reference for individuals, committees, advisory groups and any other bodies concerned with staff identification and output selection have been made readily available to all individuals and groups concerned and are included as Appendices in the Code.

d. **Inclusivity**: The Code promotes an inclusive environment, enabling the University to identify all eligible staff with a significant responsibility for research. The Research Excellence Framework Project Team's (REFPT) Equality & Diversity Sub-Group (E&DSG) was established to undertake analysis of individual circumstances and to advise the REFPT as to the level of any reduction in research output that may be relevant, and to undertake other tasks relating to Equality and Diversity as required. The group, together with HR department, will also be responsible for undertaking, maintaining and updating an Equality Impact Assessment (EIA) at all key stages of the process as documented in this Code. The results of these assessments will be used to inform all REF processes to optimise inclusivity and ensure that the processes are not discriminatory. If the results suggest that the processes are fair but that there is a more fundamental problem at the University or restricted opportunity or support for research development, then the issue is beyond the remit of the Code of Practice. The issue will then be referred to the HR Department, the Equality and Diversity Sub-Group and the Research and Enterprise Committee for action. These outcomes will also be reflected in the Institutional and Unit of Assessment level Research Environment Statements.

1.7 Equality and Diversity

This section outlines how the Code relates to the broader University's Equality and Diversity Policy, Equality, Diversity, and Inclusivity (EDI) Plan, Strategic Plan 2018-25 (*Open for Change*), and Research and Enterprise Sub-Strategy for *Open for Change,* and how these policies promote and support Equality and Diversity. Through these policies and the Code of Practice, the University aims to ensure that the REF processes outlined in this Code of Practice do not discriminate unlawfully against or otherwise have the effect of harassing or victimising individuals because of age, disability, gender identity, marriage and civil partnership, race, religion or belief, sex or sexual orientation, or because they are pregnant or have recently given birth.

1.7.1 Research at the University of Chichester

We have a diverse portfolio of approaches and practices to research. Our strategy recognises that success depends on the empowerment, support and contribution of staff and students within the supportive community that they create. A key strategic theme covered by the Research and

Enterprise Strategy is to ‘achieve disciplinary and cross disciplinary excellence in research and innovation’. The University is committed to undertaking world-class research in all areas it is engaged with as an integral part of its mission to both create knowledge that is of societal and / or economic benefit - and to inform and to lead its learning and teaching pedagogies.

Delivery of the strategy will be enabled by:

i. Fostering a supportive research environment in which all of our academics are both encouraged and expected to contribute to research so that ‘all of our teachers research and all of our researchers teach’.
ii. Maximising the impact of all of our research for economic, health, quality of life, environmental sustainability or other societal benefit through publication, pedagogical development, the influencing of professional practice and developing external collaborations.
iii. Targeting funding opportunities that closely align with the University's areas of research and third stream activities.
iv. Raising the standing and recognition of the University's research through high achievement in the 2021 Research Excellence Framework (REF); this in turn will support the growth of our postgraduate research student community.
v. Supporting inter- and cross-disciplinary research and collaborations within the University, with other universities in the UK and overseas, with industry and with other bodies.
vi. Supporting entrepreneurialism and the creation and protection of intellectual property through patent protection, consultancy, licencing and the creation of spin-out companies.
vii. Encouraging and supporting spin-in opportunities via the establishment of an Enterprise Park.

The aim is for all staff engaged in learning and teaching to achieve a research profile of national or international repute. The University will support areas of excellence to grow and flourish. Our researchers are supported in their own development and we have a number of schemes and initiatives in place to this effect demonstrating our alignment with the Concordat to Support the Career Development of Researchers.

1.7.2 Equality and Diversity at the University of Chichester

The University’s Equality, Diversity, and Inclusivity (EDI) Plan, and the Equality and Diversity Policy can be found in Appendices 1 and 2, respectively.

1.7.2.1 Introduction

The University of Chichester’s mission is ‘To achieve national and international recognition for the excellence of our teaching, research and innovation. We will secure full acknowledgment as an outstanding university with a strong externally-facing focus. As the only university in West Sussex, we recognise the economic, social and cultural importance of ‘place’ and the need to meet both local and global challenges.’ The University sincerely believes that this is achievable when individuals are treated with respect and dignity, feel safe to be the person they are in an environment which

embraces diversity, where equality of opportunity prevails. Engagement with students, staff, the University of Chichester Students' Union (UCSU), recognised staff Trade Unions and other stakeholders, is key to the University meeting its ongoing commitment to being a truly inclusive university which celebrates diversity in all its endeavours from the provision of facilities to its curricula design.

With regards to research, the University's Equality and Diversity Policy states that "All staff and research students should have the same access to research opportunities no matter what their background or characteristics. This may include, and is not limited to, access or funding or support, training or development, promotional opportunities and inclusion in external assessment exercises such as the Research Excellence Framework."

1.7.2.2 Our aims

The EDI Plan in Appendix 1 outlines the University's main aims with regards to Equality and Diversity. The main themes are:

- embed EDI into all aspects of University Life,
- attract, retain, and develop a diverse community of staff and students, and
- support an inclusive campus approach.

1.7.2.3 The Legislative context and responsibilities under the Equality Act 2010

Equality law seeks to protect those individuals that receive unfair treatment based upon irrelevant criteria, because of a particular characteristic or dual characteristics. Such treatment may be deliberate and overt, though it may also be subtle and unwitting, based upon ill-founded ideas and assumptions.

The University seeks to ensure that all individuals are able to maximise their potential and do not face unfair barriers. The protected characteristics identified in equality law are:

- Age
- Disability
- Gender reassignment
- Marriage and civil partnership
- Pregnancy and maternity
- Race
- Religion or belief
- Sex
- Sexual orientation

The University does not tolerate any form of discrimination or abuse by colleagues, students or anyone else connected with the University and its activities. This includes all contractual service providers and collaborative partners, who are required to adhere to equality legislation when providing goods, facilities or services. For partners outside the UK, the University will ensure, through its due diligence procedures, that there is a satisfactory alignment between its relevant policies and practices and those of any potential partners.

Whilst there may be special measures to increase the presence of under-represented groups this does not mean that the University aims to match group proportions within the University to those in the general or even local population, since staff/student choice, the academic offer, the relative status of different institutions and location all play a part in who seeks to join any university. The proportions of males and females, minority ethnic people, disabled people etc. varies across the University, often determined by wider cultural assumptions about subject and career appropriateness; not all of which is within the University's control, although we may seek to influence it.

1.7.2.4 Monitoring and review

The three themes outlined support the University's key EDI goals for the period 2018-21. Progress in relation to the themes is monitored through analysis of staff and student data, such as anonymised staff recruitment data or destination of leavers' data for students. This information is summarised alongside reflective consideration of the University's activities in a number of EDI related reports including our Gender Pay Gap Report, Inclusivity Annual Report, Equal Pay Audit and our People Strategy Action Plan.

The Vice-Chancellor's Group will monitor reporting outcomes, for example EDI Annual Reports and Gender Pay Gap reports, to ensure progress is being made against the defined area.

The University will also ensure that mechanisms are in place to monitor and review the application of the Equality and Diversity Policy, and the implementation of associated procedures and analyse the available data to identify potential barriers or areas where positive action might be required.

1.7.3 Supporting mental health and wellbeing 2018-2020

The University has been promoting participation in health and wellbeing and preventative professional development events over the last few years, and wellbeing is highlighted as a key focus area in the University's strategy 'Open for Change' and in the People Strategy 'Working together – supporting each other.' Best practice information from 'Thriving at Work', the Stevenson/Farmer Review of Mental Health and Employers 2017, and the Education Support Partnership has been drawn upon in relation to providing this guidance. Support includes a 'Building Resilience' programme, 'mental de-clutter' workshops, interactive and experiential stress awareness sessions, access to an exercise referral scheme, NHS health checks, Wellbeing 'MOT's, life planning workshops and a range of other

approaches to support staff. The programme is available via the Human Resources page of the Staff Intranet and regular updates are provided via email. Personal support is also available through HR and a telephone counselling service. Depending on the circumstances, a referral to the University's Occupational Health Physician may be arranged and can be a helpful way for the University and the employee to receive specific guidance in relation to the impact of a mental health problem and/or capacity for work. Further information is available in the University's Sickness Absence Guidance and the Capability and Ill-Health Policy.

1.8 The University of Chichester's REF 2014 submission summary

The University began its preparations for REF 2014 in May 2010 with an invitation to all staff to express their wish to be included in the University's REF submission. The REFPT, chaired by the Deputy Vice-Chancellor and comprising the Director of Research and the Heads of Department representing those areas identified for a REF submission, was set up in 2010/11. The REFPT held its first meeting on 28 February 2011 and met 6-8 times in each of the academic years 2011/12, 2012/13, 2013/14. The University made its submission to REF 2014 on 30 November 2014.
The University's entry to the REF 2014 was the most successful in its history. Submissions had also been made in 1996, 2001, and 2008. The University made a submission to five UOAs: Psychology, Psychiatry and Neuroscience; Sport and Exercise Sciences, Leisure and Tourism; English Language and Literature; History; and Music, Drama, Dance and Performing Arts. A total of 58 individuals (51.7 FTE) were submitted.

1.9 Equality Impact Assessment (EIA) of the University's REF 2014 submission

As set out in the REF2014 guidance, all institutions were required to conduct an EIA on their policy and procedures for selecting staff for the REF. All institutions were expected to publish their final EIAs after the submissions had been made, as a matter of good practice.

The University of Chichester's REF 2014 EIA (Appendix 3) was discussed in draft form at the REF Project Team meeting on 21 December 2013, and at the Disability Equality Group meeting on 22 November 2013. It was also discussed in its complete form at the Equality and Diversity Committee meeting on 29 January 2014. The University's Research Committee discussed the EIA at its meeting on 25 February 2014, and the University submitted its EIA on Friday 28 February 2014 accompanied by the final version of the Code of Practice for the Selection of Academics for the REF 2014. The University of Chichester REF Project Team considered the EIA on 16 April 2014 and reflected on the accompanying Recommended Action Plan.

The EIAs were used by the Equality and Diversity Advisory Panel (EDAP) to assist with evaluating the overall effectiveness of the equality and diversity aspects of the REF at sector level. EDAP would not make judgements or comment on individual institutions' EIAs. EDAP instead reported on the lessons drawn from EIAs at sector level, as part of a wider report reflecting on individual staff circumstances

and other equality and diversity issues, in 2015. The EDAP indicated that they were particularly interested in the following information within the EIAs:

- The final analysis of data comparing the characteristics of staff selected for submission, with the characteristics of all eligible staff.
- Any actions taken to prevent discrimination or advance equality during the selection process and their outcomes, including the justification for and/or actions taken to address any differential impact that staff selection may have had on particular groups, and information about any policies or practices that had a positive impact on equality during the selection process.

1.9.1 EIA Results of the University's REF 2014 submission

The equality data showed that there were apparently significant differences between the staff population in the REF submission and the staff population as a whole relating to the protected characteristics of age and gender:

There were **less older women in the REF** than the background population of eligible women at the University would suggest. **73.8%** (n=82, N=111) of women in the eligible staff population were aged 41 or over, whilst only **53.6%** (n=15, N=28) of women in the University's REF population were aged 41 or over.

There were **more younger women in the REF** than the background population of eligible women at the University would suggest (**26.1%** (n=29, N=111) of women in the eligible staff population were under the age of 41, whilst **46.4%** (n=13, N=28) of women in the REF population were under 41.

There was a **similar proportion of younger men in the REF** as in the background population of eligible men at the University would suggest. **26.2%** (n=34, N=130) of men in the eligible staff population were under the age of 41, and **30.0%** (n=9, N=30) of men in the REF population were under 41.

There was a **similar proportion of older men in the REF** as in the background population of eligible men at the University would suggest. **73.8%** (n=96, N=130) of men in the eligible staff population were aged 41 or over, and **70.0%** (n=21, N=30) of men in the REF population were aged 41 or over.

The data indicated that women over 41 were less well represented in the REF submission than the University academic population at large. In terms of disability, the issue was one of low levels of disclosure rather than being able to discern any differences in the REF population compared to the eligible staff population. According to the data on disability held by the University's Human Resources (HR) Department, only 8 out of 227 academic staff disclosed a disability (3.3%), and no (0) individuals having disclosed a disability were included in the REF 2014 submission. However, it is almost certain that the actual proportion of academic staff with a disability is in the region of 10-20% (in keeping with the population at large) and that there is an issue with individuals not disclosing whether or not they have a disability in their HR records. The issue of increasing the rate of disclosure is something that has been considered by the University's Inclusivity Group (previously Disability Equality Group) and currently by the REF Project Team E&DSG.

1.9.2 Comparison of University's EIA results of the REF 2014 with UK sector

The gender balance of the University's REF 2014 submission was better than the REF submission across the sector. The rates of submission for male and female staff at the University was 23% and 25% respectively (a disparity of 2% in favour of females) compared to the sector result of 67% of men compared with 51% of women, a disparity of 16 percentage points in favour of men).
The pattern of decreasing rates of selection of older women was noted in the UK sector and at the University.
In the UK sector, Black and Asian staff had statistically significant lower selection rates than other ethnicities, and the same pattern was noted at the University.
The higher rate of selection of ECRs across the UK sector was mirrored at the University.
The University had a higher rate of selection of part-time staff than the UK sector at large where it was shown that academic staff in less than 1.0 FTE roles were less likely to have been selected than their full-time counterparts.

1.9.2.1 Post REF 2014 University Staff Survey

Following on from the results of the EIA for REF 2014, all academic staff were invited to complete a survey exploring their experience of the REF2014 whether or not they were included (Appendix 4). The survey closed at the end of June 2014. The results of this survey are presented below.

The overall response rate for the survey was quite low (13.7%), and a smaller proportion of female academic staff completed the survey compared to the proportion of female academic staff employed at the University. The proportion of older female respondents from the total of female respondents (83.3%) was higher than the proportion of older female academic staff in the academic staff population at large (73.8%). Notwithstanding the demographic of the respondents, the data suggests that women aged 41 or over were slightly less satisfied about the general REF 2014 communications than the population at large. They were also slightly less clear that equality and diversity was a key aspect of the REF. Also, as a group they were less clear about whether or not they would like to be considered in the next REF submission (Appendix 4).

1.9.2.2 Recommended actions following the University's Equality Impact Assessment (EIA) of the REF 2014 submission:

Subsequent to the EIA for REF2014 and the 2014 staff survey, the E&DSG was established.
The E&DSG was specifically set up to:

a. further interrogate and understand the EIA data from REF2014,
b. explore whether there were barriers to participation for the under-represented groups (particularly women aged 41 or over), and
c. to explore whether there were particular ways in which under-represented groups might be supported to be included in future REF activities and any other opportunities to advance equality.

The aspirational structure of the group is to reflect the age and gender ‘make up’ of the academic staff population at the University. The group was first chaired by the Head of Research and then by academic colleagues.

As a recommended action, the Research Office introduced the Researcher Development Awards for nurturing talent and supporting interdisciplinary collaboration. The Researcher Development Awards (RDA) 2015/16 & 2016/17 supported 13 early career researchers to fast-track their research activity and profile. Review of outputs and trajectories made possible or significantly accelerated by the RDA indicate that the scheme added significant value, both to the individuals in receipt of funding, and through a ripple effect to home departments and other colleagues. In addition, the Aurora Programme was introduced to support leadership development of women, but this programme also ended in 2017 due to financial constraints.

1.10 Equality Impact Assessment (EIA) of the University's REF 2021 submission

An EIA needs to be carried out at the following key stages to consider the implications of potential decisions:

- when identifying staff with significant responsibility for research and determining research independence
- when selecting outputs for submission
- when considering appeals against identification of staff who do not have significant responsibility for research
- when preparing the final submission

To meet this requirement, the University will carry out an EIA after the final submission (March 2021). The University will give careful consideration to the impact of the REF processes on staff with protected characteristics and on fixed-term and part-time staff. The results of iterative EIAs is used to inform actions where mitigation is indicated by its findings as outlined in EIA sections in Part 2, 3 and 4 of this Code.

1.11 Consultation Process and Communication Plan

In line with the principle of transparency, this section outlines how the processes to be followed have been consulted on and agreed with staff representative groups, and how the final agreed processes have been communicated to staff. In line with the principle of transparency, processes established to identify staff with significant responsibility for research need to be transparent and agreed with staff, through appropriate staff representation mechanisms within the University, including trade union members (University and College Union - UCU). The draft Code of Practice was also therefore discussed with the UCU representative who is a member of the REFPT.

Drafts of the University Code of Practice were presented to the Vice-Chancellor's Group (VCG) at the meeting on 23 January 2018 and subsequently to the Academic Board on 7 March 2018 and again to VCG on 20 November 2018. As part of the follow-on process, a six-week consultation process with all Heads of Departments/Directors of Institutes and Research Leads was completed. Particular focus was given towards the suggested process for identifying staff with significant responsibility for research. All Heads of Departments/Directors of Institutes, research groups and Research Centres were invited to attend one or more consultation meetings held on 26 March, 12 April, and 4 May 2018. Most academic departments were represented at one or more of the meetings, and both the REF plan and proposed approach for identifying staff with a significant responsibility for research were well received. Feedback was invited at all three meetings with a closing date for written comments for Friday 11 May 2018.

The draft Code of Practice was first emailed to all REFPT members prior to the REFPT meeting on 6 December 2018. It was then emailed to all staff on 16 January 2019, and made available on the Research Moodle page. After the REF2021 Guidance documents were published in 2019, two REF Consultation and Communication events were organised at both Bishop Otter and Bognor Regis campuses on the 30 and 31 January 2019, where processes for identification of staff were explained. At these events, staff had an opportunity to feedback on the draft Code of Practice for REF2021 in person. Staff were also able to provide written feedback via the research@chi.ac.uk email address until 15 February 2019 to the Head of Research. An anonymous online survey was launched on 14 February 2019, which also gave staff the opportunity to provide feedback. A reminder to complete the survey was sent out on 25 February and the online survey closed on 27 February 2019. Academic staff could also provide feedback in confidence through their Research Lead representatives and UOA champions on the REFPT. The draft Code of Practice was also discussed by members of the Research and Enterprise Committee at the meeting held on 18 April 2019. The final draft of the code of practice was sent out to all academic staff on 8 May 2019 and staff were invited to provide feedback via the research@chi.ac.uk email address by 14 May 2019. The Code of Practice was also emailed directly to senior members of the HR department, the University and College Union (UCU) representatives, the Director of Quality and Standards, and the University solicitor. On 8 May 2019, the senior HR officer contacted staff who were absent from work during the consultation process (since 1 January 2019) and sent them the Code of Practice with a request for feedback. The UCU representative notified the Head of Research on 14 May 2019 that the process for identifying staff with significant responsibility for research and determining research independence had been agreed by UCU members (see Appendix 12). The final Code of Practice was presented to and approved by VCG on 21 May 2019 (see Appendix 13) and will be presented to Academic Board on 12 June 2019. This final version has been made available to all staff on the Research Moodle page.

1.11.1 Ongoing consultation and revision process

The ongoing consultation process with regard to the draft Code of Practice has been carefully documented as described above. Feedback received from staff was incorporated into a revised Code

of Practice. This Code has therefore been produced as a result of a broad and iterative consultative process, which we consider has resulted in widespread staff ‘ownership’ of the Code.

This Code of Practice with final agreed processes has also been made available on the Research Moodle and publicised to all academic staff across the University. The final version of the Code of Practice will be published on the University external website.

2 Part 2: Identifying staff with significant responsibility for research

2.1 Policies and procedures

2.1.1 PRDP (Performance Review Development Plan) process for academic staff

On page 12 of the University of Chichester's Strategic Plan 2018-25 *Open for Change*, it is stated that: "all of our academics are both encouraged and expected to contribute to knowledge creation through research, so that 'all of our teachers research and all of our researchers teach'". Hence, at the University, all academic staff are required to contribute to research and scholarly activities at a level that reflects their experience, developmental goals and their workload commitments. Therefore, the level of responsibility for a member of staff to undertake research will vary from individual to individual and from department to department. For some academic staff, significant responsibilities will lie elsewhere, in activities such as management, consultancy, professional practice, CPD, public engagement or outreach, schools liaison or curriculum development, for example. The academic role is a complex one, and can vary from discipline to discipline, and across career trajectories.

Each year, the performance appraisal process, which incorporates a PRDP (Performance Review Development Plan), produces an agreed range of significant responsibilities for staff that reflect career pathways and aspirations, institutional priorities and departmental requirements. In addition to a significant responsibility for teaching which applies to most academic staff, the PRDP process is designed to identify and agree on a set of significant responsibilities, which may include:

- Research;
- Curriculum design and development (e.g. programme development);
- The student experience (e.g. extra-curricular activities such as clinic supervision);
- Marketing and student recruitment (e.g. school visits, production of marketing materials);
- Public engagement and knowledge exchange;
- Professional development (usually reserved for new staff/ECR's/non-independent researchers undertaking further development, e.g. PGCert, PhD, professional accreditation. This may include being part of a research team to increase research experience);
- Enterprise/consultancy/third stream income generation;
- Programme administration;
- Leadership and management of groups.

These different career pathways are all equally important and equally valued at the University and the various significant responsibilities identified for each individual staff member is recorded in the annual PRDP paperwork. The PRDP form and guidance is included in Appendix 7. The PRDP process is used to assist with the transparency, accountability and consistency of REF processes but REF

processes do not play any role in decisions regarding staff promotion, career progression, extension of contracts or disciplinary procedures at the University of Chichester.

2.2 Identifying staff with Significant Responsibility for Research (SRR)

Upon recommendation from Research England, The University of Chichester has chosen to adopt a career pathways model for identifying staff with a significant responsibility for research (SRR). This process is complementary to other discussions between Heads of Departments/Directors of Institutes and their teams around workload and academic activity. In accordance with the principle of consistency and transparency, this process seeks to identify in a fair, transparent, robust and auditable manner, University of Chichester academic staff on 'teaching and research' contracts with 0.2 FTE or greater, who have a significant responsibility for research, provided they meet the definition of independent researcher (see section 1.2.5) on the census date, as per Part 3.

The basis for assigning someone SRR shall be a matter for discussion between the line manager, Head of Department/Director of Institute (HOD) and the member of staff, but shall be based on the member of staff having achieved one or more of the following criteria:

1. the individual is a Reader or Professor (Research focus, excluding Teaching focus);
2. the individual is named as a Principal Investigator or Co-Investigator on an externally funded research grant/award or, is holding an independently won, competitively awarded fellowship or funding;
3. the individual is supervising PhD student(s) as Director of Studies/Principal Supervisor;
4. the individual is the designated lead for a REF Unit of Assessment or an aspect of departmental research activity (UOA champion or departmental REF lead);
5. the individual plays a leading role within a research group, research centre, or research committee;
6. the individual's annual PRDP process clearly outlines a significant responsibility for research, identifies SMART objectives and activities around independent research projects (rather than assisting with or contributing to research projects), and includes an expectation of research output, PGR student supervision, and bids submitted within realistic research cycles and publication timescales over the REF period.

When an academic member of staff is considered as having a significant responsibility to undertake research, research related targets will have been agreed, and included within their annual PRDP process. If a member of staff does not have a significant responsibility for research because they have been assigned other important responsibilities, this is also documented in their PRDP paperwork (Appendix 7).

2.3 Process for identifying staff with a significant responsibility for research

Using the criteria in Part 2 of the Code of Practice and form in Appendix 8, Heads of Departments/Directors of Institutes, will identify whether individual members of staff on 'teaching and research' contracts have or do not have a significant responsibility for research on the census date. HOD or Directors of Institutes should complete this form in consultation with the member of staff, and/or their line manager, departmental research leads and/or UOA champions but Heads of Departments/Directors of Institutes make the final decision regarding the process of identification of staff with SRR. Individual members of staff can appeal this decision as outlined in section 2.9.

Heads of Department/Directors of Institute will send the completed form (Appendix 8) with staff names and recommended UOA to the Research Office as soon as possible but no later than **3 August 2020**. For all academic staff, HODs and line managers should also ensure that they complete the necessary PRDP paperwork annually and send to HR, clearly outlining significant responsibilities, whether these are for research or other roles. The Research Office will collate completed forms and the REFPT will work with the HR team to confirm employment details and finalise list of staff. Heads of Departments or Directors of Institutes will notify individuals by email, copying in the UOA Champion and the Research Office, as to the outcomes of this process as soon as possible ahead of census date but no later than 3 August 2020.

2.3.1 Allocation of staff into UOAs

It is worth noting that the allocation of staff into Units of Assessment are recommendations by the HODs and Directors of Institutes to the REFPT. The list of UOAs will need to be reviewed by the REFPT initially and finally approved by VCG. The final VCG decision regarding submission of UOA, will be communicated back to staff and HODs in mid-August 2020.

2.3.2 Staff on furlough under the Coronavirus Job Retention Scheme

Staff who are on furlough at census date, but who would have met the criteria for significant responsibility for research and research independence (see Part 3) prior to furlough should still be submitted. The FTE of the staff member's qualifying contract should be returned.

2.4 Communication to individuals included and not included in the REF

In line with the principle of transparency, final agreed processes were communicated to all staff, as described in Part 1: Introduction section 1.11.

The appropriate Head of Department/Director of Institute will personally communicate by email with any individual who is identified as having SRR as well as with any individual who is no longer deemed to be part of the REF submission at the earliest opportunity following the decision being taken and no later than **3 August 2020**. The UOA Champion and the Research Office should be copied into this email. The emphasis will be on looking at mentoring and supporting individuals who have not been identified as having SRR to undertake research in the future and to develop as independent

researchers, if they so wish, and underlining the value and the contribution that the individual makes, and can make in the future, to the University's research community, to teaching or to other areas.

2.5 Development of processes

The processes to be followed for identifying staff with SRR (Part 2 of the Code) and determining research independence (Part 3 of the Code) have been consulted on and agreed with staff representative groups including the University and College Union (UCU). Evidence of agreement by UCU staff representatives is available in Appendix 12.

2.6 Connection with the University

All submitted staff on the minimum 0.2 FTE contract must describe their connection to the University of Chichester by means of a 200 word written statement emailed to the Cross-Institutional Lead for Research. This may include, for example, postgraduate research (PGR) student supervision responsibilities or membership of committees or groups. This will also apply to former staff on 0.2 FTE contracts, whose outputs are included.

2.7 Special submission requests

Institutions planning to make a submission to the REF 2021 intending to:

1. make multiple submissions within a unit of assessment;
2. except a small unit from submission;
3. or submit impact case studies requiring security clearance,

must request permission to do so from the REF2021 team, from 11 April 2019, and no later than noon 6 December 2019. At the University of Chichester, HODs wishing to make a request for exception from submission must notify the Research Office in writing by no later than 31 October 2019 (the internal deadline).

2.8 Staff, committees and training

This section outlines the procedures for appointing designated staff, committees and panels responsible for identifying staff with significant responsibility for research (distinguishing between those with advisory and those with decision making roles). Role descriptions for individuals and terms of reference for committees/panels, modes of operation, and record-keeping procedures, as well as information about where these roles/committees/panels fit into the wider institutional management structure are documented in the Code and Appendices.

2.8.1 Committees, Roles and Responsibilities

Following the principle of accountability, the Code of Practice identifies committee structures and roles and responsibilities of staff involved in the identification of staff with significant responsibility for research, determining research independence and selection of outputs.

A schematic of committees' structures and interdependencies and where the committees fit in the University's management framework is included in Figure 1 and is described below.

2.8.1.1 REF Project Team (REFPT)

Heads of Departments/Directors of Institutes (HOD) were asked to nominate representatives to serve on the REFPT, which is chaired by the Cross-Institutional Lead for Research. The representatives from the various Departments act as UOA champions as per the terminology used in the ChiPrints REF Support Plugin (EPrints system). UOA champions will be responsible for reviewing the quality of outputs and hence have been selected on the basis of seniority and relevant research expertise in the field, and, where possible, for being representative of the cohort of eligible staff. The REFPT reports directly to the Research and Innovation Committee, which is chaired by the Deputy Vice-Chancellor, which then reports to Academic Board, which is chaired by the Vice-Chancellor (Figure 1). The University is led by the Vice-Chancellor and management team comprising University executives known as the Vice-Chancellor's Group (VCG), who report to the Board of Governors (see below). The Deputy Vice-Chancellor is part of VCG.

The initial identification of staff with significant responsibility for research and determining research independence and allocating staff to UOA will be by the REFPT members, more specifically the Heads of Departments/Directors of Institutes (all are members of the REFPT), in consultation with UOA Champions and members of staff. Heads of Departments/Directors of Institutes have decision making roles with regard to identifying staff with SRR and determining research independence. With regards to the allocation of staff into UOAs, the HOD and Directors of Institutes make initial allocations which is followed by REFPT confirmation and recommendation, with final approval by the VCG. All members of the REFPT involved in the identification of staff will undertake tailored REF Equality and Diversity training as detailed below in Section 2.8.2.

The selection of outputs will initially be carried out by the individual staff members and then by members of the REFPT, specifically UOA champions, in consultation with Heads of Departments/Directors of Institutes. UOA champions have a decision making role with regard to the selection and quality assessment of outputs.

It is worth noting that REFPT members, more specifically the Head of Departments/Directors of Institutes, have a decision making role with regard to the identification of staff with a significant responsibility for research, determining research independence and the selection of outputs. However, allocations into UOAs are recommendations by Heads of Departments/Directors of Institutes to the REFPT, and by the REFPT to VCG. Hence, the REFPT has an advisory role with regards to allocation of staff to UOAs, whereas VCG has a decision making role with regard to inclusion and submission of UOA.

Membership and Terms of Reference for the REFPT can be found in Appendix 5. Records of meeting discussions and decisions are kept as minutes of the meetings by the clerk of the committee. Confirmed minutes of these meetings are reviewed by members of the Research and Innovation Committee and minutes of the Research and Innovation Committee are reviewed by members of Academic Board.

2.8.1.2 The REFPT Equality and Diversity Sub-Group (E&DSG)

Aligned with the principles of Accountability, Consistency, and Inclusivity, the REFPT E&DSG was established to ensure that the University's REF2021 procedures do not discriminate unlawfully against, or otherwise have the effect of harassing or victimising individuals because of age, disability, gender identity, marriage and civil partnership, race, religion or belief, sex or sexual orientation or because they are pregnant or have recently given birth, and that fixed-term and part-time employees are treated equally with comparable employees on permanent or full-time contracts.

The E&DSG is chaired by an academic member of staff and membership comprises academic representatives from various departments, Early Career Researchers, the University Inclusivity Officer, a Senior HR officer, the Assistant University Data Protection Officer, and an UCU representative. All members are required to sign confidentiality agreements.

The E&DSG will undertake analysis of individual circumstances that have been voluntarily and confidentially disclosed and has a decision-making role with respect to approval of staff circumstances and can make recommendations regarding reduction of outputs. Once a decision has been made, the E&DSG will advise the Cross-Institutional Lead for Research as to any reductions in outputs, exceptions for non-compliance regarding open access for selected outputs and undertake other tasks relating to Equality and Diversity as required. The Cross-Institutional Lead for Research will notify relevant UOA champions with regard to any request for reductions in outputs which need to be submitted ahead of the March 2020 deadline (see Section 4.4).

Informed by EIA results, the E&DSG also aims to explore whether or not there may be particular issues relating to protected characteristic and (an individual's capacity to engage in) research activity to feed into action plans by the Research and Innovation Committee and REFPT to ensure fair representation.

The group is also responsible, with assistance from HR and the REFPT, for undertaking, maintaining and updating an EIA at all key stages of the process as documented in this Code. It is also responsible for organizing REF-specific Equality and Diversity Training as detailed in Section 2.8.2.

Membership and Terms of Reference of the E&DSG are available in Appendix 6. Records of meeting discussions and decisions are kept as minutes of the meetings by the Clerk of the E&DSG. Confirmed minutes of these meetings are sent to the REFPT, excluding any confidential information.

2.8.1.3 The Vice-Chancellor's group (VCG)

The Vice-Chancellor's group (VCG) consists of the Vice-Chancellor, Deputy Vice-Chancellor, Deputy Vice-Chancellor (Student Experience), the Chief Financial Officer, the Chief Marketing Officer and the Chief Human Resources Officer. The Deputy Vice-Chancellor, who acts as Chair of the Research and Innovation Committee, regularly reports to VCG about research matters at the University, including the REF submission.

VCG has decision-making responsibilities and will approve the University's Code of Practice, allocation of staff into Units of Assessment and the Unit of Assessments to be included in the submission as well as the final submission.

2.8.1.4 The REF Appeals Panel

Aligned with the principles of Accountability and Consistency, a central REF Appeals Panel has been established. The REF Appeals Panel consists of three members: the Director of Quality and Standards (who acts as Chair of the REF Appeals Panel, and is an officer of Academic Board), the University Solicitor, and the Chief Human Resources Officer (who is also a member of VCG). None of the panel members will be involved in the identification of staff. This panel has a decision-making role with respect to appeals and the Chair of the Appeals Panel will communicate outcomes of any appeals by email directly to the individual as well as to the Cross-Institutional Lead for Research who then communicates outcomes to members of the REFPT. The panel may also call upon appropriately qualified and experienced individuals to join the panel with the proviso that they are not connected to any submitting Unit of Assessment, the REF Project Team (or its Equality and Diversity Subgroup), or otherwise with the consideration of the individual making the appeal. Research training and expertise is not required for Appeals Panel membership, but the panel will be trained on the Code of Practice and criteria for identification of staff with significant responsibility for research, and all members of the Appeals Panel will undertake tailored REF Equality and Diversity Training.

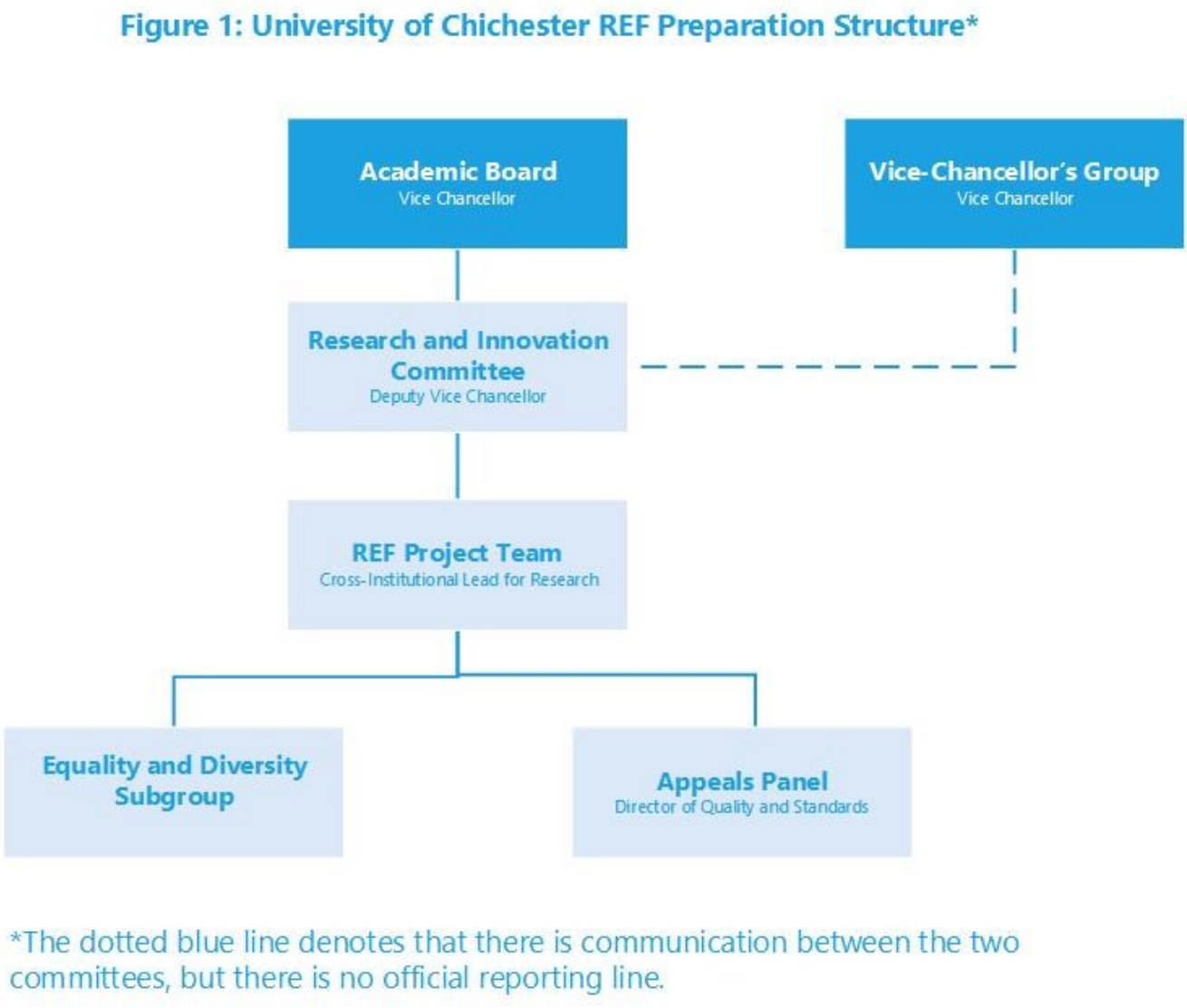

Figure 1: University of Chichester REF Preparation Structure

2.8.2 Training

2.8.2.1 Performance Review Development Plan (PRDP) Training

Training on the Performance Review Development Plan (PRDP) process is conducted routinely through the HR Staff Development Programme with one-on-one training available on demand. This process takes place independently of REF but is mentioned here because the PRDP process is used in the process for identifying staff with significant responsibility for research.

2.8.2.2 Equality and Diversity Training

Aligned to the Principles of Accountability, Consistency and Inclusivity, all staff at the University are required to undertake Equality and Diversity training organised by the University Inclusivity Officer as part of the HR Staff Development Programme available through iTrent. The Chair of the REF E&DSG attended REF Equality and Diversity training by Advance HE on 1 May 2019 (this was facilitated and

subsidised through the University's membership of GuildHE Research). In addition, training specifically tailored to the REF and relating to Equality and Diversity will be provided to individuals and committees involved in identifying staff and in the selection of outputs, including the Cross-Institutional Lead for Research, REFPT members, E&DSG members, UOA Champions and Heads of Departments/Directors of Institutes. Training will also be provided to VCG and the REF Appeals Panel. Additional training may be provided for E&DSG members as and when the need arises. This training will include information about each staff member's own, as well as the University's, legal obligations regarding equality.

This training will consist of "Unconscious Bias" training which will be mandatory for the individuals listed above. The training will be run by an external consultant who already runs Equality and Diversity training for the University of Chichester. Three half-day sessions will take place, with the first happening in July 2019, and the other two spread across the 2019-20 Academic Year. Training materials will be available online on the Research Moodle for future reference. Other non-mandatory sessions will also be offered. Participants in the training will be required to register via the HR Staff Development Programme platform (iTrent), to corroborate against attendance records and ensure that those for whom this training is mandatory have attended. Those who are unable to attend due to extenuating circumstances will be asked to complete online courses and/or additional Equality and Diversity training. There will be follow-up evaluations after the training to act as a refresher for those involved in the identification of staff and/or output selection.

Members of the E&DSG will have additional training on decision making for the consideration of special circumstances in the form of case studies that will be drafted by the University's Inclusivity Officer, and which will be based on the Advance HE case studies (REF2021 scenarios).

2.8.3 Data protection

The University of Chichester has a statutory obligation to provide information as part of the REF which will be accessed by members of the REFPT and included in the final submission. All personal data relating to the REF will be processed fairly and lawfully, and in a transparent manner, in accordance with Data Protection legislation. Category A submitted staff will be notified in advance by email to their personal University of Chichester account that their personal data will be submitted to the REF. Individuals have a right to check or amend the personal data held, to know the type of personal data being collected, the reason why it is collected, and how it will be used. Due care will be taken to ensure confidentiality, and personal data will be stored in a secure folder only accessible by the Research Office team. Secure storage of data relating to disclosure of staff circumstances is described in section 4.4 of this Code of Practice. The personal data collected for the REF will be used to inform the REF, and may also be provided as part of the HESA return, as applicable. Anonymised data will be used to inform future research strategy at the University. REF data will not be used in decisions regarding staff promotion, career progression, extension of contracts or disciplinary procedures at the University of Chichester.

2.9 Appeals

Individuals will have the right to appeal if they feel that they meet the criteria for having a significant responsibility for research and/or research independence on census date but have not been classified as Category A submitted staff on census date.

All staff will be advised via email by their Head of Department/Director of Institute as soon as possible in advance of the REF census date of 31 July 2020 but no later than 3 August 2020 whether they meet the criteria for significant responsibility for research and have been determined to be independent researchers or not and of the appeals process. The Unit of Assessment Champions and the Cross-Institutional Lead for Research will have been copied into the email, and will be available for discussion.

Appeals may be considered on the following grounds:

1. criteria for selection of SRR or independent research were not applied in accordance with this Code;
2. there was a material error in the data used by the REF Project team in applying the criteria; or
3. the process for consideration of an individual's special circumstances for reduction of outputs was not followed consistently by the E&DSG

Appeals cannot be made on the basis of the quality evaluation process for selection of research outputs by Category A submitted staff. In addition, appeals cannot be made regarding allocation of staff into units of assessment or VCG decisions regarding units of assessment to be included in the final submission. Appeals must be submitted by the individual concerned and cannot be made by third parties.

Appeals must be submitted in writing to the Director of Quality and Standards (Chair of the REF Appeals Panel) after 30 days of staff receiving their notification in order to allow sufficient time for the appeal to be heard before the submission is made. All appeals must be made using the Appeals Form Template (Appendix 9) which is available on the Research Moodle, include supporting documentation and must be submitted using the dedicated email REF2021Appeals@chi.ac.uk. The final deadline for appeals is **3 September 2020** in order to ensure that appeal outcomes can be implemented before the submission deadline.

The REF Appeals panel will discuss each application and the Chair of the Appeals Panel will communicate outcomes of any appeals back to the member of staff as well as Cross-Institutional Lead for Research within 10 working days of the application being received. The decision of the REF Appeals Panel is final. The Cross-Institutional Lead for Research then communicates outcomes of the appeals process to relevant UOA champions and Heads of Departments/Directors of Institutes.

2.10 Equality impact assessment

According to HR data for the University of Chichester as a whole: 56.5% of staff is female and 43.5% male. For Category A researchers the distribution is as follows: 52.5% female, 47.4% male; 5.3% declared a disability, 2.4% identity as BAME, 23.9% hold a religion or belief, 21% hold none, and 2.9% identify as LGBQI+. The E&DSG, with support from HR and the REFPT, will conduct an EIA on the University's policy and procedures for identifying staff with significant responsibility for research. The EIA will be a thorough and systematic analysis to determine whether the University's processes for identifying staff for the REF and determining research independence, as outlined in Parts 2 and 3 of the Code, may have a differential impact on particular groups by reference to one or more protected characteristics. The EIA will be communicated to all staff via email and published on the Research Moodle page. The previous EIA will be used to inform the identification of staff and make final decisions for the REF 2021 submission.

The EIA review with regard to the protected characteristics will be used to provide benchmark data for the cohort of all Category A eligible staff. This will be compared to the profile of protected characteristics of the cohort of Category A submitted staff. If there is clear over or under representation of certain groups, all REF processes for identifying staff with SRR will be reviewed to ensure that the process is not, in itself, discriminatory. Where potential discrimination is identified the University will take immediate action to change the policy or practice. If the results suggest that the process is fair but that there is a more fundamental problem at the University or restricted opportunity or support for research development, then the issue is beyond the remit of the Code of Practice. The issue will then be referred to HR, the E&DSG and the Research and Innovation Committee for action. If a particular policy or practice is found to have a positive impact on equality, then the University will aim to apply it to other areas. These outcomes will also be reflected in the Institutional and UOA level Research Environment Statements.

3 Part 3: Determining research independence

3.1 Process for determining research independence

Staff employed on 'research only' contracts must be independent researchers to meet the definition of Category A eligible. 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 (see Figure 2 on the next page, and the definition in section 1.2.5).

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.

Staff members who are employed on 'teaching and research' contracts may have been identified as having a significant responsibility for research using the criteria in Part 2, but they will also need to be

considered independent researchers to be included in the submission for REF2021, as outlined below.

3.1.1 Teaching and Research Contracts

The University identifies independent researchers according to the REF definition as 'Category A eligible' staff on 'teaching and research contracts' where the staff meet the University's criteria for significant responsibility for research as outlined in Part 2 of this Code of Practice. However, staff enrolled as research degree students on census date are not considered independent researchers (see 3.1.3).

3.1.2 Research Only Contracts

An evaluation of research independence will be conducted for all staff on 'research only' contracts that have been identified as having a significant responsibility for research. Criteria used for determining staff who meet the definition of an independent researcher include the following:

- the individual has a doctorate, PhD or equivalent degree on census date; and
- the individual is named as a Principal Investigator or Co-Investigator on an externally funded research grant/award or;
- the individual has significant input into the design, conduct and interpretation of a research project or
- the individual is holding an independently won, competitively awarded fellowship or funding where research independence is a requirement.

In accordance with the REF Guidance on Submissions, the University of Chichester does not recognise research assistants or research associates as independent researchers where the primary employment function is research only and they are employed to assist with another individual's research programme.
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.

The employment of post-doctoral researchers at the University meets the criteria for independence, as it is a requirement of these roles that the individuals seek external funding for their own projects, act as principal investigator or co-investigators where appropriate and have significant input into the design, conduct and interpretation of the research.

3.1.3 Staff enrolled in PhD/Doctoral Programme on Census date

'Category A eligible' staff on 'teaching and research contracts' or 'research only' contracts that are enrolled as PhD students or on other research degree programmes on census date will not be considered independent researchers and will not be included even if the staff members meet the

University's criteria for significant responsibility for research as outlined in Part 2 of this Code of Practice.

3.2 Staff, committees and training

The staff and committees are the same as those outlined in section 2.8. Training required as part of the University's commitment to Equality and Diversity is detailed in the same section.

3.3 Appeals

The process follows that outlined in section 2.9.

3.4 Equality impact assessment

An EIA will be conducted to determine whether the University's processes for identifying staff, and determining research independence may have a differential impact on particular groups by reference to one or more protected characteristic(s). This process will follow the process outlined in section 2.10.

Figure 2: Staff Eligibility in REF2021

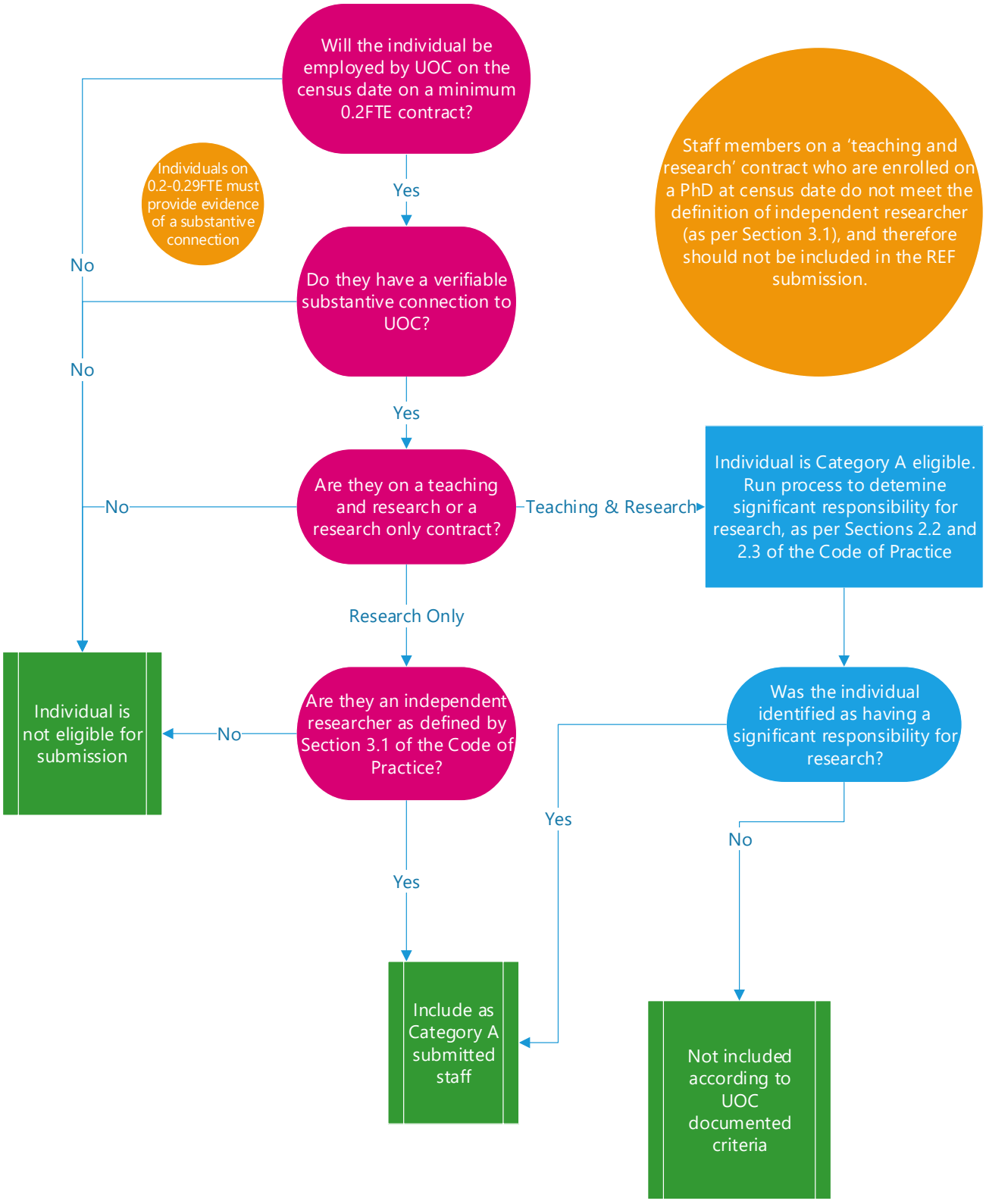

Figure 2: Staff Eligibility in REF2021

4 Part 4: Selection of outputs

4.1 Output selection for submission to REF2021

This section contains details of procedures that have been developed to ensure the fair and transparent selection of outputs. Information is provided about the procedure development process and the rationale for adopted methods. The schematic is presented in Figure 3. Final selection of outputs should be completed on ChiPrints by 29 January 2021, to allow time for transfer of data onto the submission system.

4.1.1 Open Access Compliance and the REF Support Plugin for ChiPrints

All journal articles and conference papers published with an International Standard Serial Number (ISSN) since 1 April 2016 are required to comply with the Open Access policy. Items accepted for publication between 1 April 2016 and 1 April 2018 are required to have been made open access within three months of publication, with the full-text of the accepted manuscript (post-peer review and prior to copyediting and application of the publisher's formatting). Items accepted for publication from 1 April 2018 onwards must have been made open access within three months of acceptance for publication. Other research outputs that are out of scope of the Open Access policy may still be submitted to REF and are not required to be Open Access. These include items that were accepted for publication prior to the start of the Open Access policy (i.e. 1 April 2016), and outputs types other than articles or conference papers published with an ISSN (such as exhibitions or compositions).

The University of Chichester is using the ChiPrints institutional repository (which uses the ePrints software) as a tool for tracking compliance with the REF2021 Open Access requirements. The repository will be used in compiling the REF2021 return, with the aid of the REF Support Plugin. Naturally, the final submission will be made using the web-based software that will be developed for REF 2021 to collect submissions from HEIs.

ChiPrints will be used as the tool to make the selection of outputs for REF2021. All academic staff must enter their research outputs into ChiPrints, regardless of whether there is an open access requirement or not. ChiPrints and open access training is available on an ongoing basis as part of the HR Staff Development Programme at the University (iTrent) and specific REF2021 tailored ChiPrints training courses were held at Bishop Otter Campus on 19 February 2019 and Bognor Regis Campus on 26 February 2019. Electronic guidance was also emailed out to all academic staff and Open Access information including a video tutorial is available on the Research Moodle. Practice-based research staff have also received training and have been instructed that they can enter exhibitions and other outputs into ChiPrints.

The Research Office works closely with the Electronic Resources Librarian, Learning and Information Services and academic staff to maintain and promote open access compliance at the University. Department-specific REF2021 Open Access compliance reports are routinely compiled to monitor compliance at departmental level. The Electronic Resources Librarian, where necessary, meets with Heads of Departments/Directors of Institutes on an ongoing basis to ensure open access compliance and determine if any exceptions[4] apply (Figure 3). Where special circumstances have impacted on an individual's ability to comply with the open access policy, staff may disclose the special circumstances to the Equality and Diversity Sub-Group (see section 4.4) if they so wish, but this is on a voluntary basis.

[4] This includes the 'other' exception that may be applicable to outputs that did not meet the Open Access requirements because of the COVID-19 pandemic, as per paragraphs 41-43 of the REF2021 "Guidance on Revisions to REF2021".

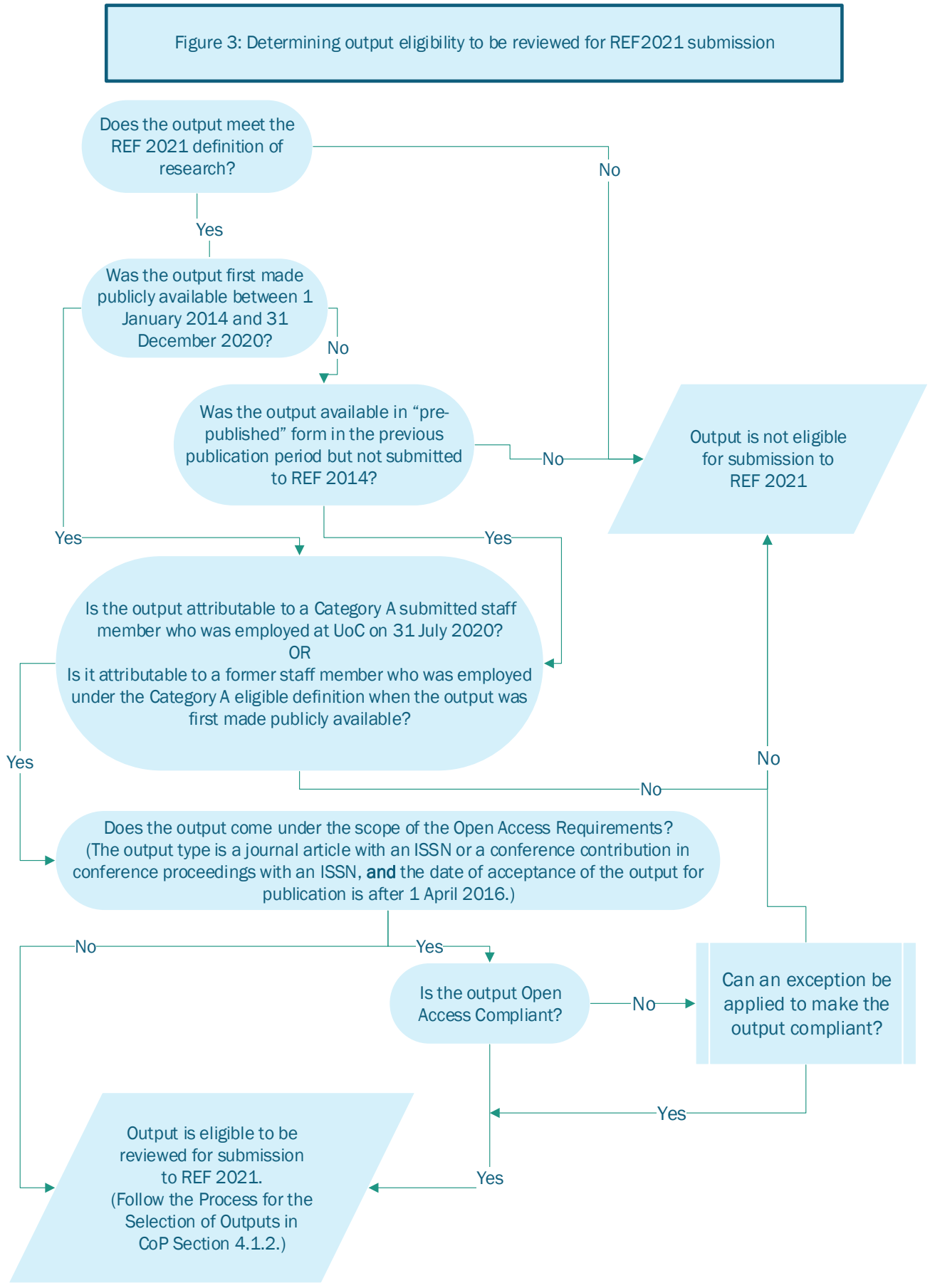

Figure 3: Determining output eligibility to be reviewed for REF2021 submission

4.1.2 Process for selection of outputs

In the self-assessment phase, individuals identified as having SRR and determined to be independent researchers as per Part 2 and 3 of the Code, first select up to 10 of their best outputs and rate them using a score of 1*-4* based on the assessment criteria published in the REF 2021 guidance documents for the relevant panels.

UOA champions are members of the REFPT and will have been nominated by the Head of Department/Director of Institute to perform the internal review. UOA champions will also be responsible for conducting the selection and assessment of output of former staff, including those made redundant, identified as having SRR and determined to have been independent researchers according to the processes described in Parts 2 and 3.

In the internal assessment phase, UOA Champions then review, and if applicable, re-score the outputs within the UOA. In addition to the assessment criteria published in the REF2021 guidance documents for the relevant panels, UOA champions may use citation data and peer review processes to evaluate quality of outputs. The funding bodies encourage HEIs to use research metrics responsibly, adhering to the principles set out in the Metric Tide report.

Each individual has to submit a minimum of 1 output, hence a single output to each individual would be attributed in such a way as to maximise the overall quality profile. The rest of the outputs will be selected based on quality up to the quota required for the submission (i.e. FTE x 2.5), ensuring that no individual has more than 5 outputs, and in such a way as to maximise the overall quality profile. If there is a complete tie between two outputs in terms of quality (for example both score 3*), then the UOA Champions, in consultation with Departmental Research Lead/s and Heads of Department/Directors of Institutes would need to determine if the individuals who submitted them had any relevant protected characteristics (where known), or were fixed-term employees and part-time workers which would need to be taken into consideration in terms of representation. Therefore, the secondary criterion that will apply is representativeness in terms of protected characteristics of staff and employment status included in the submission, to make the process more inclusive and optimize representation without reducing quality as informed by the EIA at internal output review points (section 4.2). As outlined in the section on the legislative context in paragraphs 18-27 (particularly paragraph 21 relating to disability) of the REF2019/03 Guidance on Codes of Practice, our selection of outputs process is not in breach of the 2010 Equality Act as it is a proportionate means of achieving the legitimate aim of representation as informed by the EIA while still maximizing the overall quality profile of the submission. If protected characteristics are not applicable in the case of a tie, then representativeness in terms of research areas in the UOA/Department would also be taken into account when making this decision.

External advice on output quality can be sought by individual Departments and UOAs. However arrangements for these must be made at the Departmental level and referenced to the published REF criteria for the relevant panel.

4.1.3 Feedback to researchers

The HOD and UOA champions can then provide feedback to the individual researchers regarding the assessment of individual outputs upon request. The feedback should be constructive.

4.1.4 Outputs delayed due to the COVID-19 pandemic

Where output publication has been delayed due to the COVID-19 pandemic, and outputs would reasonably have been expected to be published by 31 December 2020 otherwise, they may exceptionally be submitted where:

a. there is clear evidence that the final version of the output was expected in the public domain by 31 December 2020 (for example, the output was accepted for publication and publication was scheduled or expected by a particular date, or a performance or exhibition had been scheduled);

b. the appearance of the final version of the output in the public domain has been delayed due to the effects of COVID-19 (such as staff circumstances, and/or external factors, such as cancelled performances or publisher delays);

c. all other eligibility criteria for outputs are met.

This does not apply in situations where the output is not in the public domain due to delays to the research itself, unless there is clear evidence that the output had been expected to be in the public domain within the publication period.

Outputs which meet these criteria, and which are published by the submission deadline of 31 March 2021, should be returned in their final form. Outputs which are not published by the submission deadline will need to be returned in a pre-dissemination format, and a 100-word explanatory statement may need to be submitted with the output. Any outputs submitted under this provision should be identified in the submission system. UOA Champions should contact the Research Office in the first instance if there are outputs they wish to submit for their unit and which they believe meet the criteria listed above. This provision also applies to research that underpins Impact Case Studies, and Impact Case Study Leads should contact the Research Office in the first instance if they believe that this applies to their research.

4.2 Internal Output Review Points

In the lead up to the REF, HODs and Directors of Institutes will be asked to periodically update information relating to outputs within their departments through the:

1. Mock REF exercise (October 2018 to June 2019)

2. Final submission (Internal deadline 29 January 2021 for REF submission of 31 March 2021)

The Mock REF exercise was used as an opportunity to apply the draft code and refine it further. An EIA will be conducted afterwards and the same principles apply as previously discussed in section 2.10. The implications of the EIA will be considered when preparing the final submission.

4.3 Staff, committees and training

The staff and committees are the same as those outlined in section 2.8. Training required as part of the University's commitment to Equality and Diversity is detailed in the same section.

4.4 Disclosure of staff circumstances

The E&DSG will take account of staff circumstances which have affected an individual's or UOA's ability to work productively throughout the assessment period. Staff will be invited to disclose voluntarily and in confidence any relevant circumstances that have limited their capacity to contribute to the pool of eligible outputs. The outcome of the disclosure process may mean that:

1. an individual has had such exceptional circumstances that they can be submitted without the minimum of one output;
2. there is a case for submitting a request for a unit level reduction; or
3. exceptions for Open Access compliance may be applied for an individual's non-compliant output/s where the output comes under the scope of Open Access requirements (see section 4.1 and Figure 3).

4.4.1 Structures in place to support voluntary and confidential disclosure of circumstances

Consideration of REF guidance on output reduction, confidentiality, data protection, and Equality and Diversity training will underpin all decision making by the E&DSG. All procedures which explore staff circumstances will be treated in strictest confidence, including storage of data which will take into consideration the potential sensitive nature of data and act in accordance with Data Protection legislation. A process will be put in place to deal with applications to consider staff circumstances where the applicant may also be a member of the E&DSG, to ensure both equity of process and subgroup member confidentiality.

Where individual staff members wish to voluntarily disclose special circumstances or career disruptions, a confidential application for the consideration of staff circumstances (using the form in Appendix 10) will be made to the Chair of the E&DSG by emailing REFequality@chi.ac.uk. Staff will be able to submit applications from **1 July 2019 but no later than 17 January 2020.** Staff are not required to complete and return this form where they do not wish to do so.

These applications will be reviewed by the REFPT Equality and Diversity subgroup (E&DSG). All members of the subgroup will sign confidentiality agreements and undergo mandatory Equality and Diversity training. All applications and personal information will be stored securely and only members of the E&DSG will have access to this folder. When reviewing applications, the E&DSG may draw upon advice of specialist colleagues (for example Staff/Student Support) if needed. Once a decision on reduction of outputs has been made, the Chair of the E&DSG will communicate outcomes of any application back to the individual member of staff as well as the Cross-Institutional Lead for Research within 30 days of the application being received. The Cross-Institutional Lead for Research then communicates outcomes of the application process to the relevant UOA champions. A separate note of the number of output reductions will be supplied to the relevant UOA champion but confidential information will not be disclosed. In the case where staff circumstances may have played a role in outputs in scope of Open Access requirements being non-compliant, the E&DSG will inform the individual and the Cross-Institutional Lead for Research . The Cross-Institutional Lead for Research will then inform the Electronic Resources Librarian so that an exception may be applied, without disclosing confidential information.

4.4.2 List of circumstances that will be considered

Submitting units may be returned with fewer than 2.5 outputs per FTE without penalty in the assessment, where one or more of the following circumstances significantly constrained the ability of submitted staff to produce outputs or to work productively throughout the assessment period:

a. qualifying as an early career researcher;
b. absence from work due to secondments or career breaks;
c. qualifying periods of family-related leave;
d. other circumstances that apply in UOAs 1–6 (relating to clinical academics);
e. Circumstances with an equivalent effect to absence, that require a judgement about the appropriate reduction in outputs, which are:
    i. Disability: this is defined in the REF2021 ‘Guidance on codes of practice’, Table 1 under ‘Disability’.
    ii. Ill health, injury, or mental health conditions.
    iii. Constraints relating to pregnancy, maternity, paternity, adoption or childcare that fall outside of – or justify the reduction of further outputs in addition to – the allowances set out in Annex L of the REF Guidance on Submissions.
    iv. Other caring responsibilities (such as caring for an elderly or disabled family member).
    v. Gender reassignment.
    vi. Other circumstances relating to the protected characteristics listed in the REF2021 ‘Guidance on codes of practice’, Table 1, or relating to activities protected by employment legislation.

Supporting documentation and verifiable evidence may be required for applications but any verification of circumstances will be approached with care and tact and in accordance with the law. As working part-time is taken into account 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.

4.4.3 Adjusting expectation of an affected individual's contribution to unit's output pool

The reduction applied to the total output pool should be a sum of the reductions arising from individual staff in the unit with applicable circumstances, which have constrained their ability to work productively during the assessment period. The E&DSG will calculate these reductions guided by the tariffs in place for requesting reductions to the output requirement in Annex L of the REF2021 'Guidance on Submissions', and then convey this information to the Cross-Institutional Lead for Research who will then inform the relevant UOA champions. Rounding to the nearest whole number will be applied to the sum of reductions to give a whole number of outputs for reduction. This guidance will apply across all UOAs, and where a reduction is applied, the remaining number of submitted outputs will be assessed without any penalty.

4.4.4 Removing the 'minimum of one' requirement (REF6a)

In all UOAs, an individual may be returned without the required minimum of one output without penalty in the assessment, where the nature of the individual's circumstances has had an exceptional effect on their ability to work productively throughout the assessment period (1 January 2014 to 31 July 2020), so that the staff member has not been able to produce the required minimum of one eligible output. This measure is intended to minimise any potential negative impact on the careers of particular groups of researchers who have not been able to produce an output in the period due to their individual circumstances.

A staff member can make an application to have this 'minimum of one' requirement removed because of exceptional circumstances using the form in Appendix 10. If the E&DSG approves this application, the E&DSG will communicate this to the Cross-Institutional Lead for Research who then makes a request to the REF2021 team for the minimum of one requirement for that individual staff member to be removed, using the REF6a form.

Requests for removing the 'minimum of one' requirement may be made for an individual researcher who has not been able to produce an eligible output where any of the following circumstances apply within the period 1 January 2014 to 31 July 2020:

a) an overall period of 46 months or more absence from research during the assessment period, due to one of more of the circumstances set out in paragraphs 160 to 163 of the REF 2019/01

Guidance on Submissions (such as an ECR who has only been employed as an eligible staff member for part of the assessment period);

b) circumstances equivalent to 46 months or more absence from research, where circumstances set out in paragraph 160 of the REF Guidance on Submissions apply (such as mental health issues, caring responsibility, long-term health conditions); or
c) two or more qualifying periods of family-related leave, as defined in Annex L of the REF2021 'Guidance on Submissions'.

The request should include a description of how the circumstances have affected the staff member's ability to produce an eligible output in the period. The information provided in the request must be based on verifiable evidence but any verification of circumstances will be approached with care and tact and in accordance with the law.

For each member of staff for whom a request to remove the 'minimum of one' requirement is being made, the following information will be provided by the Chair of E&DSG to the Cross-Institutional Lead for Research in order to complete the REF6a form:

a. Information to enable the REF team to identify the staff member within the submission.
b. Details about which circumstances listed in section 4.4.2 apply.
c. A brief statement (max. 200 words) describing how the circumstances have affected the staff member's ability to produce an eligible output in the period.

The REF6a form will be completed for each individual staff member where an application for voluntary and confidential disclosure of circumstances has been made and approved by the E&DSG. The Cross-Institutional Lead for Research will submit the REF6a request form to the REF2021 team by March 2020 deadline for consideration by EDAP. Where the request is accepted by EDAP, an individual may be returned with no outputs attributed to them in the submission, and the total outputs required by the unit will be reduced by one.

4.4.4.1 Removal of the 'minimum of one' requirement due to the effects of COVID-19

Individuals can apply to have the 'minimum of one' requirement removed where a combination of individual circumstances earlier in the assessment period and the effects of the COVID-19 pandemic have had an exceptional effect, and the staff member has consequently not been able to produce an eligible output. If the individual was able to produce an output, the publication of which was delayed because of COVID-19, the removal of the 'minimum of one' requirement may not be applicable, and individuals should refer to Section 4.1.4 above.

A request for the removal of the 'minimum of one' requirement may be put forward for a Category A submitted staff member that has not been able to produce an eligible output, where the following circumstances apply:

a. output(s) in the process of being produced have been affected by COVID-19 during the assessment period (1 January 2014 to 31 July 2020). 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 University of Chichester in response to COVID-19); and/or external factors related to COVID-19 (for example, restricted access to research facilities);

and

b. the overall impact of the COVID-19 effects, combined with other applicable circumstances affecting the staff member's ability to research productively during the assessment period, is deemed similar to the impact of the circumstances set out in paragraph 179a. to c. of the REF2021 'Guidance on Submissions'. For example, where a staff member is an early career researcher, or has held a fractional contract for a significant proportion of the assessment period, and has experienced COVID-19-related disruption to the production of an eligible output.

Where these criteria are applicable, staff members should submit the application in Appendix 11 to the E&DSG by 18 December 2020. The process described above in Section 4.4.4 will then be followed, except that the REF6a form will be submitted for consideration by EDAP at the submission deadline.

4.4.5 Determining whether a reduction in outputs should be sought for UOA

Where there has been a cumulative effect of staff circumstances on a unit's overall output pool, the University can make a request for a reduction to the total number of outputs required for the UOA submission. This will occur in instances where the output pool has been affected to the extent that the flexibility offered by decoupling offers insufficient support. If the available output pool for a given unit has been disproportionately affected by equality-related circumstances, it is appropriate for the University to seek a reduction to the total number of outputs required for that submitting unit. This may include cases where there are very high proportions of staff in the unit whose individual circumstances have affected their productivity over the REF assessment period. These individual circumstances would have been voluntarily and confidentially disclosed to, and subsequently approved by, the E&DSG, including in very small units, or where disciplinary publishing norms make it likely that an individual will have generated a smaller number of outputs across the publication period.

The relevant UOA champion will consider that a reduction request is necessary when the size of the available output pool (from which selection will be made) is very close to or less than the total number of outputs required; and there is a very high proportion of staff in the unit whose individual circumstances have affected their productivity over the REF assessment period. In this instance, the

UOA champion will communicate this issue to the Cross-Institutional Lead for Research who will then contact the Chair of the E&DSG. They may then decide to prepare a REF6b form to make a Unit Reduction Request (see below). Requests for reductions must be accompanied by a supporting statement that includes information on the context of the unit including its size and the proportion of those with declared circumstances, how the circumstances affected the unit's output pool and why this was determined to be disproportionate, and how this complies with the process set out in this Code of Practice (see below).

4.4.6 Unit reduction request (REF6b)

When a UOA champion has contacted the Cross-Institutional Lead for Research to make a unit reduction request, the Chair of the E&DSG will work with the Cross-Institutional Lead for Research and UOA champion in order to provide the following information in REF6b form:

a. Details about the number of staff in the unit with each of the defined circumstances and information that will enable the REF team to identify these staff members within submissions (including the HESA ID).
b. For each member of staff with circumstances requiring a judgement, information to enable the REF team to identify the staff member within the submission, a brief outline (max. 200 words) of the nature of the circumstances and how the University determined an appropriate reduction, and the reduction proposed.
c. A supporting statement (max. 300 words) outlining the rationale for requesting a unit reduction in accordance with the University's Code of Practice.

The information returned in REF6a/b for any type of circumstances must be based on verifiable evidence (although, for the avoidance of doubt, the REF2021 team typically will accept individuals' self-descriptions of their circumstances).

4.4.7 Sensitivity around the disclosure process

Decisions and requests on reductions by the E&DSG will be provided to the Cross-Institutional Lead for Research, and passed on to the relevant UOA champions with only the necessary information provided to justify the proposed reductions and complete REF6a/b forms in order to reduce the level of sensitive information submitted (see section 4.4). However, the E&DSG will need to collect and hold verifying information for audit purposes, according to Data Protection legislation.

4.4.8 Deadline for submission of requests for consideration of special circumstances

The internal deadline for voluntary and confidential disclosure of circumstances by staff will be 17 January 2020. The deadline for E&DSG to reply to the individual will be within 30 days of application but no later than 17 February 2020. The Chair of E&DSG and Cross-Institutional Lead for Research will then complete any necessary REF6a/b forms and provide the information to justify the proposed reductions.

The deadline for University to submit these unit reduction requests and requests for removing the 'minimum of one' requirement to REF 2021 will be 6 March 2020. Where there are changes to the Category A submitted staff employed in the unit after the request has been submitted, the University will be able to amend REF6a/b forms and make requests for further reductions at the point of submission. All unit reduction requests will be considered by EDAP on a consistent basis across all UOAs. EDAP may seek advice on submitted requests from the main panel chairs. EDAP will make recommendations about the appropriate number of outputs that may be reduced without penalty in the case of circumstances requiring a judgement. EDAP will also make recommendations on accepting requests for the removal of the minimum of one. EDAP will provide a written explanation where a request is not accepted in full or in part and the University will be able to appeal.

4.4.9 Staff circumstances report

Following the REF submission deadline in March 2021, the University is required to submit a report reflecting on their experience of supporting staff with circumstances. The E&DSG will provide input into this report.

4.5 Appeals

As set out in section 2.9, individuals can appeal on the grounds that the process for consideration of an individual's special circumstances for reduction of outputs was not followed consistently by the E&DSG. However, appeals cannot be made on the basis of the quality evaluation process for selection of research outputs by Category A submitted staff.

4.6 Equality impact assessment

For processes and policies relating to selection of outputs, the EIA will consider data on the distribution of selected outputs across staff, by protected characteristics as well as employment characteristics (full-time and part time, fixed term and open contracts) in the context of the characteristics of the Category A submitted staff pool. When carrying out an EIA of the output selection process, the University will also assess the processes that are being used to evaluate the relative quality of the outputs in the pool, such as for example the use of citation data and peer review processes and that research metrics are being used responsibly, adhering to the principles set out in the Metric Tide report ['The Metric Tide: Report of the Independent Review of the Role of Metrics in Research Assessment and Management' (2016). Available at: https://re.ukri.org/news-events-publications/publications/metric-tide/]

An EIA will be conducted following the process detailed in section 2.10 and used to inform all REF processes. Overall consideration will also be given to the combined impact of policies and procedures in Parts 2, 3 and 4 of the code relating to:

a) the identification of staff with significant responsibility for research,
b) the process for determining research independence, and

c) the selection of outputs.

An EIA will be conducted on the final submission of staff and outputs. As per the guidance documents, this final EIA will contain actions taken by the University of Chichester to prevent discrimination and to advance equality during the submission process, justification for and/or actions taken to address any differential impact that staff identification and output selection 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 as well as lessons learned for the future.

5 Part 5: Appendices

5.1 Appendix 1: University of Chichester Equality, Diversity and Inclusivity Plan 2018-21

1. Introduction

The EDI Plan is designed to support the University in meeting its legislative responsibilities and fulfilling its strategic aims for the period 2018-21. The University's mission as defined in our Strategic Plan 2018-25 is 'To provide outstanding education, advance knowledge and benefit the world'. We recognise the importance of every individual in helping us meet our local and more global ambitions and are committed to creating a diverse, inclusive and nurturing environment for our students and staff through the embodiment and advancement of our stated strategic core values.

2. Supporting our Community

Central to our core values is 'Community'. Our community is made up of students and staff who are recruited locally, nationally and internationally, bringing diverse identities and experiences which we know enrich University life for us all. We value the uniqueness of individuals - their age; physical, learning and mental health disabilities, gender; gender identity; marital or civil partnership status, pregnancy and maternity status; race; religion, belief or non-belief and sexual orientation.

To encompass everyone within our community our culture has to be inclusive, equality has to be embedded and diversity has to be sought, recognised, valued and celebrated across all our endeavours - in our learning, teaching, research and enterprise, within the student experience and also the staff working environment. This EDI Plan provides the foundation for the University's EDI work and is supported by appropriate policies, procedures, the sharing of good practice, communications and activities. Our Equality and Diversity Policy outlines the University's EDI obligations and expectations.

3. EDI @ CHI - Embedded and Active

EDI is an intrinsic part of everything we are and everything we do at the University of Chichester. The University by its nature is a complex structure which exists as a learning, working, social and living environment all at the same time and our approach therefore extends to all individuals across all facets of University life. The concepts of EDI are linked, but have distinct meanings:

- **Equality** ensures that people are treated equally and not less favourably, specific to their needs, because of particular characteristics. There are currently nine protected characteristics recognised under the Equality Act 2010: age, disability, gender reassignment, marriage and civil partnership, pregnancy and maternity,

race, religion or belief, sex and sexual orientation. We are committed to fulfilling our obligations under the Equality Act 2010, which requires the University to:

- Eliminate unlawful discrimination, harassment, victimisation or other conduct prohibited by the Act, ensuring that there is no less favourable treatment for protected groups and that no factors can give rise to indirect discrimination.

- Advance equality of opportunity between people who share a protected characteristic and those who do not by removing or minimising disadvantage experienced by individuals due to their protected characteristics, or a combination of their protected characteristics. This includes working to meet the needs of people from protected groups where these are different from the needs of others and encouraging people from protected groups to participate in public life or other activities where participation is disproportionately low.
- Foster good relations between people who share a protected characteristic and those who do not through promoting understanding and tackling prejudice.

- **Diversity** recognises, respects and values the individual differences that we all have. The University works to support all of our students and staff in achieving their full potential regardless of their background, characteristics, culture or identity.

- **Inclusivity** - The University seeks to proactively identify and remove visible or invisible cultural or structural barriers that can result in certain groups or individuals being disadvantaged or excluded.

- **Intersectionality** - The intersected nature, or intersectionality of the characteristics that people have can result in different barriers or experiences for different people. For example, the experiences of a black bisexual woman may be quite different to the experiences of a person who is either black or bisexual or female but does not have the other two characteristics. The University recognises that individuals have multiple identities and aims to take an intersectional approach to EDI work where appropriate.

4. Our Commitment

We will work together to ensure that everyone can contribute fully to University of Chichester life, knowledge and growth through embedding EDI across the whole University. We will proactively advance EDI practice in our staff and student recruitment and admissions processes; our student community our teaching and learning; the experiences we offer to our academic and professional services staff; our research activity; the engagement and experience of stakeholders, partners and visitors and the University campus environment.

5. Key EDI Themes

The EDI Plan will support the University's strategic objectives as outlined in the University Strategy 2018-25 '*Open for Change'* and the People Strategy 2018-25 '*Working Together – Supporting Each Other*' through advancement of the following three key themes:

Theme 1: Embed EDI into all Aspects of University Life

We will all lead by example; we will raise awareness and promote EDI in a way that informs our culture and practices to recognise the needs of our diverse University community, promoting a culture of respect and removing any form of less favourable treatment or harassment. We will support the needs of our community in their learning and working. We will do this by:

- sharing relevant activities, communications, good practice, policies, guidance as well as offering and highlighting elements to aid this work such as professional development opportunities for staff alongside our staff and student support services.
- facilitating staff and students sharing and raising EDI related ideas, good practice and concerns for action.

Theme 2: Attract, Retain and Develop a Diverse Community of Staff and Students

We will provide opportunities for students and staff with different backgrounds, characteristics, cultures and identities to work together and share experiences, perspectives and learning for the greater benefit of all. We will work to ensure that everyone can attain, succeed and realise their full potential to the best of their abilities. We will do this by:

- ensuring we engage and inspire students from diverse backgrounds to join us at undergraduate and postgraduate level, making sure our admissions processes are fair and inclusive.
- proactively engage and encourage staff applicants for academic, professional services and leadership roles where there is an under-representation at different levels.
- understanding the diverse composition and needs of our staff and students by creating an environment which encourages disclosure.
- collecting and analysing data to enable us to monitor and address differences, promoting equality in participation and progression.

Theme 3: Support an Inclusive Campus Approach

We will promote an inclusive culture where individuals are treated with respect and dignity and feel safe to be the person they are. We will do this by:

- promoting a culture based on the principles of respect, dignity and inclusion for everyone.

- ensuring accessibility and inclusive practices to accommodate the needs of our staff, students and visitors when considering our current campus and future developments.

6. Monitoring and Reporting Our Outcomes

The three themes outlined support the University's key EDI goals for the period 2018-21. Progress in relation to the themes is monitored through analysis of staff and student data, such as anonymised staff recruitment data or destination of leavers' data for students. This information is summarised alongside reflective consideration of the University's activities in a number of EDI related reports including our Gender Pay Gap Report, Inclusivity Annual Report, Equal Pay Audit and our People Strategy Action Plan.

The Vice-Chancellor's Group will monitor reporting outcomes, for example EDI Annual Reports and Gender Pay Gap reports, to ensure progress is being made against the defined area. This document will therefore be updated by the Inclusivity and Wellbeing Officer with any identified or additional requirements.

Contacts for Further Information:

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If you would like to receive the information in this report in an alternative format to meet your needs, please contact us as above.

5.2 Appendix 2: University of Chichester Equality and Diversity Policy 2018-21

This policy is a formal statement of the University's commitment to equality and fair treatment, and to creating an educational environment where discrimination in all its forms is challenged effectively.

1. Principles and Values

The University supports the spirit as well as the letter of equality law and thus adopts a positive approach rather than simply a compliant one. It is committed to ensuring that access to its provision is consistent with its Equality and Diversity Policy.

The importance and value of equality and diversity is inherent in the University's strategic objectives. The University's Strategy '*Open for change'* highlights the importance of establishing a culture and environment in which staff, students and visitors understand and embrace the principles and practices of equality and diversity. The University's People Strategy '*Working Together, Supporting Each Other',* highlights key objectives to progress the University's vision and values around equality, diversity and inclusivity.

The University's strategic progress against its defined objectives and its drive for inclusivity can be evidenced in its Inclusivity Annual Report, which reflects on the equality and diversity experience and activity for the preceding year and the University's ambitions for future years. The University's annual Gender Pay Gap report is published on the University's website and on the Government portal.

Respect for the individual, the freedom of debate and discussion, equality and the encouragement of diversity lie at the heart of our values and, as a University with a sense of community, we remain passionate about widening educational opportunity and its contribution to social justice.

We work to ensure that all individuals are able to maximise their potential and recognise that diversity strengthens the institution, stimulates creativity, promotes the exchange of ideas and enriches campus life.

The University of Chichester strives to:

- eliminate unfair treatment or disadvantage in all its core and related activities.
- promote equality of opportunity to enable staff and students to reach their full potential.
- promote good relations between all persons.
- acknowledge and celebrate the breadth of experience and intellectual resources that people from diverse backgrounds bring to the life of the University.

2. Statement of Policy

All colleagues, students and external parties in partnership or association with the University are required to adhere to the principles and requirements of equality legislation and the University's Equality and Diversity Policy (including any associated procedures), and its implementation.

Equality law seeks to protect those individuals that receive unfair treatment based upon irrelevant criteria, because of a particular characteristic or dual characteristics. Such treatment may be deliberate and overt, though it may also be subtle and unwitting, based upon ill-founded ideas and assumptions.

The University seeks to ensure that all individuals are able to maximise their potential and do not face unfair barriers. The protected characteristics identified in equality law are:

- Age
- Disability
- Gender reassignment
- Marriage and civil partnership
- Pregnancy and maternity
- Race
- Religion or belief
- Sex
- Sexual orientation

The University does not tolerate any form of discrimination or abuse by colleagues, students or anyone else connected with the University and its activities. This includes all contractual service providers and collaborative partners, who are required to adhere to equality legislation when providing goods, facilities or services. For partners outside the UK, the University will ensure, through its due diligence procedures, that there is a satisfactory alignment between its relevant policies and practices and those of any potential partners.

Whilst there may be special measures to increase the presence of under-represented groups this does not mean that the University aims to match group proportions within the University to those in the general or even local population, since staff/student choice, the academic offer, the relative status of different institutions and location all play a part in who seeks to join any university. The proportions of males and females, minority ethnic people, disabled people etc. varies across the University, often determined by wider cultural assumptions about subject and career appropriateness; not all of which is within the University's control, although we may seek to influence it.

3. Responsibilities

The Board of Governors, the Vice-Chancellor's Group (VCG), the Senior Management Team – Heads and Directors of Departments/Institutes - hold direct responsibility for ensuring that equality of opportunity forms part of the ethos of the University and is embedded in its practices and operations.

To support this work, VCG take a pro-active lead in driving the equality agenda forward, monitoring compliance and promoting good practice across the University.

Every manager in the University of Chichester is accountable for the effective implementation of this Policy and associated procedures and for monitoring diversity in their area of responsibility.

Each member of the University community has a responsibility for upholding this Policy and for behaving in ways that are consistent with fair and equal treatment for all. Each person is responsible for their own learning and engagement with equality issues and actions, and has a duty to consider the impact of their actions to ensure that they do not have a detrimental effect on the achievement of equality of opportunity. This includes staff working for contract companies and those involved in collaborative activities with the University of Chichester in whatever form.

Equality and diversity are raised as an agenda item on the following Committees and Groups:

- Board of Governors
- Governors' Strategy & Resources Committee
- Vice-Chancellor's Group
- Academic Board
- Student Forum
- Learning & Teaching Committee
- Research Committee

4. Supporting Policies

The University may introduce additional policies and other documents to support its aim for equality and fair treatment. All such policies and documents should be considered as a sub-section of the Equality and Diversity Policy.

Teaching, Learning and Assessment

The University recognises that it is imperative that the principles of inclusivity and diversity are embedded across all teaching, learning and assessment and that encouragement of academic and personal development is undertaken with staff having awareness of the differing needs of students. As all protected characteristics could be represented across the student population, the University recognises the importance of encouraging diversity to be reflected in the content of courses, teaching methods and forms of assessment.

Research

Research is a part of the University's core mission; the creation and dissemination of new knowledge and insights an underpinning activity for the institution. All staff and research students should have the same access to research opportunities no matter what their background or characteristics. This may include, and is not limited to, access or funding or support, training or development, promotional opportunities and inclusion in external assessment exercises such as the Research Excellence Framework.

5. Communication

To support all parties in fulfilling their responsibilities the University will ensure that:

- the Equality and Diversity Policy is communicated, in a variety of forms, to all staff, students and potential applicants (staff or students), contractors and collaborative partners
- aspects of the implementation of the Policy and related updates and information are promoted across the University
- appropriate training and guidance are given to those accountable for the implementation of the Policy, in order to ensure that individuals understand their responsibilities and the legal framework
- external bodies and agencies with whom the University of Chichester engages embody the same values in their treatment of the University's staff and students and will communicate this expectation
- the University's promotional and other materials reflect the institution's commitment to equality and diversity. Materials in the public domain (e.g. publicity material, posters, electronic information) are reviewed, wherever possible, to seek to ensure that they do not give offence to particular groups of staff, students or members of the public.

6. Monitoring and Review

The University will:

- review this Policy every three years or more often as required

- ensure mechanisms are in place to monitor and review the application of the Policy and the implementation of associated procedures and analyse the available data to identify potential barriers or areas where positive action might be required

7. Reporting and Formal Processes

Individuals should feel able to inform an appropriate person within the University, for example in Student Support and Wellbeing, Human Resources (HR Officer or Inclusivity Officer), Students' Union, managers and Heads/Directors of Department/Institute, wherever inappropriate or discriminatory practice occurs, without fear of retribution and in the knowledge that the matter will, where required, be handled effectively under the University's staff or student complaints procedures.

The University of Chichester will treat any contravention or breach of this Policy very seriously and will take appropriate action wherever it is justified.

5.3 Appendix 3: University of Chichester Equality Impact Assessment of REF 2014 submission

The data presented herein has been provided by the University's HR department (November 2013), data for those in the REF submission is based on data submitted to the HEFCE REF Portal. A total of 58 academic staff were submitted to the REF. Data for protected characteristics is based on voluntary disclosure.

Data for individual characteristics is presented and discussed and a smaller subset of characteristics have been considered in combination (e.g. age and gender). Individual characteristics considered in the analysis are:

- Age
- Gender
- Sexual orientation
- Disability
- Ethnic origin
- Religion
- Marital status
- Maternity
- Part-time working
- Early Career Researcher status.

Those considered in combination are:

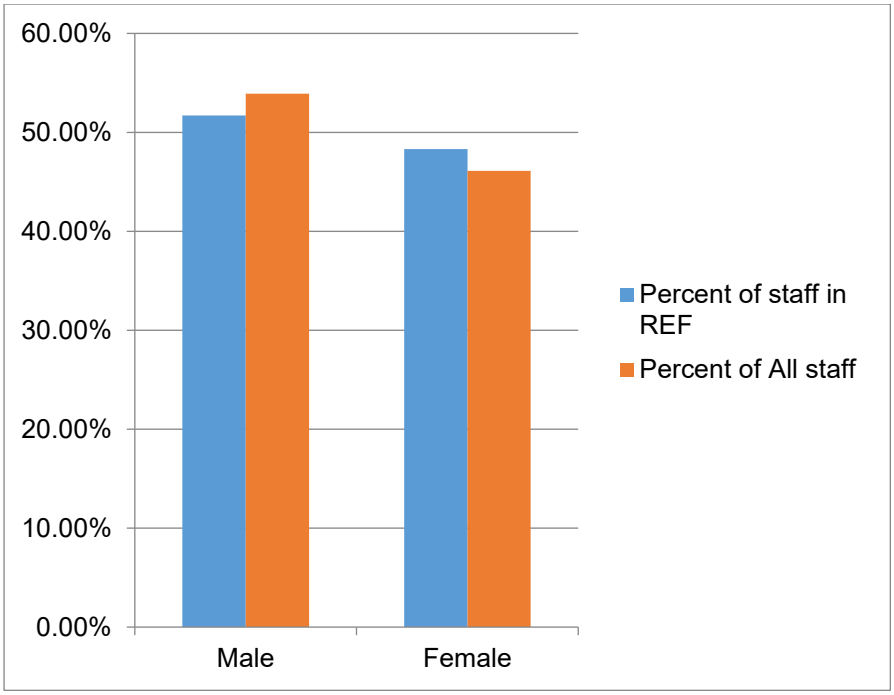
- Age and Gender
- Age and Ethnicity
- Gender and Ethnicity
- Part-time working and ECR.

The combined analyses have been selected for those areas with sufficient numbers of individuals with particular characteristics to support a meaningful analysis.

Gender

The gender balance of the population of staff submitted to REF (n=58) is similar to that of the whole academic staff population (N=241), with a slightly increased proportion of females in the REF submission (48.3%) than in the whole academic staff population (46.1%). (Figure 1)

Figure 1: Gender balance of staff in REF submission and academic staff population as a whole



Ethnicity

All but one member of staff have disclosed their ethnic origin (Table 1). There is little difference between the characteristics of the academic staff population and the REF population. The predominant reported ethnic origin is White – British (55% of all staff, 53% of staff submitted REF) followed by 'Other White Background' (40% of all staff, 43% of staff submitted to the REF). The next largest group in the staff population as a whole is White – Irish, representing 2% of the staff and REF populations.

Table 1: Ethnicity of staff in REF submission and academic staff population as a whole

Category	All population (n)	All population (%)	In REF submission (n)	In REF submission (%)	Difference
White - British	133	55%	31	53%	-2%
Other White Background	96	40%	25	43%	3%
Asian or Asian British - Indian	1	<1%	0	0%	0%
Other Ethnic background	1	<1%	0	0%	0%
White - Irish	5	2%	1	2%	0%
Black or Black British - Caribbean	1	<1%	0	0%	0%
Asian or Asian British - Pakistani	1	<1%	0	0%	0%

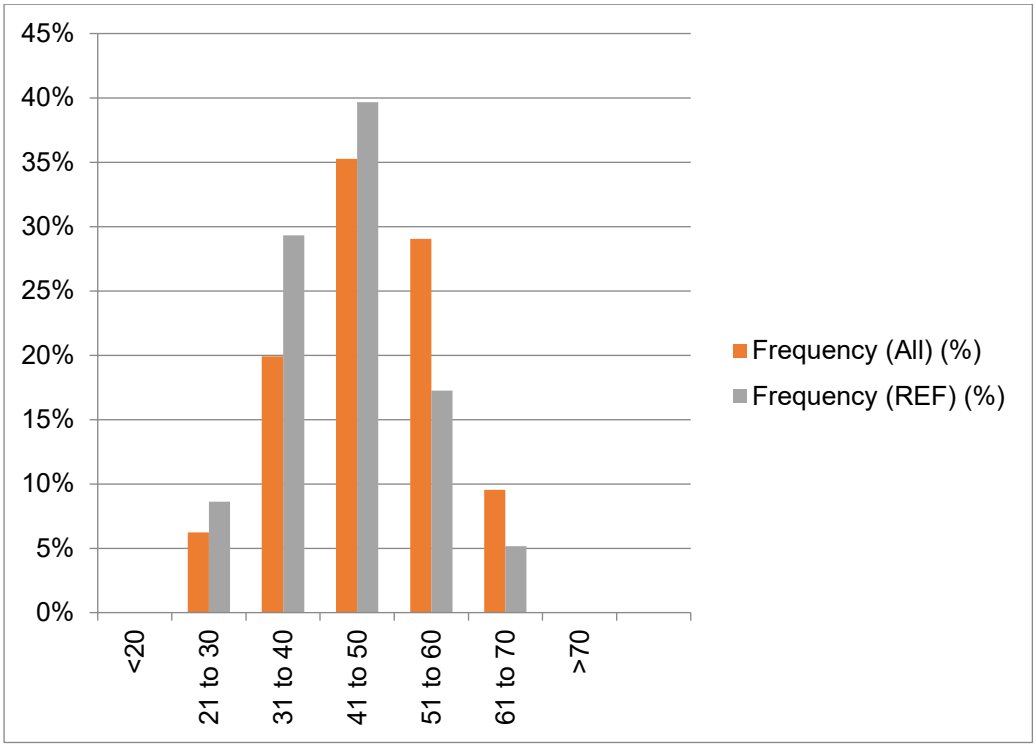
Black or Black British - African	2	1%	0	0%	-1%
not disclosed	1	<1%	1	2%	1%
	241		58		

*Some totals may not add up to because of rounding.

Age

The age of every member of academic staff (N=241) is known. Figure 2, shows the profile of age in the academic staff population as a whole and in the population of staff submitted to the REF. The profiles are broadly similar, although it is clear that there is a greater proportion of academic staff aged 21 to 50 in the REF population (78%) than in the academic population as a whole (61%). The most significant difference (in percentage terms) is in the 51 to 60 group where there are 12% less academic staff in the REF submission than in the academic staff population as a whole.

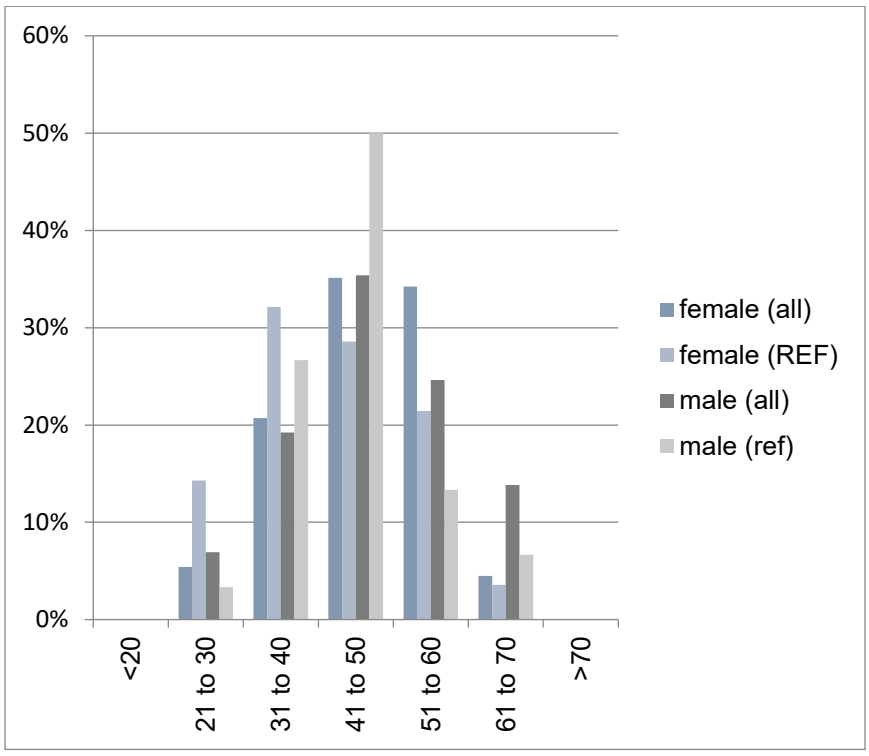
Figure 2: Age profile of staff in REF submission and academic staff population as a whole



Age and gender

Analysis of the combination of Age and Gender reveals that whilst the broad patterns are similar in the male and female populations across the age profile there are some interesting differences for some age brackets (Figure 3). For example there are a greater proportion of younger (<40 yrs) female staff (46%) in the REF population than males in the REF population (30%). Furthermore, the proportion of younger females in the REF is nearly three times the proportion in the whole academic staff population, whilst for younger men the proportions are broadly similar (26% in whole academic staff population and 30% in the REF population).

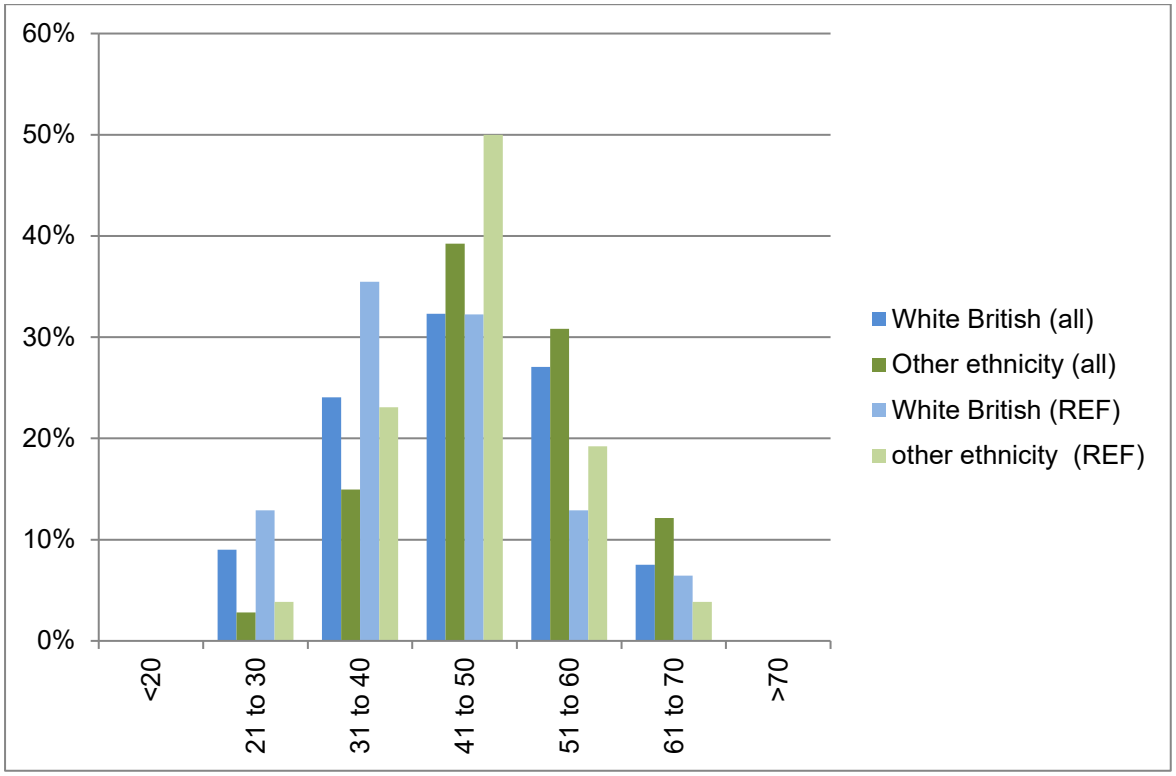
Figure 3: Combination of Age and Gender balance of staff in REF submission and academic staff population as a whole



Age and ethnicity

The profiles of White British and Other ethnicity are fairly similar across the age profile (Figure 4). The only significant difference between the two categories of ethnicity is in the 41 to 50 bracket. There is a greater proportion of staff of 'other ethnicity' (mostly Other White Background) included in the REF compared to the proportion for White British, the latter ethnicity is almost equally represented in the REF and whole academic staff populations.

Figure 4: Combination of Age and ethnicity of staff in REF submission and academic staff population as a whole



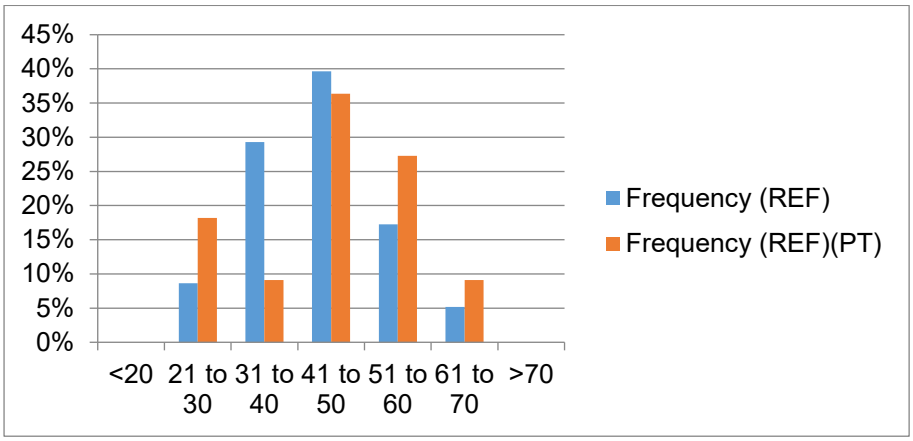
Part-time staff

In terms of part-time employment the REF population is fairly similar to the staff population at large in that 23% of all staff are part-time and 20% of part-time staff were submitted to the REF. Looking at it another way, 19% of the REF submission was from part-time staff whilst 23% of all staff are part-time.

Table 2: Overview of part-time/full-time (PT / FT) staff submitted to the REF

		N	**%**	
All	Total PT	54	23%	of staff are PT
	Total FT	176	77%	of staff are FT
	Total	*230*	*100%*	
In REF	Total PT in REF	11	20%	of PT staff are in the REF
	Total FT in REF	47	27%	of FT staff are in the REF
	%of REF that is PT		19%	
	% of REF that is FT		81%	

Figure 5: Part-time staff in combination with age profile in REF submission and academic staff population as a whole



The numbers of PT staff in the REF (n=11) means that any differences in the age profile by FT/PT are difficult to interpret.

Early Career Researchers (ECR)[5]

Table 2a shows the data that describes the population of ECRs in the REF submission and those in the University academic population at large. It is worth noting that the judgement made about whether or not an individual meets the REF definition of ECR is a subjective one. Assessment of whether those individuals submitted to the REF were ECRs was undertaken by a sub-group who consulted a range of evidence to support their judgement. Assessment of staff not submitted to REF against ECR criteria was made by the Research Office team and was 'lighter touch', was based on data provided through the Audit of Research and Academic CVs.

Table 2a: Overview of Early Career Researchers submitted to the REF (ECR and ECR in combination with PT/FT employment)

Category of staff	n	Pc.	Statement
FT (ECR) All staff	98	56%	of all FT staff are ECR
FT (ECR) in REF	13	28%	of FT staff in the REF are ECR
PT (ECR) All staff	31	57%	of all PT staff are ECR
PT (ECR) in REF	4	36%	of PT staff in the REF are ECR
All ECR	129	56%	of all staff (FT or PT) are ECRs
All staff	230		
ECR in REF	17	29%	of all REF (FT or PT) are ECRs
Total staff in REF	58		

There is a significantly smaller proportion of ECRs in the REF submission (29%) than in the academic staff population as a whole (56%). In terms of FTE, the proportion of part-time academic staff is slightly lower (19%) than the academic staff as a whole (23%). Considering FTE and ECR in combination reveals that the proportion of part-time ECRs in the REF submission (36%) is closer to the figure for the whole population (57%) than it is for full time staff (28% REF and 56% all staff). The dataset used to analyse ECR is slightly different to the one used for other aspects of the equality analysis, the latter is provided directly by HR for the current academic year and the former is based on those returning to the annual Audit of Research in previous academic years.

[5] ECRs in REF 2014 are "members of staff who meet the criteria to be selected as Category A or Category C staff on the census date, and who started their careers as independent researchers on or after 1 August 2009. For the purposes of the REF2014, an individual is deemed to have started their career as an independent researcher from the point at which: a. They held a contract of employment of 0.2 FTE or greater, which included a primary employment function of undertaking 'research' or 'teaching and research', with any HEI or other organisation, whether in the UK or overseas, and b. They undertook independent research, leading or acting as principal investigator or equivalent on a research grant or significant piece of research work. (A member of staff is not deemed to have undertaken independent research purely on the basis that they are named on one or more research outputs.)"

Comparison to the REF data as a whole (table 2b) shows that the University has a higher proportion of individuals with any individual circumstance which is driven by those with clearly defined circumstances and in particular the higher numbers of ECR and part-time staff in the University's submission compared to the REF submission at the national level.

Table 2b: Overview of REF submission as a whole (individual circumstances)

	all	**CHI**	**all**	**Chi (pc)**
Staff with any individual circumstances	**16,361**	27	**29%**	47%
Staff with complex circumstances	**1,032**	1	**2%**	2%
Staff with clearly-defined circumstances	**15,329**	26	**27%**	45%
Staff with ECR as a clearly-defined circumstance	**10,099**	17	**18%**	29%
Staff with part-time working, career break or secondment as a clearly-defined circumstance	**3,358**	11	**6%**	19%
Staff with maternity, paternity or adoption leave as a clearly-defined circumstance	**2,601**	2	**5%**	3%

Other protected characteristics: Religion, Marital status, Maternity/paternity, Sexual orientation

The majority of academic staff have not disclosed their religious belief (81%), although a greater proportion (71%) of those in the REF have disclosed. Of those disclosing a religious belief 16 report being a Christian (6 are in the REF); 19 report 'no religion' (of which 7 are in the REF); 3 state that they are 'Jewish', 1 in REF (Table 3). In terms of marital status the balance is similar for the REF submission and whole staff population, although a slightly greater proportion of the whole staff are married or disclose themselves as being in a civil partnership or having a partner than in the REF submission. There is a slightly greater proportion of those taking a period of maternity/paternity leave than in the academic staff as a whole.

Table 3: Data analysis for other protected characteristics

Staff group	Male	Female	Sexual Orientation:People reporting not heterosexual	Ethnic Origin:People reporting other than Non-White British, other white,	Religion:People reporting something other than Christian, and not	Marital Status (reporting as married, civil	Maternity/Paternity
In the REF (N=58)	30	28	2	0	3	31	3
Not in the REF (N=183)	100	83	2	6	4	110	6
All staff (N=241)	130	111	4	6	7	141	9
Percent of staff submitted to REF	51.7%	48.3%	3.4%	0.0%	5.2%	53.4%	5.2%
Percent of all staff	53.9%	46.1%	1.7%	2.5%	2.9%	58.5%	3.7%

Overall discussion

The report does shed new light on the characteristics of the staff population and those who have been identified as undertaking research of an internationally recognised quality within the context of a research environment with critical mass (in REF terms). The different age profile for the REF population and the University academic staff population at large is of particular note. The analysis also raises some questions around the data and how it derives from disclosure by individuals.

Taken in context of the selection procedures, training, associated communication and protocols for appeal, which were approved by the HEFCE REF EDAP group, the differences are likely to be explained, not in those selection procedures, but in the historic aspirations, trajectories and opportunities afforded to different individuals in different areas in the context of an institution with the prime purpose of supporting learning and teaching underpinned by excellent research.

The REF Project Team were keen to use its submission to the REF2014 as further opportunity to propagate the tenets and practices within its Equality Scheme throughout the University. For example, the REF process led to additional bespoke Equality and Diversity training for 12 people including the Vice-Chancellor, the Deputy Vice-Chancellor, Heads of Department in the REF areas and academics in the different REF areas. There were also many opportunities for University wide communication which foregrounded matters of Equality and Diversity.

The data analysis was discussed at the University's Equality and Diversity Committee (chaired by the Deputy Vice-Chancellor and including a representative of the Governing Body and Students Union) as well as at its Disability Equality Group.

The University has a strong public commitment to Equality and Diversity Policy which has been recognised externally (e.g. Stonewall, TwoTicks and in the EC HR Excellence in Research award up to 2018), nevertheless the equality analysis reveals that further work is necessary to embed Equality and Diversity in all its areas of operation.

1. Categories used in the reporting system for different protected characteristics

Marital status:

Married

Single

Partner

Divorced

Not Specified

Civil Partnership

Widowed

Gender:

Male

Female

Sexual orientation:

Bisexual

Heterosexual

Homosexual

Information refused

Ethnic origin

White - British

Other White Background

Asian or Asian British - Indian

Other Ethnic background

White - Irish

Black or Black British - Caribbean

Asian or Asian British - Pakistani

Black or Black British – African

Disability:

No known disability

Two or more impairments and/or disabling medical conditions

Specific learning difficulty such as dyslexia, dyspraxia or AD(H)D

General learning disability (such as Down's syndrome)

Social/communication impairment e.g. Asperger's or other autistic disorder

Long standing illness or health condition e.g. cancer, HIV, diabetes etc.

Mental health condition, such as depression, schizophrenia or anxiety disorder

Physical impairment or mobility issues e.g. difficulty using arms or legs
Deaf or serious hearing impairment
Blind or a serious visual impairment uncorrected by glasses
Disability, impairment or medical condition that is not listed above
Information refused

Maternity/paternity
Maternity
Paternity (only if additional formal paternity leave claimed)

Part-time working
Part time
Full time

Early Career Researcher
Refer to the REF definition

2. Non disclosure by protected characteristic is as follows:

Characteristic	*No data supplied*	*Declined to declare*
Disability	3	1
Sexual Orientation	193	4
Ethnic Origin	1	0
Religion	194	3
Marital Status	3	2
Gender	Complete	
Age	Complete	
Mat/Pat	Complete	

5.4 Appendix 4: Staff survey post-2014 Research Excellence Framework exercise

(NB: this paper was discussed at Research Committee 11/12/14 and REF Project Team 16/4/15)

Background

Following discussion at a Research Committee meeting a survey of the intentions of individual academic staff was undertaken using Bristol Online Surveys. This survey opened on 3/11/14 and ran until 2/12/14; an initial email and reminder email was sent to the all faculty academic staff mail list on Outlook. In addition two information sessions were held, one at each campus, these were attended by a total of 5 people.

Summary of data

A total of 61 individual responses (26%; N= 239) were received across 14 Academic Departments. See Table 1 and Figures 1-4 in the following pages.

Headlines:

- A relatively low response rate across the University (26%)
- Numbers seeking to be considered for the next REF < than numbers entered to the REF 2014
- Whilst the number of respondents was relatively low the pattern of responses indicates that staff in those departments included in the REF 2014 entry would seek to make an entry in a future REF
- Of those areas not included in the REF2014 submission, the data indicates that 'significant' (either 4 or more, or >50% of the staff base) numbers of staff in the departments of Childhood, Social Work and Social Care, Fine Art, Business School and Theology would like to be considered for the next REF

The Units of Assessment that have at least five or more positive responses[6] are:

26 Sport and Exercise Sciences, Leisure and Tourism

30 History

35 Music, Drama, Dance and Performing Arts

4 Psychology, Psychiatry and Neuroscience

25 Education

22 Social Work and Social Policy

34 Art and Design: History, Practice and Theory

Other Units of Assessment in which at least three staff were interested are:

19 Business and Management Studies

3 Allied Health Professions, Dentistry, Nursing and Pharmacy

29 English Language and Literature

33 Theology and Religious Studies

[6] Respondents were invited to select all UoA's within which they felt their work might fit.

Of those respondents seeking to be considered for the next REF:

- 76% felt that they would have sufficient volume of outputs
- 10% felt that they may have some individual circumstances (other than part-time working or Early Career Researcher status) that might lead to a reduction in the required number of outputs
- 22% of respondents felt that they might meet be Early Career Researchers (ECR), a further 14% didn't know (the remainder thought that they were not ECRs)

Discussion:

The relatively low response may have been due to other factors such as missing the emails, or not seeing this particular survey as important to themselves perhaps due to the next REF being 5-6 years away. Nevertheless the data indicates appetite for a future REF submission across a number of areas.

The data for responses by Department and also by Unit of Assessment indicate a reasonably clear picture of those areas where there is a declaration of intention and the potential for critical mass for a future REF submission. In addition, in order to establish a reasonable picture of the shape of a future REF entry it is also useful to take into account the numbers of individuals participating in the REF2014 exercise, the Units of Assessment entered in REF2014, as well as the stated intentions of different academic departments (either in departmental plans or verbally communicated) with respect to a future REF.

Taking all these things into account it is recommended that the provisional[7] membership of a future REF project team should include representation from the following areas:

- One or more representative from the Institute of Sport
- One representative from the Department of English and Creative Writing
- One representative from the Department of Psychology and Counselling
- One representative from the Department of History
- One or more representative of the arts from across the Department of Dance, Theatre, Music, and Fine Art
- One representative from the Department of Childhood, Social Work and Social Care
- One representative from Business School
- One representative from the Institute of Education
- One representative from the Department of Theology, Philosophy & Religious Studies.

[7] It may be that following analysis of the REF 2014 outcome, and further analysis of the outputs, plans and trajectories of those departments wishing to participate in the next REF the membership is revised.

Table 1: Overview of responses by department

Department	**Want to be considered for next REF**	**Do not want to be considered for the next REF**	**Not sure**	**Total respondents**	**Total number of staff**	**In REF 2014 entry**
Adventure Education	2			2	5	1
Childhood, Social Work and Social Care	4	1		5	25	
Dance	3			3	17	9
Education	1		1	2	39	
English and Creative Writing	3			3	15	8
Fine Art	5		1	6	6	
History	7			7	9	8
Media				0	20	
Music	2		1	3	5	5
PE	2			2	19	
Psychology and Counselling	3			3	10	6
Business	5	1	2	8	19	
Sport and Exercise Sciences	9			9	26	17
Sport Development and Management	3		2	5	11	2
Theatre	1			1	10	2
Theology, Philosophy & Religious Studies	2			2	3	
Total	52	2	7	61	239	58

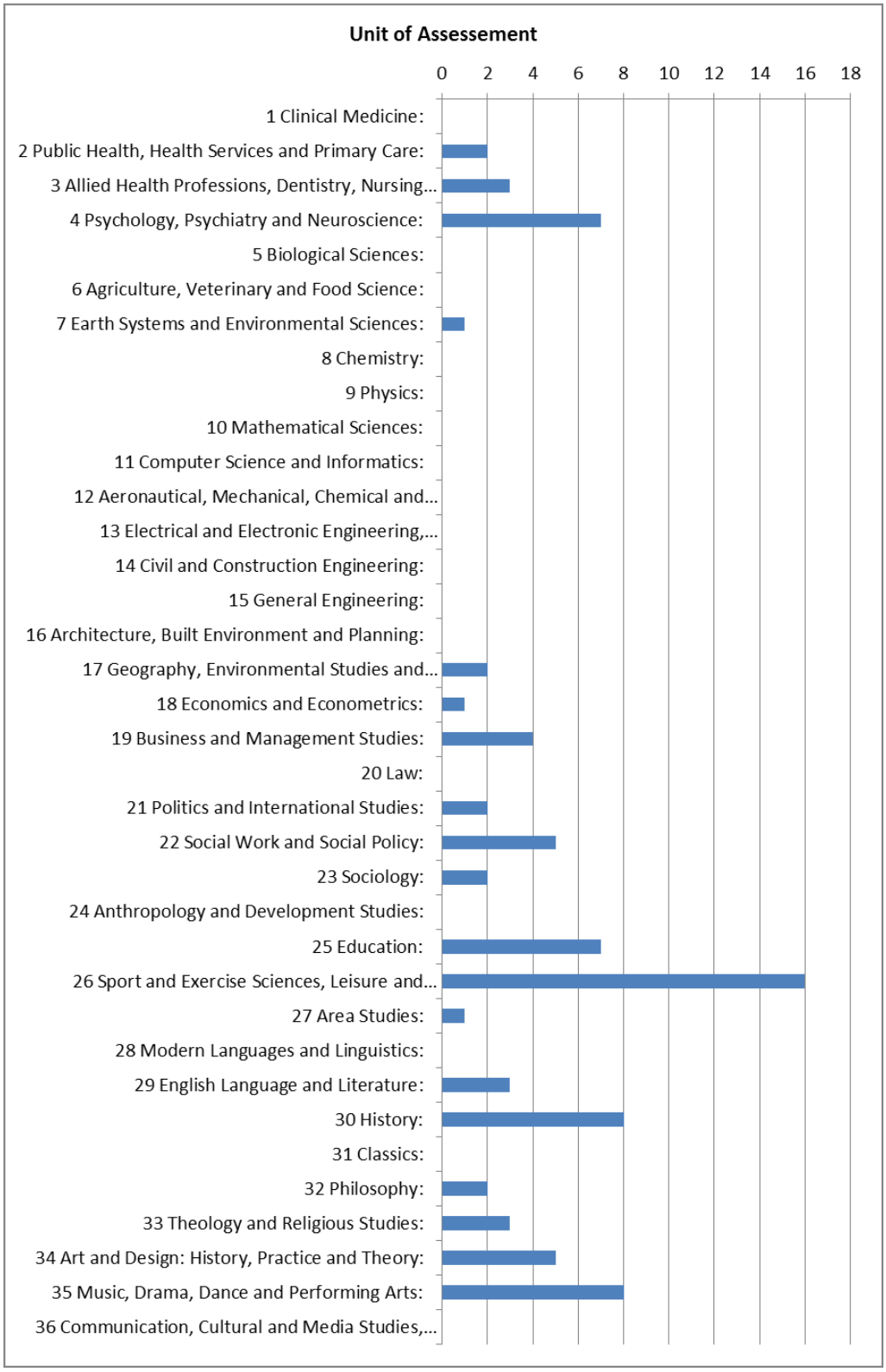


Figure 1: Overview of responses by Unit of Assessment[8]

[8]Respondents were invited to select all UoA's within which they felt their work might fit.

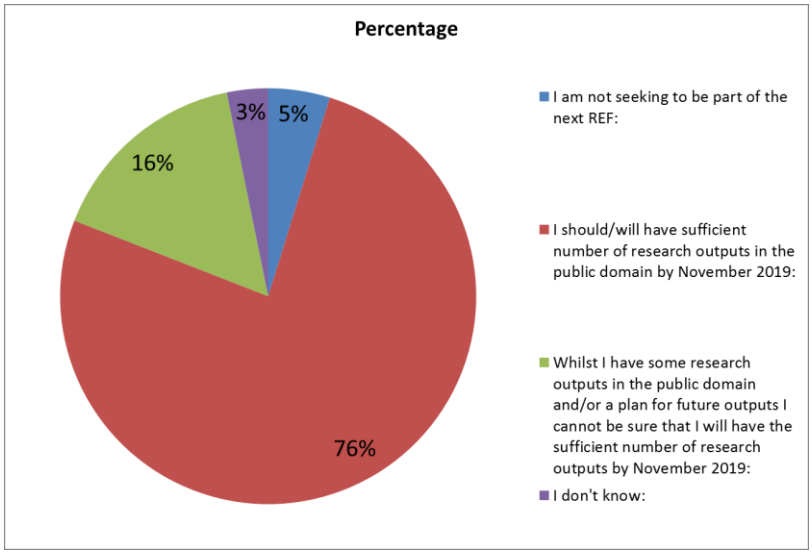


Figure 2: Volume of research outputs

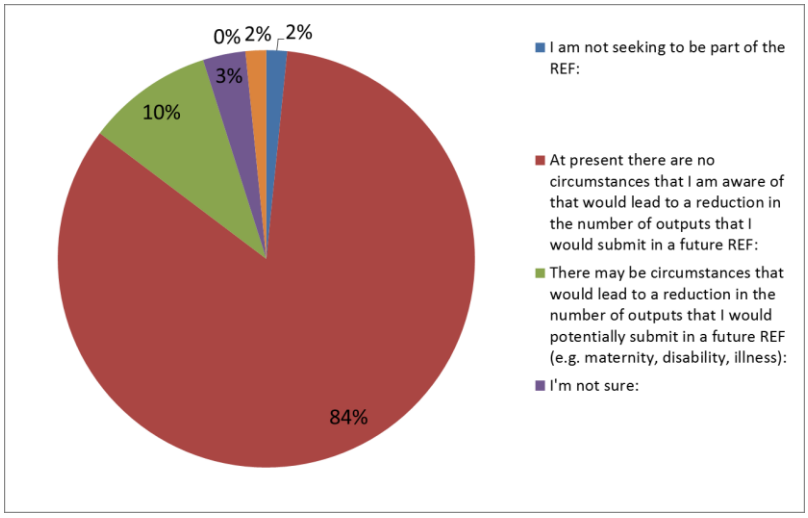


Figure 3: Individual circumstances other than part-time or Early Career Researcher status

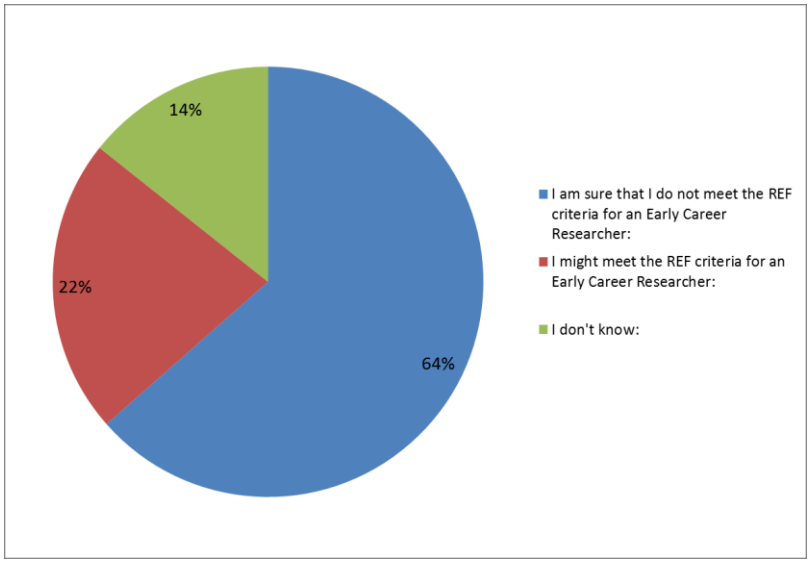


Figure 4: Early Career Researcher status

5.5 Appendix 5: Research Excellence Framework Project Team (REFPT) Membership and Terms of Reference

5.5.1 Membership

Chair (1)	Cross-institutional Lead for Research
Ex-Officio (4)	Electronic Resources Librarian
	Senior Research Officer
	Research and Enterprise Finance Officer
	HR/Professional Development Manager

Representatives of Departments/Institutes identified for a potential submission to the REF2021:

1. One or more representatives from the Institute of Sport
2. One or more representatives from the Institute of Education, Health and Social Sciences
3. One or more representatives from the Institute of Arts and Humanities
4. One or more representatives from the Conservatoire (Music) and the Department of Dance
5. One representative from the Business School
6. One representative from the Department of Creative Digital Technologies
7. One representative from the Department Engineering and Design

[NB: this membership is provisional, and will be reviewed periodically to ensure that it matches the University's ambitions and capacity for a REF submission]

Representative of HR (HR Equal Opportunities Officer) to advise on Equality and Diversity issues and be co-opted for specific items.

Other staff may be co-opted for specific items. Where relevant, Directors of Institutes and/or Heads of Departments may elect to attend the meeting instead of or as well as the representative from their area.

Voting: should it be necessary to take a vote at the meeting, then each Department/Institute will have one vote regardless of how many representatives they have at the meeting.

Clerking arrangements: Research Office

5.5.2 Terms of Reference

The Research Excellence Framework Project Team (REFPT) is responsible for overseeing the University's preparations for, and submission to, the next Research Excellence Framework (REF). In particular, it aims to optimise the submission that the University makes to the REF.

The REFPT will:

(i) Optimise the benefit of the REF to the University.

(ii) Draw upon guidance from relevant individuals/institutions to ensure that the REFPT remains informed – to the best of its ability – of REF guidance, criteria and initiatives.

(iii) Analyse strengths and weaknesses in the potential submission and identify solutions to improve the University's submission in the areas identified.

(iv) Make recommendations with respect to allocating funds for targeted assistance and providing assistance for external reviews of research outputs, where possible.

(v) Make recommendations about strategic decisions regarding the REF submission including the inclusion of members of staff and on their assigning to particular units of assessment, consistent with guidance from Research England.

(vi) Commission drafting of components of the submission.

(vii) Shape a communication plan to ensure that academic and professional services staff are well informed regarding the REF submission and ensure there is maximum transparency in decisions regarding the REF submission.

(viii) To actively promote equal opportunities legislation in its decision-making capacity and to operate under the terms of the University's Inclusivity Framework for the preparation of the REF submission at all times. *

(ix) To establish an Equality and Diversity sub-group to undertake the analysis of individual circumstances and to advise the REF Project Team as to the required number of outputs for individuals, and to undertake other tasks relating to Equality and Diversity on behalf of the Project Team as required.

**the REF process will be subject to an Equality Impact Assessment*

Meeting Frequency
The Project Team will meet at least twice per semester from September 2018 onwards.

Reporting
The REFPT reports to Academic Board through the Research and Innovation Committee. The REFPT makes recommendations regarding the REF submission to the Vice-Chancellor's Group.

Meeting notes will also be circulated to Heads of Department/Institute, and relevant Professional Service Heads.

Table of REFPT members identifying attending and corresponding members

Chair (1)	Dr Antonina Pereira (Cross Institutional Lead for Research)	
Ex Officio (4)	Ms Debbie Bogard (Electronic Resources Librarian) Mr Kevin Botto (HR/Professional Development Manager) Ms Alison Davis (Research and Enterprise Finance Officer) Dr Charles Green (Senior Research Officer)	
Representatives of Departments/Institutes identified for a potential submission to the REF2021:		
Area/Department/Institute	*Attending member*	*Head of Department/Director of Institute*
One or more representative from the Institute of Sport	Prof Iain Greenlees	Prof Mike Lauder
One or more representatives from the Institute of Education, Health and Social Sciences (from across the areas of Education, Psychology & Counselling, and Childhood, Social Work and Social Care)	Dr Barbara Thompson Dr Roy Spina Dr Kish Bhatti-Sinclair Dr Sandra Lyndon	Dr Antonina Pereira Chris Smethurst Dr Chris Shelton
One or more representatives from the Institute of Arts and Humanities (from across the areas of English and Creative Writing, Theatre, Fine Art, History, Politics, Theology and Religious Studies)	Prof Ben Noys Dr Andrew Wilford Dr Danae Tankard Dr Andrew Smith Prof Hugo Frey	Prof Hugo Frey Dr Ben Francombe Prof Graeme Smith
One or more representatives from the Conservatoire (Music) and the Department of Dance	Prof Laura Ritchie Dr Vicky Hunter	Cathy Childs Ben Hall
One representative from the Business School	Dr Rob Warwick	Prof Dave Cooper
One representative from the Department of Engineering and Design	Dr Yue Wang	Prof Stuart Harmer
One representative from the Department of Creative Digital Technologies	Prof Stephen Baysted	Michael Holley

5.6 Appendix 6: REF Project Team Equality and Diversity Subgroup (E&DSG) Terms of Reference and Membership

5.6.1 Constitution

The REF Project Team has established an Equality and Diversity Subgroup.

5.6.2 Membership

Chair: Member of academic staff and Union Representative (Dr Barbara Thompson)

Ex officio: One representative from HR (Kevin Botto)
Inclusivity and Wellbeing Officer (Suzanne Jones)
Senior Research Officer (Dr Charles Green)

Nominated:

Representatives nominated by Heads of Departments/Directors of Institutes* identified for a potential submission to the REF2021:

- One or more representatives from the Institute of Sport
- One or more representatives from the Institute of Education, Health and Social Sciences
- One or more representatives from the Institute of Arts and Humanities
- One or more representatives from the Conservatoire (Music) and the Department of Dance
- One representative from the Business School
- One representative from the Department of Creative Digital Technologies
- One representative from the Department of Engineering and Design

***** The representatives nominated by Heads of Departments/Directors of Institutes should be represented by as many Academic Departments or Institutes as possible.

The membership should seek to ensure, where possible, that the full diversity of the University's community is effectively represented in the membership.
[NB: this membership is provisional, and will be reviewed periodically to ensure that it matches the Departments/Institutes' and University's ambitions and capacity for a REF submission]

Other staff may be co-opted for specific items.

Voting: should it be necessary to take a vote at the meeting then each Department/Institute will have one vote no matter how many representatives they have at the meeting. The quorum will be one third, excluding the Chair.

Clerking arrangements: Research Office

Terms of Reference

The Equality and Diversity Subgroup Team (E&DSG) is responsible for overseeing the University's requirements for Equality and Diversity with regards to preparations for, and submission to, the next Research Excellence Framework (REF). In particular, it aims to ensure that submitting staff can submit personal circumstances for consideration which will help to optimise the submission that the University makes to the REF. There will be reporting lines into the Research Excellence Framework Project Team (REFPT) and the Cross-Institutional Lead for Research. Union representatives have been consulted in agreeing the TOR.

The E&DSG will:

(i) Ensure that there is sufficient representation within the Subgroup from both, Institutes/Departments and staff who represent the University community with regards to gender diversity and protected characteristics under the Equality Act 2010.*

(ii) Ensure that there is sufficient representation within the Subgroup from both, Institutes/Departments and staff who may be subject to reductions in outputs as part of their personal circumstances.

(iii) To actively promote equal opportunities legislation in its decision making capacity and to operate under the terms of the University's Equality and Diversity Policy for the preparation of the REF 2021 submission at all times.**

(iv) Draw upon guidance from relevant individuals/institutions (including current Inclusivity policies) to ensure that the E&DSG remains informed – to the best of its ability – of REF guidance, criteria and initiatives with regards to Equality and Diversity.

(v) Ensure all Subgroup members received mandatory Equality and Diversity training (particularly with regards to protected characteristics) from a REF perspective to ensure they are confident and competent to make relevant decisions about reduction in outputs. Recommend appropriate mandatory training for the wider REFPT and all other staff with decision-making responsibilities for the REF2021 submission .

(vi) Be part of shaping a communication plan (as tasked to the REFPT) to ensure that academic and professional services staff are well informed regarding the Equality and Diversity aspects of REF submission and ensure there is maximum transparency in decisions regarding the REF submission.

(vii) Ensure staff's personal circumstances are considered as part of the wider rationale to optimise the benefit of the REF to the University, including the consideration for a reduction in the numbers of outputs submitted per Unit of Assessment (UoA) or whose work is not open access compliant due to an absence during the compliance period (see 255a REF2021 Guidance for Submissions).

(viii) Assess staff's personal circumstances as per the REF2021 guidelines and advise the individual and the Cross-Institutional Lead for Research within 30 days of the relevant reduction to be applied to outputs for each UoA.

(ix) Ensure that all assessment of personal circumstance are kept confidential as per the requirements of the Data Protection legislation.

(x) Support the REFPT with regards to Equality and Diversity content for any University and UoA research environment statements.

(xi) Assisted by HR, undertake the Equality Impact Assessment of the overall Institution submission at key census points, in particular after final submission (March 2021).

(xii) Recommend actions following the University's Equality Impact Assessment of the REF submission to explore potential barriers for any under-represented groups to engage in research and particular ways in which certain groups may be better supported in terms of research.

(xiii) Support, and be part of, the paperwork needed as part of the online REF2021 portal with regards to potential reductions for each UoA based on special circumstances (March 2020 and March 2021).

** the percentages for this are 56.5% female and 43.5% male (of which Category A researchers 52.5% female, 47.4% male), 5.3% declared a disability, 2.4% identity as BAME, 23.9% hold a religion or belief, 21% hold none, 2.9% LGBQI+.*

***the REF process will be subject to an Equality Impact Assessment.*

Meeting Frequency

The Project Team will aim to meet at least once per month up to August 2019, then at least twice per semester from September 2019 onwards.

Reporting

The Equality & Diversity Subgroup reports to the REF Project Team, which in turn reports to Academic Board via the Research and Innovation Committee. Anonymised meeting notes with sensitive information redacted will be provided to the REFPT.

Minutes will be circulated to members of the Equality and Diversity Subgroup, the REF Project Team, Heads of Departments/Directors of Institutes and relevant Professional Services Heads.

Table identifying members from Academic Institutes/Departments/Subject Areas

Area/Department/Institute	Attending member
One or more representative from the Institute of Sport	Dr Jordan Matthews
One or more representatives from the Institute of Education, Health and Social Science	Dr Barbara Thompson (Chair) Dr Esther Burkitt Dr Kish Bhatti-Sinclair
One or more representatives from the Institute of Arts and Humanities	CURRENTLY VACANT
One or more representative from the Conservatoire (Music) and the Department of Dance	Dr Victoria Hunter
One representative from the Business School	Dr Dawn Robins
One representative from the Department of Engineering and Design	CURRENTLY VACANT
One representative from the Department of Creative Digital Technologies	CURRENTLY VACANT

5.7 Appendix 7: PRDP Form and Guidance

Last PRDP date:		**Date of PRDP Meeting:**	
Employee Name		Department	
Line Manager		Job title	
Key contributions and achievements over the last year			
Comment on: • Progress to date on targets and objectives and key highlights/achievements over the past year. • Contribution to team/department/faculty/University performance and success. • Engagement in pedagogic and practitioner research and/or scholarly activity (applicable to the role). • Partnership working, enterprise and income generation activities (applicable to the role) • Professional development/CPD and training undertaken, noting how this has contributed to the employee's knowledge and skills/team/department objectives.			

Action Plan

This action plan summarises the outcomes of the annual PRDP meeting outlining targets and objectives for the year ahead. Guidance on setting objectives can be found here

Which strategic theme/ departmental priority is this objective primarily related to?	**Agreed targets and objectives for the year ahead** *Review progress made against objectives and targets set for the last review period. Focus on realistic targets linked to individual, departmental and organisational goals/KPIs. Consider role requirements and responsibilities e.g. customer service, project management, learning and teaching, research, income generating activities, risk management, planning and managing resources, line management and team development; environmental health and safety, inclusivity, and/or wider university activities.*	**Agreed key performance indicators/performance measures** *Successful KPIs are SMART – specific, measurable, achievable, relevant and time-bound. Set and agree realistic deadlines to meet targets and objectives.*	**Agreed actions/resources to implement targets and objectives** *Agree how the targets and objectives can be achieved and the actions, support or resources needed to meet them (reference Guidance on Allocation of Workload for Academic Staff). Discuss and agree continuing professional development and training requirements.*	**Agreed review dates during the forthcoming year** *Review progress regularly during scheduled one-to-one meetings. Ideally there should be a six-monthly formal review, where progress against objectives is measured and existing KPIs reviewed/updated.*
Choose an item.				
Choose an item.				

Choose an item.				
Choose an item.				
Choose an item.				
Choose an item.				
Choose an item.				
Choose an item.				
Choose an item.				
Choose an item.				

For academic staff only:

Academic staff have a range of responsibilities, including, but not limited to formal scheduled teaching, teaching-related administration, leadership/line management, research and scholarly activity and participation in internal and/or external responsibilities such as outreach activities and business development. **Guidance on the allocation of workload for Academic staff can be found here.**

For the purposes of REF, we need to record whether a member of staff currently has a significant responsibility for research. Based on the above objectives:

☐ **Yes** – Currently, this member of staff has a significant responsibility for research (including production of research output and impact, PGR student supervision and/or research income generation within realistic research cycles and publication timescales).

☐ **No** – this member of staff has been set objectives that primarily focus on other areas, (e.g. teaching, student recruitment, student experience, programme coordination and administration).

☐ **No** – this member of staff has been set objectives that primarily focus on other areas, (e.g. teaching, student recruitment, student experience, programme coordination and administration) with one or more objectives to develop significant responsibility for research in future.

Training and development

Record training and development/observation of teaching sessions/CPD/research activity during the past academic year:

Agree training and development/observation of teaching sessions/CPD/research activity for the forthcoming academic year. *University policies should be read and understood by all staff on an annual basis. In signing the PRDP form it is expected that you have read and understood University policies/procedures.*

If you require further support/training in any of the University's policies, please indicate below.

If not already undertaken this will include:

- **Data Protection training:** https://moodle.chi.ac.uk/course/view.php?id=80951#section-2
- **Safeguarding and Prevent Duty**: Face-to-face sessions are available via HR self-service and/or the Introduction to Prevent online training at https://www.elearning.prevent.homeoffice.gov.uk *(Please ensure you forward the certificate onto The Professional Development Team at staffdevelopment@chi.ac.uk to log that you have completed the training)*
- **Equality and Diversity:** https://moodle.chi.ac.uk/course/view.php?id=82929#section-11
- **Unconscious Bias training**: https://moodle.chi.ac.uk/course/view.php?id=82929

Agreed by Employee	Signed:	
	Date:	
Agreed by Line Manager	Signed:	
	Date:	
For completion by Professional Development	Date paperwork received:	

UNIVERSITY OF CHICHESTER

PRDP (PERFORMANCE REVIEW DEVELOPMENT PLAN)

Guidance and frequently asked questions

IN THIS BOOKLET

WHAT IS A PRDP?

PRDP is the University's performance review process that involves staff, including those in fixed-term appointments who have successfully completed their probationary period (i.e. after a period of at least six months in continuous employment). PRDP is a mandatory and continuous process of plan-review-appraise-re-plan which provides an effective tool for personal career development and supports the delivery of University priorities.

PRDP helps to ensure that the University's aims and objectives are met by relating strategic and operational plans to the role and contribution of each individual. The review process is firmly based on the premise that all staff perform their work better, and with greater job satisfaction, when they receive support and guidance to achieve agreed objectives, and have the opportunity to discuss and agree what is expected of them.

The review process should be carried out within the context of the University's departmental/organisational objectives.

WHAT ARE THE BENEFITS?

- Recognising and celebrating achievements
- Providing an opportunity for individuals to reflect on what they are doing and how they might wish to contribute in the future
- Aligning individual aspirations to those of the University, providing a clearer sense of career direction
- Providing an open and transparent means of constructively discussing the role, enabling targets and performance measures to remain relevant
- Facilitating the discussion of an individual's contribution outside the job role e.g. towards the University's inclusivity, environmental sustainability, or health and safety agendas
- Providing a structure for managers to discuss expectations with staff in identifying ways of improving skills to enhance performance and contribution
- Allowing staff to plan and make their contribution through specific objectives and targets and to set out their expectations and understanding in relation to their responsibilities and standards of work
- Targeting resources to support development needs
- Providing an opportunity for job profiles to be reviewed and updated, and for a fair and balanced workload to be agreed

PRIOR TO THE MEETING

What will the meeting involve?

PRDP meetings will involve the appraiser and appraisee in:

- Agreeing the meeting agenda, including a joint assessment of the past year using the previous year's PRDP action plan and the self-assessment form as a starting point
- Reviewing training and development undertaken in the last year, reflecting on the benefits and changes made to the individual/ department as a result
- The identification of targets for the year ahead, in the context of wider faculty/ departmental/University plans, and consideration of workload
- Agreeing performance measures (or key performance indicators) and target dates
- Agreeing actions or resources to implement targets, including consideration of professional development/training requirements, both short-term for the role and for the longer-term
- Reviewing the job profile if there have been any substantial changes
- Agreeing review dates (one-to-one meetings) for the year ahead. It is expected that meetings will take place regularly throughout the year as agreed between the line manager and the employee. Ideally a six-month review should take place where progress against objectives is measured and existing KPIs reviewed/ updated

Do I need to prepare?

Both parties should prepare for the PRDP meeting beforehand. Points for the appraiser and the appraisee to consider may include:

- How successfully objectives from the last PRDP have been implemented
- Factors that have helped or hindered performance and the achievement of objectives
- How the appraisee has responded to challenges
- Training and development that has been undertaken since the last PRDP
- Potential directions the individual's career might take
- Potential objectives for the next review period
- Ensuring the most up-to-date version of the individual's job profile is available, in order to review and update as necessary at the meeting

The appraisee should be notified of a PRDP meeting at least ten working days in advance to allow for adequate preparation. There is a self-assessment pro-forma that provides a starting point for discussion and this should be completed by the appraisee and sent to their manager at least five working days before the meeting(available on the Professional Development pages of the Staff Intranet).

Appraisees can use their Personal Learning Account in the Human Resources self-service system to review and reflect on the development they have undertaken. Managers can also view the learning undertaken by an employee through 'People Manager'. If you need any help in accessing People Manager or self-service please contact the Professional Development team in the Human Resources Department (staffdevelopment@chi.ac.uk).

DURING THE MEETING

Receiving Feedback

Effective feedback helps us to become more aware of what we do and how we do it. Receiving constructive feedback provides an opportunity to change and modify our actions in order to become more effective.

Giving Feedback

When giving feedback, be specific and give clear examples. Most importantly, don't wait until a PRDP meeting to give feedback. Effective feedback should be given as soon as possible and there should be no surprises to the manager or employee in the PRDP meeting. The Self-Assessment Form will help to identify areas for discussion.

Listening and Questioning

- Listen and avoid interrupting
- Ask relevant questions to clarify if necessary
- Reflect and comment on points to demonstrate understanding

Succession Planning

Managers should build succession planning into departmental plans and PRDP discussions on an ongoing basis. This will include:

- Identifying positions that are instrumental to achieving strategic and operational goals
- Proactively planning for and developing potential successors, enabling individual employees to become 'the best they can be' to get ready for emerging opportunities
- Encouraging a culture that supports knowledge transfer, coaching, mentoring and employee development

The annual PRDP process is not a substitute for on-going dialogue and feedback between staff and managers. The PRDP action plan provides an opportunity for the agreed objectives to be referred to throughout the planning cycle e.g. during one-to-one meetings between the manager and member of staff.

Action Planning/Objective Setting

When setting objectives, ensure they are SMART (specific, measurable, achievable, relevant and time-bound). Consider the resources and support that will be needed to meet the targets and objectives and clearly define successful indicators. Targets and objectives should be aligned to University and departmental objectives and review dates should be set so that progress can be measured.

Open Questions

It is important for appraisers to ask the appraisee to summarise their contribution and achievements over the past year. Open questions enable people to decide how they should be answered and encourage them to talk freely.

Examples include:

- Are there any aspects of your job which you found challenging that require support?
- Did you encounter any difficulties in achieving your objectives/targets?
- What action can be taken to help you to perform your job to the best of your ability during the coming year, by you, by your manager, or by others?
- How do you see the job/your role/responsibilities developing?
- What are your priorities?
- What do you feel have been the most significant/important tasks/responsibilities you have performed across the year/since your last PRDP?
- How could your expertise/capabilities be better utilised by your manager/department/others?
- How could you improve your future performance?
- When considering personal development, what would you identify as your strengths and what areas would you like to develop further?
- What sort of experience/training/CPD would benefit you in the next year? How does this contribute to your own development and your department/team?
- Have you encountered any constraints in undertaking agreed development activity?
- What are your personal goals and career aspirations?
- How have you fulfilled your responsibilities for University strategies, for example The University Stratgic Plan 2018-25 'Open For Change', Research Strategy, Learning, Teaching and Student Experience Strategy and People Strategy?
- How have you fulfilled your responsibilities for University policies and procedures e.g. Inclusivity/Equality and Diversity; Environmental Health and Safety; Data Protection; Prevent?

AFTER THE MEETING

What happens after the meeting?

The manager and member of staff will agree the content of the PRDP action plan within two weeks of the meeting (unless agreed otherwise). The manager will complete the action plan and will endorse recommendations arising out of the PRDP in relation to continuing professional development or training and development requirements.

Once signed and agreed by all parties, a copy of the completed action plan should be retained by the employee and the manager and a copy should be sent to the Professional Development Co-ordinator in the Human Resources Department or via email to staffdevelopment@chi.ac.uk. This helps to ensure that any training and development actions are identified and/or role requirements are supported as far as possible, and to monitor completion rates.

PRDP ADVICE TO LINE MANAGERS OF ACADEMIC STAFF

This guidance is related to the consideration of research as part of the PRDP process and will help line managers and their academic staff in considering those aspects which are particularly important to the achievement of the University Strategic Plan regarding excellence in research and innovation and the Research Strategy. In addition, it will assist line managers with identifying significant responsibility for research. At the University, all academic staff are required to contribute to research and scholarly activities at a level that reflects their experience, developmental goals and their workload commitments.

Therefore, the level of responsibility for a member of staff to undertake research will vary from individual to individual and from department to department. For some academic staff, significant responsibilities will lie elsewhere, in activities such as teaching, line management, student recruitment, student experience, programme coordination and administration. These different career pathways are all equally important and equally valued at the University and the various significant responsibilities identified for each individual staff member should be recorded in the annual PRDP paperwork. Further guidance can be provided by the Research Office.

When conducting PRDP's line managers should:

Ensure that research activity, plans and support are covered in sufficient detail in the PRDP preparation, discussions and plans, making appropriate reference to the University's Strategic Plan and Research Strategy and the Departmental Plan, particularly regarding the Research Excellence Framework.

The PRDP should outline whether or not the individual has a significant responsibility for research, based on consideration of activities around independent research projects (rather than assisting with or contributing to research projects), production of research output and impact, PGR student supervision, and research income generation within realistic research cycles and publication timescales.

FAQ'S

Where can I access the PRDP documents?

Copies of the PRDP Action Plan, Self-Assessment Form and this PRDP guidance booklet are available on the Human Resources page on the Staff Intranet and can be downloaded as necessary.

Can I complete the PRDP Action Plan on-line?

The Action Plan can be completed electronically and sent to the Professional Development team via email.

Are there any reference documents that might support PRDP discussions?

The appraiser/appraisee should review a copy of the PRDP Action Plan completed for the previous year and/or a completed probationary report if applicable. It is helpful to have sight of a current job profile and to consider whether it needs updating. Job profiles can and do change due to activities/responsibilities changing within the department and/or as a result of new requirements coming into the University. Other useful reference documents include departmental plans/strategies and the staff development programme.

Does the PRDP process link with pay and grading?

The PRDP is not a forum in which grading decisions are made. Where both the line manager and member of staff believe that the role has grown to a point where the grading may no longer be correct, the manager will refer to the University's Reward Strategy concerning the process for re-evaluating posts

Where can I access training?

Each year there will be training on the PRDP process available to all staff. New managers should be encouraged and supported to attend training before carrying out their PRDPs. Training is outlined in the Professional Development Programme and further details can be obtained from the Professional Development team in Human Resources. A Human Resources Officer will be more than happy to meet with managers on a one-to-one basis or in small groups to talk through the PRDP process.

What if an employee is absent due to ill health?

If a member of staff is on short-term sickness leave on the scheduled date for a PRDP, the date should be re-arranged for as soon as possible after their return. If a member of staff is on long-term sickness leave, their PRDP should be arranged for a later date, once they have returned. It is recognised that if a member of staff has been off for a long period of time it may not be practical to undertake a PRDP immediately, particularly if the employee is on a phased return or amended duties.

What if an employee is new to their role/department?

If an existing employee has recently changed their manager after changing role or department, the new manager should endeavour to undertake a PRDP within a year of their last appraisal. If this is not practical, the staff member should still be given clear objectives and feedback on performance as part of their induction into their new role.

What if an employee has two line managers?

In cases where a member of staff has more than one line manager (i.e. they undertake two fractional posts), a 'lead manager', for the purposes of conducting PRDP, should be agreed between the Head(s) of Department. The other manager should then be asked to contribute, as appropriate. In exceptional circumstances, if a manager is not able to carry out a PRDP with a member of staff, the manager's line manager will support the PRDP process.

If I'm not happy with the outcome of the review, what should I do?

The purpose of the PRDP is to ensure positive and clearly understood outcomes, therefore in very exceptional cases where a member of staff does not agree the PRDP outcomes, they should discuss their concerns with their manager in the first instance. Where agreement cannot be achieved, the individual should discuss with the manager's line manager within 10 working days of receipt of the completed PRDP form. The relevant line manager will discuss the reasons for disagreement with both parties and make a decision regarding the issue.

CONTACT US

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UNIVERSITY OF CHICHESTER

5.8 Appendix 8: Template for Identification of Staff with SRR: REF 2021

For Completion by Heads of Departments/Directors of Institutes using the Code of Practice

Guidance Notes for Completion:

Heads of Departments (HOD) and Directors of Institutes are asked to use the attached form and University Code of Practice to identify teaching and research staff with a 0.2FTE or greater, who have a significant responsibility for research, provided they meet the definition of independent researcher on the census date.

Output of staff that have left the University can also be included (please just enter Y or N in the column which asks whether or not staff member is employed on census date). If the staff member left the University between 1 January 2014 and census date we may still be able to include their output (see details below) as long as it was generated while employed at the University and the output is open access compliant if it comes under scope of open access requirements (see Figure 3 in Code).

Please refer to the criteria for identifying staff with a significant responsibility for research and for determining research independence outlined in Part 2 and 3 of the University of Chichester's Code of Practice to complete this form. Heads of Department/Directors of Institutes, will identify whether individual members of staff on 'teaching and research' contracts have or do not have a significant responsibility for research on the census date. HOD or Directors of Institutes should complete this form in consultation with the member of staff, and/or their line manager, departmental research leads and/or UOA champions but Heads of Departments/Directors of Institutes make the final decision regarding the process of identification of staff with SRR. Individual members of staff can appeal this decision as outlined in section 2.9 of the Code of Practice.

Please refer to the form below and add rows if needed. Staff on 'teaching and research' contracts with 'yes' entries in any of the categories 1-6 will be identified as having had significant responsibility for research (SRR) on census date. All staff on 'teaching and research' contracts that meet the criteria for SRR are considered independent researchers unless they are currently enrolled in a PhD or other research degree programme in which case the HOD or Director of Institute should enter a 'no' in column 'Independent Researcher?' (see Part 3 of the Code). All staff on 'research only' contracts have significant responsibility for research if they meet the criteria for research independence (please refer to the criteria for research independence as outlined in Part 3). All staff on 'research only' contracts that have a 'yes' entry in the 'Independent Researcher?' column will be returned as Category A submitted staff (Figure 2 of Code). HODs will then send completed forms by email to the Cross-Institutional Lead for Research research@chi.ac.uk by noon on **3 August 2020.** The HOD or Director of Institute will notify each individual staff member by email of the outcome of this process as soon as possible but no later than **3 August 2020**. The UOA Champion and the Research Office should be copied into the email. Staff who do not agree with the assessment as to whether they have or do not have a significant responsibility for research or whether they are independent researchers,

may submit a written appeal within 30 days of notification as per the appeals process but no later than 3 September 2020 as outlined in the Code of Practice.

The Research Office will collate forms and the REF Project Team will work with HR team to confirm employment details and finalise list of staff. Please note that allocations into Units of Assessment are recommendations by HOD to REF Project Team and this list is considered provisional. It will need to be reviewed by the REF Project team initially and finally approved by VCG.

For all academic staff, HOD and line managers should also ensure that they complete the necessary PRDP paperwork annually and send to HR clearly outlining significant responsibilities whether it be for research or other roles. REF processes will not be taken into account in relation to any decisions regarding staff promotion, career progression, extension of contracts or disciplinary procedures at the University of Chichester.

Once the completed forms have been reviewed by the REF Project Team, the list will be sent to each UOA champion. Each UOA champion, in consultation with HOD and research leads will follow the process for selection of outputs as outlined in Part 4 of the University Code of Practice. We will need details of assessable outputs that the submitted unit has produced during the publication period (1 January 2014 to 31 December 2020). The total number of outputs must equal 2.5 times the summed full-time equivalent (FTE) of the unit's submitted staff. Rounding to the nearest whole number will be applied to give a whole number of outputs for submission (see Part 4 of the Code for more details). This process must be completed by **29 January 2021**.

Impact case studies

The HODs are asked to provide a list of all staff leading an impact case study for the relevant units of assessment (also to be completed in the attached form). In the lead up to the REF, HODs will be asked to periodically update information for staff within their departments in a Mock REF exercise Oct 2018 to June 2019. Case studies must describe specific examples of impact achieved during the assessment period (1 August 2013 to 31 July 2020), underpinned by excellent research in the period 1 January 2000 to 31 December 2020.

Form used for the identification of staff with a significant responsibility for research and determining research independence as per the University of Chichester Code of Practice for REF2021

Department/Institute:_____

Head of Department/Director of Institute:_____

Staff Name	Employed on census date (Y/N) and FTE	Meets ECR definition (Y/N)	Career intermissions or special circumstances (Y/N)[a]	1) Professor or Reader	2) PIs or Co-Is for any externally funded research project or contract or fellowship (include title and year awarded)	3) Supervision of PhD students as Director of Studies (Y/N)	4) Department research lead or UoA champion (Y/N)	5) A leading role within a research group or centre or committee (Y/N)	6) Annual PRDP process clearly outlines a significant responsibility for research (Y/N)	Independent researcher? (Y/N)	Recommended Unit of Assessment*	Is the staff member also impact case study lead for UoA (Y/N)

Please add more rows as required

*Please note that the allocations into Units of Assessment are recommendations by HOD to REF Project Team but will need to be reviewed by the REF Project team and approved by VCG.

[a] The process of disclosure of special circumstances is voluntary and confidential. Staff can submit a confidential application for the consideration of staff circumstances directly to the chair of the REF Project Team Equality and Diversity Sub-group using the dedicated email as per the Code of Practice. HOD may enter 'yes' in this column where circumstances are known or where they have been informed that an application is being processed or has been approved.

For staff who are also Impact Case Study Leads, please fill in the table below

Name of Staff Member	Title of Impact Case Study

Please send completed forms to the Cross-Institutional Lead for Research research@chi.ac.uk

5.9 Appendix 9: REF 2021 Appeals Form Template

1. **Individual details**

Name	
Role	
Department/Institute	
Date	

2. **Grounds for appeal**

In completing this form, I wish to lodge a formal appeal on one or more of the following grounds (please tick relevant boxes):

The criteria for selection of academic staff with significant responsibility for research or for independent research were not applied in accordance with the University's Code of Practice for REF2021 in respect of my eligibility for inclusion in the University's REF submission.	
There was a material error in the data used by the REF Project Team in applying the criteria to determine my eligibility for inclusion in the University's REF submission.	
The process for consideration of special circumstances for reduction of outputs was not followed consistently by the Equality & Diversity Subgroup	

3. **Details of grounds for appeal**

Please provide information below to support this appeal. Please continue on a separate sheet if required, and append supporting documentation as appropriate.

Please email completed form and supporting documentation to the Chair of the REF Appeals Process using the dedicated email REF2021Appeals@chi.ac.uk.

The final deadline for appeals is **3 September 2020**. The Chair of the Appeals Panel will communicate outcomes of any appeals back to the member of staff as well as the Cross-Institutional Lead for Research usually within 10 working days of the application being received.

Individuals involved in deciding on appeals cases are independent of the process for identification of staff with significant responsibility for research, determining research independence and selection of outputs for REF 2021.

5.10 Appendix 10: Declaration of Staff Circumstances Form[9]

Introduction

This document is being sent to all Category A staff whose outputs are eligible for submission to REF2021. 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:

1. 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.
2. 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.
3. To recognise that being an Early Career researcher might have an impact on the production of research outputs.
4. 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.

The submission dates for this form run between 1st July 2019 and 17th January 2020

Applicable circumstances (see Appendix 1 and 2)

- Qualifying as an ECR (started career as an independent researcher on or after 1 August 2016);

[9] Within this Form, Appendix 1 refers to Section 4.4.2 of the Code of Practice, Appendix 2 refers to Annex L of the REF 'Guidance for Submissions', and Appendix 3 refers to Section 5.6.2 of the Code of Practice. For readability reasons, the Appendices of this Form are not present here but will be distributed with the Form when this is made available to staff.

- Absence from work due to secondments or career breaks outside the HE sector of at least 12 calendar months in total;
- Qualifying periods of family-related leave;
- Junior clinical academics who have not gained a Certificate of Completion of training by 31 July 2020;
- Disability (including chronic conditions), ill heath, injury or mental health conditions with an equivalent effect to absence of at least 12 calendar months in total;
- Constraints relating to family leave that fall outside of the standard allowances with an equivalent effect to absence of at least 12 calendar months in total;
- Caring responsibilities;
- Gender reassignment.

If your ability to research productively during the assessment period has been constrained due to one or more of the above circumstances, you are requested to complete the attached form. Further information can be found in paragraph 160 of the 'Guidance on Submissions' document. **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**. Any reduction will be applied to the Unit of Assessment rather than the individual, unless your circumstances have had an exceptional effect on your ability to work productively throughout the assessment period and you have not been able to produce an output. In this case, a request may be made for the minimum of one requirement to be removed. This form is the only means by which the University will be gathering this information; we will not be consulting HR records, contract start dates, etc. You should therefore complete and return the form if any of the above circumstances apply and you are willing to provide the associated information.

Confidentiality

This form asks for information about your name, Department/Institute, and details of any circumstances that have affected your ability to research productively during the assessment period. It will be assessed by the Equality and Diversity Subgroup Team against published criteria (See Annex L here and Appendix 2) to determine the level of any reduction in expected research output that may be relevant to your personal circumstances. If you feel there may be a conflict of interest with any serving member of the Equality and Diversity Subgroup (see Appendix 3), please contact the Chair, Dr Barbara Thompson, directly (B.Thompson@chi.ac.uk). If the conflict relates to Barbara, you may wish to contact the Research Office (research@chi.ac.uk).

Within the University, the personal data provided on this form will be kept confidential to the Equality and Diversity Subgroup Team (E&DSG), the members of which are listed in Appendix 3. All forms will be downloaded from the refequality@chi.ac.uk email account to a secure private area of the S Drive, which will only be accessible by named members of the E&DSG. The E&DSG will securely delete the submitted data about individuals' circumstances when REF2021 results are released by the

appropriate panels. The Unit of Assessment lead within the University will be supplied with the number of output reductions applied to individuals within their Unit, but details of the circumstances will not be provided.

If the University decides to apply to the funding bodies for either form of reduction of outputs (removal of 'minimum of one' requirement or unit circumstances), we will need to provide UKRI with data that you have disclosed about your individual circumstances, to show that the criteria have been met for reducing the number of outputs. Please see the 'Guidance on submissions' document (paragraphs 151-201) for more detail about reductions in outputs and what information needs to be submitted. Externally, submitted data will be kept confidential to the REF2021 team, the REF2021 Equality and Diversity Advisory Panel, and the main panel chairs. All these bodies are subject to confidentiality arrangements as are members of the E&DSG. The REF team will destroy the submitted data about individuals' circumstances on completion of the assessment phase.

You will be informed of the outcome of your submission by a member of the E&DSG via your preferred communication method (email or telephone). At this stage, the Chair of the E&DSG will inform you if we require further information related to your circumstances. Please do not hesitate to get in touch with the E&DSG Team at refequality@chi.ac.uk if you have any questions at any stage of the process. When reviewing applications, the E&DSG may draw upon advice of specialist colleagues (for example Staff/Student Support) if needed, although any information shared as part of this discussion will be anonymised. Once a decision on reduction of outputs has been made, the Chair of the E&DSG will communicate outcomes of any application back to the individual member of staff as well as the Cross-Institutional Lead for Research, within 30 days of the application being received. The Cross-Institutional Lead for Research then communicates outcomes of the application process to the relevant Unit of Assessment (UOA) champions. A separate note of the number of output reductions per individual will be supplied to the relevant UOA champion but this will not include any information about the circumstances that led to the reduction. In the case where staff circumstances may have played a role in outputs in scope of Open Access requirements being non-compliant, the E&DSG will inform the individual and the Cross-Institutional Lead for Research. The Cross-Institutional Lead for Research will then inform the Electronic Resources Librarian so that an exception may be applied, without disclosing confidential information on the reason for the exception.

If you wish to withdraw your submission you can email refequality@chi.ac.uk at any time and we will securely delete your details, and if necessary instruct the UKRI to do the same. You can read more about how the University complies with Data Protection legislation at https://www.chi.ac.uk/about-us/policies-and-statements/data-protection and on the Staff Intranet https://staffnet.chi.ac.uk/data-protection. If you have any concerns about how your personal data is being processed you can contact the Data Protection Officer at dpofficer@chi.ac.uk.

Changes in circumstances

The University recognises that staff circumstances may change between completion of the declaration form and the census date (31 July 2020). If this is the case, then staff should contact their HR partner to provide the updated information.

Please complete this form and email it to refequality@chi.ac.uk.

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

Department/Institute: Click here to insert text.Click here to insert text.

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

Yes ☐

No ☐

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

Privacy information

Any information you provide about your health is classed as 'special category data' under Data Protection legislation, and in this context we require your explicit consent to process it.

The Equality and Diversity Subgroup will use the information you provide on this form to make an assessment of any reduction in expected research output that may be relevant to your circumstances, and if necessary to provide explanation to the UKRI of the reason for that decision. Once the REF results are published we will securely delete any personal data relating to staff circumstances, although some anonymised information will be retained to help us review our submission for the future.

We will treat the information you provide on this form in strictest confidence and it will be stored in a secure private drive in accordance with Data Protection legislation. To find out more visit: https://www.chi.ac.uk/about-us/policies-and-statements/data-protection.

If you have any concerns about completing this form please email refequality@chi.ac.uk and we will contact you to discuss your circumstances.

If you are happy to consent to the processing of your personal data as described please sign/initial and date the statement below:

I consent to the Equality and Diversity Subgroup and the UKRI processing special category information about my health and other personal circumstances as outlined above

Name: Print name here

Signed: Sign or initial here

Date: Insert date here

Circumstance	Time period affected
Early Career Researcher (started career as an independent researcher on or after 1 August 2016). *Date you became an early career researcher.*	Click here to enter a date.

Junior clinical academic who has not gained Certificate of completion of Training by 31 July 2020.	Tick here ☐
Career break or secondment outside of the HE sector. *Dates and durations in months.*	Click here to enter dates and durations.
Family-related leave; • statutory maternity leave • statutory adoption leave • Additional paternity or adoption leave or shared parental leave lasting for four months or more. *For each period of leave, state the nature of the leave taken and the dates and durations in months.*	Click here to enter dates and durations.
Please write up to 200 words to detail the reduction requirements	
Disability (including chronic conditions) *To include: Nature / name of condition, periods of absence from work, and periods at work when unable to research productively. Total duration in months.*	Click here to enter text.
Mental health condition *To include: Nature / name of condition, periods of absence from work, and periods at work when unable to research productively. Total duration in months.*	Click here to enter text.
Ill health or injury *To include: Nature / name of condition, periods of absence from work, and periods at work when unable to research productively. Total duration in months.*	Click here to enter text.

Constraints relating to family leave that fall outside of standard allowance *To include: Type of leave taken and brief description of additional constraints, periods of absence from work, and periods at work when unable to research productively. Total duration in months.*	Click here to enter text.
Caring responsibilities *To include: Nature of responsibility, periods of absence from work, and periods at work when unable to research productively. Total duration in months.*	Click here to enter text.
Gender reassignment *To include: periods of absence from work, and periods at work when unable to research productively. Total duration in months.*	Click here to enter text.
Any other exceptional reasons e.g. bereavement. *To include: brief explanation of reason, periods of absence from work, and periods at work when unable to research productively. Total duration in months.*	Click here to enter text.

Please confirm, by ticking the box provided, that:

- The above information provided is a true and accurate description of my circumstances as of the date below;
- I understand that the above information will be used for REF purposes only and will be seen by the University of Chichester REF Equality and Diversity Subgroup and the Cross-Institutional Lead for Research for completion of form REF6a/b;
- I understand that it may be necessary to share the information externally with the REF2021 team, the REF2021 Equality and Diversity Advisory Panel, and main panel chairs.

- My Unit of Assessment Champion will be informed of any reduction in expected output that I am entitled to.

  I agree ☐

Name: Print name here
Signed: Sign or initial here
Date: Insert date here

☐ I would like an HR partner to contact me to discuss my circumstances in order to explore options for further support for my past or ongoing requirements.

☐ I would like the details of this form to be passed to my Head of Department/Director of Institute in order to explore options for further support for my past or ongoing requirements.

I would like to be contacted by:

Email ☐ Insert email address

Phone ☐ Insert contact telephone number

Please email your completed form to refequality@chi.ac.uk.

5.11 Appendix 11: Request for the removal of the "minimum of one" requirement due to the effects of the COVID-19 pandemic

Introduction

This document is being sent to all Category A staff whose outputs are eligible for submission to REF2021. 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 to enable staff who have not been able to produce a REF-eligible output during the assessment period because of the combined effects of COVID-19[10] and other circumstances to be entered into REF where the following apply:

a. Output(s) in the process of being produced have been affected by COVID-19 during the assessment period (1 January 2014 to 31 July 2020). 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);
and
b. The overall impact of the COVID-19 effects, combined with other applicable circumstances affecting the staff member's ability to research productively during the assessment period, is deemed similar to the impact of the circumstances set out in paragraph 179a. to c. of the 'Guidance on Submissions'. For example, where a staff member is an early career researcher, or has held a fractional contract for a significant proportion of the assessment period, and has experienced COVID-19 related disruption to the production of an eligible output.

The submission dates for this form run between 1st September 2020 and 18th December 2020

Applicable COVID-19 circumstances

As well as effects due to applicable circumstances (such as ill health, caring responsibilities), this includes 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).

[10] Where staff have been unable to produce an eligible output due to other circumstances, please use the Declaration of Staff Circumstances Form (Appendix 10 of the University of Chichester's Code of Practice for REF2021)

Other applicable circumstances which can be considered in combination with the effects of COVID-19

- Qualifying as an ECR (started career as an independent researcher on or after 1 August 2016)
- Absence from work due to secondments or career breaks outside the HE sector
- Qualifying periods of family-related leave
- Junior clinical academics who have not gained a Certificate of Completion of training by 31 July 2020
- Disability (including chronic conditions)
- Ill heath, injury or mental health conditions
- Constraints relating to family leave that fall outside of the standard allowances
- Caring responsibilities
- Gender reassignment

If your ability to research productively during the assessment period has been constrained due to the COVID-19 pandemic and criteria listed above, you are requested to complete the attached form. Further information can be found in paragraph 160 of the 'Guidance on Submissions' document, and paragraphs 20-27 of the 'Guidance on Revisions to REF2021'. **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**. A request will then be made for the minimum of one requirement to be removed. This form is the only means by which the University will be gathering this information; we will not be consulting HR records, contract start dates, etc. You should therefore complete and return the form if any of the above circumstances apply and you are willing to provide the associated information.

Confidentiality

This form asks for information about your name, Department/Institute, and details of any circumstances that have affected your ability to research productively during the assessment period. It will be assessed by the Equality and Diversity Subgroup Team against published criteria (See Annex L here and the aforementioned paragraphs 20-27 of the 'Guidance on Revisions to REF2021') to determine whether a request for the removal of the 'minimum of one' requirement should be put forward to the REF2021 Equality and Diversity Panel (EDAP). If you feel there may be a conflict of interest with any serving member of the Equality and Diversity Subgroup, please contact the Chair, Dr Barbara Thompson, directly (B.Thompson@chi.ac.uk). If the conflict relates to Barbara, you may wish to contact the Research Office (research@chi.ac.uk).

Within the University, the personal data provided on this form will be kept confidential to the Equality and Diversity Subgroup Team (E&DSG). All forms will be downloaded from the refequality@chi.ac.uk email account to a secure private area of the S Drive, which will only be accessible by named members of the E&DSG. The E&DSG will securely delete the submitted data about individuals' circumstances when REF2021 results are released by the appropriate panels. The Unit of Assessment lead within the University will be supplied with the number of output reductions applied to individuals within their Unit, but details of the circumstances will not be provided.

If the University decides to apply to the funding bodies for the removal of the 'minimum of one' requirement, we will need to provide UKRI with data that you have disclosed about your individual circumstances, to show that the criteria have been met for reducing the number of outputs. Please see the 'Guidance on submissions' document (paragraphs 151-201) for more detail about reductions in outputs and what information needs to be submitted. Externally, submitted data will be kept confidential to the REF2021 team, the REF2021 Equality and Diversity Advisory Panel, and the main panel chairs. All these bodies are subject to confidentiality arrangements as are members of the E&DSG. The REF team will destroy the submitted data about individuals' circumstances on completion of the assessment phase.

You will be informed of the outcome of your submission by a member of the E&DSG via your preferred communication method (email or telephone). At this stage, the Chair of the E&DSG will inform you if we require further information related to your circumstances. Please do not hesitate to get in touch with the E&DSG Team at refequality@chi.ac.uk if you have any questions at any stage of the process. When reviewing applications, the E&DSG may draw upon advice of specialist colleagues (for example Staff/Student Support) if needed, although any information shared as part of this discussion will be anonymised. Once a decision has been made, the Chair of the E&DSG will communicate outcomes of any application back to the individual member of staff as well as the Research Office, within 30 days of the application being received. The Research Office then communicates outcomes of the application process to the relevant Unit of Assessment (UOA) Champions. A separate note of the number of output reductions per individual will be supplied to the relevant UOA champion but this will not include any information about the circumstances that led to the reduction.

If you wish to withdraw your submission you can email refequality@chi.ac.uk at any time prior to the REF2021 submission date (31 March 2021), and we will securely delete your details, and if necessary instruct the UKRI to do the same. You can read more about how the University complies with data protection legislation at https://www.chi.ac.uk/about-us/policies-and-statements/data-protection and on the Staff Intranet https://staffnet.chi.ac.uk/data-protection. You can also refer to the University's Data Collection Statement for Staff https://www.chi.ac.uk/research/ref-2021/staff-data-collection-statement. If you have any concerns about how your personal data is being processed you can contact the Data Protection Officer at dpofficer@chi.ac.uk.

Please complete this form and email it to refequality@chi.ac.uk.

Name: Click here to insert text.

Department/Institute: Click here to insert text.

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

Yes ☐

No ☐

Please note that if you were able to produce an output after this date, the publication of which was delayed due to COVID-19, the removal of the 'minimum of one' requirement may not be applicable, and individuals should refer to Section 4.1.4 of the University's Code of Practice for REF2021.

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

Privacy information

Any information you provide about your health is classed as 'special category data' under data protection legislation, and in this context we require your explicit consent to process it.

The Equality and Diversity Subgroup will use the information you provide on this form to make an assessment of any reduction in expected research output that may be relevant to your circumstances, and if necessary to provide explanation to the UKRI of the reason for that decision. Once the REF results are published we will securely delete any personal data relating to staff circumstances, although some anonymised information will be retained to help us review our submission for the future.

We will treat the information you provide on this form in strictest confidence and it will be stored in a secure private drive in accordance with data protection legislation. To find out more visit: https://www.chi.ac.uk/about-us/policies-and-statements/data-protection.

If you have any concerns about completing this form please email refequality@chi.ac.uk and we will contact you to discuss your circumstances.

If are happy to consent to the processing of your personal data as described please sign/initial and date the statement below:

I consent to the Equality and Diversity Subgroup and the UKRI processing special category information about my health and other personal circumstances as outlined above

Name: Print name here
Signed: Sign or initial here
Date: Insert date here

Effects of COVID-19	Time period affected

Applicable only where requests are being made for the removal of the minimum of one requirement *To include: periods of absence from work, and periods at work when unable to research productively. Total duration in months.* *The overall impact of the COVID-19 effects should be considered in combination with other applicable circumstances affecting the staff member's ability to research productively throughout the period. Please complete at least one of the sections below to indicate which one/s should be considered in combination with the effects of COVID-19.*	Click here to enter text.
Other Circumstance/s to be considered in combination with the effects of COVID-19	**Time period affected**
Early Career Researcher (started career as an independent researcher on or after 1 August 2016). *Date you became an early career researcher.*	Click here to enter a date.
Junior clinical academic who has not gained Certificate of completion of Training by 31 July 2020.	Tick here ☐
Career break or secondment outside of the HE sector. *Dates and durations in months.*	Click here to enter dates and durations.
Family-related leave; • statutory maternity leave • statutory adoption leave • Additional paternity or adoption leave or shared parental leave lasting for four months or more. *For each period of leave, state the nature of the leave taken and the dates and durations in months.*	Click here to enter dates and durations.
Please write up to 200 words to detail the reduction requirements	
Disability (including chronic conditions) *To include: Nature / name of condition, periods of absence from work, and periods at work when unable to research productively. Total duration in months.*	Click here to enter text.

Mental health condition *To include: Nature / name of condition, periods of absence from work, and periods at work when unable to research productively. Total duration in months.*	Click here to enter text.
Ill health or injury *To include: Nature / name of condition, periods of absence from work, and periods at work when unable to research productively. Total duration in months.*	Click here to enter text.
Constraints relating to family leave that fall outside of standard allowance *To include: Type of leave taken and brief description of additional constraints, periods of absence from work, and periods at work when unable to research productively. Total duration in months.*	Click here to enter text.
Caring responsibilities *To include: Nature of responsibility, periods of absence from work, and periods at work when unable to research productively. Total duration in months.*	Click here to enter text.
Gender reassignment *To include: periods of absence from work, and periods at work when unable to research productively. Total duration in months.*	Click here to enter text.
Any other exceptional reasons e.g. bereavement. *To include: brief explanation of reason, periods of absence from work, and periods at work when unable to research productively. Total duration in months.*	Click here to enter text.

Please confirm, by ticking the box provided, that:

- The above information provided is a true and accurate description of my circumstances as of the date below;

- I understand that the above information will be used for REF purposes only and will be seen by the University of Chichester REF Equality and Diversity Subgroup and the Research Office for completion of form REF6a;
- I understand that it may be necessary to share the information externally with the REF2021 team, the REF2021 Equality and Diversity Advisory Panel, and main panel chairs.
- My Unit of Assessment Champion will be informed of any reduction in expected output that I am entitled to.

  I agree ☐

Name: Print name here

Signed: Sign or initial here

Date: Insert date here

☐ I would like an HR partner to contact me to discuss my circumstances in order to explore options for further support for my past or ongoing requirements.

☐ I would like the details of this form to be passed to my Head of Department/Director of Institute in order to explore options for further support for my past or ongoing requirements.

I would like to be contacted by:

Email ☐ Insert email address

Phone ☐ Insert contact telephone number

Please email your completed form to refequality@chi.ac.uk.

5.12 Appendix 12: Union Approval of the University of Chichester's Code of Practice for REF2021

University of Chichester

UCU University and College Union

Tel: +44 (0)1243 816000

Bishop Otter Campus,
College Lane,
Chichester,
West Sussex
PO19 6PE UK

chi.ac.uk

Union Approval of the University of Chichester's Code of Practice for REF2021

Dear Professor Longmore

We are pleased to inform you that the Code of Practice was discussed by senior UCU officials on Tuesday 14 May 2019.

We were satisfied that the COP is clear, transparent and robust in that it has strategies in place to ensure that Equality and Diversity issues are embedded in the Code in order to ensure fair treatment of staff in terms of REF matters such as designation of those who have significant responsibility for research.

We were particularly pleased to see that mandatory training will be in place for Heads of Department and all those involved in the REF process. We would recommend that these are put into place as soon as practicable and note that sessions on Unconscious Bias are already being scheduled for staff.

With best wishes

Barbara Thompson

Dr Barbara Thompson, Vice Chair UCU

5.13 Appendix 13: Letter from the Vice-Chancellor

From: Professor Jane Longmore
☎: 01243 816387
e-mail: j.longmore@chi.ac.uk

University of Chichester

Tel: +44 (0)1243 816000

Bishop Otter Campus,
College Lane,
Chichester,
West Sussex
PO19 6PE UK

chi.ac.uk

Research England
Nicholson House
Lime Kiln Close
Stoke Gifford
Bristol BS34 8SR

23 May 2019

To whom it may concern:

RE: The University of Chichester's Code of Practice for REF2021

I confirm that the Vice-Chancellor's Group discussed the above Code of Practice on 21 May 2019 and gave its approval for the Code to be submitted to the REF2021 team.

Yours faithfully,

Professor Jane Longmore
Vice-Chancellor

Contact us

research@chi.ac.uk
chi.ac.uk/research

UNIVERSITY OF CHICHESTER